Central Administrator Manual

Version 10.0

MAXIMUS

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To the Central Administrator:

The Higher Education Practice of MAXIMUS is delighted that your institution has decided to utilize the MAXIMUS ERS (Effort Reporting System) to facilitate the effort reporting process at your institution. ERS is a powerful, effective tool in assisting your institution to be compliant to Federal standards and regulations by employing a disciplined, structured progression to the certification of effort.

The Central Administrator is crucial to the successful implementation and maintenance of the Effort Reporting System. With the support and expertise of MAXIMUS staff, the individual(s) taking on the role of Central Administrator will be responsible for the training of the Institution staff (on the utilization of the system), configuring the system to adapt to the business and organizational structure of the institution, and streamlining the progression of the Effort Form through Pre Review, Certify, and Post Review. In addition, the general oversight of the system and maintenance of the integrity of the effort process (keeping the Institution compliant) falls to the responsibility of the Central Administrator. The Central Administrator is the primary liaison between the Institution and MAXIMUS.

As previously stated, you will be working closely with MAXIMUS staff to implement, deploy, and maintain the Effort Reporting System. MAXIMUS staff will provide necessary training to the Central Administrator on how to operate and manage the system. The purpose of the training will be to instill a comprehensive understanding of system logic/functionalities, and to review general effort reporting procedures and policies. The Central Administrator should feel secure in fulfilling the responsibilities and expectations required by MAXIMUS, and should know that MAXIMUS is committed to devoting necessary resources and expertise for the purpose of the successful installation and operation of ERS.

This manual contains helpful documents that pertain to the maintenance and operation of the system and data. This manual should not be used exclusively (in lieu of MAXIMUS training), nor should it be used solely as a reference document to answer questions/issues that might arise after the initial training of the Central Administrator. This packet is provided as a supplement to the training and support that the Central Administrator will receive – and please note, MAXIMUS staff will be available to answer questions that you may have with ERS.

ROLE LEGENDS

CA	Central Administrator
AUDITCA	Auditor Central Administrator
DH	Division Head
DC	Department Coordinator
SUBDC	Sub Department Coordinator
PRE	Pre Reviewer
POST	Post Reviewer
PREPOST	Pre and Post Reviewer
CERT	Certifier
CTAP	Cost Transfer Approver
PM	Plan Manager
PI	Principal Investigator

INFORMATION LEGENDS

Note or Important Note: This box refers to important information that should be considered or followed.

Configuration Note: This box refers to important configuration information.

Check! This box provides information for additional checks that the institution should consider.

Tip: This box provides an additional tip.

Recommendation! This box provides recommendations for procedures.

!!Caution!! This box provides information about potential hazard, and gives tips on how to avoid them.

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Chapter 1

Introduction to CA Functions

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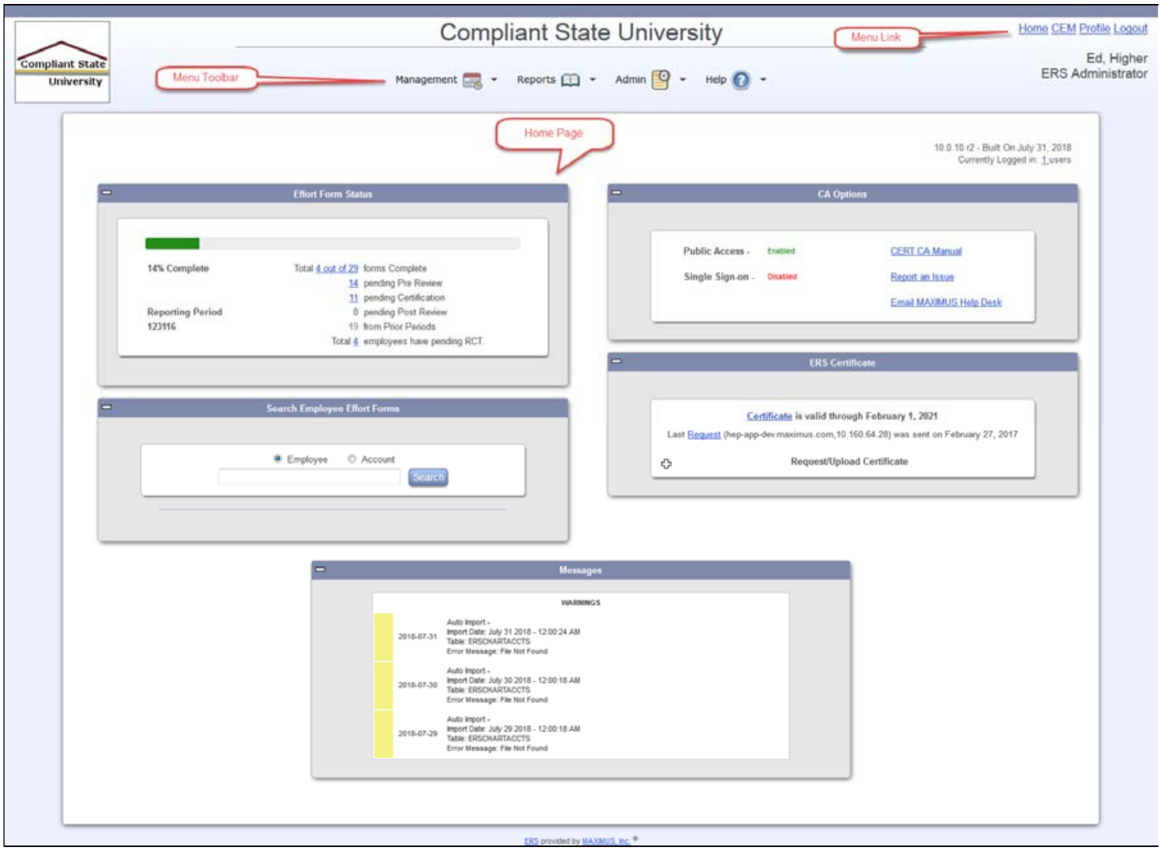
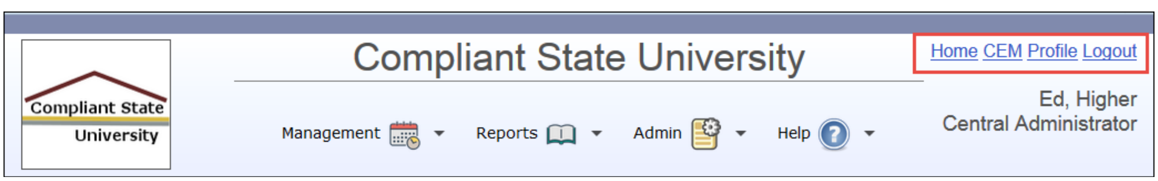
1 Introduction to Central Administrator (CA) Functions

After the Central Administrator uses an accepted login and password, the home page with available options is presented.



1.1 Menu links

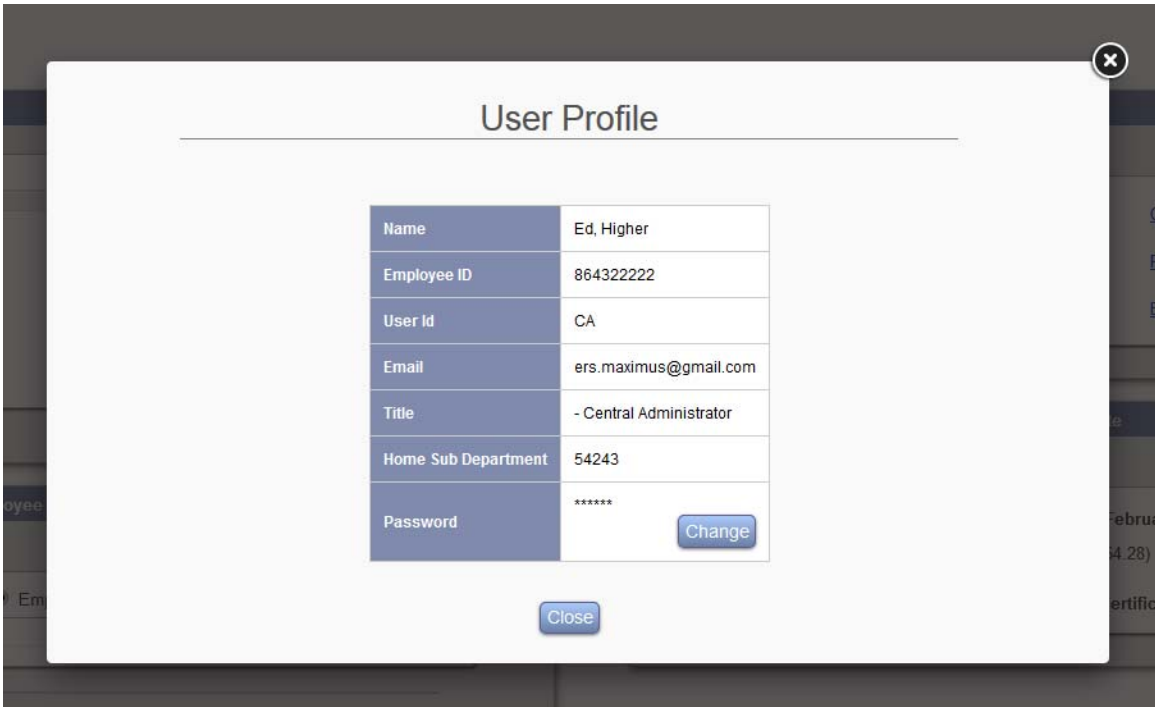


These links are located on the upper right-hand of the screen and allows access to the following functions:

- **Home** – Allows the user to return to the home page.
- **CEM** – Allows switching to CEM module.

  Note: The CEM link is available only if the institution is using the Committed Effort Module. Clicking on this link provides access to the CEM module and the link changes to CERT.

- **Profile** – Allows the user to view their profile and option to change the password.

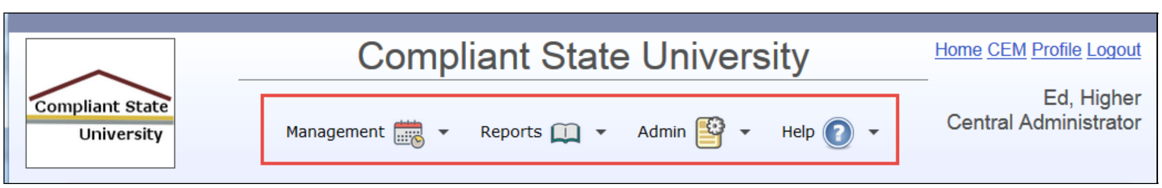


> ***Note:*** If the institution is using single sign-on or LDAP the User ID and Password option will not be displayed.

- **Log Off –** Allows a user to log off from the system.

1.2 Menu Toolbar

The ERS functions are available at the top menu and are always available for the user while in the system.

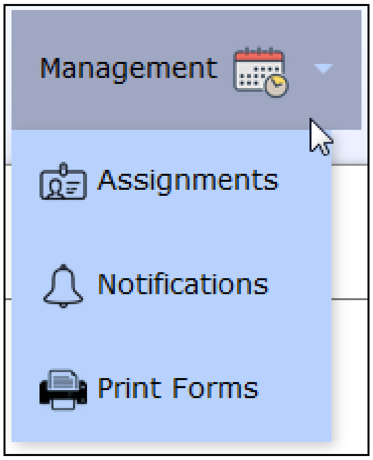


The menus are organized by functions and are divided into four high-level categories –

- Management
- Reports
- Admin
- Help

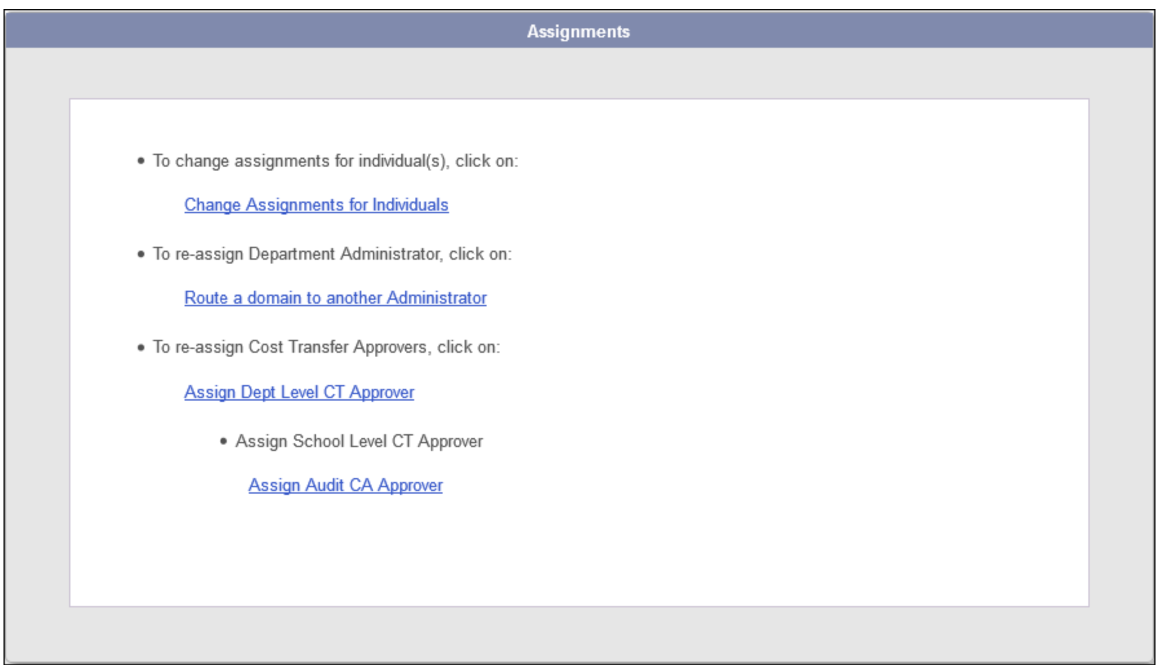
1.2.1 Management

The following options are available under the *Management* menu.



1.2.1.1 *Assignments*

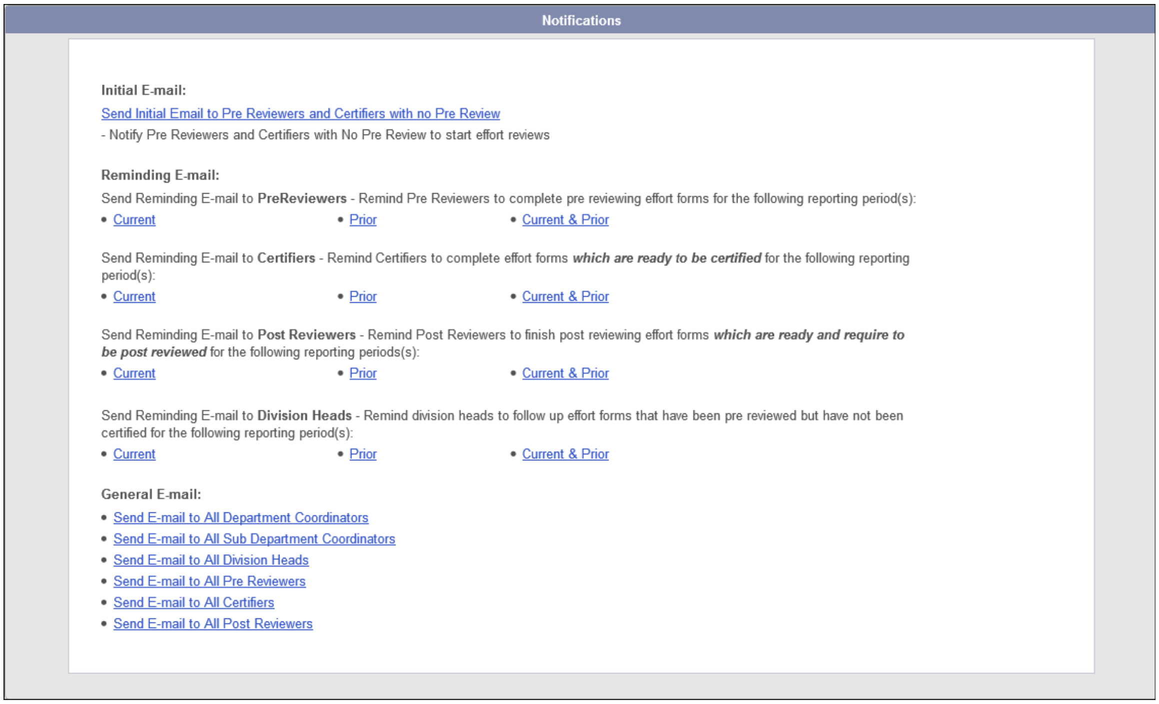
The *Assignments* menu option allows the CA to manage individual assignments, user domains, cost transfer approvers (if configured), etc.



Refer chapter *Assignments* for details.

1.2.1.2 *Notification*

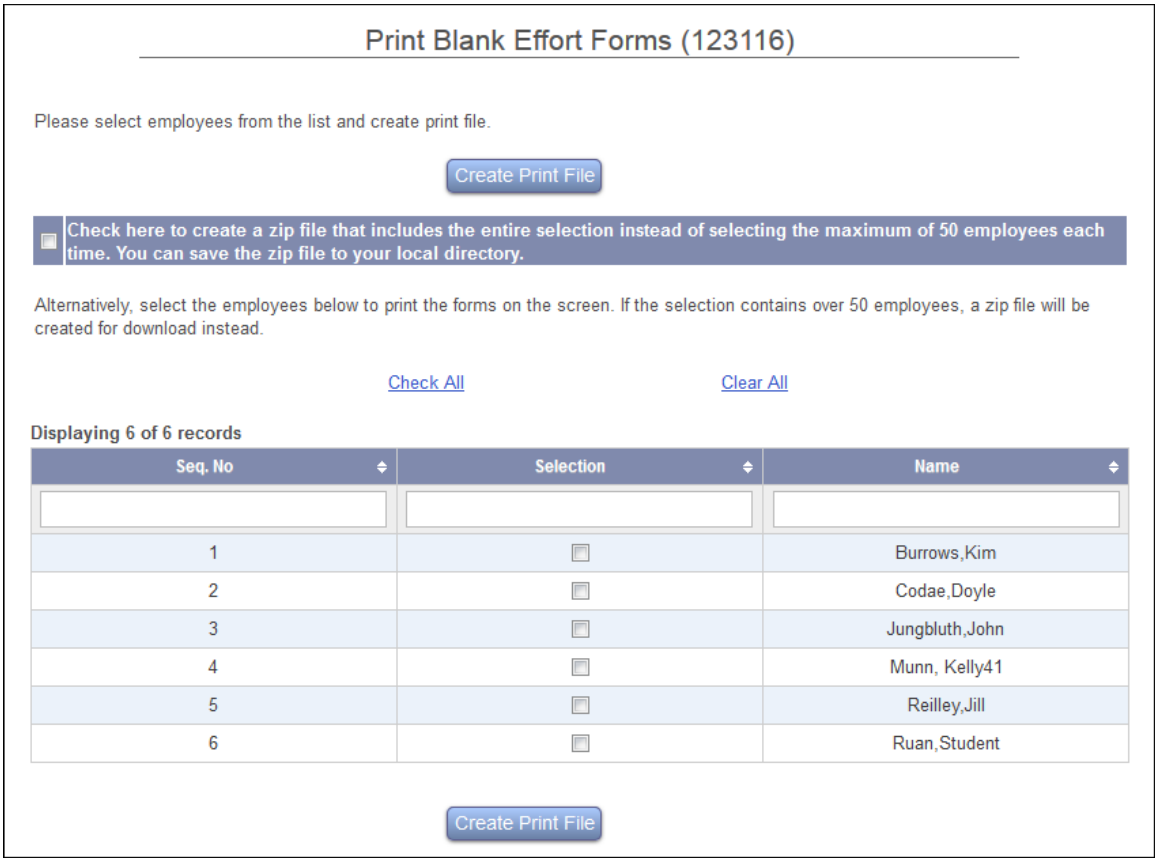
The various links available under the *Notification* menu option allow for emailing individuals based on roles or status of effort form completion.



Refer to the *Notification* chapter for details.

1.2.1.3 *Print Forms*

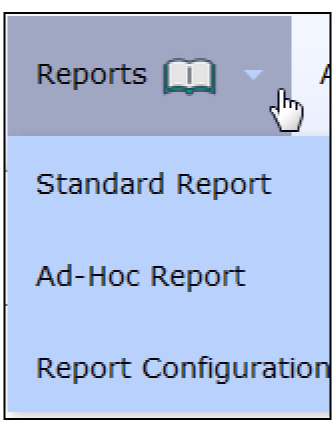
The *Print Forms* menu option allows the CA to generate paper effort forms for users who cannot certify online.



Refer the *Print Forms* chapter for details.

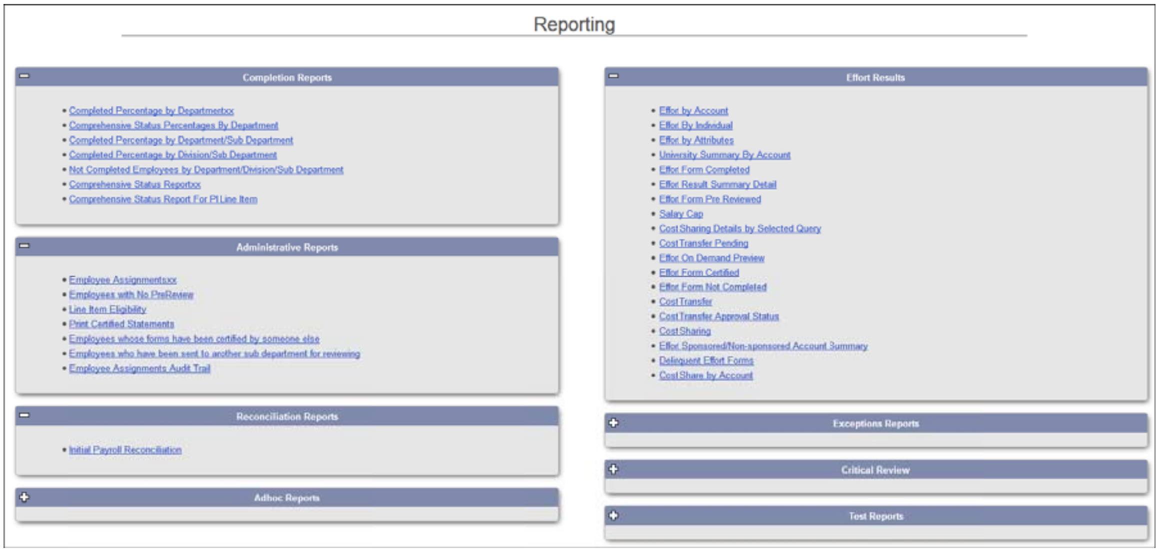
1.2.2 Reports

The following options are available under the *Reports* menu.

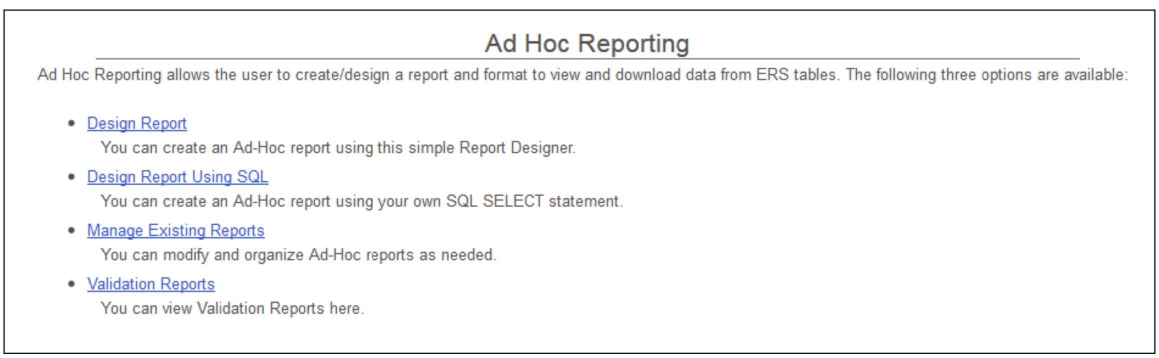


The options available under the *Reports* menu allow the Central Administrator to generate standard reports, create ad hoc reports, and configure the standard reports for availability to the end users.

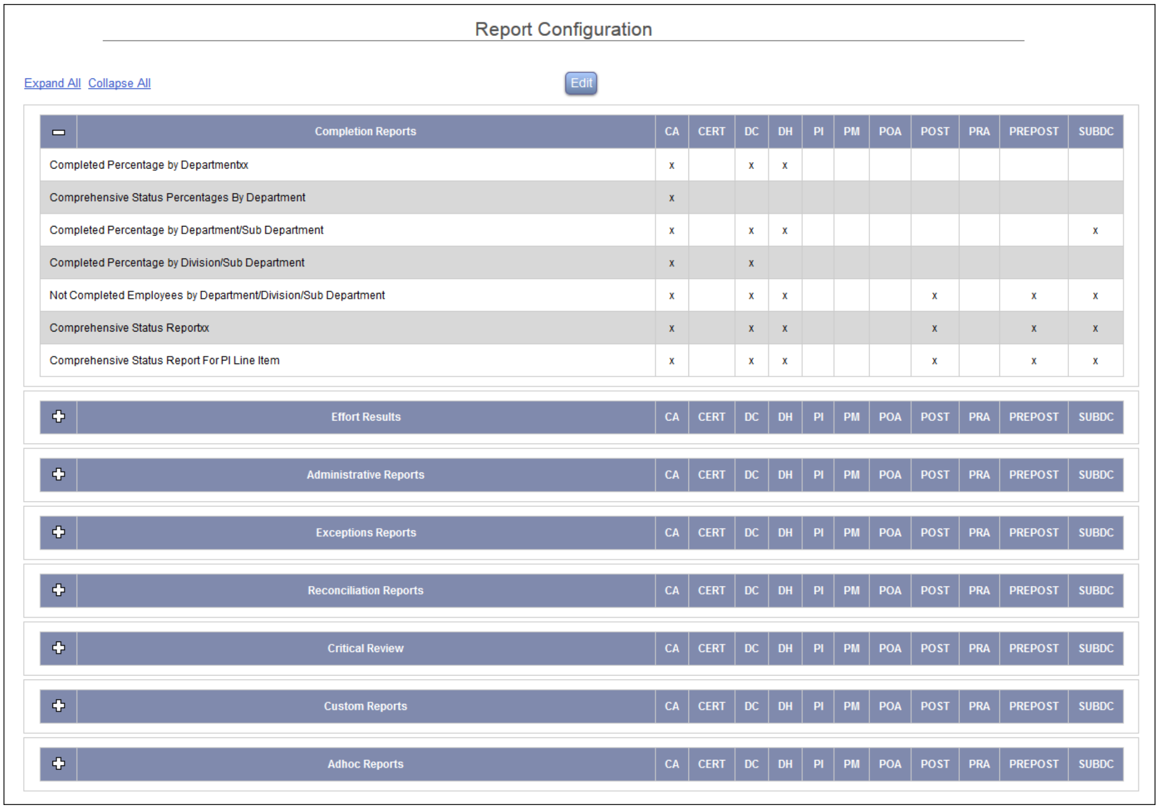
1.2.2.1 *Standard Reports*



1.2.2.2 *Ad hoc Reports*



1.2.2.3 *Report Configuration*



Report Configuration

Expand All Collapse All Edit

Completion Reports	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC
Completed Percentage by Departmentxx	x		x	x							
Comprehensive Status Percentages By Department	x										
Completed Percentage by Department/Sub Department	x		x	x							x
Completed Percentage by Division/Sub Department	x		x								
Not Completed Employees by Department/Division/Sub Department	x		x	x				x		x	x
Comprehensive Status Reportxx	x		x	x				x		x	x
Comprehensive Status Report For PI Line Item	x		x	x				x		x	x

Effort Results	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC

Administrative Reports	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC

Exceptions Reports	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC

Reconciliation Reports	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC

Critical Review	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC

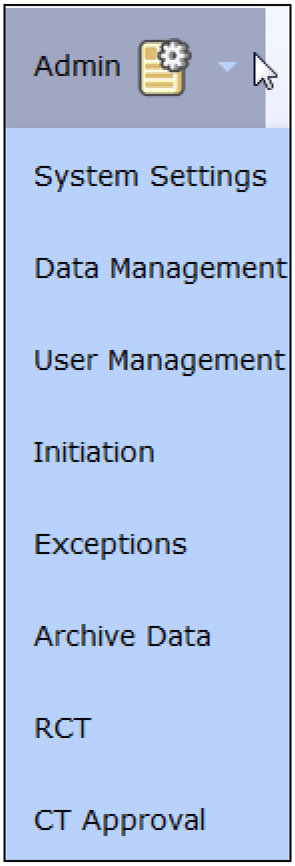
Custom Reports	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC

Adhoc Reports	CA	CERT	DC	DH	PI	PM	POA	POST	PRA	PREPOST	SUBDC

Refer *Reporting* chapter for details.

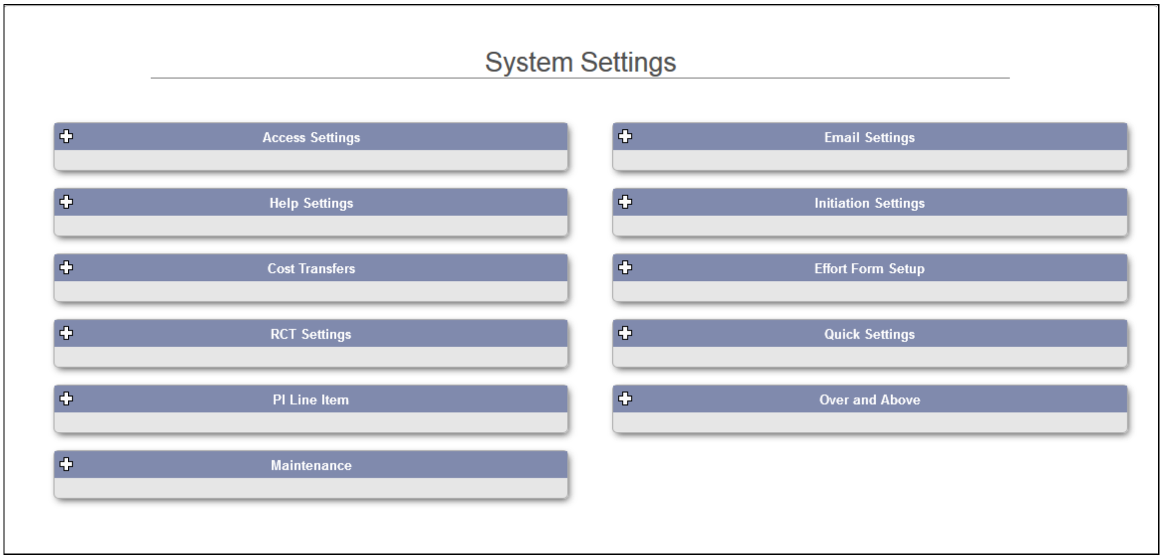
1.2.3 Admin

The following options are available under the *Admin* menu.



1.2.3.1 *System Settings*

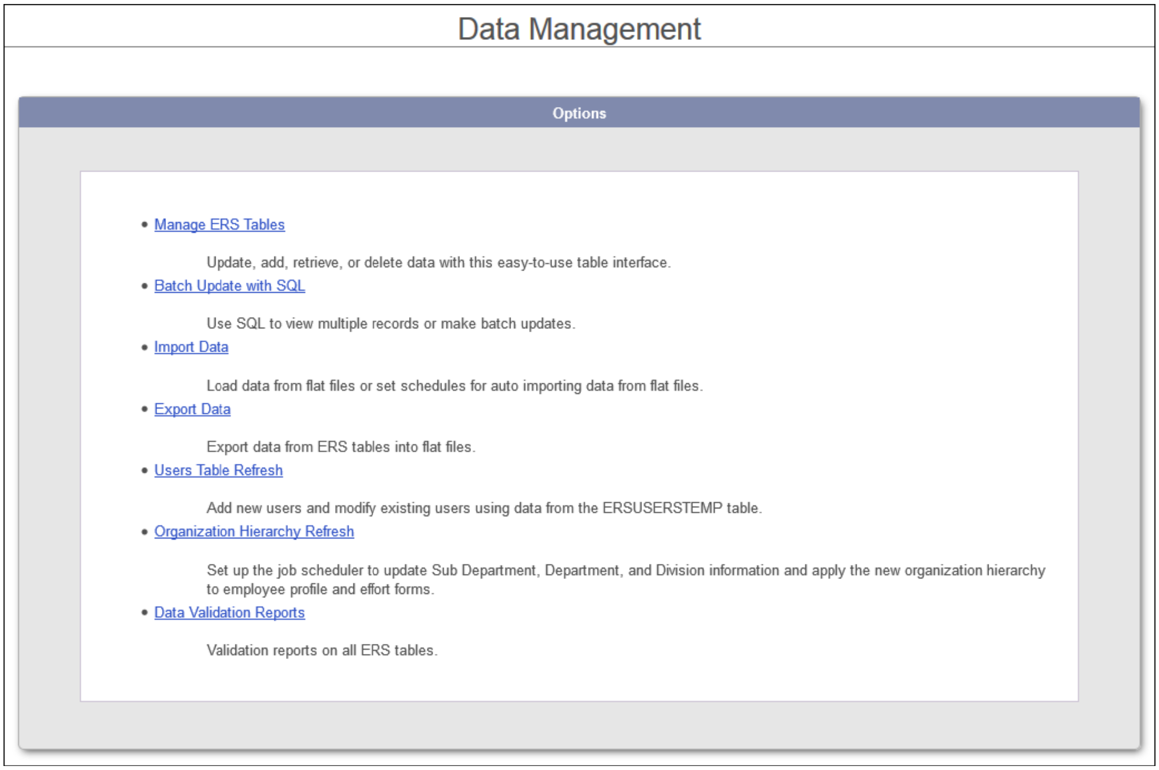
The functions available under the *System Settings* menu option allows the CA to configure the system; create standard emails, define the account and payroll drill down view; post announcements, etc.



Refer the *System Settings* chapter for details.

1.2.3.2 *Data Management*

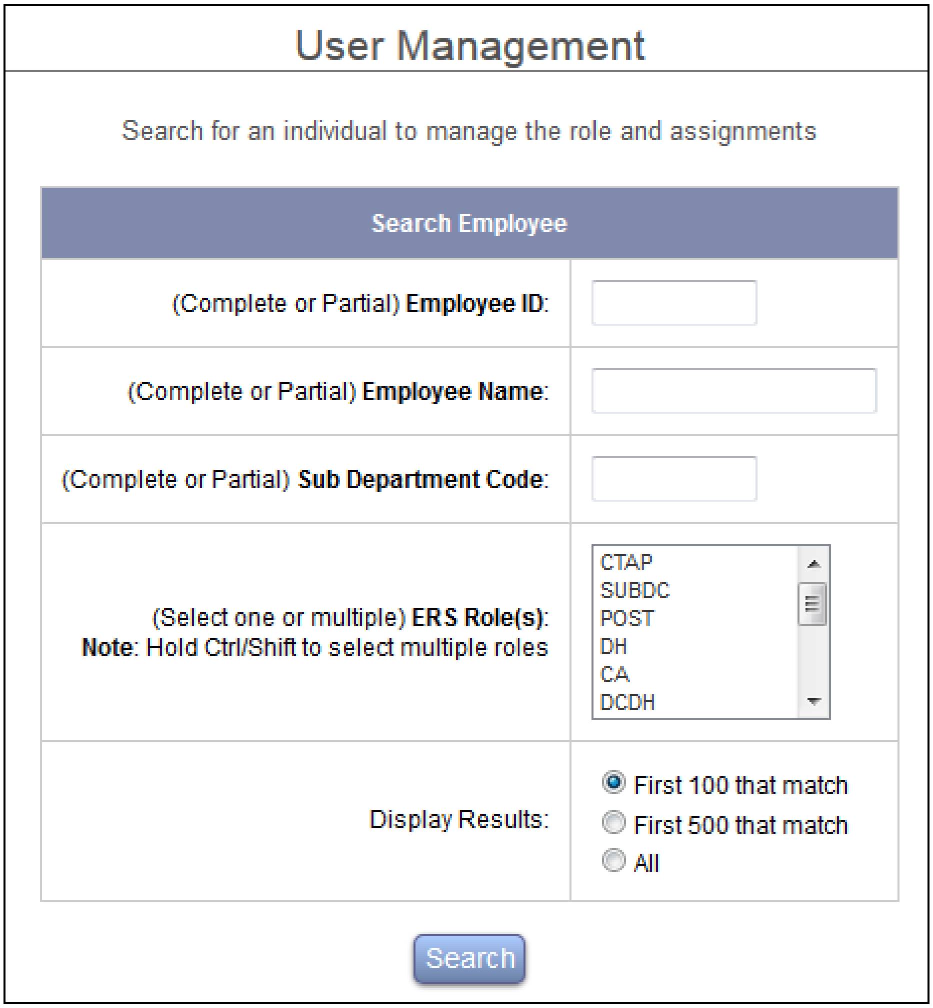
The functions available under the *Data Management* menu option allows the CA to import, export data; query, edit and manage data.



Refer chapter *Data Management* for details on each available function.

1.2.3.3 *User Management*

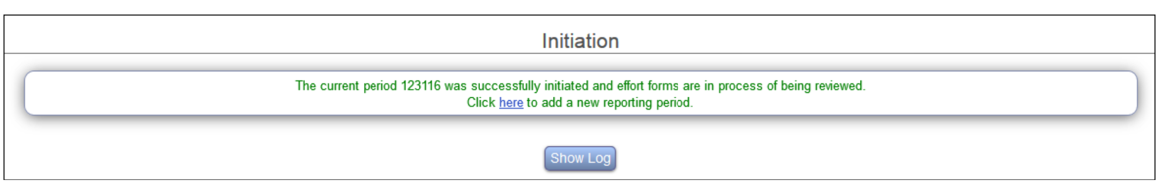
The *User Management* menu option allows the CA to manage roles, view individual profiles, manage assignments, etc.



Refer chapter *User Management* for details.

1.2.3.4 *Initiation*

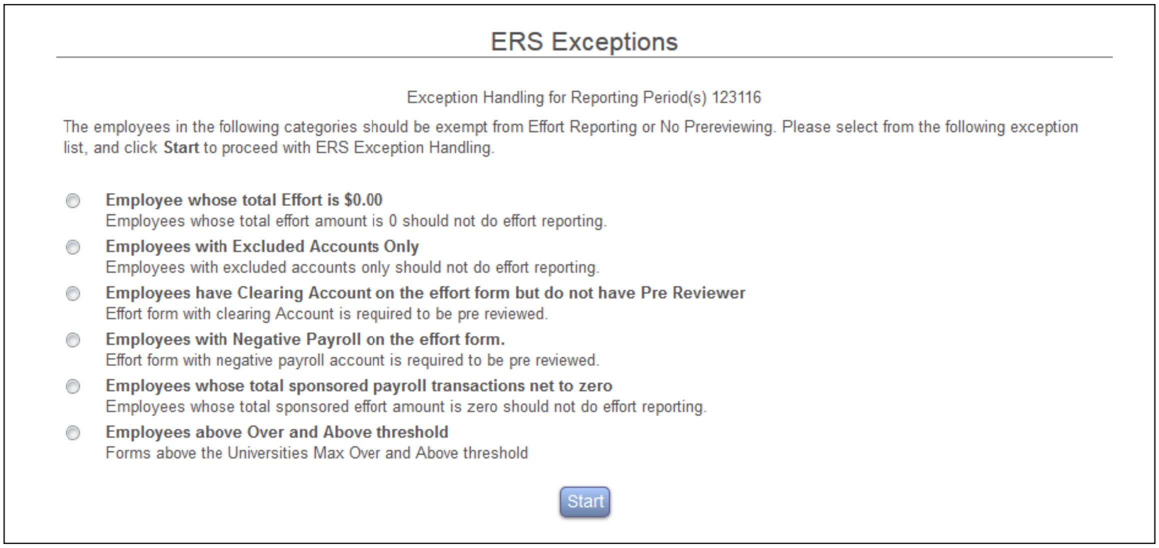
The *Initiation* menu option allows the CA to generate effort reports for a reporting period.



Refer chapter *Initiation* for details.

1.2.3.5 *Exceptions*

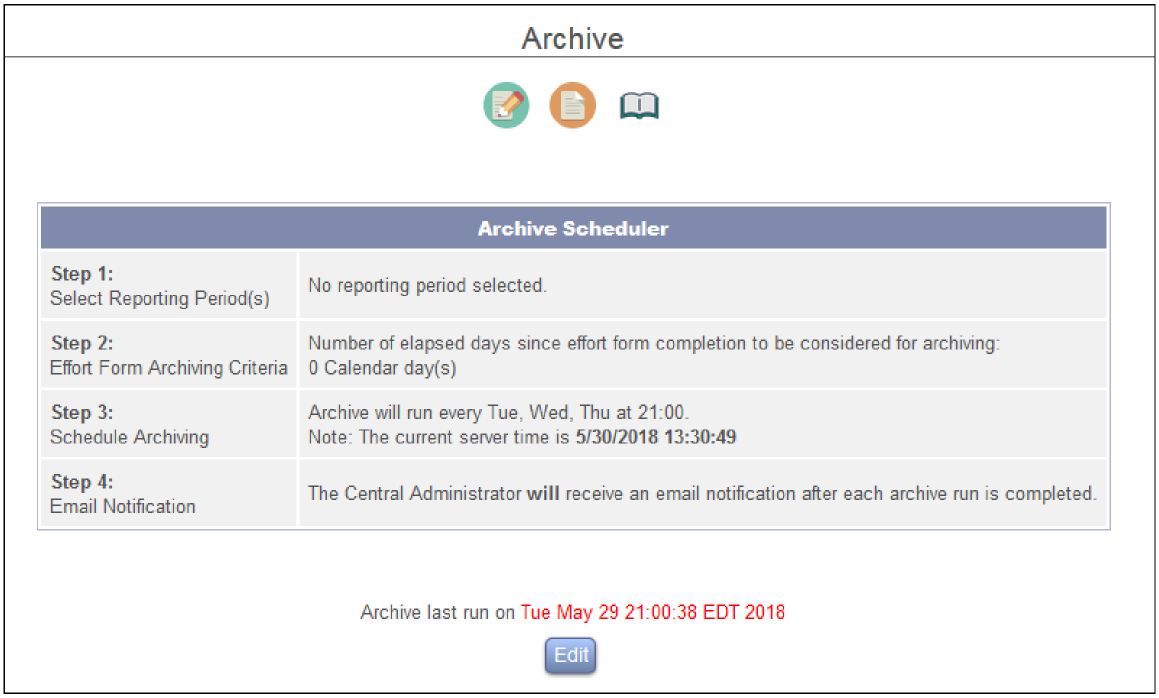
The *Exceptions* menu option allows the CA to review and address effort reports with exceptions, such as total negative payroll, total zero sponsored account, etc.



Refer chapter *Exceptions* for details.

1.2.3.6 *Archive Data*

The *Archive Data* menu option allows the CA to archive completed effort forms to prevent any subsequent changes to them.



Archive

Archive Scheduler	
Step 1: Select Reporting Period(s)	No reporting period selected.
Step 2: Effort Form Archiving Criteria	Number of elapsed days since effort form completion to be considered for archiving: 0 Calendar day(s)
Step 3: Schedule Archiving	Archive will run every Tue, Wed, Thu at 21:00. Note: The current server time is **5/30/2018 13:30:49**
Step 4: Email Notification	The Central Administrator **will** receive an email notification after each archive run is completed.

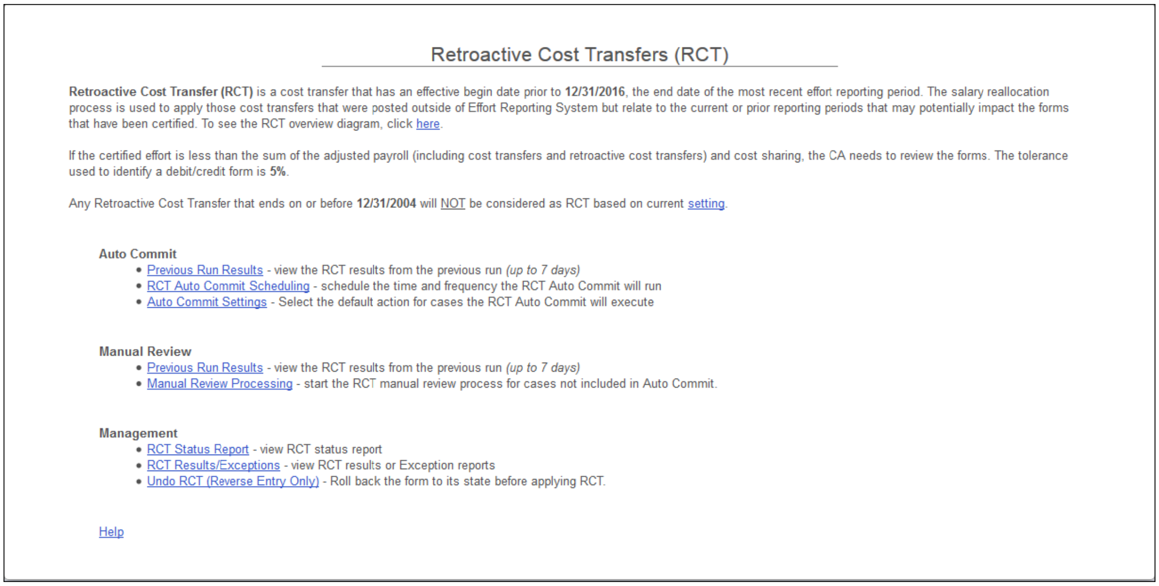
Archive last run on Tue May 29 21:00:38 EDT 2018

Edit

Refer chapter *Archive Data* for details.

1.2.3.7 *RCT (Retroactive Cost Transfers)*

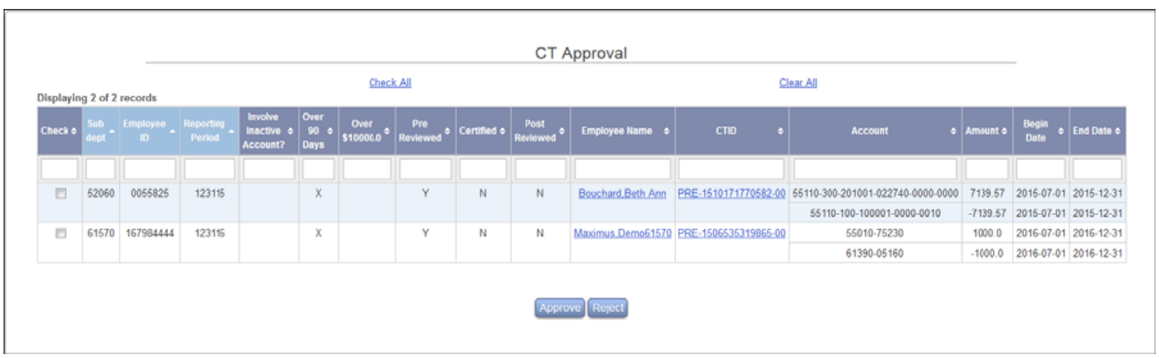
The *RCT* menu option allows the CA to apply cost transfers made outside of the Effort Reporting System to applicable effort forms that were initiated in system.



Refer chapter *RCT* for details.

1.2.3.8 *CT Approval*

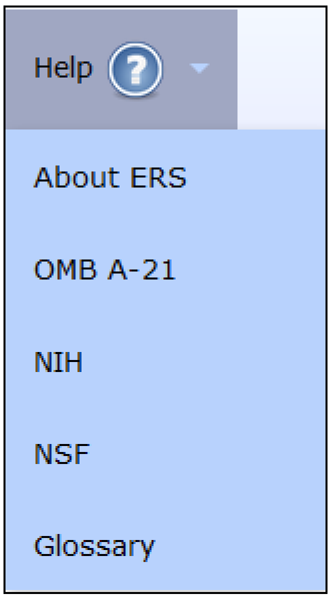
The *CT Approval* menu option allows the CA to review and approve (or reject) cost transfers initiated in ERS.



Refer chapter *CT Approval* for details.

1.2.4 Help

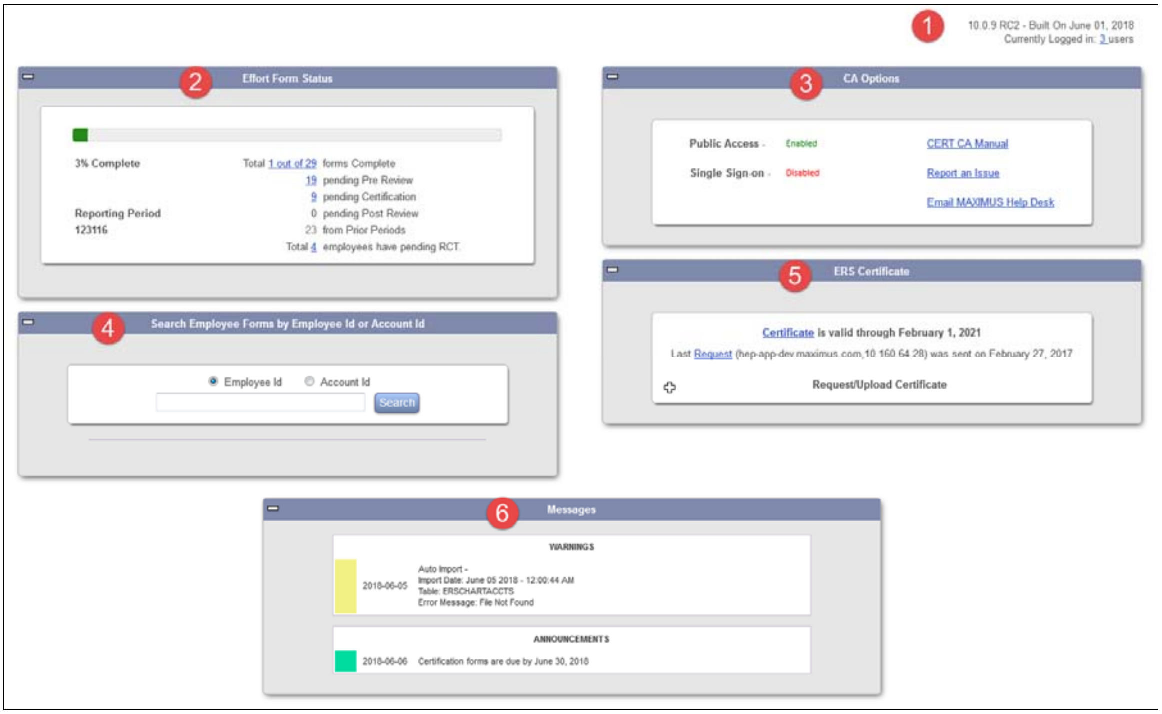
Allows the user to view the content or links configured by the Central Administrator with the exception of ***About ERS*** that contains information about the MAXIMUS Effort Reporting System and common terminology used throughout the application.



Configuration Note: The *Help* content is configurable using the interface *Admin→System Settings→Help Settings→Help Menu*.

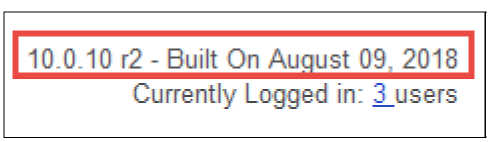
1.3 Home Page Data Elements

The home page provides the Central Administrator a snapshot of effort form status, ability to search effort forms by employee or account information, various functions etc.

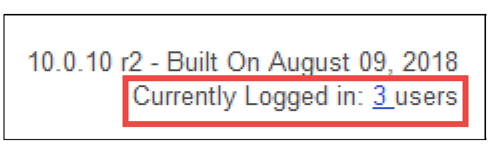


1.3.1 Version and User Information

The home page of the *Central Administrator* displays the ERS version number and a build date on the header. Please refer this version number when reporting issues to MAXIMUS.



The *Currently Logged In* link allows the CA to view a list of individuals currently logged into ERS. The number of logged in users is inclusive of the Central Administrator.



This link provides the following information about the logged in users:

- Employee Name
- Employee ID

- Email address
- Department
- Role –lists both CERT and CEM roles if CEM is configured.
- Logged In Since – displays time when the user logged in.
- Last Access – displays time when user last access the system.
- Refresh button – allows the user to update the list of current users logged in.

Current Users

Name	Employee ID	Email Address	Department	Role	Logged in Since	Last Access
Codae,Doyle	167982222	ers.maximus@gmail.com	M50	CERT: CERT; CEM: PI	08-14-2018 16:46:21	08-14-2018 16:46:21
Ed, Higher	864322222	ers.maximus@gmail.com	SKICOORD13	CERT: CA; CEM: CA	08-14-2018 16:42:37	08-14-2018 16:46:32
Miller,Cris	149432222	ers.maximus@gmail.com	M50	CERT: DC; CEM: DC	08-14-2018 16:43:22	08-14-2018 16:43:24

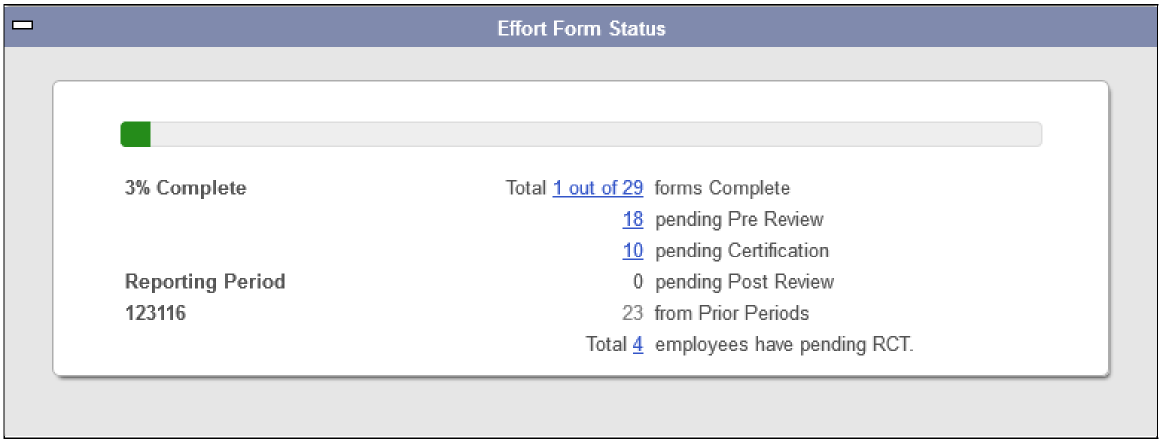
Close Window Refresh

Important Note: The current users list will be automatically updated when a new user signs in or a current user logs off the system. The list will not be updated automatically when a user closes his/her browser as opposed to simply logging off. If a user closes the browser without logging off, the system will wait for the user's session to expire before updating the list.

1.3.2 Effort Form Status

The Effort Form Status collapsible box displays information pertaining to the current reporting period effort form completion status including breakdown of number of effort forms pending Pre Review, Certification or Post Review. It also gives information on total number of effort forms pending completion from all prior reporting periods.

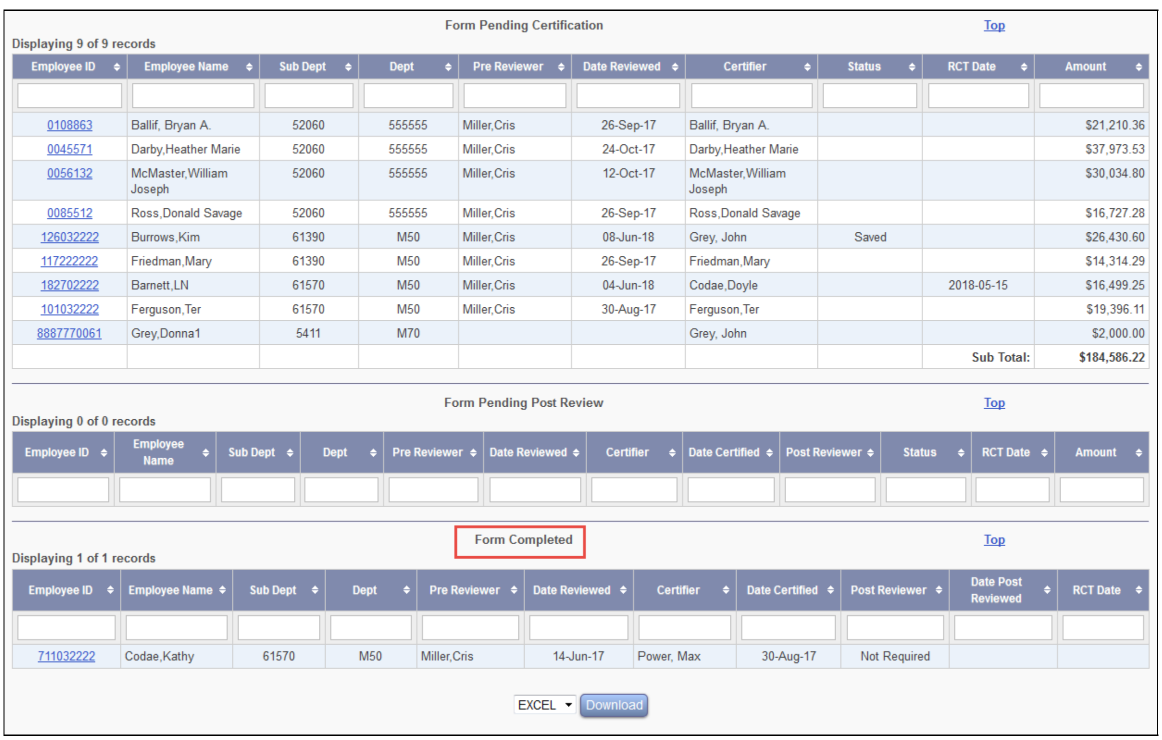
The progress bar serves as a visual aid to the overall completion of all effort forms for the current reporting period.



Clicking on any underlined numeric links directs the Central Administrator to the Comprehensive Status Report with the appropriate review section and also provides a graph chart of the completion status.

If ERS finds any unprocessed RCT transaction, it displays the number of employees pending RCT transaction with count serving as a link to the RCT module.

The following screen gives the information that the CA can expect to see when selecting the "*Total X out of Y forms completed*" link.



Form Pending Certification — Top

Displaying 9 of 9 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Status	RCT Date	Amount
0108863	Ballif, Bryan A.	52060	555555	Miller,Cris	26-Sep-17	Ballif, Bryan A.			$21,210.36
0045571	Darby,Heather Marie	52060	555555	Miller,Cris	24-Oct-17	Darby,Heather Marie			$37,973.53
0056132	McMaster,William Joseph	52060	555555	Miller,Cris	12-Oct-17	McMaster,William Joseph			$30,034.80
0085512	Ross,Donald Savage	52060	555555	Miller,Cris	26-Sep-17	Ross,Donald Savage			$16,727.28
126032222	Burrows,Kim	61390	M50	Miller,Cris	08-Jun-18	Grey, John	Saved		$26,430.60
117222222	Friedman,Mary	61390	M50	Miller,Cris	26-Sep-17	Friedman,Mary			$14,314.29
182702222	Barnett,LN	61570	M50	Miller,Cris	04-Jun-18	Codae,Doyle		2018-05-15	$16,499.25
101032222	Ferguson,Ter	61570	M50	Miller,Cris	30-Aug-17	Ferguson,Ter			$19,396.11
8887770061	Grey,Donna1	5411	M70			Grey, John			$2,000.00
								Sub Total:	**$184,586.22**

Form Pending Post Review — Top

Displaying 0 of 0 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Status	RCT Date	Amount

Form Completed — Top

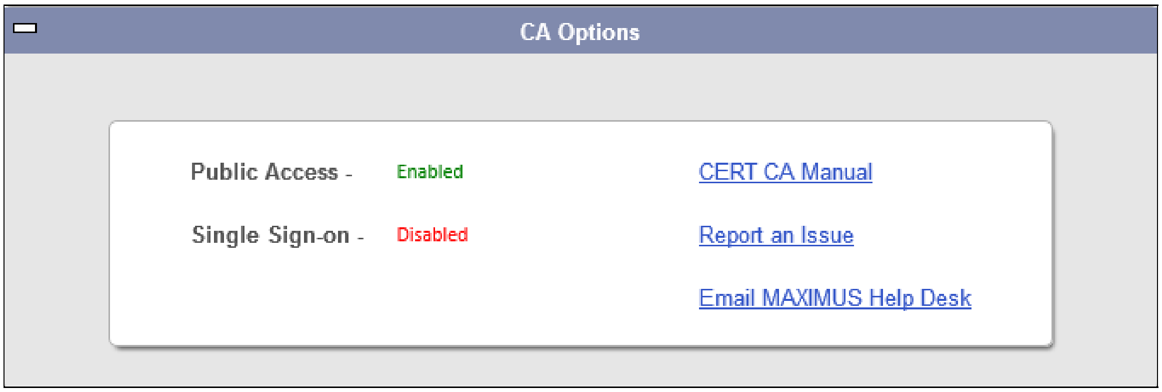
Displaying 1 of 1 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Date Post Reviewed	RCT Date
711032222	Codae,Kathy	61570	M50	Miller,Cris	14-Jun-17	Power, Max	30-Aug-17	Not Required		

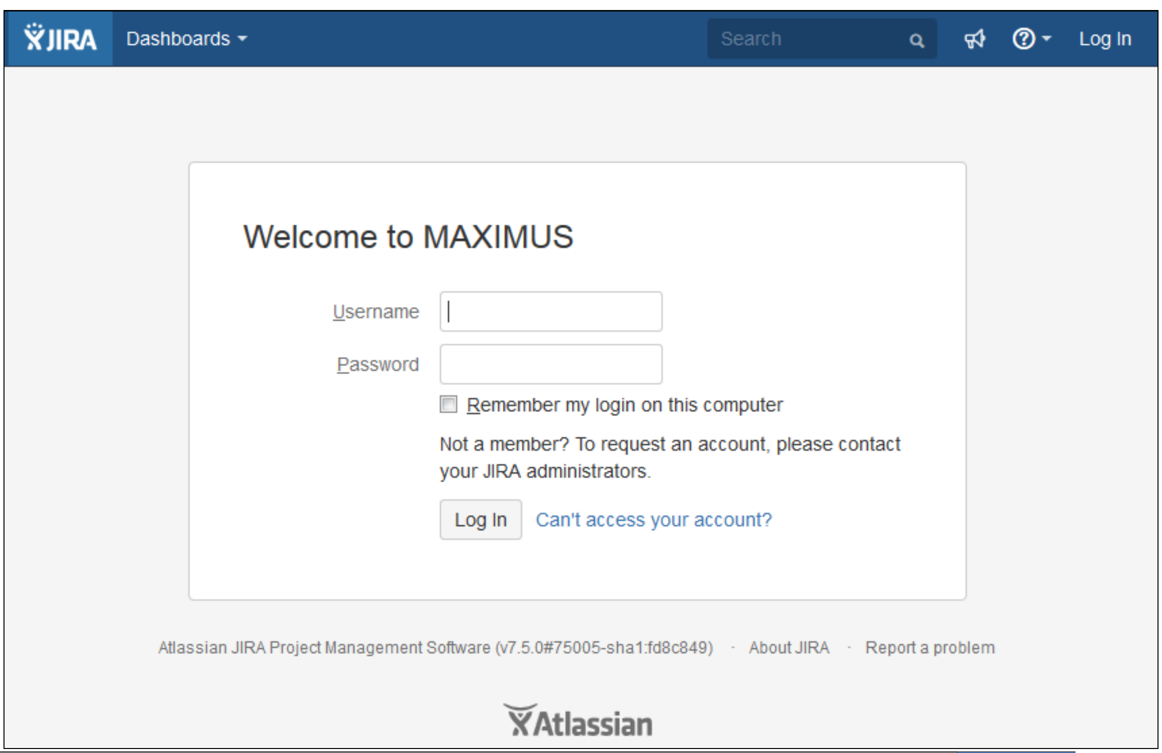
EXCEL Download

1.3.3 CA Options

This section is only available for the role of Central Administrator and provides the following information and functions:



- **Public Access –** Enabled or Disabled
- **Single Sign-on –** Enabled or Disabled
- **CERT CA Manual –** This link allows downloading the CA manual in pdf format.
- **Report an Issue –** This link directs the CA to the MAXIMUS ERS defect tracking website JIRA to report any ERS related issues.



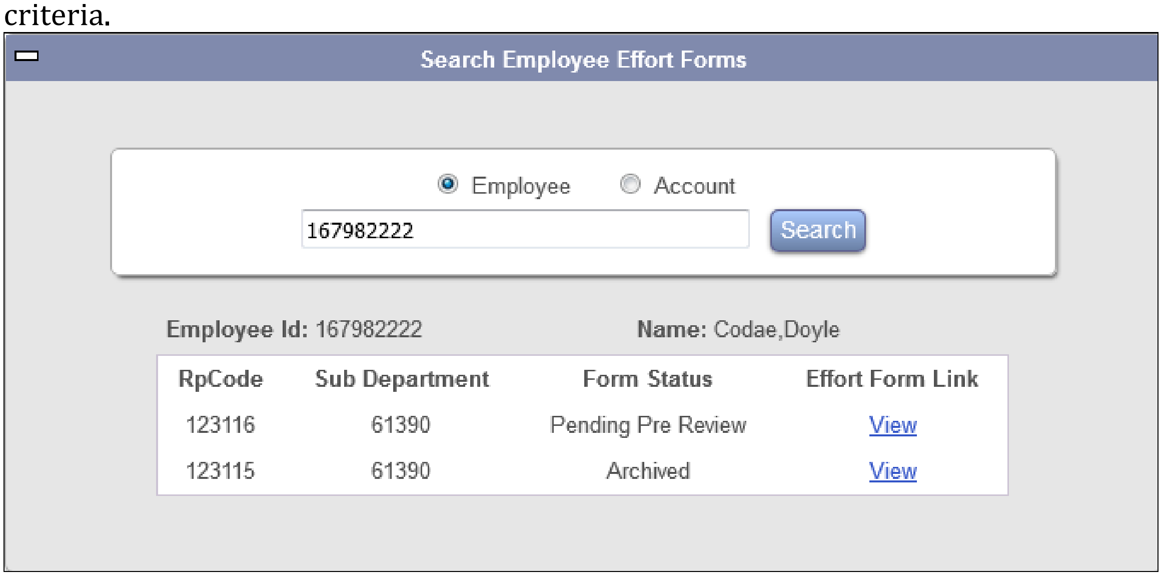
Please contact ERSHelpDesk if you need any help with the JIRA login credentials.

- **Email MAXIMUS Help Desk –** This link generates a new email in the user's email client for ershelpdesk@maximus.com.

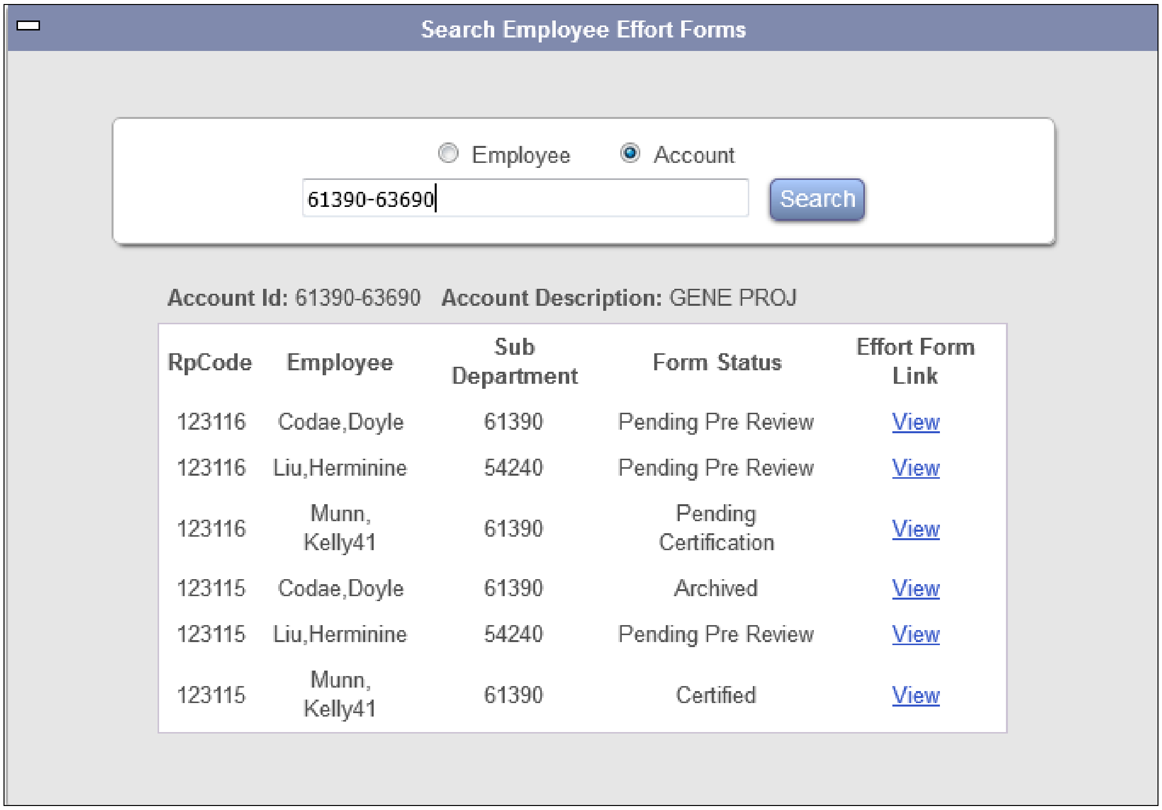
1.3.4 Search Employee Effort Forms

The Search Employee Effort Forms allows Central Administrator to search an effort form using either Employee or Account information.

- **Employee** *(default option)*
  To find the effort form of an individual across all the reporting periods in the system, enter either the Employee ID or Employee Name as the search criteria.



- **Account**
  To search for a list of all effort forms that contain a specific account across all reporting periods in the system, select the Account option, enter either the Account ID or description as the search criteria.



Search Employee Effort Forms

Employee Account

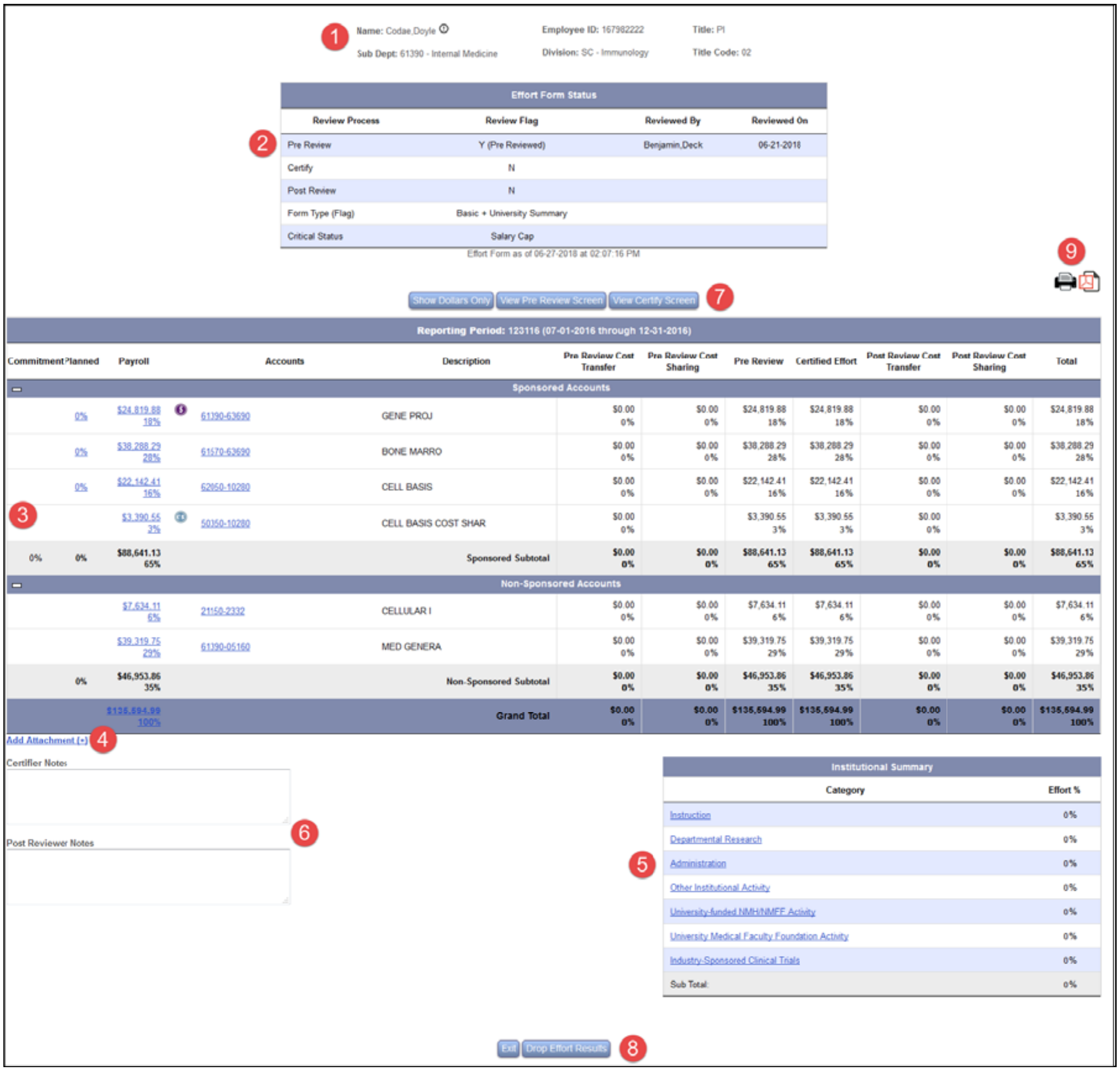
61390-63690 Search

Account Id: 61390-63690 **Account Description:** GENE PROJ

RpCode	Employee	Sub Department	Form Status	Effort Form Link
123116	Codae,Doyle	61390	Pending Pre Review	View
123116	Liu,Herminine	54240	Pending Pre Review	View
123116	Munn, Kelly41	61390	Pending Certification	View
123115	Codae,Doyle	61390	Archived	View
123115	Liu,Herminine	54240	Pending Pre Review	View
123115	Munn, Kelly41	61390	Certified	View

The search results will provide the following information:

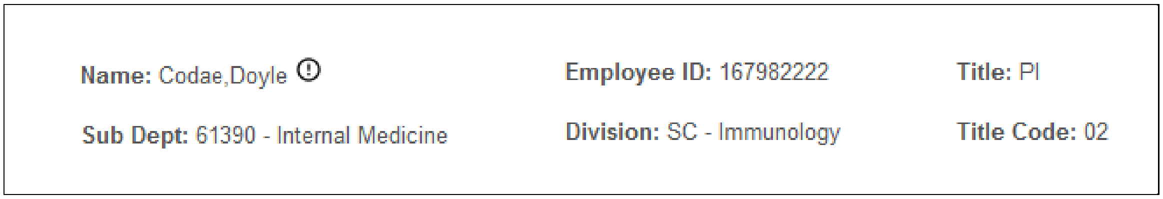
- **RpCode**
- **Employee** – displays Employee Name *(only applicable for Account Search criteria results).*
- **Sub Department**
- **Form Status –** Displays the status of the effort form. E.g. Pending Pre Review, Post Review (CT Pending), Archived etc.
- **View More –** By default the list of effort forms displayed is limited to the last 10 reporting periods. If there are more than 10 effort forms then a link *View More* is available at the bottom of the list.
- **Effort Form Link –** The View link allows the user to view the effort form for the selected reporting period. The following section describes various data elements presented on the screen to the Central Administrator after clicking the “View” link.



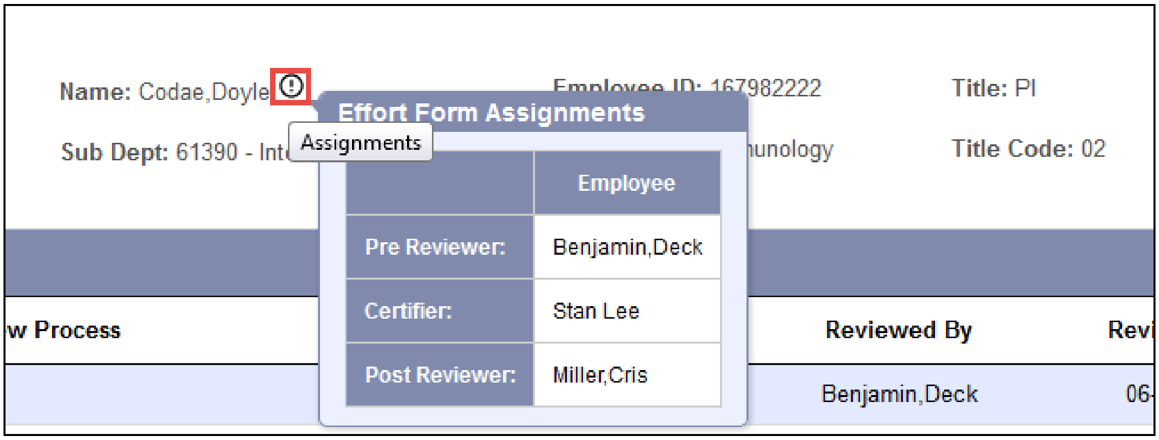
1.3.4.1 *Employee Information*

This section displays the following profile information of the individual.

- Name
- Employee ID
- Title
- Sub Dept
- Division
- Title Code



The next to the Name allows viewing the current assignment for the Individual.



1.3.4.2 *Effort Form Status*

This section includes information of the review status and reviewer with a date stamp indicating when the review was completed.

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	Y (Pre Reviewed)	Benjamin,Deck	06-21-2018
Certify	N		
Post Review	N		
Form Type (Flag)	Basic + University Summary		
Critical Status	Salary Cap		

Effort Form as of 06-27-2018 at 02:10:13 PM

Review Process column includes the following review information:

- **Pre Review**
- **Certify**
- **Post Review**

- **Form Type** (Flag) – indicates the type of the effort form i.e. generic (BAS), University Summary etc.
- **Critical Status** - displays any critical criteria that an effort form meets based on the critical list configured by the Central Administrator under *Admin→ System Settings→ Initiation Settings→ Critical List.*

Review Flag column illustrates the status of the Effort Form by Review Process.

Example - Review Flags of an effort form that has never been accessed or a form that has been dropped:

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	N		
Certify	N		
Post Review	N		
Form Type (Flag)	Basic		
Critical Status			

Example - Review flags of an effort form that has been Pre Reviewed and Certified without any changes.

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	Y (Pre Reviewed)	Miller,Cris	06-14-2017
Certify	Y (Effort Form Not Updated)	Power, Max	08-30-2017
Post Review	N		
Form Type (Flag)	Basic		
Critical Status			

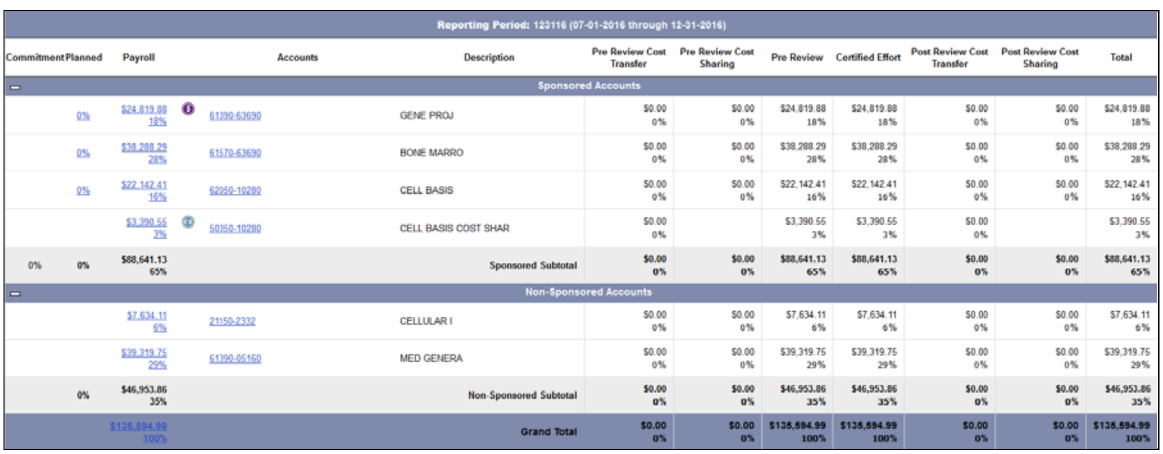
The following matrix represents all possible combinations of review flags:

S.No.	Pre Review	Certified	Post Review	Effort Form Status
1	N	N	N	Not accessed or effort form was dropped
2	N (Saved)	N	N	Effort form saved by Pre Reviewer
3	Y (Pre Reviewed)	N	N	Pre Review completed
4	N (CT Pending)	N	N	Cost Transfer initiated by Pre Reviewer
5	Y (Pending CT Approval)	N	N	Pending Cost Transfer Approval made by the Pre Reviewer
6	Y (Pending CT Approval)	N (Saved)	N	Pending Cost Transfer Approval made by the Pre Reviewer Effort Form Saved by the Certifier
7	Y (Pending CT Approval)	Y (Effort Form Not Updated)	N	Pending Cost Transfer Approval made by the Pre Reviewer Effort Form Certified with no changes.
8	Y (Pending CT Approval)	Y (Effort Form Updated)	N	Pending Cost Transfer Approval made by the Pre Reviewer Effort Form Certified with changes. Pending Post Review
9	Y (Pre Reviewed)	N (Paper Certification)	N	Pre Review Completed Pending Paper Certification by the Certifier
10	N	N (Saved)	N	Pre Review not required Certifier saved the effort form
11	N	Y (Paper Certification)	N	Complete
12	Y*	N (Saved)	N	Pending Certification
13	Y*	Y (Effort Form Not Updated)	N	Complete
14	Y*	Y (Effort Form Updated)	N	Pending Post Review
15	Y	Y (Paper Certification)	N	Complete
16	Y*	Y (Effort Form Not Updated)	N (Saved)	Complete
17	Y*	Y (Effort Form Updated)	N (Saved)	Pending Post Review
18	Y*	Y (Effort Form Not Updated)	Y	Complete
19	Y*	Y (Effort Form Updated)	Y	Complete
20	Y*	Y (Effort Form Updated)	N(CT Pending)	Cost Transfer initiated by Post Reviewer
21	Y*	Y	Y (Pending CT Approval)	Pending Cost Transfer Approval made by the Post Reviewer

* *If No Pre Reviewer or if effort form was released globally, Pre Review will display status of N.*

1.3.4.3 *Effort Form*

This section displays the effort form of the individual.



Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
	0%	$24,819.88 18%	61390-63690	GENE PROJ	$0.00 0%	$0.00 0%	$24,819.88 18%	$24,819.88 18%	$0.00 0%	$0.00 0%	$24,819.88 18%
	0%	$38,288.29 28%	61570-63690	BONE MARRO	$0.00 0%	$0.00 0%	$38,288.29 28%	$38,288.29 28%	$0.00 0%	$0.00 0%	$38,288.29 28%
	0%	$22,142.41 16%	62050-10280	CELL BASIS	$0.00 0%	$0.00 0%	$22,142.41 16%	$22,142.41 16%	$0.00 0%	$0.00 0%	$22,142.41 16%
		$3,390.55 3%	50350-10280	CELL BASIS COST SHAR	$0.00 0%		$3,390.55 3%	$3,390.55 3%	$0.00 0%		$3,390.55 3%
0%	0%	$88,641.13 65%		Sponsored Subtotal	$0.00 0%	$0.00 0%	$88,641.13 65%	$88,641.13 65%	$0.00 0%	$0.00 0%	$88,641.13 65%
Non-Sponsored Accounts											
		$7,634.11 6%	21150-2332	CELLULAR I	$0.00 0%	$0.00 0%	$7,634.11 6%	$7,634.11 6%	$0.00 0%	$0.00 0%	$7,634.11 6%
		$39,319.75 29%	61390-05160	MED GENERA	$0.00 0%	$0.00 0%	$39,319.75 29%	$39,319.75 29%	$0.00 0%	$0.00 0%	$39,319.75 29%
	0%	$46,953.86 35%		Non-Sponsored Subtotal	$0.00 0%	$0.00 0%	$46,953.86 35%	$46,953.86 35%	$0.00 0%	$0.00 0%	$46,953.86 35%
		$135,594.99 100%		Grand Total	$0.00 0%	$0.00 0%	$135,594.99 100%	$135,594.99 100%	$0.00 0%	$0.00 0%	$135,594.99 100%

The following information is available:

- **Reporting Period** – Displays the reporting period code and date range as defined by Central Administrator under *Admin→Data Management→Manage ERS Tables→ Reporting Period/ Salary Cap*.
- **Commitment** – Displays Commitment in percentage.
- **Plan** – Displays Plan in percentage (*only if ERS –CEM is used*).

- **Payroll –** Displays the payroll dollar amount and percentage for each account line. The payroll % is calculated by the system. The link for *Grand Total* provides a link to payroll drill down screen.

  Note: The Payroll amount represents the sum of EFFAMT by account from the respective ERSPAYROLLxxxxxx table.
- **Accounts –** Displays the ID of the account.
- **Description –** Displays description of the account.
- **Pre Review Cost Transfer–** Displays Cost Transfer dollar amount and percentage transacted by the Pre Reviewer.
- **Pre Review Cost Sharing –** Displays Cost Sharing dollar amount and percentage transacted by the Pre reviewer.
- **Pre Review –** Displays the adjusted (Payroll + CT + CS) dollar amount and percentage value for an account after Pre Review.
- **Certified Effort –** Displays the dollar amount and percentage value as certified by the individual.
- **Post Review Cost Transfer** - Displays the Cost Transfer dollar amount and percentage value for an account after Post Review.
- **Post Review Cost Sharing** - Displays the Cost Share dollar amount and percentage value for an account after Post Review.
- **Total** - Displays the total dollar amount and percentage after any cost transfer and cost share transacted either in Pre Review or Post Review or both.

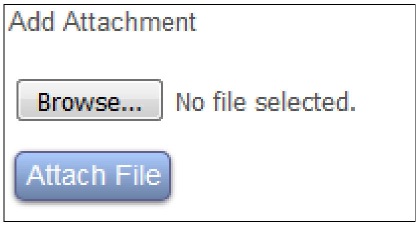
Configuration Note:
Commitment is displayed if ERS is configured to use CEM module or display Commitment information.
Plan is displayed only if ERS is configured to use CEM module.

1.3.4.4 *Add Attachment*

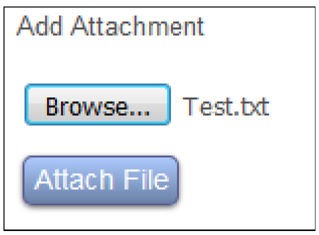
The *Add Attachment* link allows the CA to add attachment(s) to an effort form. Click on the link Add Attachment (+) to start the process of attaching a document to the effort form.

Add Attachment (+)

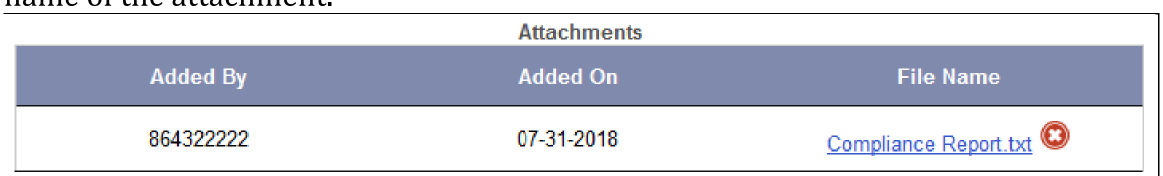
Select a file to be attached by clicking the *Browse* button.



Once the file is selected, click on the **Attach File** to complete the process of attaching a file.



Once the file upload is completed the following section will be displayed. It displays the employee ID of the user who added the file, date when the file was attached and name of the attachment.



Attachments

Added By	Added On	File Name
864322222	07-31-2018	Compliance Report.txt

The Central Administrator has the ability to remove the attachment by clicking the icon next to the File Name.

General Notes:

- There is no limit on the number of attachments.
- The size limit per attached file is 50 MB.
- The attachments are visible to the CA and AUDITCA role only. There is no indication of the existence of attachment to the Pre/ Post Reviewer or Certifier.
- If an effort form is dropped, the attachment is dropped as well. If the system is configured to archive dropped effort forms then the attachment is archived as well.

1.3.4.5 *Institutional Summary*

This lists all the defined institutionally funded categories and Effort % as recorded by the Pre Reviewer or Certifier depending on the status of the effort form.

Institutional Summary	
Category	**Effort %**
Instruction	15%
Departmental Research	21%
Administration	0%
Other Institutional Activity	0%
University-funded NMH/NMFF Activity	0%
University Medical Faculty Foundation Activity	0%
Industry-Sponsored Clinical Trials	0%
Sub Total:	36%

Conditional: The Institutional Summary is only available if the effort form is coded of type JHU i.e. value in ERSUSERS.FLAG for this user is set to JHU.

1.3.4.6 *Notes*

Displays any notes entered by the *Pre Reviewer*, *Certifier* or *Post Reviewer*.

Certifier Notes

```
Certifier updated the default Certified Effort %.
```

Post Reviewer Notes

```
Post Reviewer transacting a Cost Share.
```

Note: The Certifier Notes includes notes from Pre Reviewer if not removed by the Certifier.

1.3.4.7 *View Buttons*

The Central Administrator has the ability to view the effort form with dollar amount only or percentage only or both. The Central Administrator can also view the effort form as available to the Pre Reviewer, Certifier or Post Reviewer.

General Note on View Screens:
Two individuals (i.e. CA & Pre Reviewer, CA & Certifier, etc.) will have the ability to access the effort form at the same time. In other words, the DC can be viewing a specific screen of a form, stay logged into that form and the CA can view the same screen at the same time.

The screen will be static so the CA will not be able to view changes as they are made. The CA will need to exit the form, allow the user to make changes, after which the CA can access the form again and view the most current screen.

1.3.4.7.1 Display Effort Form in Dollar or/ and Percentage

By default, effort form displays both dollar and percentage value with an option to show only dollar amounts on the effort form.


Show Dollars Only | View Pre Review Screen | View Certify Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
	0%	$22,936.74 59%	61570-63690	BONE MARRO	$0.00 0%	$0.00 0%	$22,936.74 59%	$22,936.74 59%	$0.00 0%	$0.00 0%	$22,936.74 59%
0%	0%	$22,936.74 59%		Sponsored Subtotal	$0.00 0%	$0.00 0%	$22,936.74 59%	$22,936.74 59%	$0.00 0%	$0.00 0%	$22,936.74 59%
Non-Sponsored Accounts											
		$15,799.37 41%	61570-57650	THE AUBREY	$0.00 0%	$0.00 0%	$15,799.37 41%	$15,799.37 41%	$0.00 0%	$0.00 0%	$15,799.37 41%
	0%	$15,799.37 41%		Non-Sponsored Subtotal	$0.00 0%	$0.00 0%	$15,799.37 41%	$15,799.37 41%	$0.00 0%	$0.00 0%	$15,799.37 41%
		$38,736.11 100%		Grand Total	$0.00 0%	$0.00 0%	$38,736.11 100%	$38,736.11 100%	$0.00 0%	$0.00 0%	$38,736.11 100%

Show Dollars Only

This button displays only the dollar values on an effort form with an option to display only percentage by using the ***Show Percents Only*** button.

Show Percents Only | View Pre Review Screen | View Certify Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
	0%	$22,936.74	61570-63690	BONE MARRO	$0.00	$0.00	$22,936.74	$22,936.74	$0.00	$0.00	$22,936.74
0%	0%	$22,936.74		Sponsored Subtotal	$0.00	$0.00	$22,936.74	$22,936.74	$0.00	$0.00	$22,936.74
Non-Sponsored Accounts											
		$15,799.37	61570-57650	THE AUBREY	$0.00	$0.00	$15,799.37	$15,799.37	$0.00	$0.00	$15,799.37
	0%	$15,799.37		Non-Sponsored Subtotal	$0.00	$0.00	$15,799.37	$15,799.37	$0.00	$0.00	$15,799.37
		$38,736.11		Grand Total	$0.00	$0.00	$38,736.11	$38,736.11	$0.00	$0.00	$38,736.11

Show Percents Only

This button displays the percent value only with an option to display the effort form value in both amount and percentage by using the ***Show Both Dollars and Percents*** button.

Show Both Dollars and Percents | View Pre Review Screen | View Certify Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
	0%	59%	61570-63690	BONE MARRO	0%	0%	59%	59%	0%	0%	59%
0%	0%	59%		Sponsored Subtotal	0%	0%	59%	59%	0%	0%	59%
Non-Sponsored Accounts											
		41%	61570-57650	THE AUBREY	0%	0%	41%	41%	0%	0%	41%
	0%	41%		Non-Sponsored Subtotal	0%	0%	41%	41%	0%	0%	41%
		100%		Grand Total	0%	0%	100%	100%	0%	0%	100%

Show Both Dollars and Percents

This button brings the Central Administrator to the default view of the effort form i.e. displays both amount and percent value with an option to view the effort form in dollar mode only.

Show Dollars Only | View Pre Review Screen | View Certify Screen

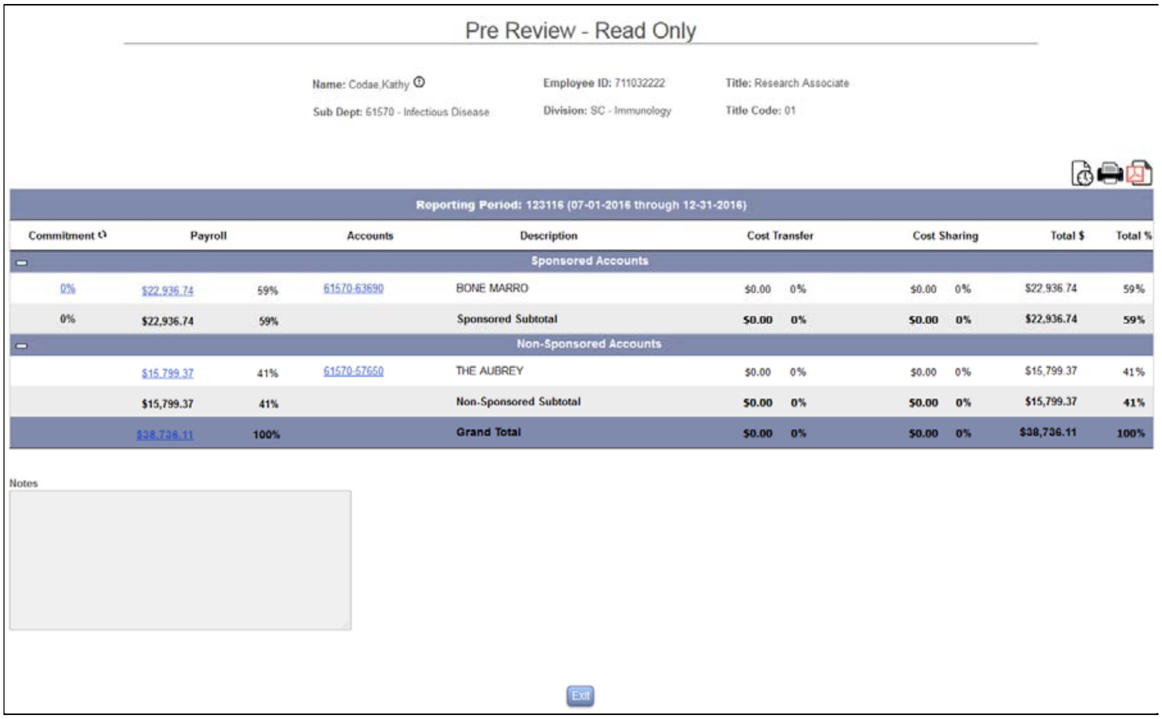
Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
	0%	$22,936.74 59%	61570-63690	BONE MARRO	$0.00 0%	$0.00 0%	$22,936.74 59%	$22,936.74 59%	$0.00 0%	$0.00 0%	$22,936.74 59%
0%	0%	$22,936.74 59%		Sponsored Subtotal	$0.00 0%	$0.00 0%	$22,936.74 59%	$22,936.74 59%	$0.00 0%	$0.00 0%	$22,936.74 59%
Non-Sponsored Accounts											
		$15,799.37 41%	61570-57650	THE AUBREY	$0.00 0%	$0.00 0%	$15,799.37 41%	$15,799.37 41%	$0.00 0%	$0.00 0%	$15,799.37 41%
	0%	$15,799.37 41%		Non-Sponsored Subtotal	$0.00 0%	$0.00 0%	$15,799.37 41%	$15,799.37 41%	$0.00 0%	$0.00 0%	$15,799.37 41%
		$38,736.11 100%		Grand Total	$0.00 0%	$0.00 0%	$38,736.11 100%	$38,736.11 100%	$0.00 0%	$0.00 0%	$38,736.11 100%

1.3.4.7.2 View Pre Review Screen

This option allows viewing the Pre Review version of the effort form.

Example effort form that has not been pre reviewed.


Pre Review - Read Only

Name: Codae,Kathy | Employee ID: 711032222 | Title: Research Associate
Sub Dept: 61570 - Infectious Disease | Division: SC - Immunology | Title Code: 01

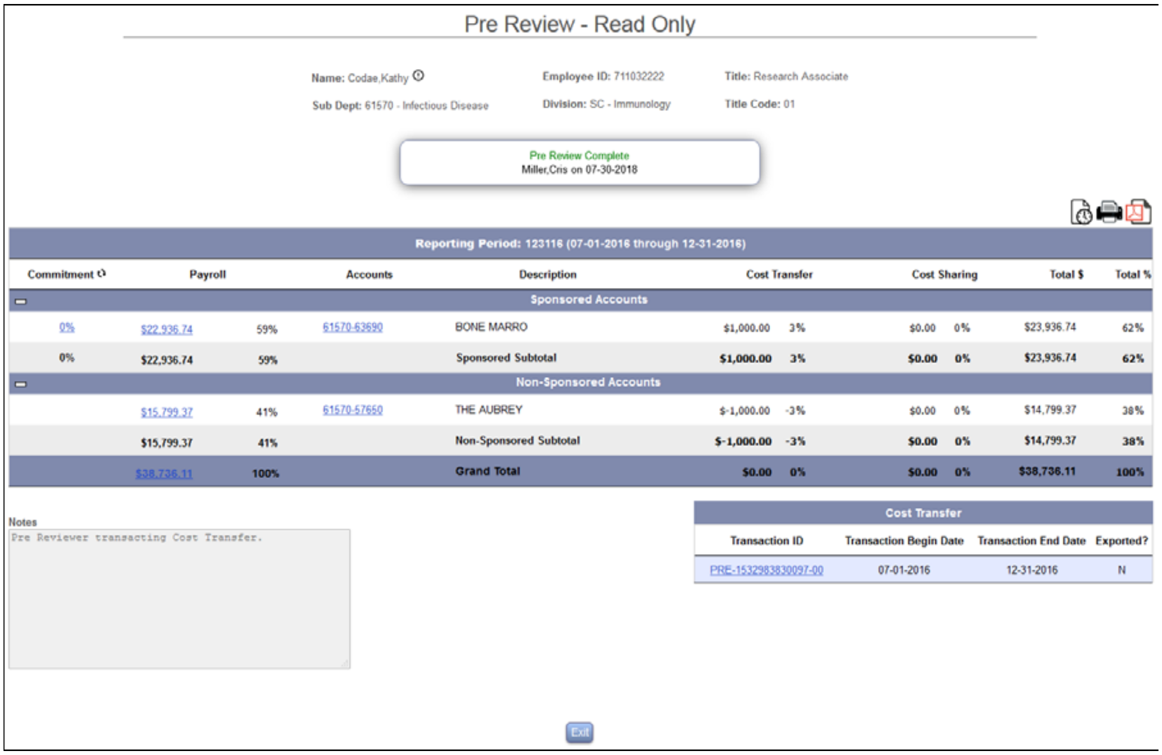
Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Payroll		Accounts	Description	Cost Transfer		Cost Sharing		Total $	Total %
Sponsored Accounts										
0%	$22,936.74	59%	61570-63690	BONE MARRO	$0.00	0%	$0.00	0%	$22,936.74	59%
0%	$22,936.74	59%		Sponsored Subtotal	$0.00	0%	$0.00	0%	$22,936.74	59%
Non-Sponsored Accounts										
	$15,799.37	41%	61570-57650	THE AUBREY	$0.00	0%	$0.00	0%	$15,799.37	41%
	$15,799.37	41%		Non-Sponsored Subtotal	$0.00	0%	$0.00	0%	$15,799.37	41%
	$38,736.11	100%		Grand Total	$0.00	0%	$0.00	0%	$38,736.11	100%

Notes

Exit

Example effort form that has been pre reviewed.



The *View Pre Review screen* of a pre reviewed effort form provides the following information:

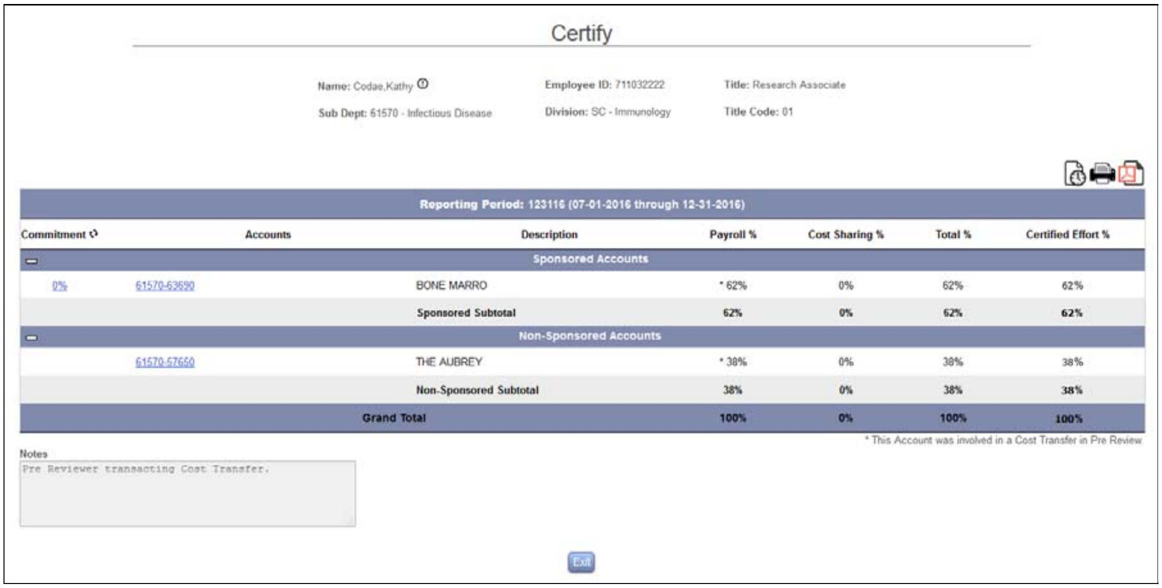
- Pre Reviewer's name and date when pre review was completed
- Any Cost Transfer or Cost Sharing transacted in pre review
- Notes entered by the Pre Reviewer
- Link to the Cost Transfer summary, if transacted.
- Option to *View Previously Certified Effort Statements* using button
- Option to print to the Printer or generate a pdf of the pre reviewed effort form.

1.3.4.7.3 View Certify Screen

This option allows viewing the Certifier version of the effort form.

Note: This option is available only when the effort form has been pre reviewed or the effort form does not require any Pre Review.

Example of an effort form pending certification.



Certify

Name: Codae,Kathy | Employee ID: 711032222 | Title: Research Associate
Sub Dept: 61570 - Infectious Disease | Division: SC - Immunology | Title Code: 01

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts						
0%	61570-63690	BONE MARRO	* 62%	0%	62%	62%
		Sponsored Subtotal	62%	0%	62%	62%
Non-Sponsored Accounts						
	61570-57650	THE AUBREY	* 38%	0%	38%	38%
		Non-Sponsored Subtotal	38%	0%	38%	38%
	Grand Total		100%	0%	100%	100%

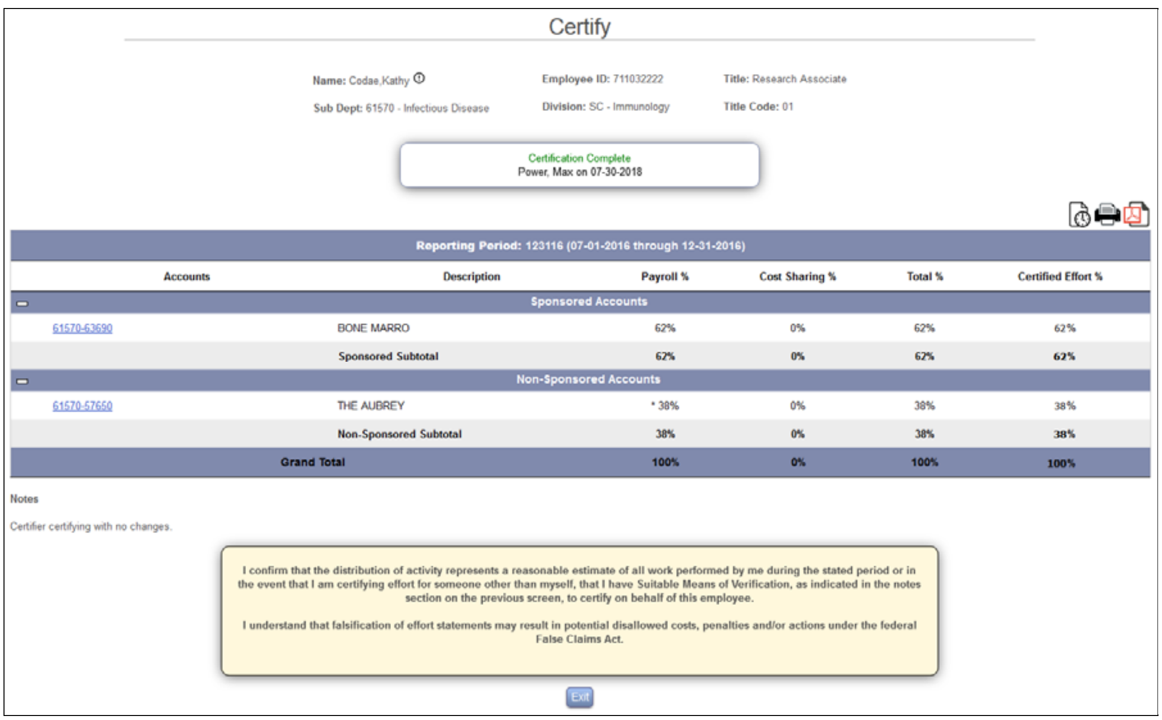
* This Account was involved in a Cost Transfer in Pre Review

Notes

Pre Reviewer transacting Cost Transfer.

Exit

Example of a certified effort form.



Certify

Name: Codae,Kathy | Employee ID: 711032222 | Title: Research Associate
Sub Dept: 61570 - Infectious Disease | Division: SC - Immunology | Title Code: 01

Certification Complete
Power, Max on 07-30-2018

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts					
61570-63690	BONE MARRO	62%	0%	62%	62%
	Sponsored Subtotal	62%	0%	62%	62%
Non-Sponsored Accounts					
61570-57650	THE AUBREY	* 38%	0%	38%	38%
	Non-Sponsored Subtotal	38%	0%	38%	38%
Grand Total		100%	0%	100%	100%

Notes

Certifier certifying with no changes.

I confirm that the distribution of activity represents a reasonable estimate of all work performed by me during the stated period or in the event that I am certifying effort for someone other than myself, that I have Suitable Means of Verification, as indicated in the notes section on the previous screen, to certify on behalf of this employee.

I understand that falsification of effort statements may result in potential disallowed costs, penalties and/or actions under the federal False Claims Act.

Exit

The *View Certify screen* of a certified effort form provides following information:

- Certifier's name and date when certification was completed
- Any Cost Sharing transacted in Certification
- Certification statement
- Option to *View Previously Certified Effort Statements* using button.

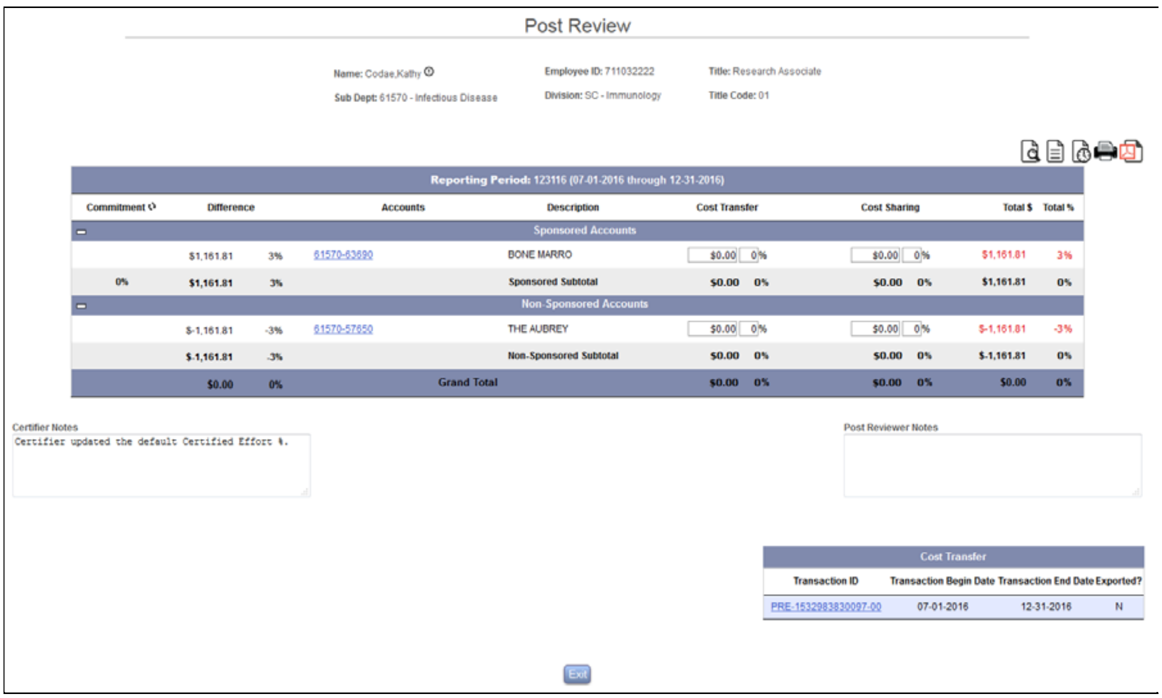
- Option to print to the Printer or generate a pdf of the certified effort form.

1.3.4.7.4 View Post Review Screen

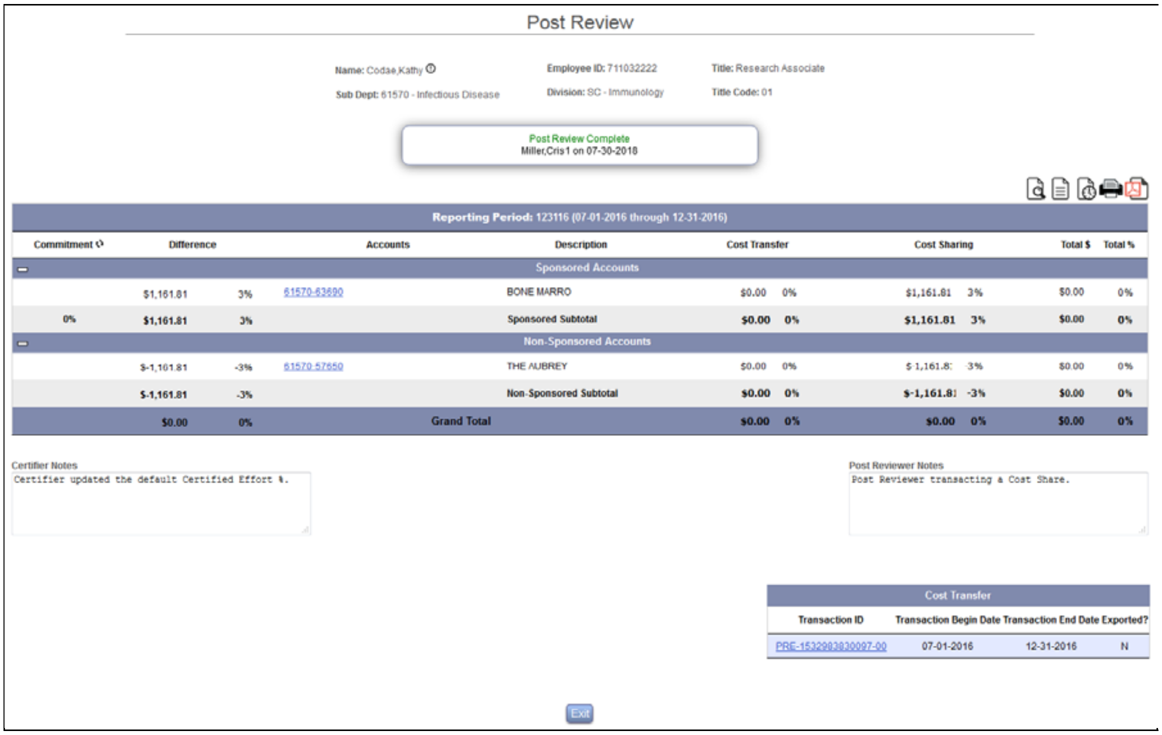
This option allows the Central Administrator to view the effort form as the Post Reviewer will view it in its current stage.

Note: This option is available only when the effort form is certified with updates by the Certifier.

Example of an effort form that has not been post reviewed.



Example of an effort form that has been post reviewed.



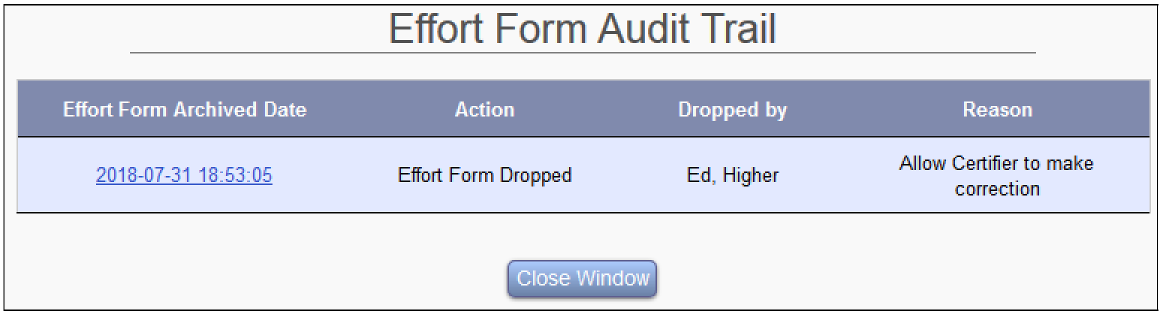
The *View Post Review screen* of a post reviewed effort form provides following information:

- Post Reviewer's name and date when post review was completed
- Any Cost Transfer or Cost Sharing transacted in post review
- Link to the Cost Transfer summary, if transacted.
- Option to *View Previously Certified Effort Statements* using button
- Option to *View Certification Details* using button
- Option to *View Pre Review Details* using button
- Option to print the Post Reviewed effort form to the Printer or generate a pdf

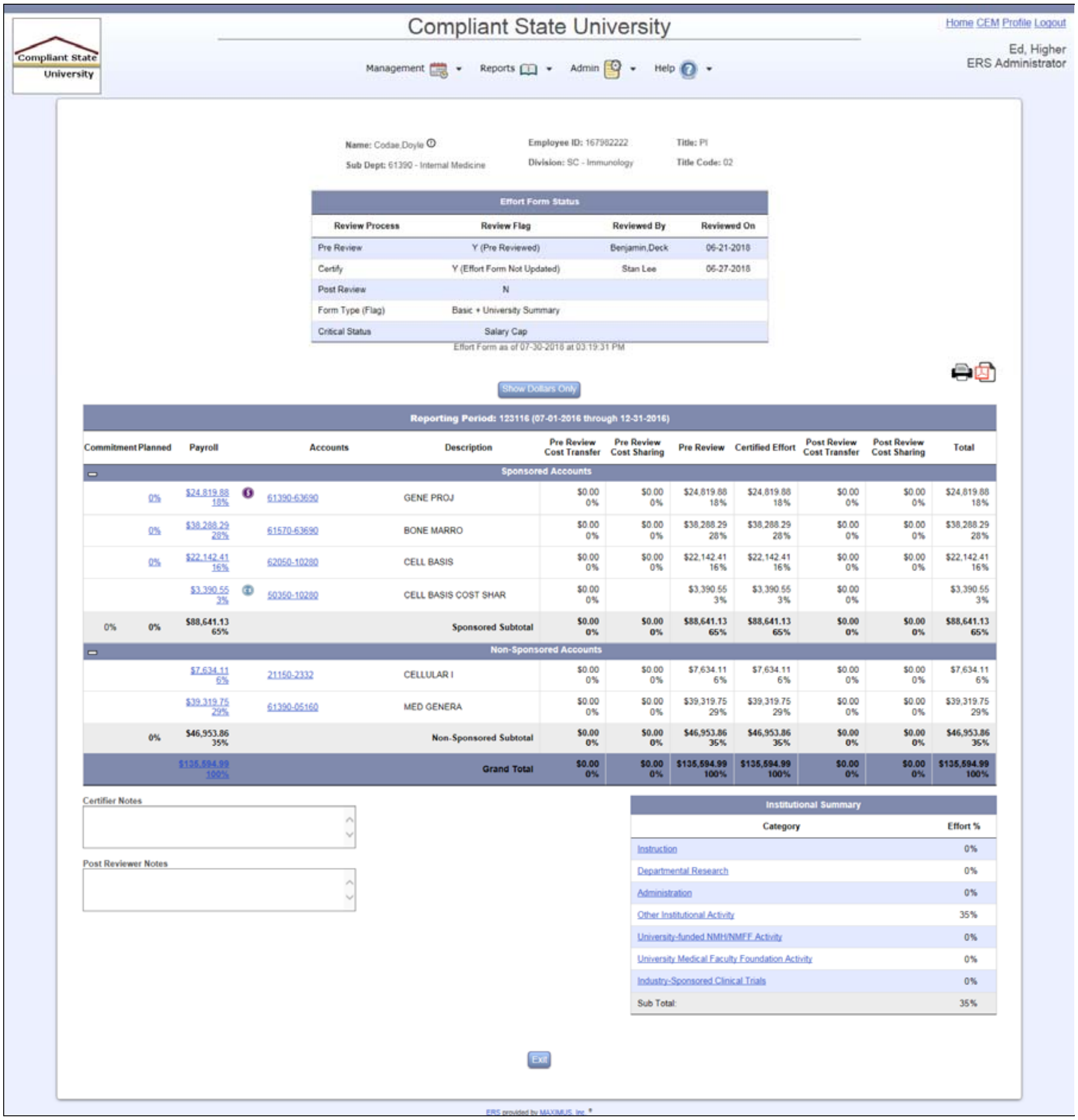
1.3.4.7.5 Audit History

This option allows the Central Administrator to view the dropped effort form or the effort form whose post review changes were dropped.

Note: This button is available only if the effort form was archived either when dropping the effort results or dropping the post review status. The dropped effort form and post review status are archived only if it is configured for archival using the configuration available under – *Admin → System Settings → Quick Settings → Archive Dropped Effort*

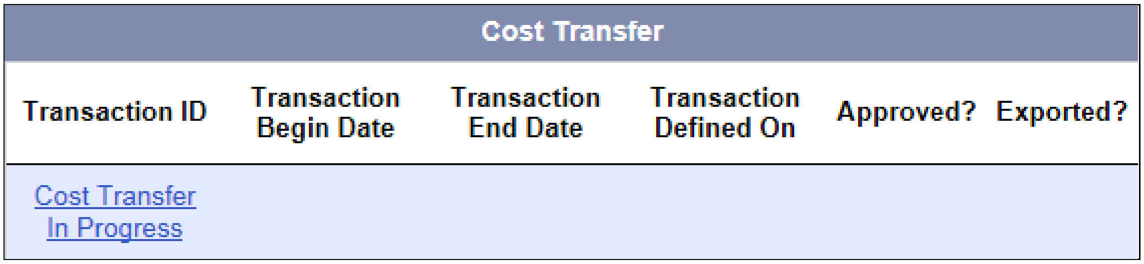


The *Effort Form Archived Date* link allows the Central Administrator to view the dropped effort form.

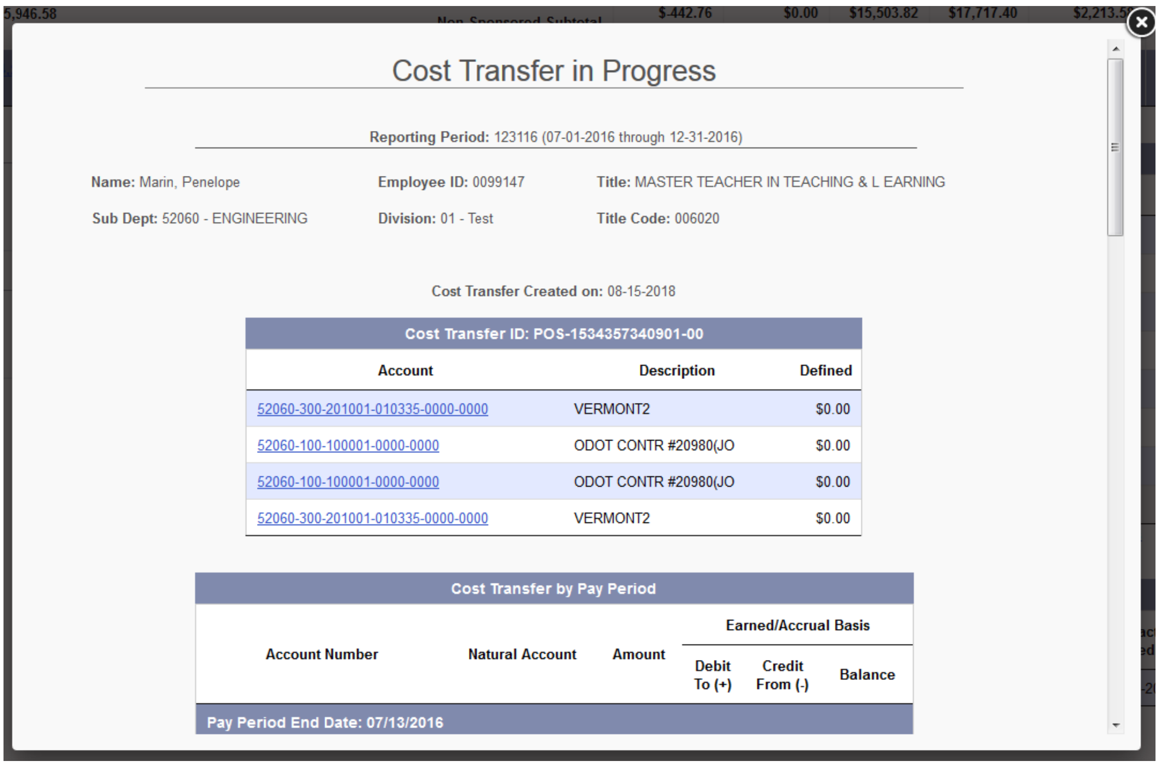


1.3.4.7.6 View Cost Transfer in Progress

If an effort form has saved/unfinished cost transfer, CA can view details via the *Cost Transfer in Progress* link available under the Cost Transfer section:



By clicking this link the CA is directed to the Cost Transfer details page.



1.3.4.8 *Action Buttons*

The Central Administrator has the ability to manage the effort form using various *buttons* which is available depending on the status of the effort form.

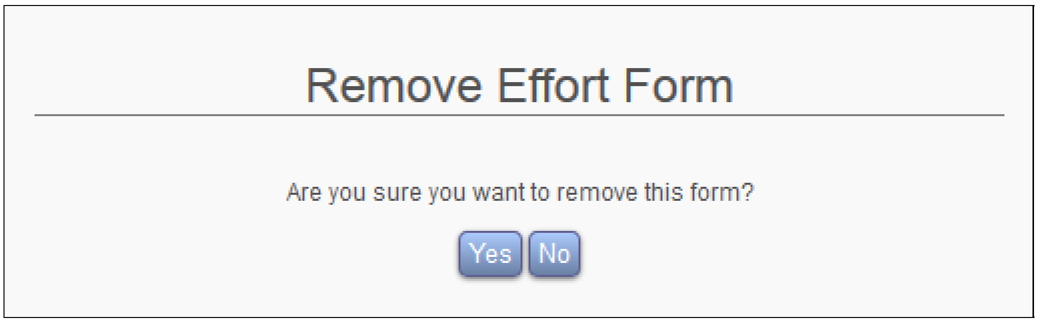
1.3.4.8.1 Exit

This option takes the Central Administrator to the Home page.

1.3.4.8.2 Remove Effort Form

This option allows the Central Administrator to remove an *unaccessed* effort form of an employee for the specific reporting period. This option should only be used in rare circumstances.

When selecting the *Remove Effort From* option the system requires the following confirmation.



Select **Yes** to remove the effort form and return to Home page.

The selection of **No** does not remove the effort form.

Note: To remove an effort form that has been accessed, drop the effort form first and the option to remove effort form will be available.

1.3.4.8.3 Drop Post Review Status

The **Drop Post Review Status** option removes any modifications made to the effort form by the Post Reviewer and resets the effort form back to the status after certification.

Note: This option is available only when the effort form has been either saved by the Post Reviewer or successfully Post Reviewed.

On clicking the *Drop Post Review* Status link the system presents the following confirmation screen.

The selection of button **OK** removes any changes completed in post review and brings the user to the Home page.

The following modifications made on the effort form are undone using this option:

- *Cost Sharing* done in post review stage.
- *Cost Transfer* transacted in post review stage.

  Note: The system generates a reversal of the cost transfers behind the scenes **only** if it was exported.

The selection of **No** does not drop the Post Review status of the effort form.

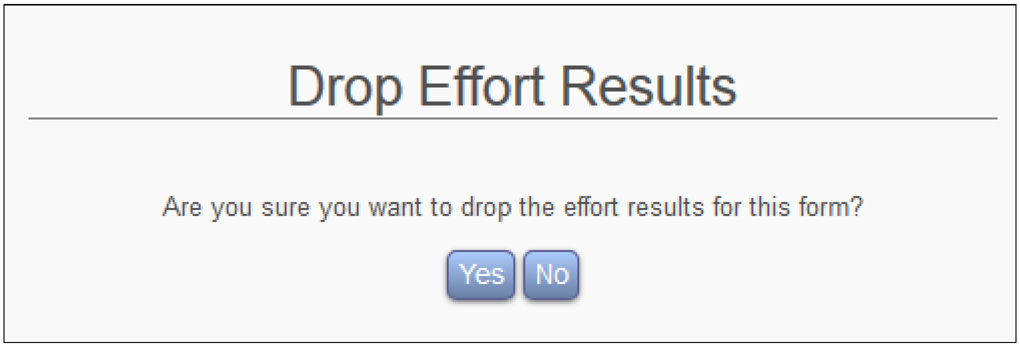
Note: The process flow differs if the system is configured to maintain an audit trail on dropping the status of the effort form. This configuration is available under -
Admin → System Settings → Quick Settings → Archive Dropped Effort
For details refer chapter ***Archive Data***, see section *Archiving Effort Forms dropped by the Central Administrator.*

1.3.4.8.4 Drop Effort Results

The **Drop Effort Results** option removes any updates performed on the effort form and resets it to its original state.

Note: This option is available only when the effort form is accessed.

On clicking the *Drop Effort Results* link the system presents the following confirmation screen.



Clicking **Yes** will remove any changes made to the effort form and will take the user to the Home page.

The selection of **No** does not change the state of the effort form.

The following modifications made on the effort form are undone using this option:

- *Cost Sharing* done in pre review, certify or post review phase
- *Cost Transfer* transacted in pre review or post review phase

  Note: The system generates a reversal of the cost transfers behind the scenes **only** if it was exported.
- New Account added by Pre Reviewer or Certifier

This option does **not** remove any retroactive payroll transactions that were applied to the effort form using the RCT process in ERS.

Note: The process flow will be different if the system is configured to maintain an audit trail on dropping the status of the effort form. This configuration is available under -
Admin → System Settings → Quick Settings → Archive Dropped Effort
For details refer chapter ***Archive Data***, see section *Archiving Effort Forms dropped by the Central Administrator.*

1.3.4.8.5 Unarchive Effort Results

This option allows the Central Administrator to unarchive the effort form that was archived using the *Archive* process.

The selection of Yes unarchives the effort form and brings the Central Administrator to the Home page.

Once the effort form has been unarchived, it will be accessible for modification by Reviewers.

The selection of **No** does not change the state of the effort form.

1.3.4.8.6 Release to Certification

The **Release to Certification** allows the Central Administrator to release the effort form to the Certifier.

Note: This option is available only when the effort form has been classified as having criteria meeting the critical list and is not pre reviewed and the non-critical effort forms were released globally.

The selection of this option bypasses the pre review process and sends an email to the Certifier that it is time to certify their form.

1.3.4.8.7 Print Buttons

The Print buttons are available next to the View buttons.

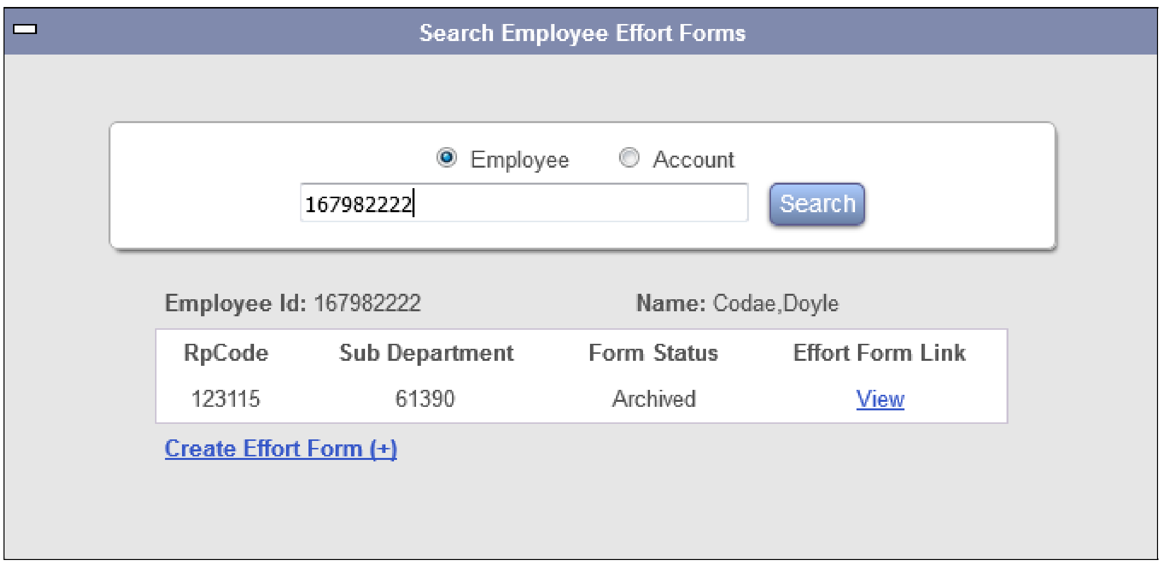
- Print 
  This option allows the Central Administrator to send an effort form to the selected Printer for printing.

- Print to PDF 
  This option allows the Central Administrator to generate a pdf of the effort form.

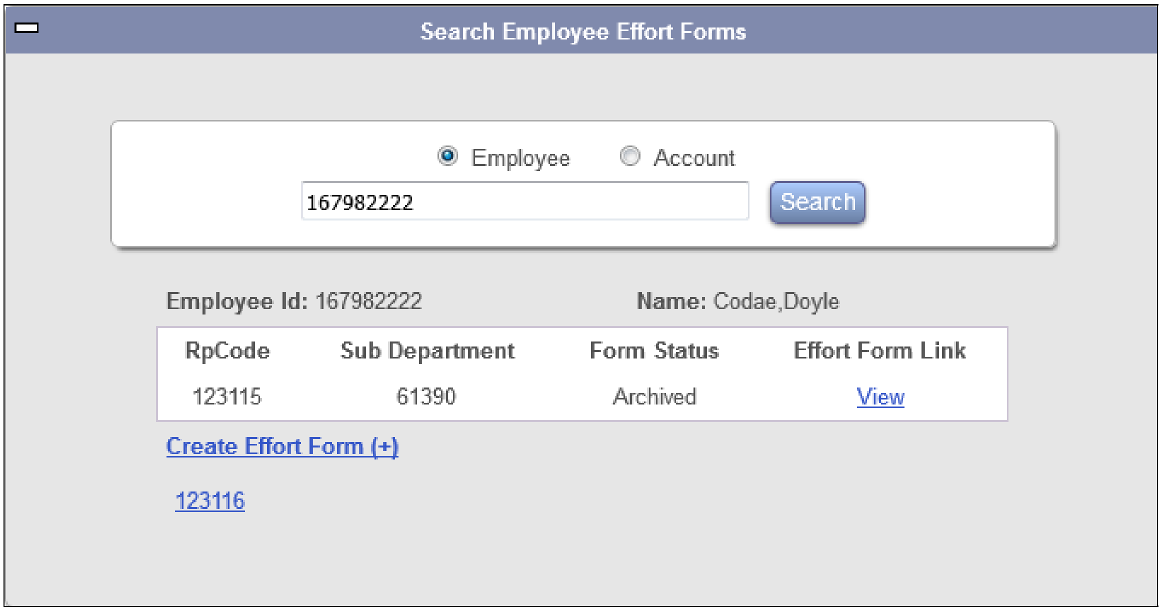
1.3.5 Create Effort Form

The *Search Employee Effort Forms* interface also allows the CA to create an effort form for an individual for a specific reporting period that was not generated at the time the reporting period was initiated using the *Initiation* process.

If the user has no effort form in the system but has payroll in any of the initiated reporting period(s), system will allow the CA to create an effort form by providing a link *Create Effort Form (+)*



Upon clicking the link *Create Effort Form (+)* it will list all the reporting periods for which it found payroll records associated with the selected employee in the respective payroll table.

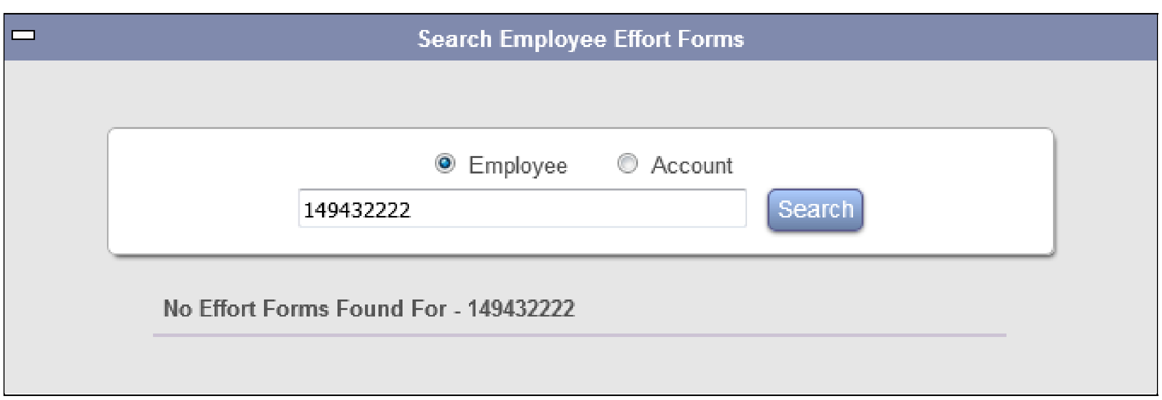


Select the applicable reporting period to generate the effort form, on clicking the link the system:

- generates an effort report for the selected reporting period;
- sends an email notification to the Pre Reviewer or the Certifier that requires no pre review;

Configuration Note: The email generated is configurable and is available under *Admin→System Settings→Email Settings → ERS Auto Email → Type = NEW_EFFORT*

The payroll records must exist in the reporting period payroll table in order to generate a new Effort Form; otherwise the following message is presented to the Central Administrator:



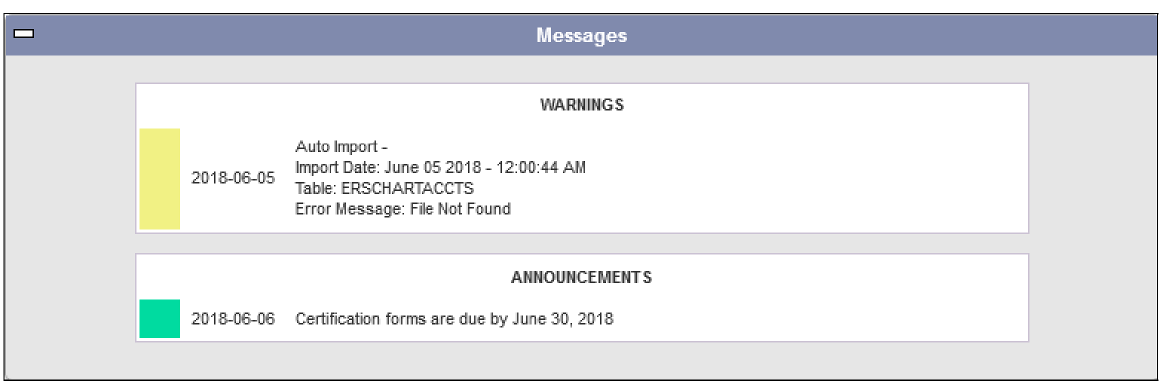
1.3.6 ERS Certificate

The ERS Certificate verifies the authenticity of the application. The certificate must be renewed every year corresponding to the institution's annual maintenance renewals.

Click on to Request/ Upload Certificate. To renew, enter the server's name if it is not already populated for you. Click Request Certificate and MAXIMUS will reply through email with a new certificate. Copy & Paste the certificate in the email into the text box below and Upload Certificate.

1.3.7 Messages

Warnings, Error messages and Announcements are displayed in *Messages* collapsible box.



Any errors encountered by auto scheduled functions in ERS like, Auto Import and Archiving is brought to the Central Administrator's attention as an announcement on the CA home page.

After completion of each successful auto scheduled task in ERS, an announcement is posted on the home page for the Central Administrator.

Configuration Note: The Announcements box is also presented to the end users for any manually entered messages created by the Central Administrator using the *Admin → System Settings → Help Settings → Announcements* interface.

Chapter 2

System Settings

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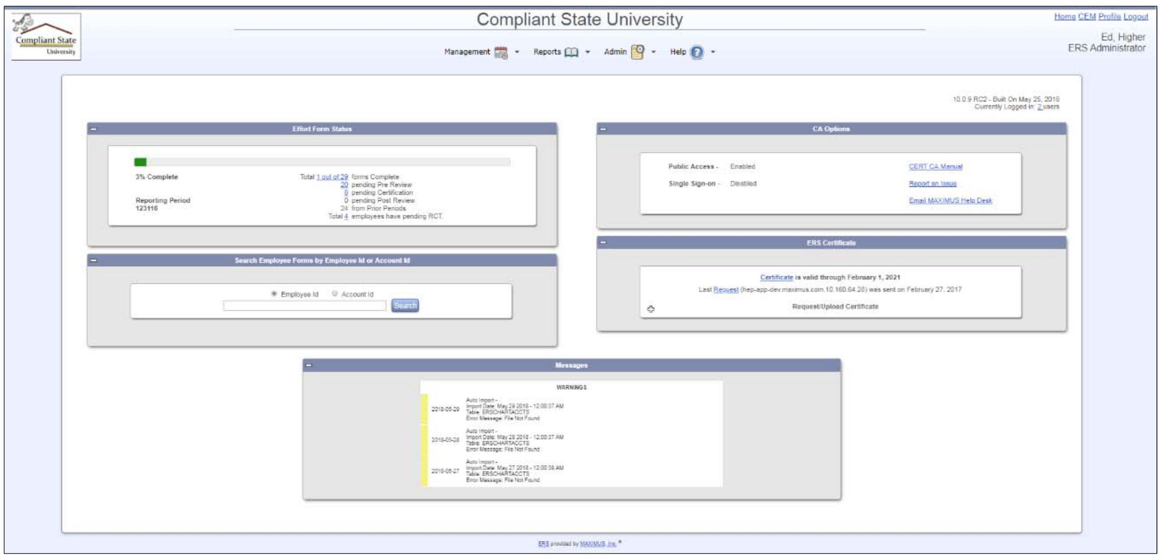
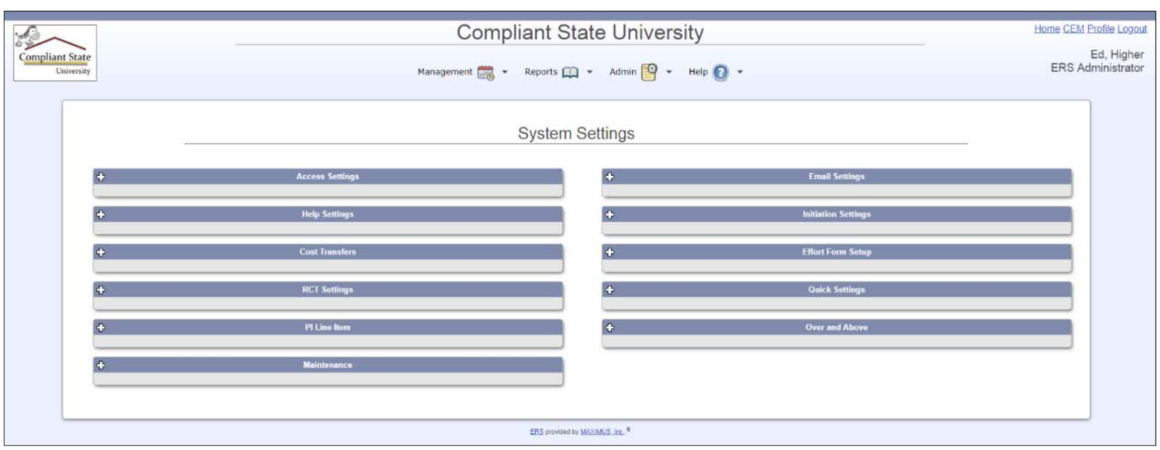
2 System Settings

The ***System Settings*** menu option allows the Central Administrator (CA) to access or modify system wide parameters available in ERS-CERT.

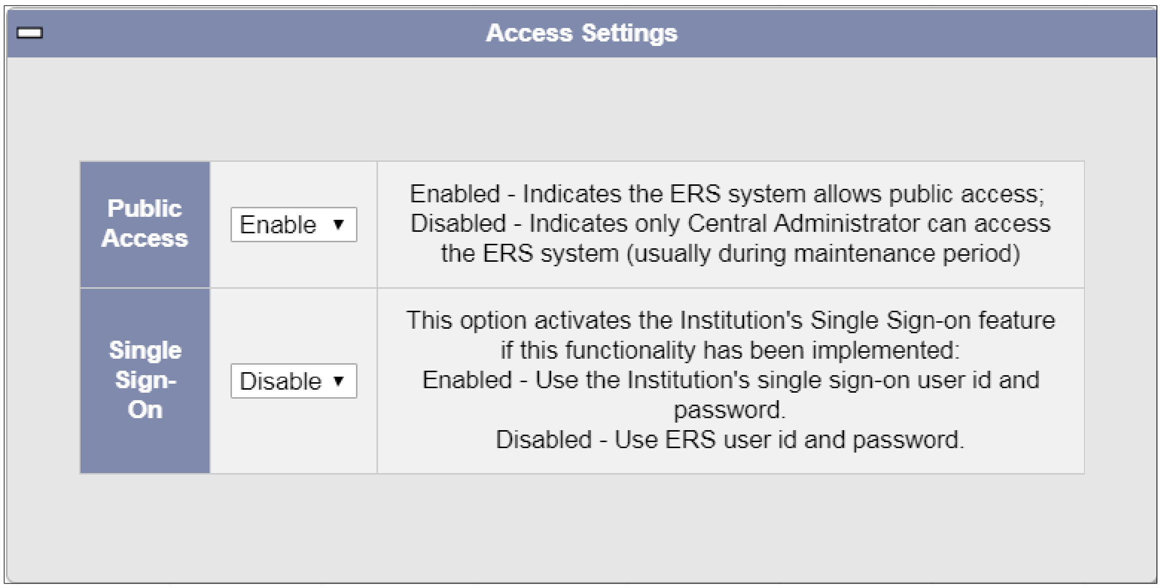


Eleven different options with respective descriptions are available. The user can access specific system functionalities by expanding the desired section.



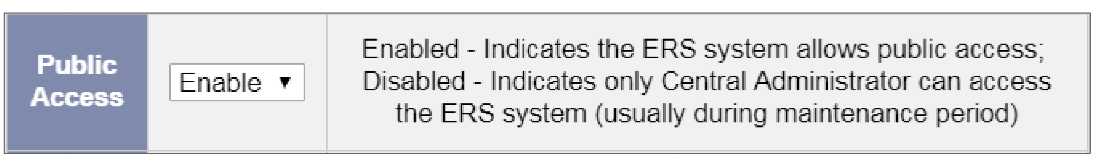
2.1 Access Settings

These are settings that the Central Administrator might be using on regular basis for various purposes like, enabling or disabling Single Sign On, Public Access, updating Login Message etc.



2.1.1 Public Access

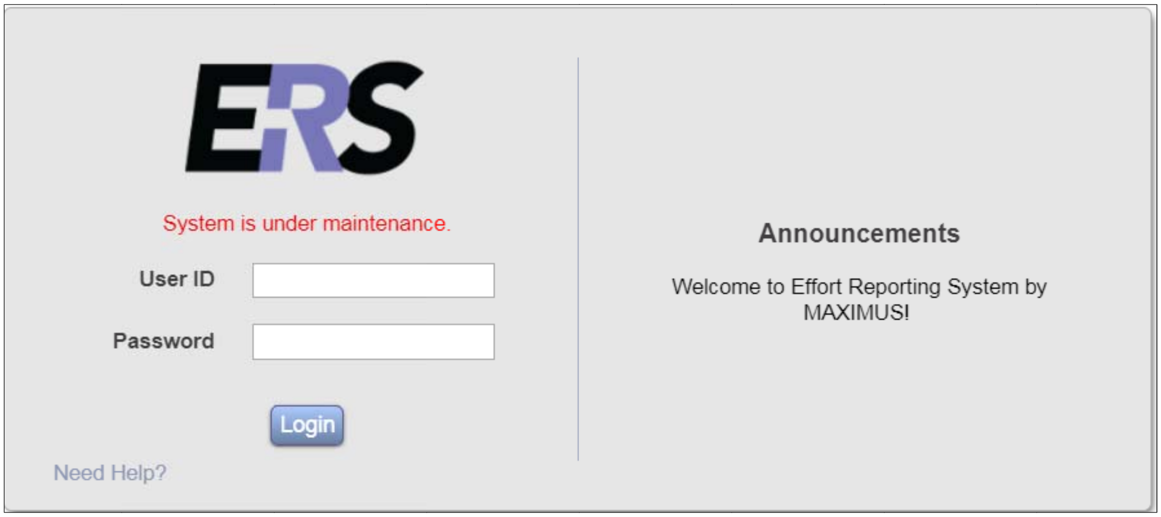
This parameter defines whether the users other than the Central Administrator can access ERS.



The possible options for selection are:

Enable - All users can access the system.

Disable - Only Central Administrator can login. All other users on attempting to logon will see the following default message:



2.1.2 Single Sign-On

This parameter defines if Single Sign-On is used for the Effort Reporting System.

Single Sign-On	Disable ▾	This option activates the Institution's Single Sign-on feature if this functionality has been implemented: Enabled - Use the Institution's single sign-on user id and password. Disabled - Use ERS user id and password.

The possible options for selection are:

Enable **–** The system uses the Institution's Single Sign-On UserID and Password.

Disable **–** The system uses the UserID and Password from ERSUSERS table.

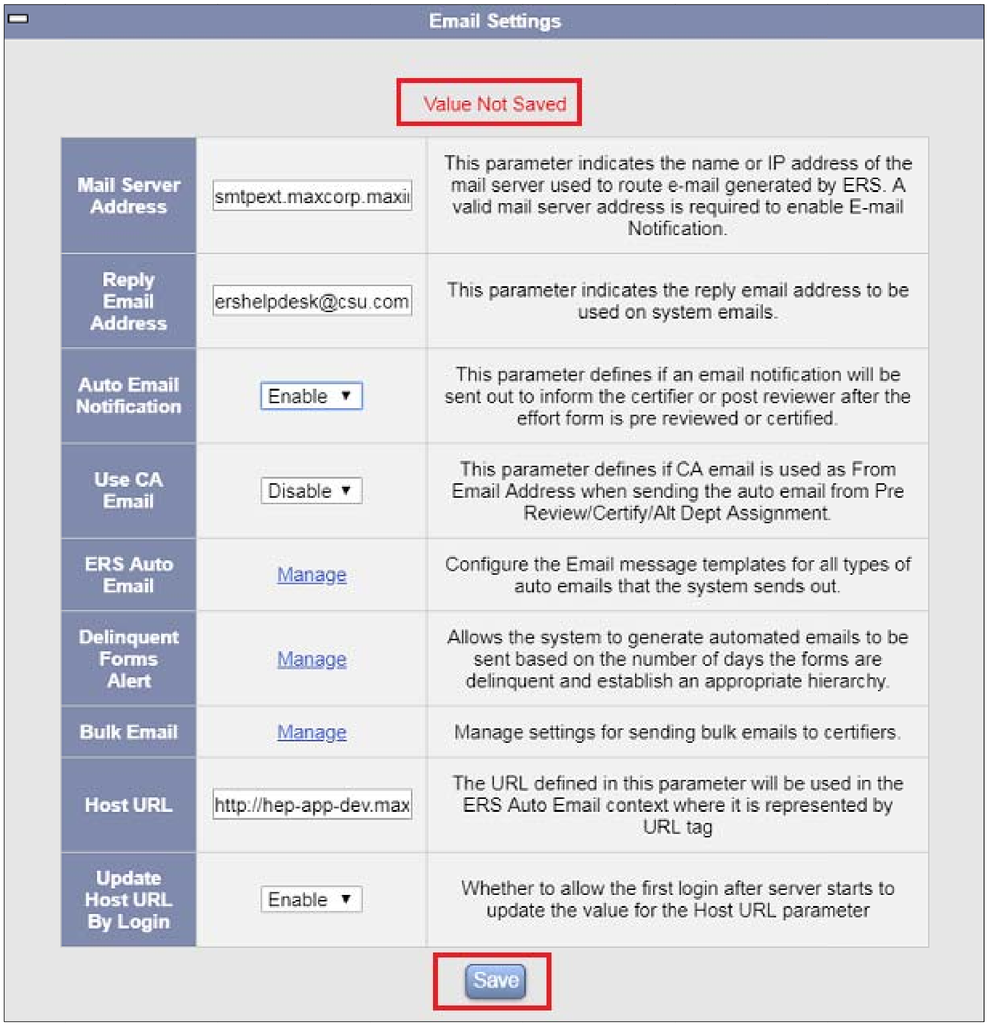
2.2 Email Settings

This option allows the Central Administrator to manage email related parameters.

Email Settings

Mail Server Address	smtpext.maxcorp.maxi	This parameter indicates the name or IP address of the mail server used to route e-mail generated by ERS. A valid mail server address is required to enable E-mail Notification.
Reply Email Address	ershelpdesk@csu.com	This parameter indicates the reply email address to be used on system emails.
Auto Email Notification	Enable ▼	This parameter defines if an email notification will be sent out to inform the certifier or post reviewer after the effort form is pre reviewed or certified.
Use CA Email	Disable ▼	This parameter defines if CA email is used as From Email Address when sending the auto email from Pre Review/Certify/Alt Dept Assignment.
ERS Auto Email	Manage	Configure the Email message templates for all types of auto emails that the system sends out.
Delinquent Forms Alert	Manage	Allows the system to generate automated emails to be sent based on the number of days the forms are delinquent and establish an appropriate hierarchy.
Bulk Email	Manage	Manage settings for sending bulk emails to certifiers.
Host URL	http://hep-app-dev.max	The URL defined in this parameter will be used in the ERS Auto Email context where it is represented by URL tag
Update Host URL By Login	Enable ▼	Whether to allow the first login after server starts to update the value for the Host URL parameter

Initially the email screen shows the default settings. The Central Administrator can input/select values or Manage link for updates. Click the Save button to save the changes.



2.2.1 **Mail Server Address**

This parameter indicates the name or IP address of the email server that will route the emails generated in ERS.

Example:

12.156.214.231
corp.company.inc

!!Caution!! Since the system does not validate the entries, ensure a valid IP address or domain name is entered in order for ERS to generate email messages. Otherwise email notifications will not be sent.

2.2.2 **Reply Email Address**

Enter a valid email address that will be used as the reply email address wherever applicable.

Reply Email Address	ershelpdesk@csu.com	This parameter indicates the reply email address to be used on system emails.

2.2.3 **Auto Email Notification**

This parameter allows enabling or disabling the email notification in ERS.

Auto Email Notification	Enable ▼	This parameter defines if an email notification will be sent out to inform the certifier or post reviewer after the effort form is pre reviewed or certified.

The possible options for selection are:
Disable – Email notification will not be sent.
Enable – Email notification will be sent under the following conditions (default value).

- **Email to Certifier**
  An email is sent to the Certifier as soon as the Pre Reviewer completes reviewing the effort report.

  Important Note:
  - This is not applicable if Bulk Email feature is used.
  - If the effort form is pre reviewed again after it has been Pre Reviewed previously, an email notification will be sent to the Certifier again.

- **Email to Post Reviewer**
  An email is sent to the Post Reviewer instantly when the Certifier completes an effort form by updating the effort percentages as reviewed by the Pre Reviewer causing a difference in effort percentages that the Post Reviewer should review and reconcile either by Cost Sharing, Cost Transfer or RCTs.

  Note: Only applicable if Post Review is used.

- **Email to Departmental Coordinator**

An email is sent to the department coordinator when an individual is assigned to his or her department using the *Assignment* module, alternate department.

- **Email to Cost Transfer Approver**
  An email is sent to the Cost Transfer Approver if a cost transfer is transacted either in Pre Review or Post Review phase.
  Note: This email notification is only applicable if the system is configured to require cost transfer approval before releasing it to the Certifier.

- **User Management**
  An email notification is generated upon change of Pre Reviewer, Certifier or Post Reviewer of the effort form via the *User Management* module.

2.2.4 Use CA Email

This parameter specifies whether *CA Email Address* should be used in the reply email address in lieu of the actual email address of the sender.

The possible options for selection are:
Enable **–** The *CA Email Address* will be used as the reply email address.
Disable - The *CA Email Address* will not be used as the reply email address.

If this configuration is enabled, the *CA Email Address* is used in the following modules:

- Auto Email to Pre Reviewer when Alt Subdept is assigned.
- Auto Email to Certifier when Pre Review is completed.
- Auto Email to Post Reviewer when Certification with update is completed.

Recommendation**:** This functionality should be used if institution maintains dedicated email address for ERS-related purposes.

2.2.5 ERS Auto Email

This option provides the configuration of the various email notification messages generated by the system.

ERS Auto Email	Manage	Configure the Email message templates for all types of auto emails that the system sends out.

Clicking on the *Manage* link presents the list of the following available email types:

Manage Auto Email

Displaying 46 of 46 records

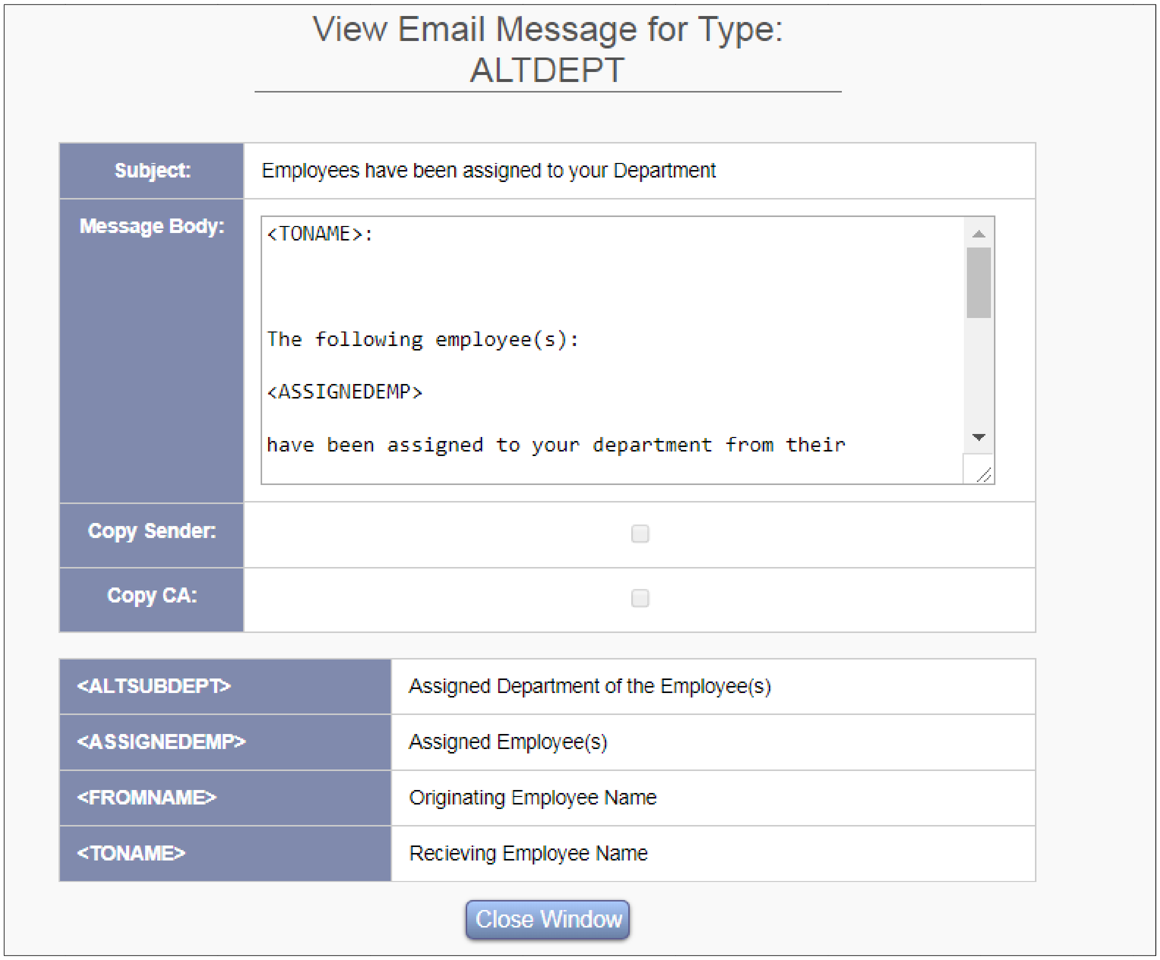
Edit	Type	Description	Subject	Email
	ALTDEPT	This e-mail is used in the Assignments module after an employee has been assigned to an alternate sub-department. An auto e-mail is sent to the default Pre Reviewer from the subdept of an employee who is being reassigned, informing him/her that he/she has now been assigned that individual and is responsible for Pre/ Post Review his/her effort forms. If CC option is checked, the Department Coordinator of the newly assigned subdept will be copied on the e-mail if the DC is not default Pre Reviewer.	Employees have been assigned to your Department	View
	ARCHIVE		Archive has been performed	View
	AUTOIMPORT	This email is sent to all CA's when a data import process is executed	Auto Import has run.	View
	BULKPRE	This email is used if the Bulk Email option is enabled. When Pre Rreview has been completed an auto-email is sent to certifier informing him/her of cerfication. Email is sent based on the scheduler defined in the Bulk Email process.	These forms have been pre reviewed	View
	BULKPRECC	This e-mail is used if the Bulk Email option and CC for BULKPRE e-mail type are enabled. When Pre Review has been completed an auto e-mail is sent to the Pre Reviewer for his/her record. This e-mail serves as "carbon copy". Email is sent based on the scheduler defined in the Bulk Email process.	These forms have been pre reviewed by you	View
	CEMASSIGN	This email notification is sent Plan Adminstrators after a plan is assigned to them..	ERS-CEM: Plans have been assigned to you	View
	CEMREDAPP	This email notification is sent to the Plan Administrator when a reduction request is approved.	ERS-CEM: Reduction/Disengagement Request - Approved	View
	CEMREDREJ	This email notification is sent to the Plan Administrators when a reduction request is rejected.	ERS-CEM: Reduction/Disengagement Request - Rejected	View
	CEMREDREM	This email notification is sent to the Plan Administrators when a reduction request is removed (deleted) from the system.	ERS-CEM: Reduction/Disengagement Request - Removed	View
	CEMREDRES	This email notification is sent to the Plan Administrators when a reduction request is brought back after having been removed (undeleted).	ERS-CEM: Reduction/Disengagement Request - Restored	View
	CEMREDUCT	This email notification is sent to the Pre Award Administrators when a reduction request is made on a CEM plan.	ERS-CEM: New Reduction/Disengagement Request	View
	CERTIFY	This e-mail is used in the Certify module after certification has been completed and changes have been made to the effort form. An auto e-mail is sent to Post Reviewer informing him/her that a Post Review is required. If CC option is checked, the certifier will be copied on the e-mail.	Effort Form is ready to PostReview	View
	CERTNOTES	This e-mail is used in the Certify module after certification has been completed and changes have not been made but notes were left. An auto e-mail is sent to Post Reviewer informing him/her that notes exist. If CC option is checked, the certifier will be copied on the e-mail.	Effort Form has been Certified with Notes	View
	CTAPA	This e-mail is used in the Assign Cost Transfer Approver module where an e-mail notification is sent to the newly assigned individual informing them of their new role assignment of Cost Transfer Approver. If CC option is checked, the user who is making the assignment change will be copied on the e-mail.	You have been assigned as Cost Transfer Approver	View

Each type of notification has a description, detailing the conditions that will cause it to be generated.

By clicking the button, the user can modify e-mail's parameters, including the Subject line, Body text and Tags.

Tags are XML variables that will populate the appropriate *Names*, *RP Codes*, *Links* (URL) etc. based on the conditions of the notification, as well as the role of the individual generating the email. For example, the tag <TONAME> populates the name of the recipient of the email. Only the tags displayed on the menu are applicable for that notification.

Example – The tag <URL> is not applicable in the following screenshot as it is not listed on the available list of tags.



A carbon-copy option is also provided, but this varies by the email type. For example, if a Pre Reviewer completes a review, then the notification that will be sent to the Certifier will also be sent to the Pre Reviewer if **Copy Sender** box is checked.

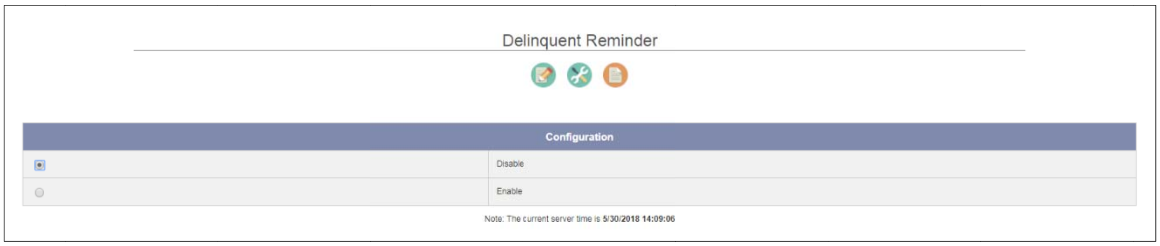
Note: ERS maintains a list of generated emails for bulk and delinquent form reminder emails only. If bulk email is not used there will be no log of these emails.

2.2.6 **Delinquent Forms Alert**

Use this interface to generate automated email regarding delinquent effort forms.

Delinquent Forms Alert	Manage	Allows the system to generate automated emails to be sent based on the number of days the forms are delinquent and establish an appropriate hierarchy.

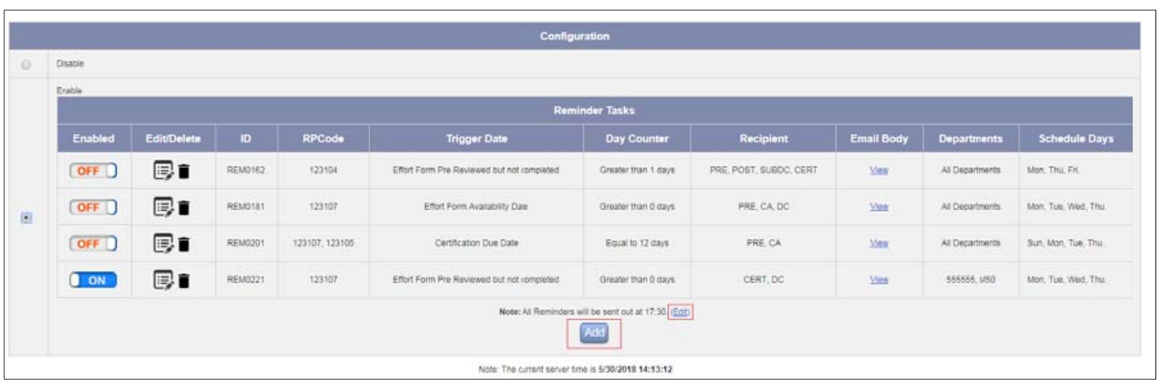
On clicking the *Manage* link the system provides the following three options – **Configuration** *(default screen),* **Setup**, and **Logs**.



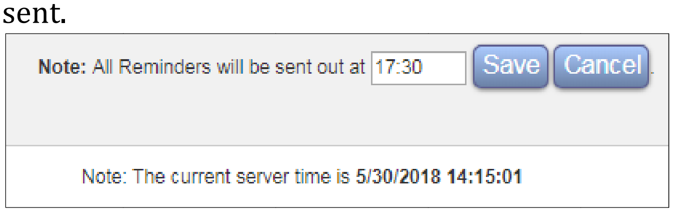
2.2.6.1 *Configuration (Default Screen)*

Through the Configuration screen, the Central Administrator can disable/ enable the Reminder feature. If the feature is disabled, no delinquent email will be sent regardless of the status of any reminder task listed under **Configuration** screen.

Once the Reminder is enabled, the system provides the user with two choices:

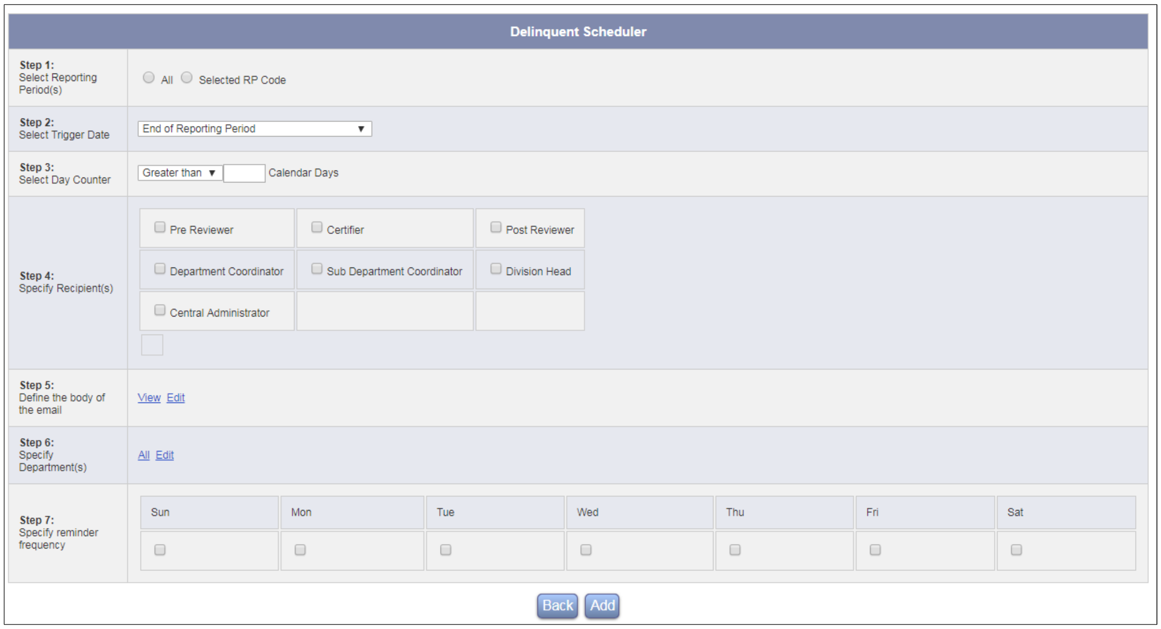


- Click the **Edit** link to configure the time at which delinquent email will be sent.

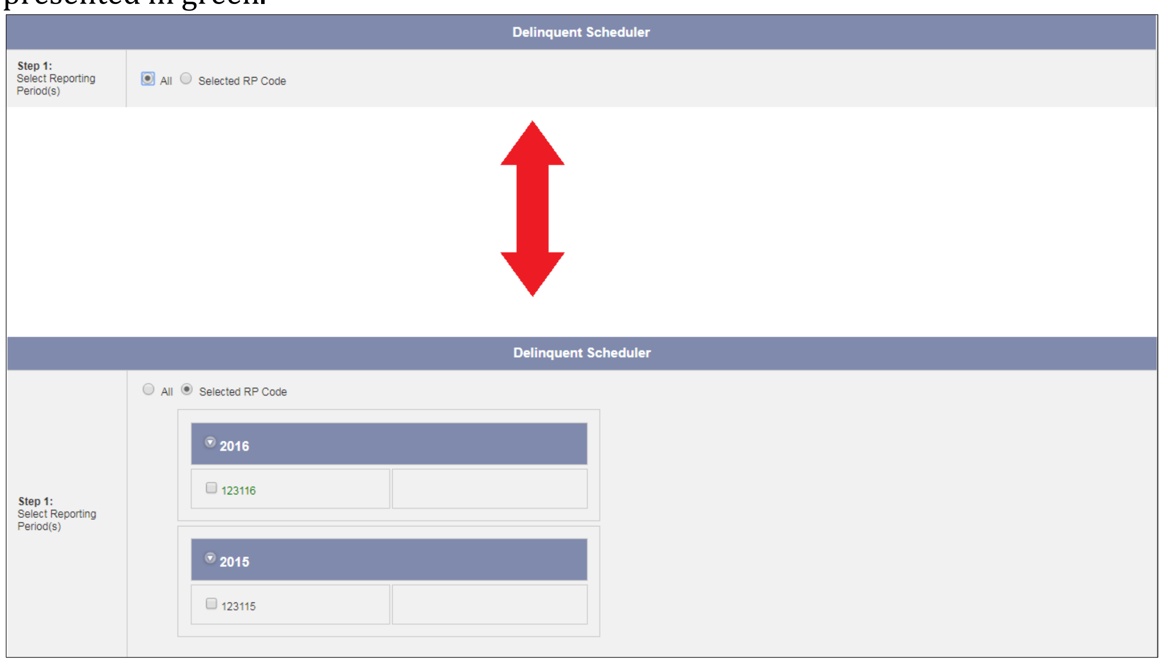


- Click the **Add** button to open **Delinquent Scheduler** screen.

There are seven steps on the *Delinquent Scheduler* screen to complete.



Step 1 allows the user to select the desired reporting period. Selecting the **Selected RP Code** radio button expands all the reporting periods grouped by calendar year. Selecting **All** radio button collapses all the choices. The current reporting period is presented in green.



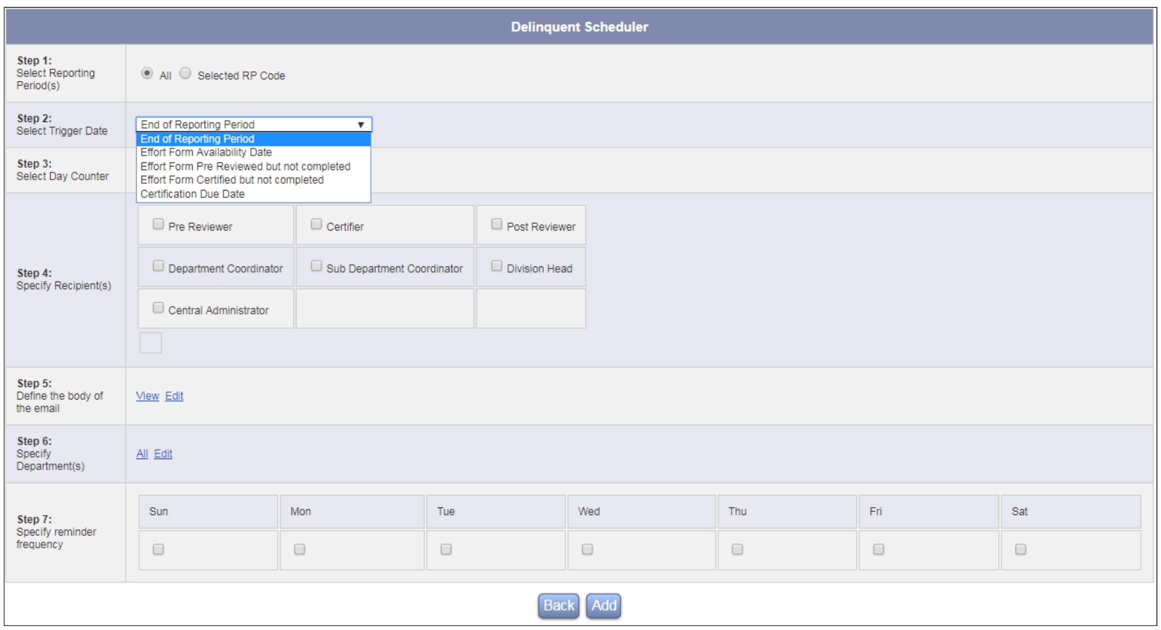
Step 2 allows the user to select a trigger date from one of the five choices:

1. Effort Form Availability Date

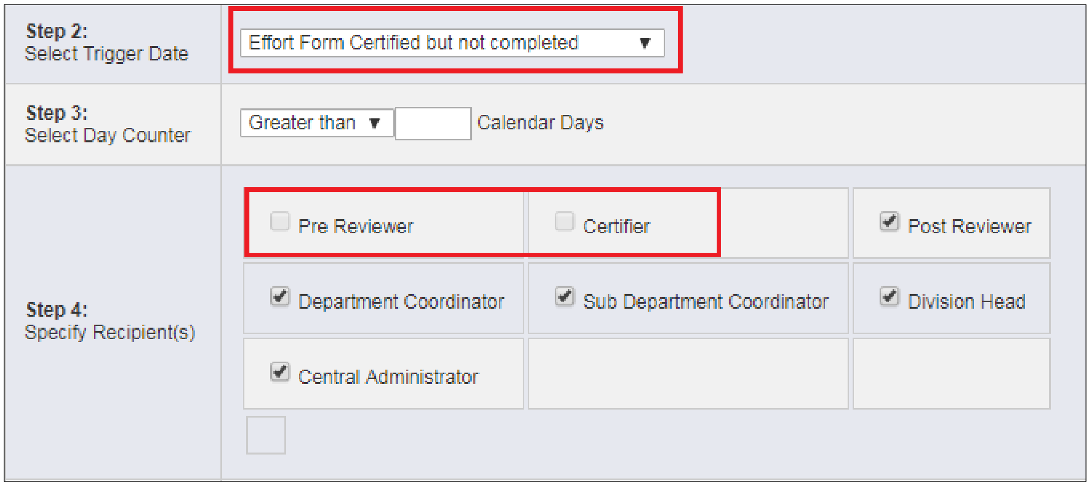
2. Effort Form Pre Reviewed but not completed
3. Effort Form Certified but not completed
4. Certification Due Date
5. End of Reporting Period.

Effort Form Availability Date and **Certification Due Date** must be defined under the option – *Setup* 

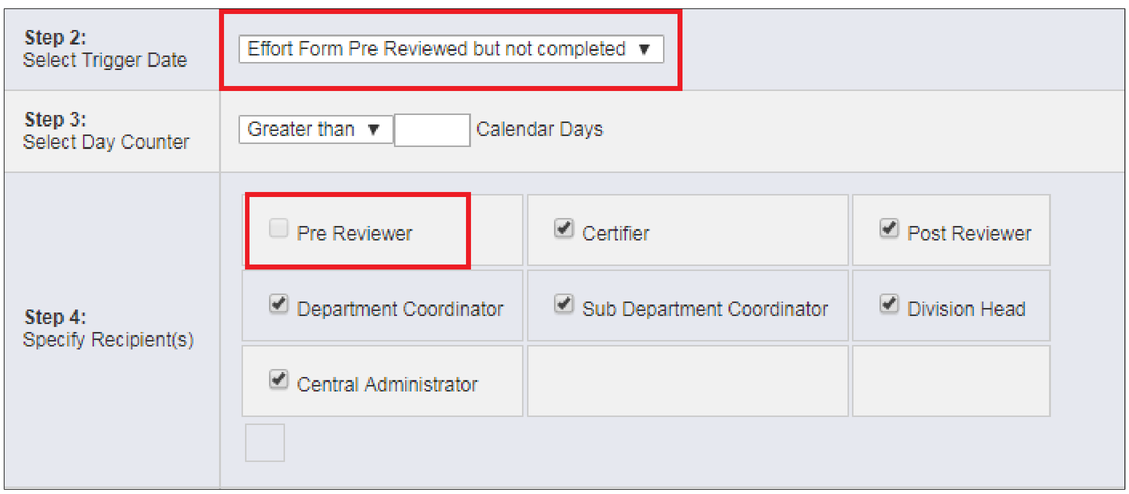
Effort Form Pre Reviewed but not completed, **Effort Form Certified but not completed**, and **End of Reporting Period** are used by obtaining values of *pretime*, *certtime*, and *enddate*, respectively, in the ERSEFFHEADER table.



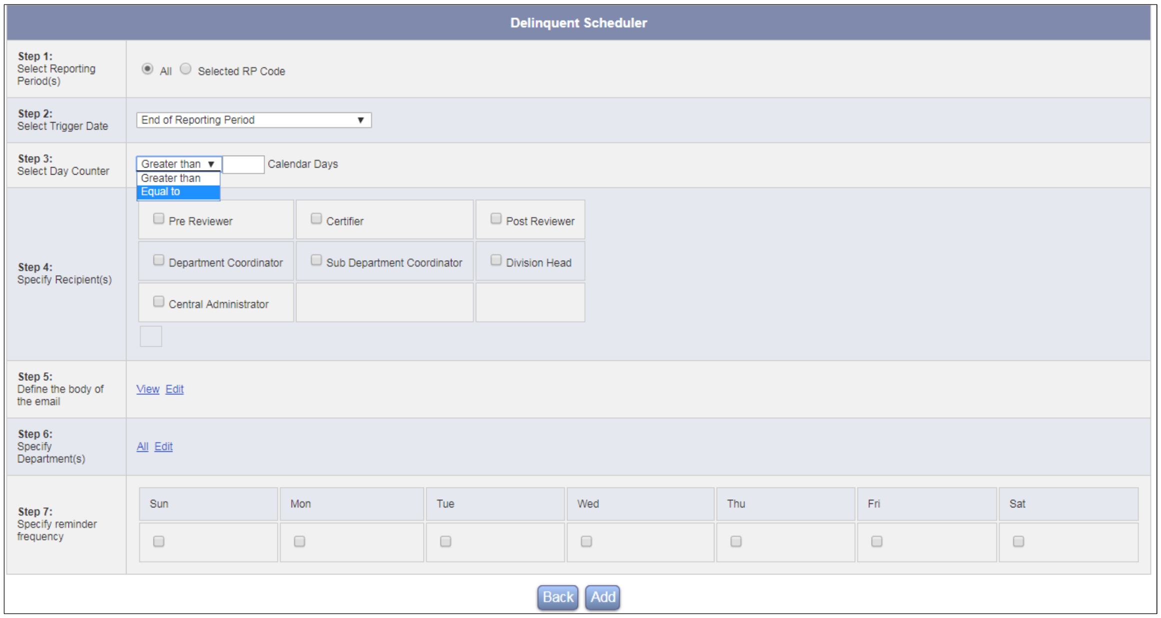
If the *Effort Form Certified But Not Completed* trigger is selected, recipients options for Pre Reviewer and Certifier will not be available for selection.



If *Effort Form Pre Reviewed but not completed* trigger is selected, recipients option Pre Reviewer will not be available for selection.



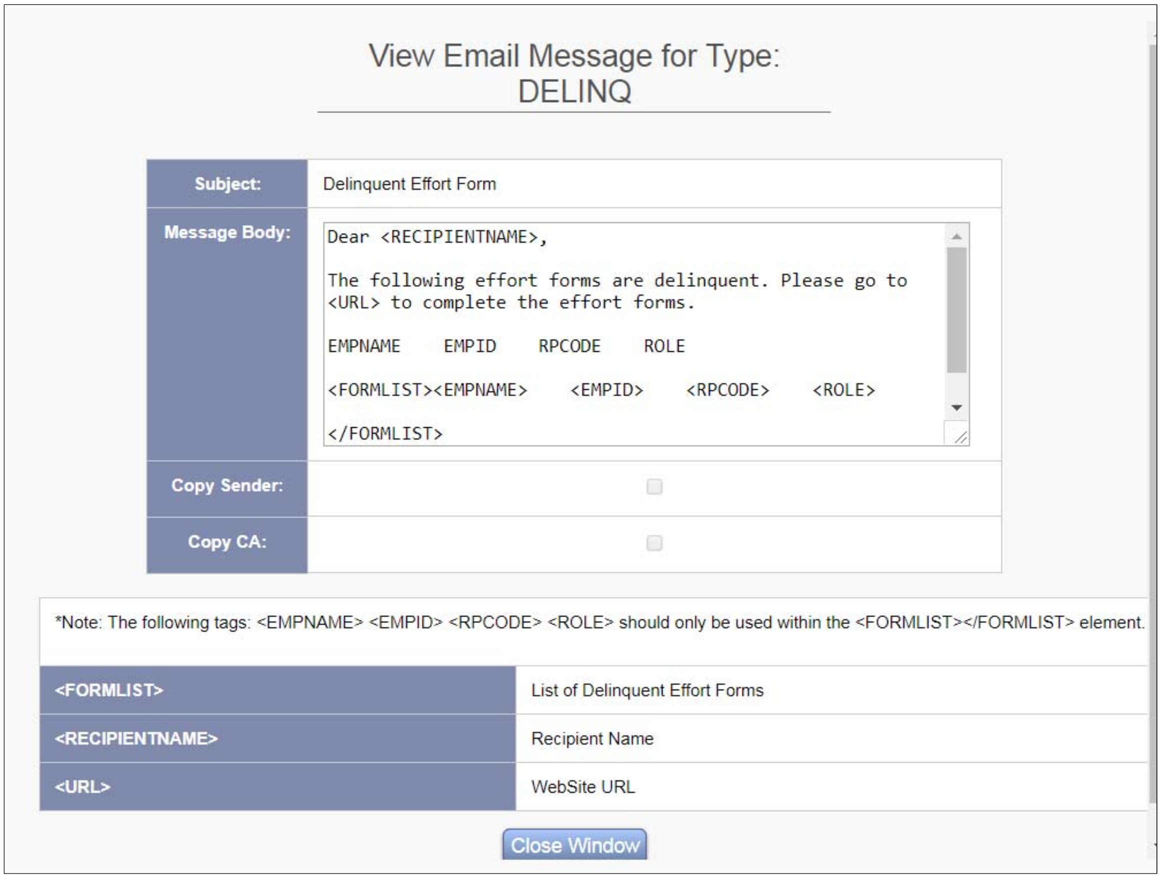
Step 3 allows the user to specify the calendar days and the comparison logic (**Greater than** or **Equal to**). When combined with the trigger date selected in Step 2, these two choices can be used as Day Counter.



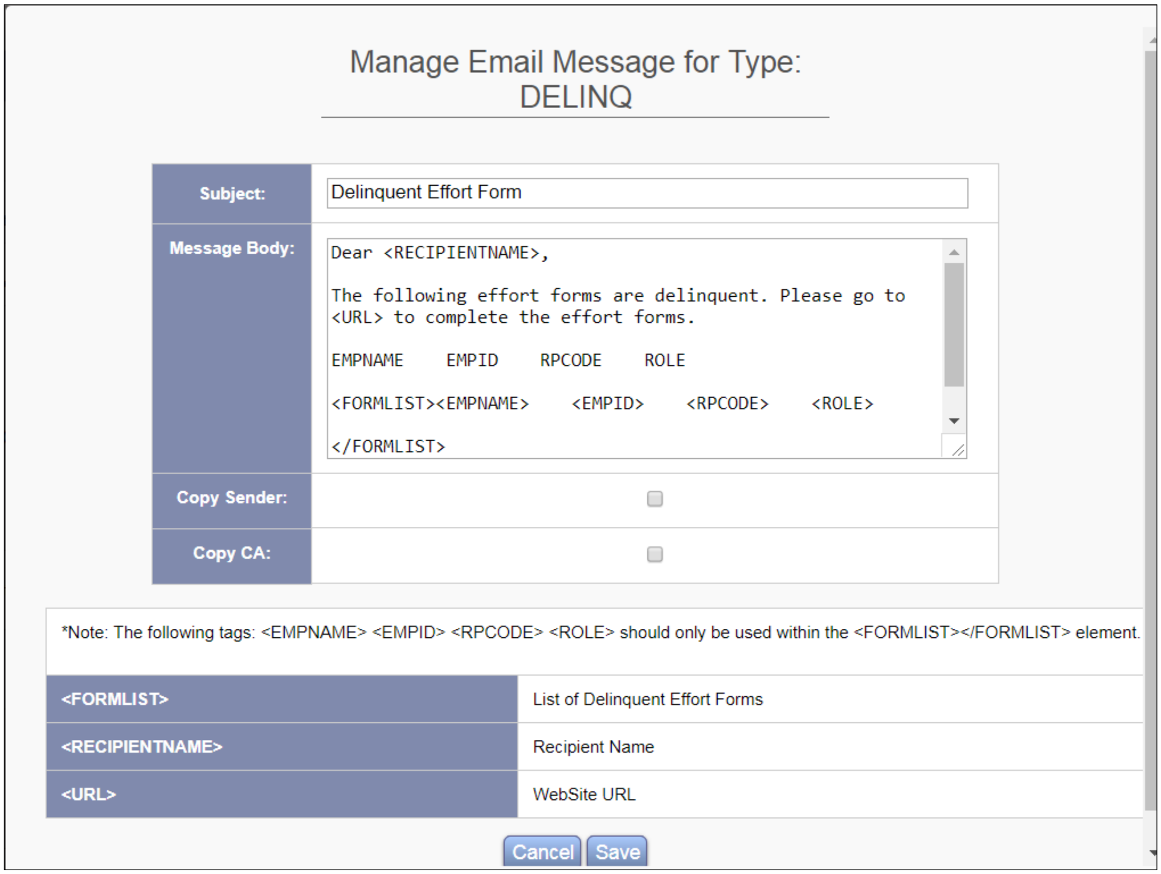
__Step 4__ allows the user to specify up to seven ERS roles as recipient(s). No email will be sent to a role regardless of the status of the effort form unless that role is checked as the recipient.

__Step 5__ allows the user to view or edit the delinquent email format.

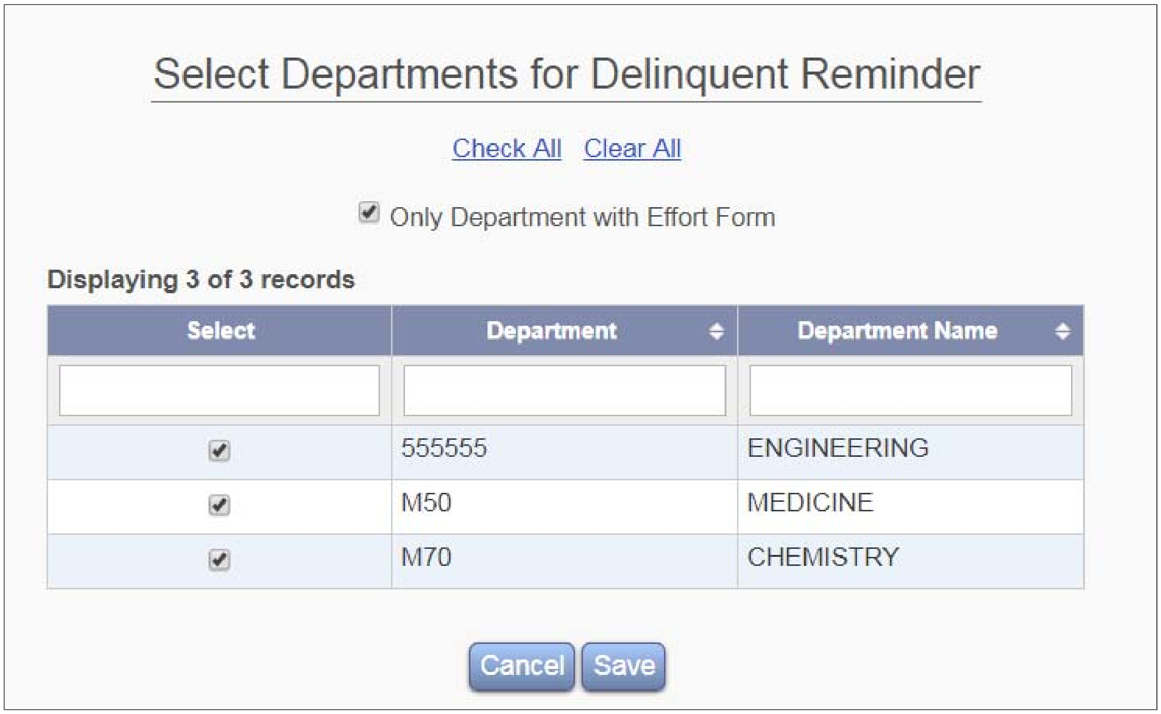
View Email Message:



Manage Email Message:



<u>*Step 6*</u> allows the user to customize the department list. By clicking the **Edit** link, the user can open a new screen. By default, all the departments are checked on this screen and the user can deselect the department(s) which he/she does not want to be included in the list.



Select Departments for Delinquent Reminder

Check All Clear All

Only Department with Effort Form

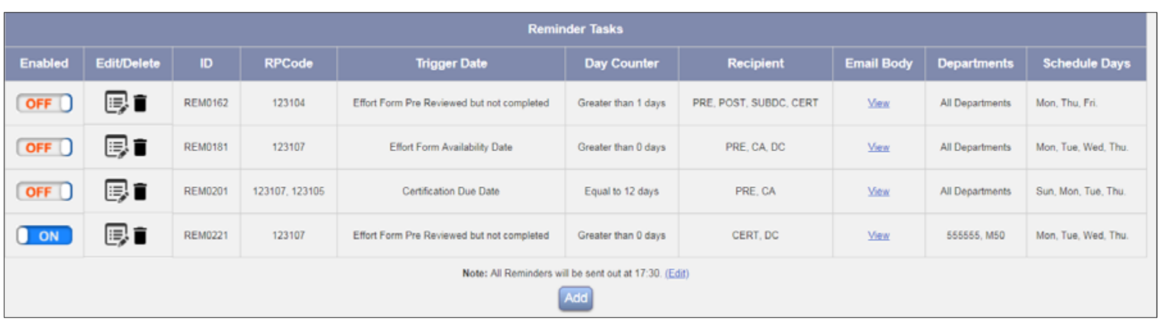
Displaying 3 of 3 records

Select	Department	Department Name
✔	555555	ENGINEERING
✔	M50	MEDICINE
✔	M70	CHEMISTRY

Cancel Save

Step 7 defines how often the user wants the delinquent email to be sent to the selected recipient(s). At least one day must be selected before the user can save the change.

After the user completes all seven steps (*step 5 and step 6 are optional*) and click the **Add** button, a Reminder Task is added to the reminder list. The user can turn on/off the reminder task individually by clicking the ON or OFF buttons. Also, the user can edit or delete the reminder task by clicking the or icons, respectively.



Reminder Tasks									
Enabled	**Edit/Delete**	**ID**	**RPCode**	**Trigger Date**	**Day Counter**	**Recipient**	**Email Body**	**Departments**	**Schedule Days**
OFF		REM0162	123104	Effort Form Pre Reviewed but not completed	Greater than 1 days	PRE, POST, SUBDC, CERT	View	All Departments	Mon, Thu, Fri.
OFF		REM0181	123107	Effort Form Availability Date	Greater than 0 days	PRE, CA, DC	View	All Departments	Mon, Tue, Wed, Thu.
OFF		REM0201	123107, 123105	Certification Due Date	Equal to 12 days	PRE, CA	View	All Departments	Sun, Mon, Tue, Thu.
ON		REM0221	123107	Effort Form Pre Reviewed but not completed	Greater than 0 days	CERT, DC	View	555555, M50	Mon, Tue, Wed, Thu.

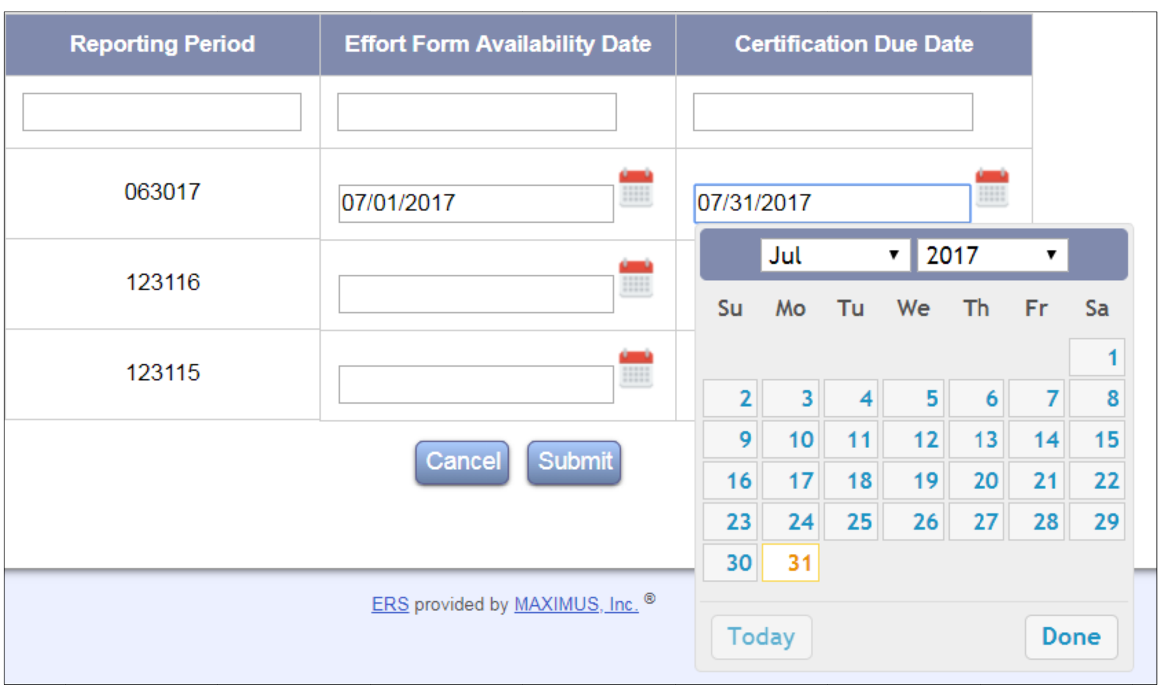
Note: All Reminders will be sent out at 17:30. (Edit)

Add

2.2.6.2 *Setup*

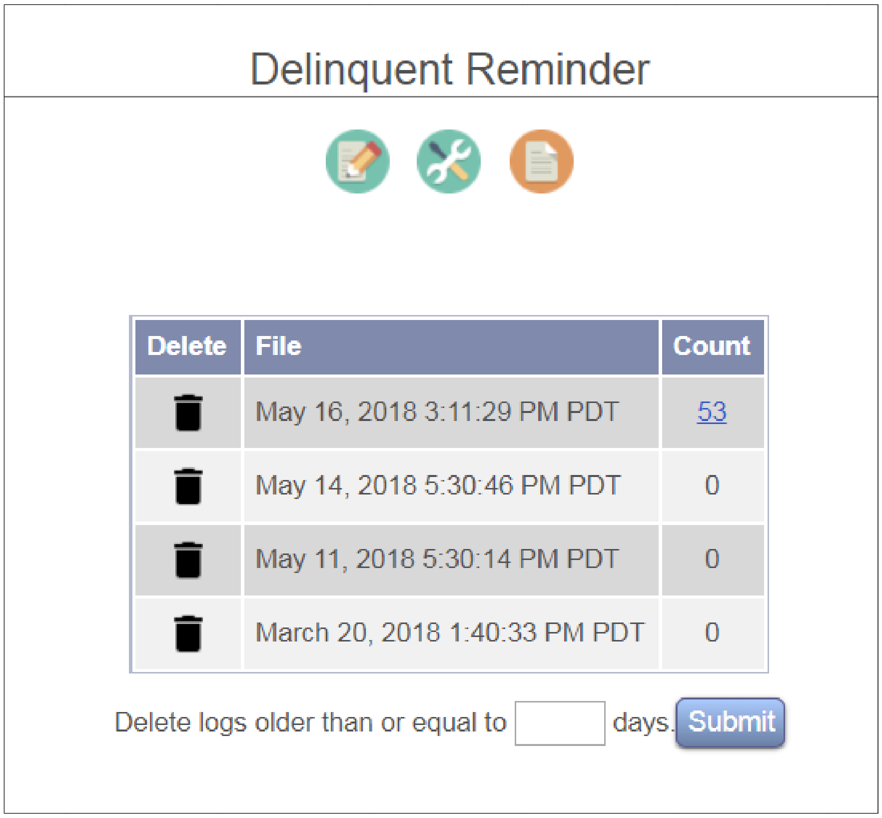
The *Setup* screen is used to view/edit the **Effort Form Available Date** and **Certification Due Date** for a specific reporting period, as shown below respectively.

In the edit mode, the user can either enter the date directly in mm/dd/yyyy format or though the date picker by clicking the calendar icon.



2.2.6.3 *Logs*

The delinquent email reminder logs can be accessed using the **Logs** screen.

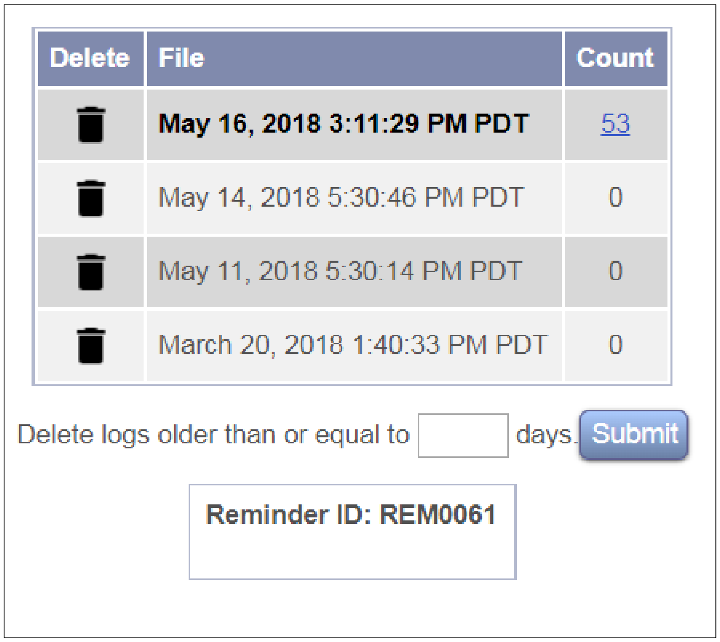


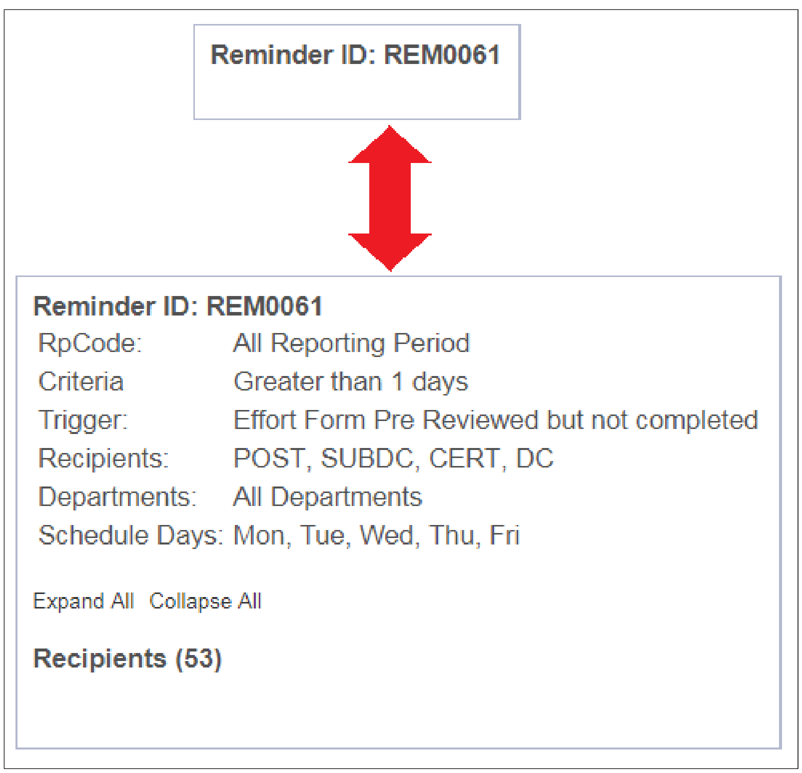
There are three columns in the Logs entry table:

1. **Delete** - Clicking the in **Delete** column allows the user to delete the entry.

2. **File** - The logs entry under **File** column will be highlighted (font changed to **Bold**) if the user moves the cursor over the entry.

   Clicking the highlighted log entry will open a box at the bottom of the screen (*you may need to scroll down to see this box if there are a lot of log entries in the table*). In the box is the corresponding reminder ID, which is also a link. Clicking the reminder ID link will expand it to show the reminder summary, and clicking the link one more time will collapse the details.

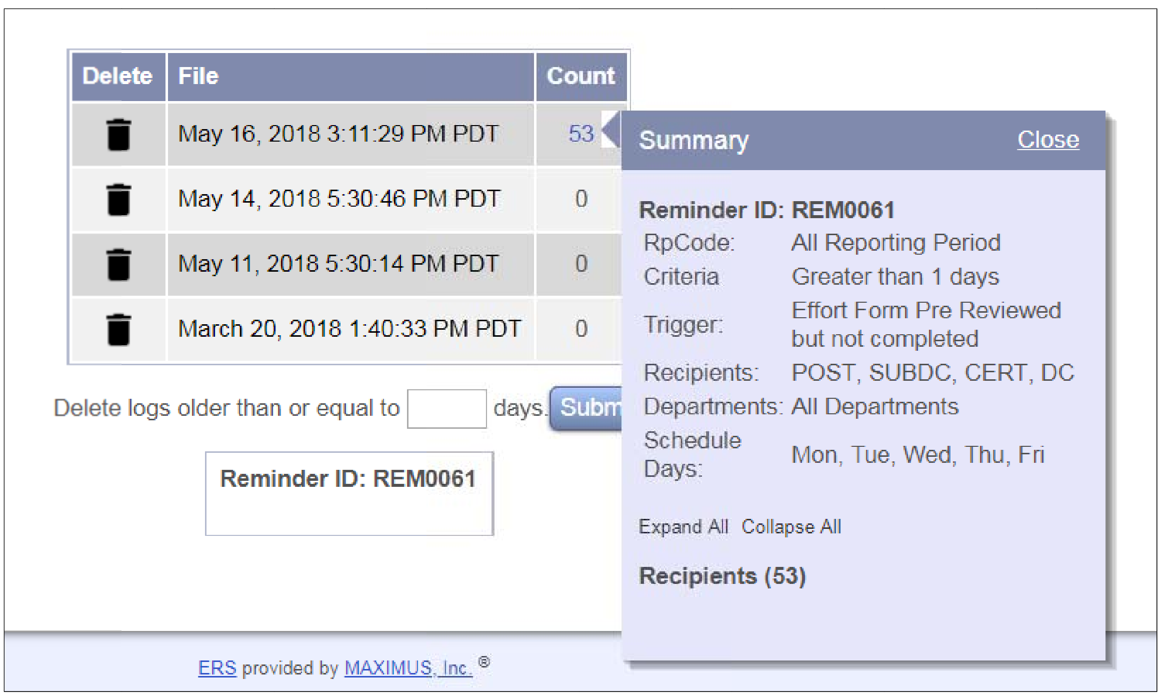




At the bottom of the summary, there are three links: **Expand All**, **Collapse All**, and **Recipients.** Clicking **Expand All** link will expand it to show all the recipients sorted alphabetically in ascending order, with each recipient followed by the email body. If more than one reporting period is selected, the list will be grouped by RP code. Clicking **Collapse All** will collapse the details.

Clicking the **Recipients** link will expand it to show all the recipients, and clicking the link one more time will collapse the recipient list. For each recipient on the list, clicking the recipient name link will let the user optionally send an additional email to the recipient. Clicking the **body** link will expand it to show the email body, and clicking the **body** link one more time will collapse the email body.

3. **Count** - The **Count** column represents the number of emails sent to the recipient(s). A popup window will summarize the reminder details if the user puts the cursor over the number link in the **Count** column if the number is not zero. Clicking the number link one more time or clicking the Close link in the popup window will close the popup window.



2.2.7 Bulk Email

This configuration allows bulking the email notification to the Certifier for effort forms that completed Pre Review until the defined scheduled day and time. If enabled, the Certifier will receive one email with a list of all pending forms.

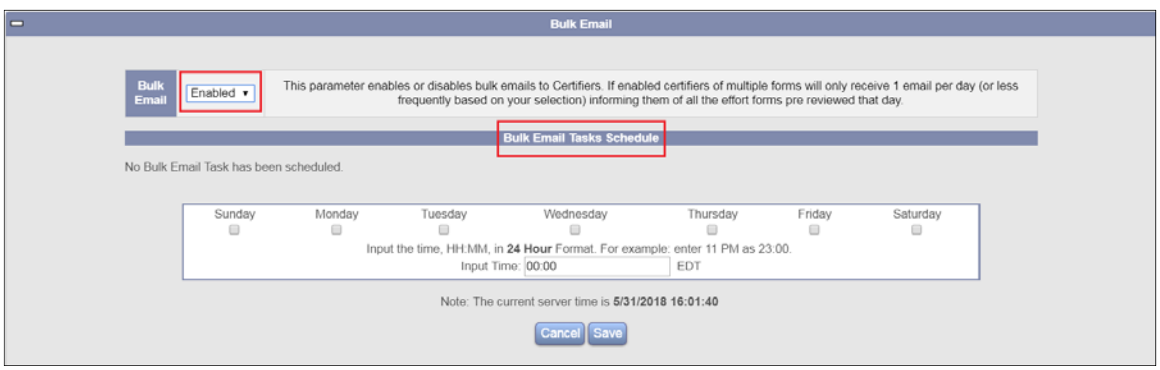
Bulk Email	Manage	Manage settings for sending bulk emails to certifiers.

Clicking on *Manage* link presents the following page to the user.

The possible options for selection are:

Enabled – Enable Bulk Email for Certifier
Disabled- Disable Bulk Email for Certifier

On enabling the Bulk Email feature the "*Bulk Email Tasks Schedule*" becomes available. This interface is used to select the day(s) of the week and time when the bulk email notification to the Certifier should be generated.



Recommendation: Bulking of email is recommended to limit the number of emails Certifiers will receive from ERS. Contact MAXIMUS for best practices.

Example of Bulk Email:

from ERS Pre Reviewer <ERS@maximus.com>
to "Burrows,Kim" <ers.maximus@gmail.com>
date Tue, Mar 9, 2010 at 11:05 AM
subject These forms have been pre reviewed

Burrows,Kim,

The following effort form(s) have been pre reviewed.
Please go to http://webspace.maximus.com:8250/GenericERS to certify the effort form(s).

Employee: Burrows,Kim. Pre Reviewed by: Miller,Cris <ers.prereviewer@maximus.com> Reporting Period: 123108.

Employee: Codae,Doyle. Pre Reviewed by: Miller,Cris <ers.prereviewer@maximus.com> Reporting Period: 123108.

Employee: Codae,Kathy. Pre Reviewed by: Miller,Cris <ers.prereviewer@maximus.com> Reporting Period: 123108.

Example of individual email

from Miller,Cris <ers.prereviewer@maximus.com>
to "Codae,Doyle" <ers.maximus@gmail.com>
date Tue, Mar 9, 2010 at 11:14 AM
subject Effort Form is ready to Certify

Dear Codae,Doyle:

The Effort Form for Barnett,LN has been Pre

Reviewed and it is ready to be certified.

Please go to http://webspace.maximus.com:8250/GenericERS to certify effort form for

Barnett,LN for the reporting period 123108.

For more information please contact your department

administrator. Thank you.,

2.2.8 Host URL

This configuration defines the URL that will be used in the ERS Auto email context where it is represented by the <URL> tag. The value of the URL will be set by the first login user after the ERS server is started up by default.

Host URL	http://hep-app-dev.max	The URL defined in this parameter will be used in the ERS Auto Email context where it is represented by URL tag

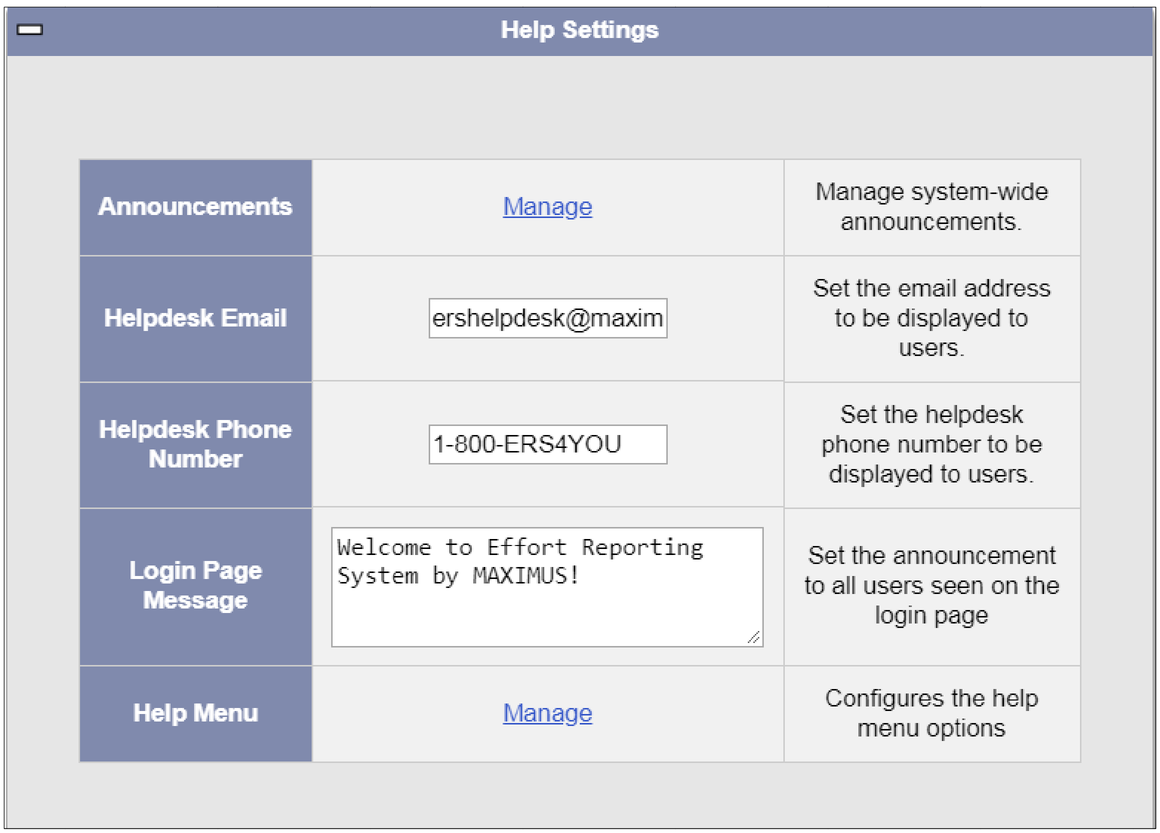
2.2.9 Update Host URL By Login

Update Host URL By Login	Enable ▼ Enable Disable	Whether to allow the first login after server starts to update the value for the Host URL parameter

The possible options for selection are:
Enabled **–** The Host URL will be set as the URL used to access the system by the first user to login;
Disabled- CA can change the HostURL without being overwritten by first login.

2.3 Help Settings

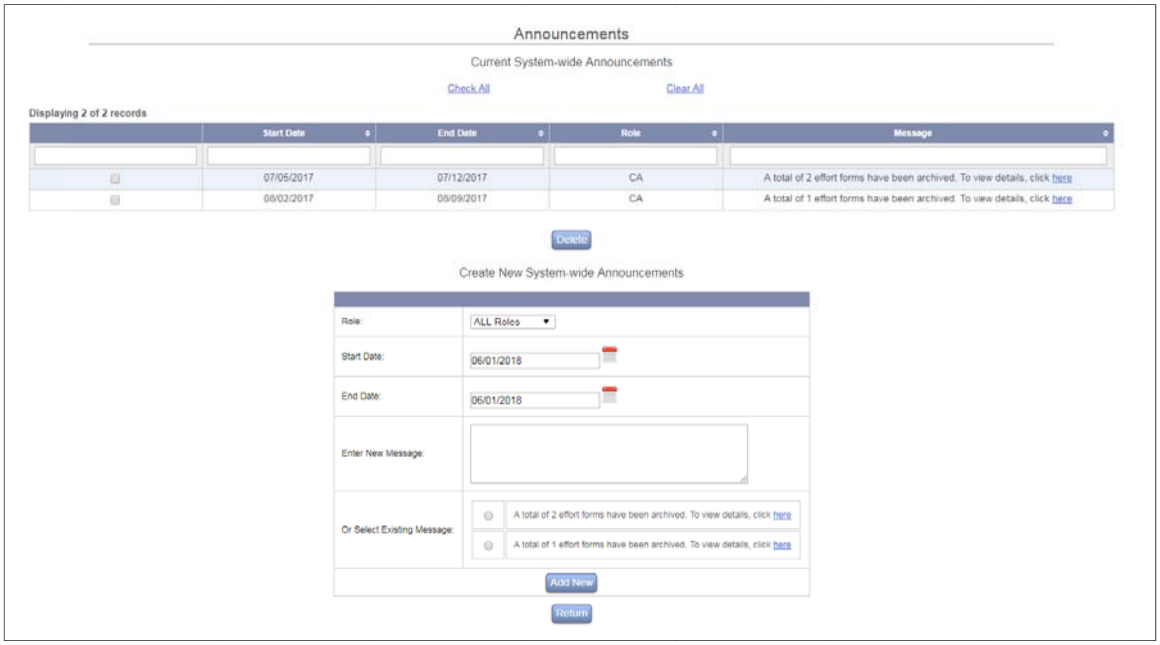
These settings allow the Central Administrators to configure the helpdesk contact information, make ERS related announcements etc.



2.3.1 Announcements

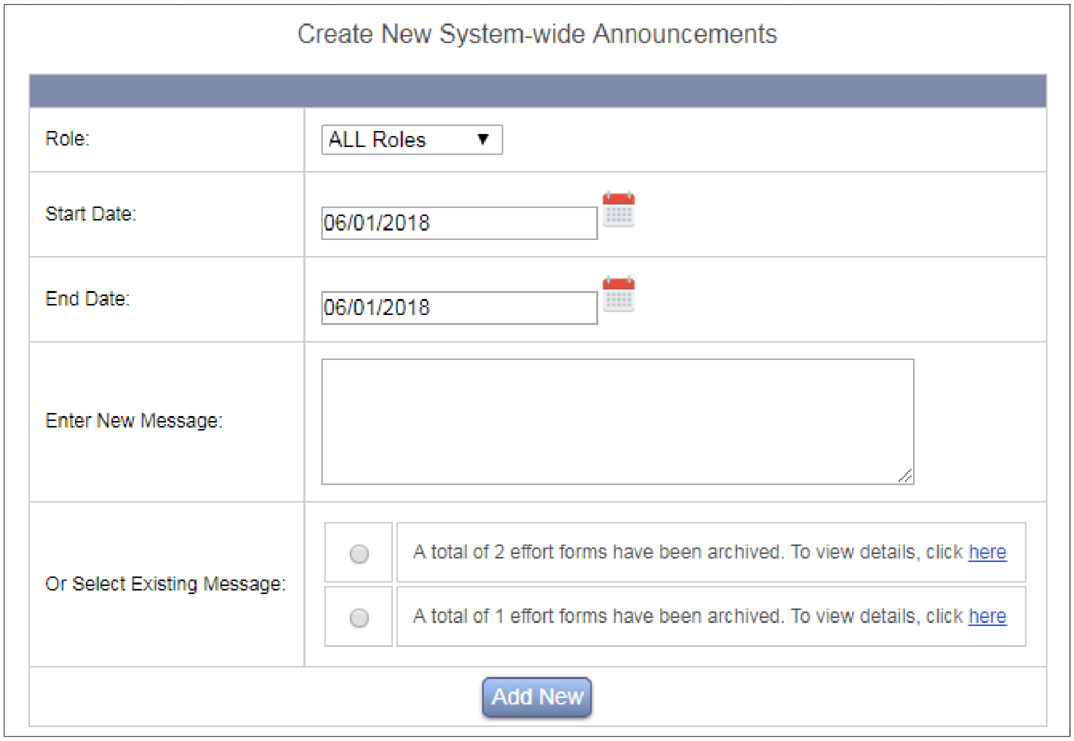
This feature allows the Central Administrator to post announcements on the home page of any/ all available roles within ERS.

On clicking the link *Manage*, the Central Administrator is presented with the following two sections:



2.3.1.1 *Create New System-wide Announcements*

Use this interface to create new announcements.



Select a role from the ***Role*** drop down menu option. ALL is the default selection. This will post an announcement on the home page for all the available roles in the system.

Enter the ***Start Date*** and ***End Date*** to determine the duration of the announcement on the user home page. Announcement will automatically be removed after it reaches the End Date.

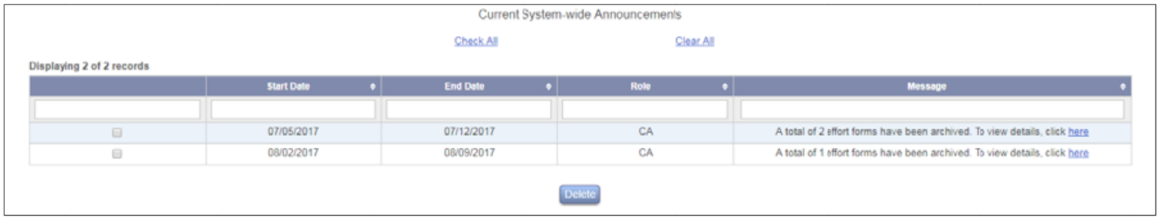
Type the new message in the ***Enter New Message*** input box OR select any announcement from the section "*Or Select Existing Message*" previously defined by the Central Administrator.

Click on the **Add New** button to post the announcement for the selected role(s).

Any new announcement is automatically stored in the **Current** table for future selection.

2.3.1.2 *Current System-wide Announcements*

With the **Current** table, the Central Administrator can view the previous announcements created and remove any by selecting one or multiple announcements and clicking button **Delete**.



Current System-wide Announcements

Check All   Clear All

Displaying 2 of 2 records

	Start Date	End Date	Role	Message
	07/05/2017	07/12/2017	CA	A total of 2 effort forms have been archived. To view details, click here
	08/02/2017	08/09/2017	CA	A total of 1 effort forms have been archived. To view details, click here

Delete

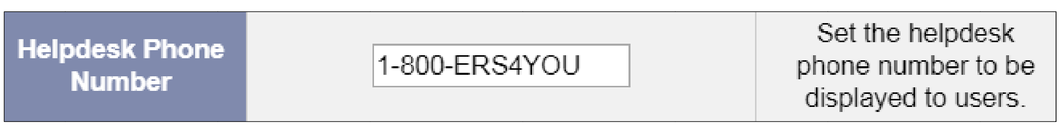
Announcements will be presented to users based on the start and end dates assigned during the setup. Once the announcement reaches the end date, it will no longer be presented on the home page.

2.3.2 Helpdesk Email

This option allows the Central Administrator to configure the Institution ERS Helpdesk email address.

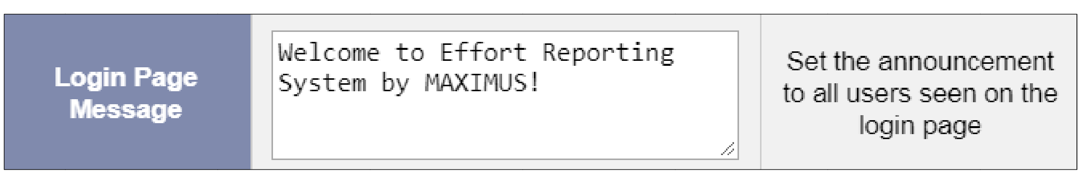
2.3.3 Helpdesk Phone Numb

This option allows the Central Administrator to configure the Institution ERS Helpdesk Phone Number.

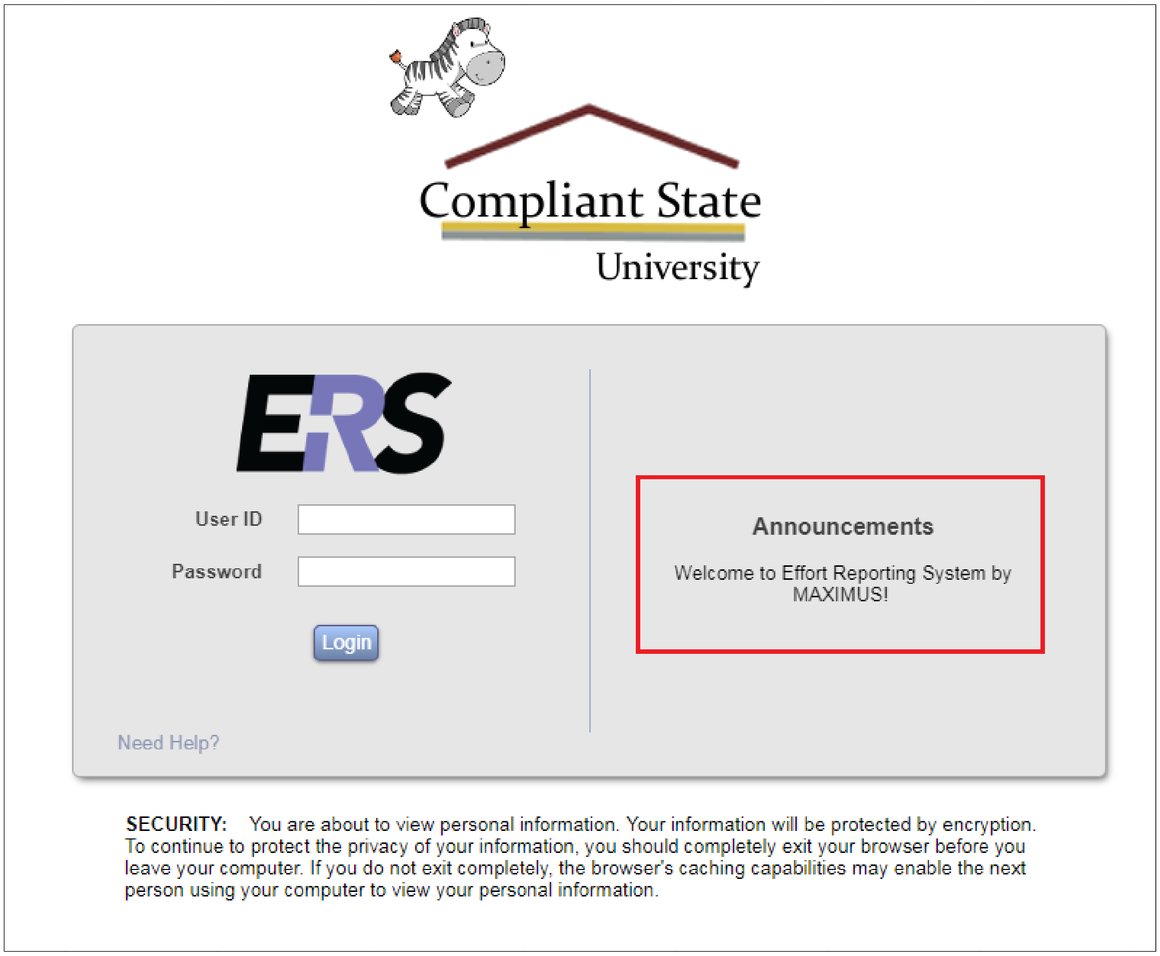


2.3.4 Login Page Message

This option allows the Central Administrator to set the announcement to all users seen on the login page.



This message appears on the login page as follows.



Note: This interface may not be available if the institution is using a portal for logon.

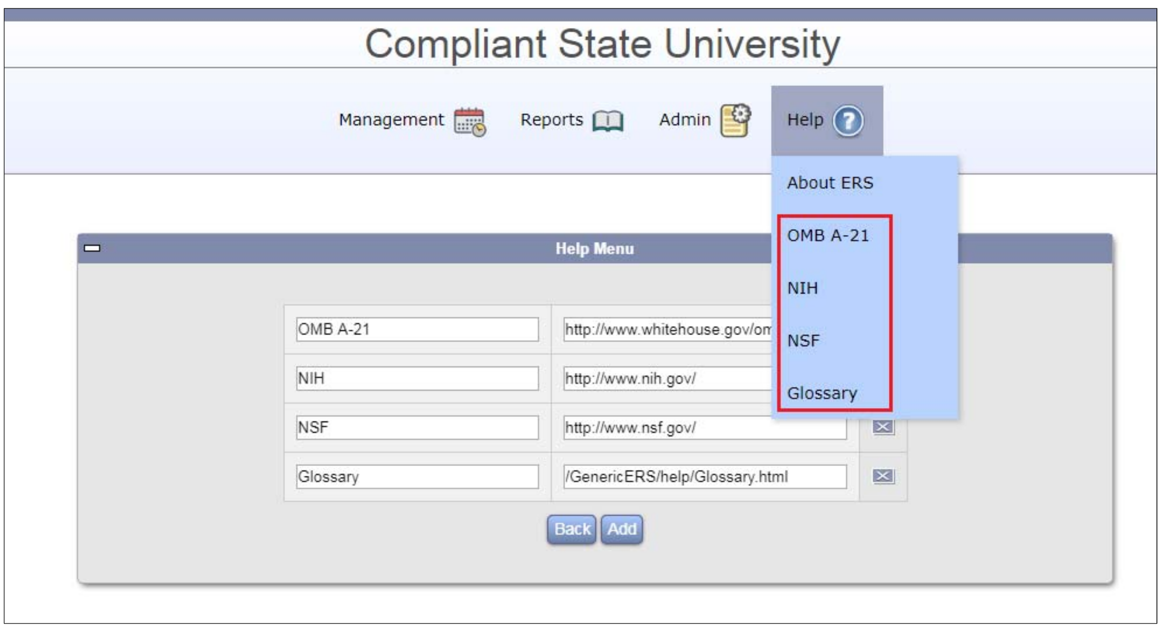
2.3.5 **Help Menu**

This option allows the Central Administrator to configure information provided in the Help Toolbar by creating links to a specific URL.

Help Menu	Manage	Configures the help menu options

Clicking on *Manage* link presents the following page to the user.

Enter the title and URL of the help link in the *Menu Item* and *URL* column respectively.
To add more items, click on the ***Add*** button that will create a new blank menu item.
To submit the updates click on the ***Submit*** button.
To delete menu items, delete content under *Menu Item* and *URL* information and click the ***Submit*** button.



Note: To add a pdf or another document, the file needs to be loaded onto the institution's website and then linked using this interface. There is no option to attach a file.

After submitting all the changes and updates, validate that all links are working correctly.

2.4 Initiation Settings

These settings must be configured before beginning of the new Initiation process. They govern how the data flow through ERS will be handled. *Example:* Exclusion Rules, 9 Over 12 etc.

Initiation Settings

Exclusion Rules Setup	Manage	Setup Exclusion Rules Per Reporting Period.
9 Over 12	Manage	Settings related to 9 Over 12 conversion.
Effort On Demand	Manage	Update the EOD refresh schedule or manually run the refresh now.
Define Certifier's Check List	Manage	The Certifier's Check List will be displayed on the Certification Form.
Critical Lists and Global Release	Manage	Manage Critical List and define Global Release by reporting period.
Faculty Code Setup	Manage	Configure which title codes are considered faculty

2.4.1 Exclusion Rules Setup

This option allows the Central Administrator to set rules in order to exclude certain transactions from certifiable effort payroll. These rules are established by reporting period. The exclusion rules are used to define Institutional Base Salary per the Institution's policy. Any transactions marked as excluded, while viewable in the payroll drilldown as non-effort payroll, will not be part of the 100% certifiable effort salary.

Click on link *Manage* followed by clicking on button ***Add Rule:***

Exclusion Rules Setup	Manage	Setup Exclusion Rules Per Reporting Period.

Select ID DEF001 → Provide value for Short Description, example, *Academic Rule* →Select button ***Add Level 1 Rule***

Select the *Attribute* and *Operator* from the respective available drop down → Enter the codes separated by commas without single quotes under *Criteria.*

The attributes available are the fields from the payroll table (ERSPAYROLLxxxxxx).

The following is a list of possible attributes:

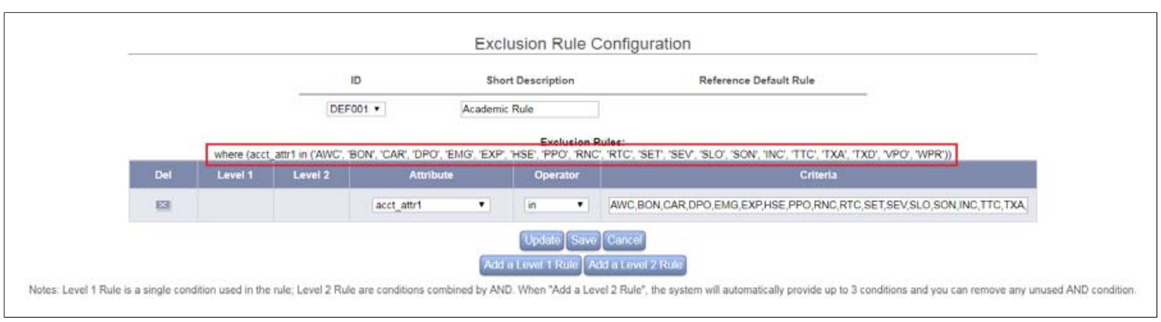
- acct_attr1
- acct_attr2
- acct_attr3
- acct_attr4
- acct_attr5
- acct_attr6
- acct_attr7
- appt
- isn
- status code
- tranid
- acct_attr1||acct_attr2
- acct_attr1||acct_attr3
- acct_attr1||acct_attr4
- acct_attr1||acct_attr5
- acct_attr1||acct_attr6
- acct_attr1||acct_attr7

- acct_attr2||acct_attr3
- acct_attr2||acct_attr4
- acct_attr2||acct_attr5
- acct_attr2||acct_attr6
- acct_attr2||acct_attr7
- acct_attr3||acct_attr4
- acct_attr3||acct_attr5
- acct_attr3||acct_attr6
- acct_attr3||acct_attr7
- acct_attr4||acct_attr5
- acct_attr4||acct_attr6
- acct_attr4||acct_attr7
- acct_attr5||acct_attr6
- acct_attr5||acct_attr7
- acct_attr6||acct_attr7

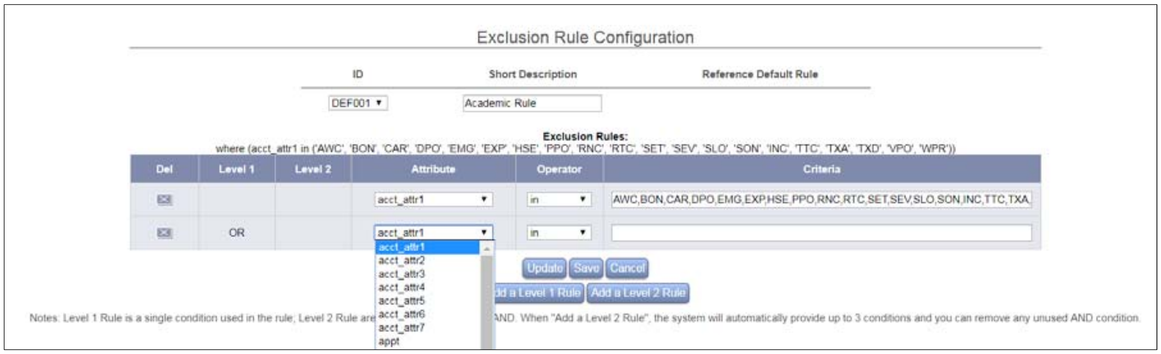
The following is a list of available operators:

- in
- not in
- =
- !=
- like
- not like
- is null
- is not null

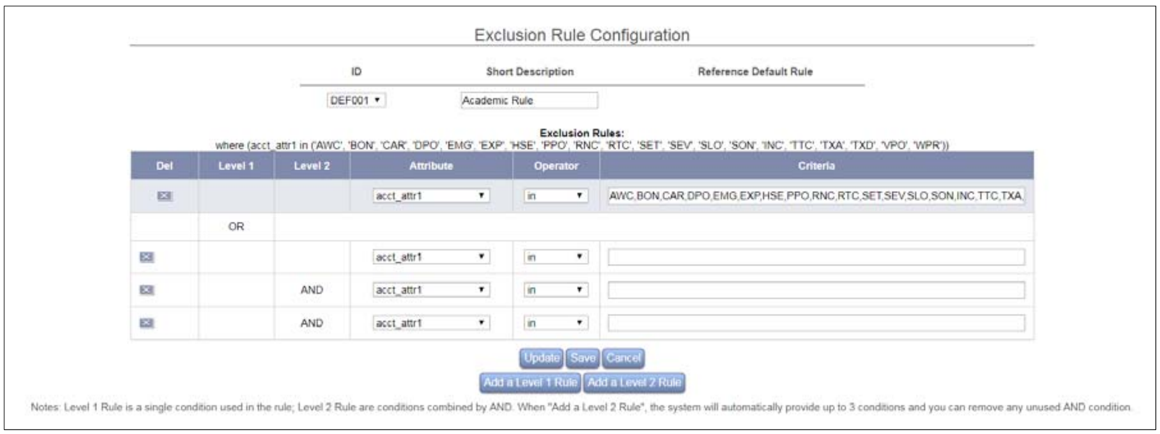
Click on the ***Update*** button to display the SQL condition clause as shown in the screenshot below:

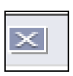


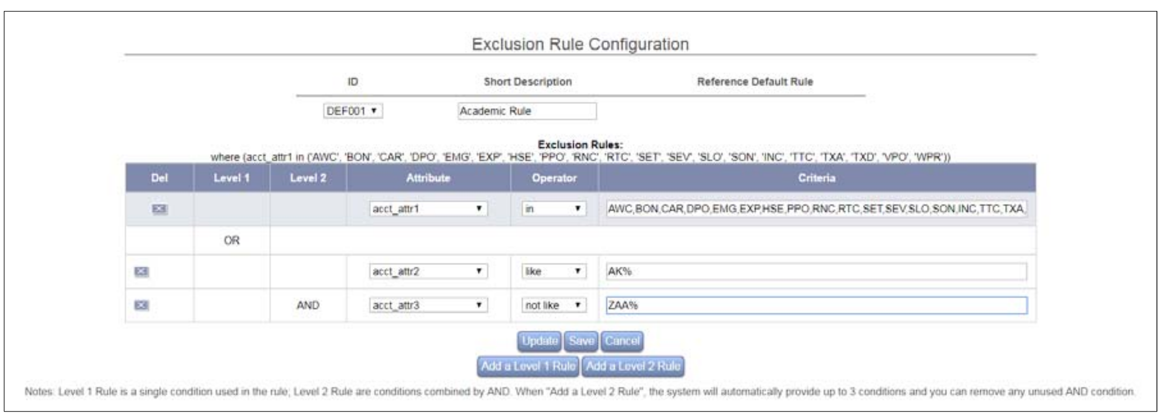
Use ***Add Level 1 Rule*** to add new criteria with OR condition



Use ***Add Level 2 Rule*** to add new criteria with AND condition

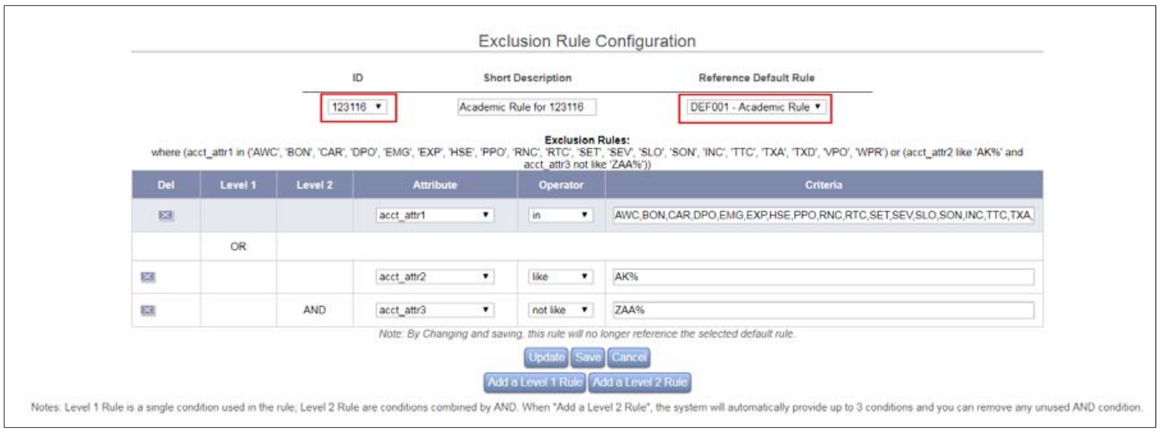


Use delete icon  to remove any condition.



Click on the ***Save*** button to save the defined *Exclusion Rule.*

Click on the ***Add Rule*** button to associate an exclusion rule with a reporting period(s). In the example below, 123116 was selected as the ID. Select *DEF001-Academic Rule* as the *Reference Default Rule*



Click on the ***Save*** button to finish defining exclusion rule for the reporting period 123116.

Similarly, define exclusion rules for other reporting periods. When initiating a new reporting period, the system requirement is to associate an exclusion rule with a reporting period.

NOTE: If no exclusion rule is applicable for an institution, define an empty rule –

Add Rule → select available ID, say *DEF001* → *click on* ***Save.***

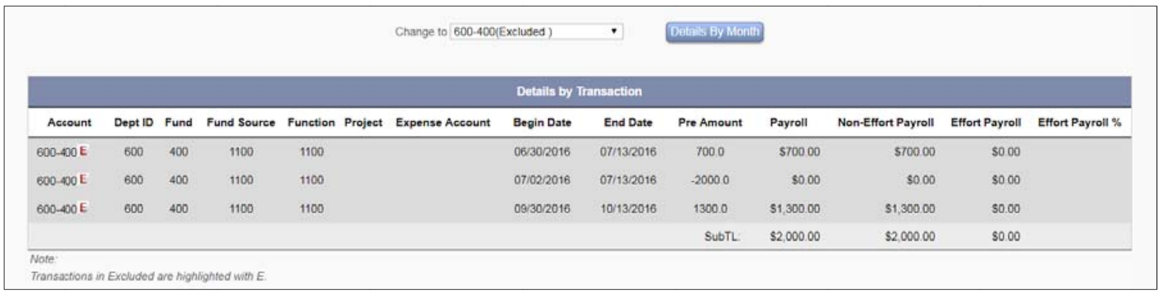
Add Rule → *Select a reporting period and associate rule DEF001* → *click on* ***Save***

Exclusion Rules

Displaying 2 of 2 records

Edit	ID	Short Description	Reference Default Rule	SQL
	123116	Academic Rule for 123116	DEF001	
	DEF001	Academic Rule		0

The excluded payroll transactions are highlighted in gray on the payroll drill down page and recorded as Non-Effort Payroll. These transactions are not counted toward individual's 100% effort.



Details by Transaction

Account	Dept ID	Fund	Fund Source	Function	Project	Expense Account	Begin Date	End Date	Pre Amount	Payroll	Non-Effort Payroll	Effort Payroll	Effort Payroll %
600-400 E	600	400	1100	1100			06/30/2016	07/13/2016	700.0	$700.00	$700.00	$0.00	
600-400 E	600	400	1100	1100			07/02/2016	07/13/2016	-2000.0	$0.00	$0.00	$0.00	
600-400 E	600	400	1100	1100			09/30/2016	10/13/2016	1300.0	$1,300.00	$1,300.00	$0.00	
									SubTL:	$2,000.00	$2,000.00	$0.00	

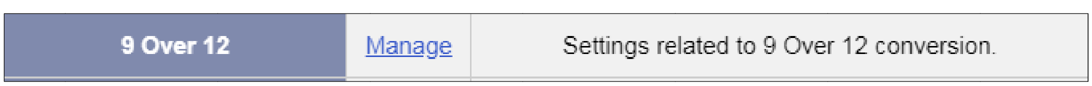
Note:
Transactions in Excluded are highlighted with E.

Note: Validate Exclusion Rules prior to releasing effort forms to institution's constituents. The following SQL can be used to get a list of all the excluded transactions.

SELECT * ERSPAYROLLXXXXXX WHERE ACCTTYPE = 'E'

2.4.2 **9 Over 12**

This option allows the Central Administrator to determine whether to enable the 9over12 conversion and, if so, select the appropriate account types to be converted from the *cash* to an *earned* basis.

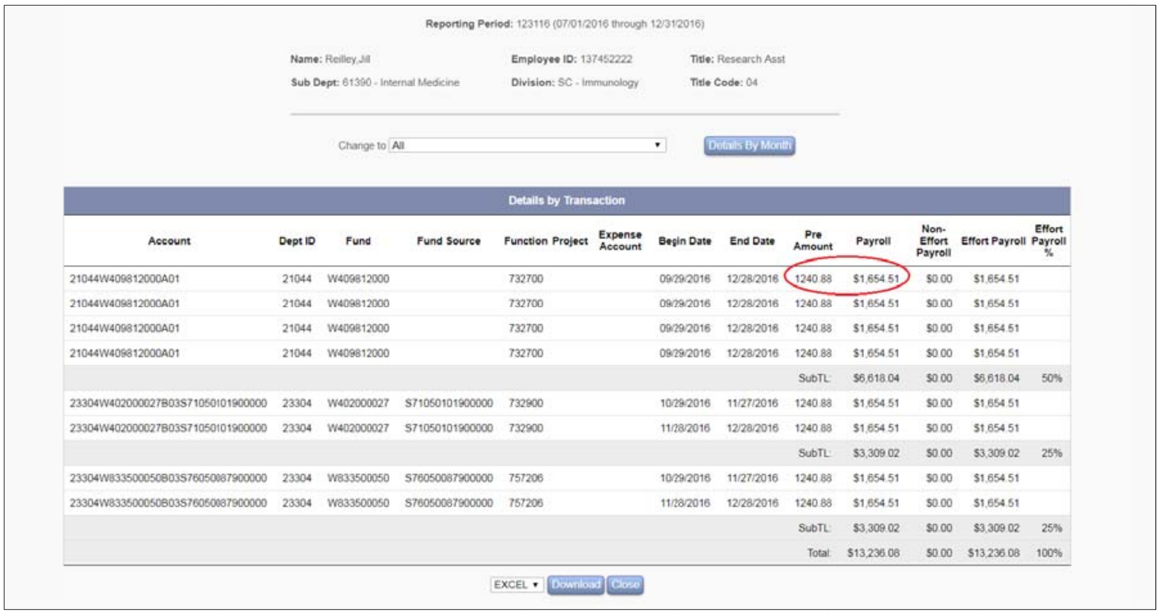


Manage Parameters

Parameter Name	Parameter Value
9Over12 *(Whether to enable 9Over12 conversion)*	Y - 9Over12 calculation enabled. N - 9Over12 calculation disabled
9Over12AcctType *(account types that can be applied for 9Over12 Conversion.*	**Sponsored Account Type:** Regular Sponsored Account, Cost Share Companion Account, Salary Cap Account, K-Award Account **Non-Sponsored Account Type:** Regular Non Sponsored Account, Departmental Cost Sharing Account, Payroll Clearing Account

The Appointment value is used to calculate Payroll for any accounts selected for the 9Over12 Conversion. The effort payroll will be calculated as Pre Amount / Appointment * 12. If Cost Transfers are enabled in ERS, transactions will be made based on the *earned* pay and converted to *cash* basis for the export. Same will apply to Retroactive Cost Transfers (RCTs).

Example:



Reporting Period: 123116 (07/01/2016 through 12/31/2016)

Name: Reilley,Jill **Employee ID:** 137452222 **Title:** Research Asst

Sub Dept: 61390 - Internal Medicine **Division:** SC - Immunology **Title Code:** 04

Change to All | Details By Month

Details by Transaction

Account	Dept ID	Fund	Fund Source	Function	Project	Expense Account	Begin Date	End Date	Pre Amount	Payroll	Non-Effort Payroll	Effort Payroll	Effort Payroll %
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$6,618.04	$0.00	$6,618.04	50%
23304W402000027B03S71050101900000	23304	W402000027	S71050101900000	732900			10/29/2016	11/27/2016	1240.88	$1,654.51	$0.00	$1,654.51	
23304W402000027B03S71050101900000	23304	W402000027	S71050101900000	732900			11/28/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$3,309.02	$0.00	$3,309.02	25%
23304W833500050B03S76050087900000	23304	W833500050	S76050087900000	757206			10/29/2016	11/27/2016	1240.88	$1,654.51	$0.00	$1,654.51	
23304W833500050B03S76050087900000	23304	W833500050	S76050087900000	757206			11/28/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$3,309.02	$0.00	$3,309.02	25%
									Total:	$13,236.08	$0.00	$13,236.08	100%

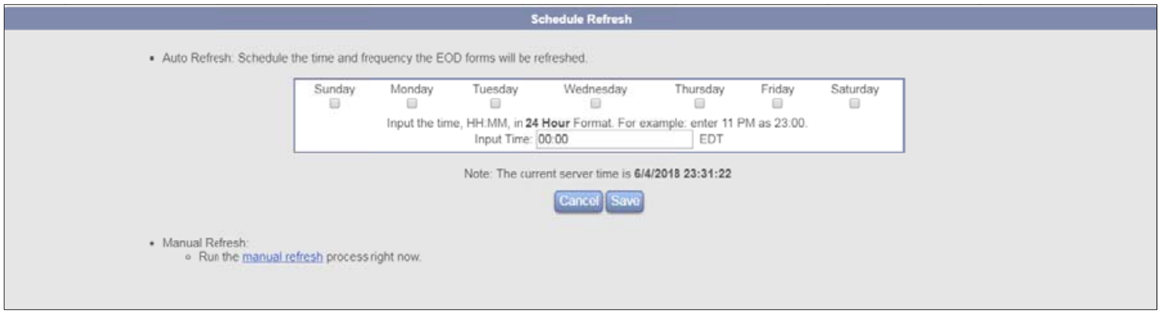
EXCEL | Download | Close

2.4.3 Effort on Demand

Use this option to refresh the *Effort On Demand* (EOD) effort forms as new payroll transactions are added to the future effort cycle. This process should be run after adding new payroll transactions to a future reporting period. New Effort Forms needed as a result of the added transactions will not appear in the EOD report until this process is run.

Effort On Demand	Manage	Update the EOD refresh schedule or manually run the refresh now.

The Effort on Demand feature allows the institution to automatically refresh the payroll and update the effort forms for a period that has not been initiated yet. Click on the *Manage* link to enable the Auto Refresh Scheduler setting.



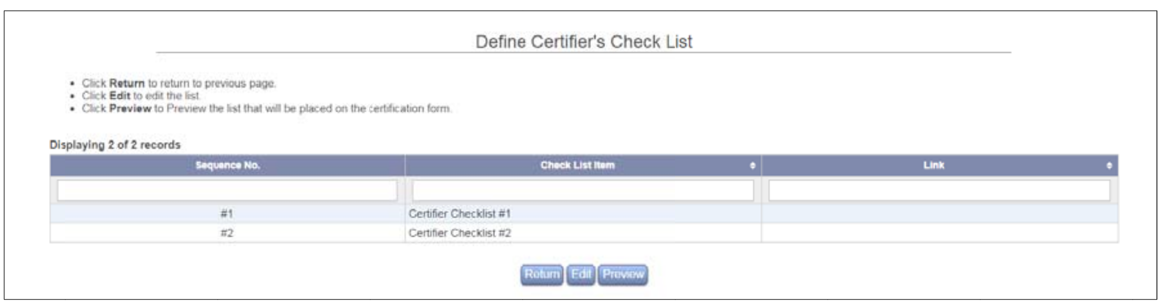
This interface also provides an option of doing a manual refresh of the effort forms.

2.4.4 Define Certifier's Check List

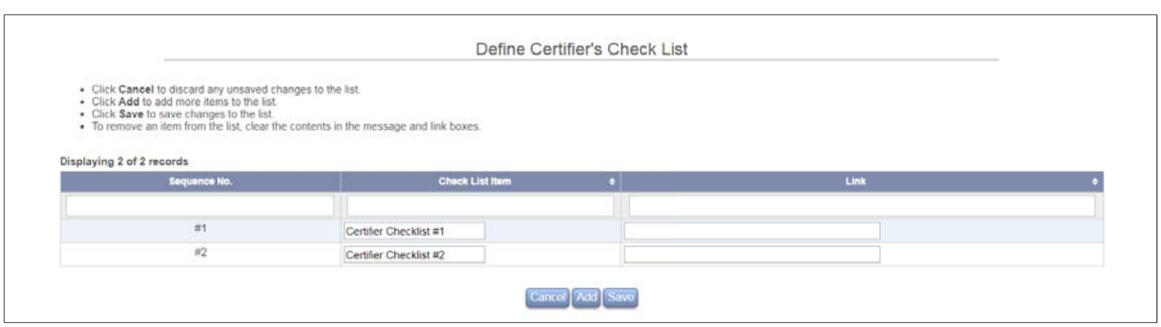
This feature allows the Central Administrator to configure links and reminders on the certification screen in order to assist Certifiers with the effort reporting process.

Define Certifier's Check List	Manage	The Certifier's Check List will be displayed on the Certification Form.

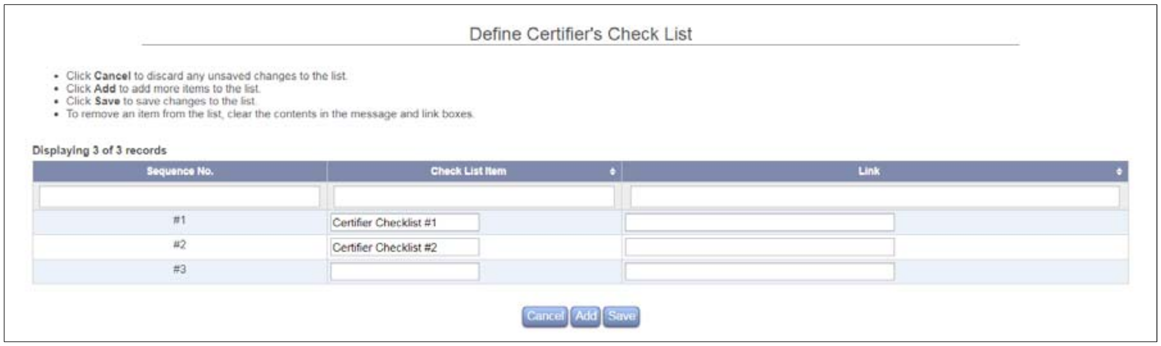
On clicking the *Manage* link the following page is displayed that allows inputting the desired checklist for the Certifiers.



Click on the **Edit** button to add or remove items from the Certifiers checklist.

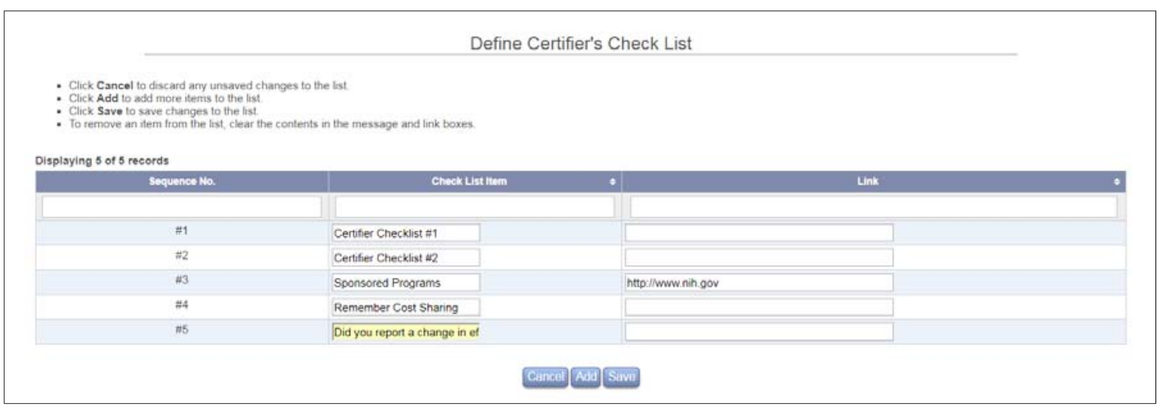


To add items, click on the ***Add*** button to create a new check list item.

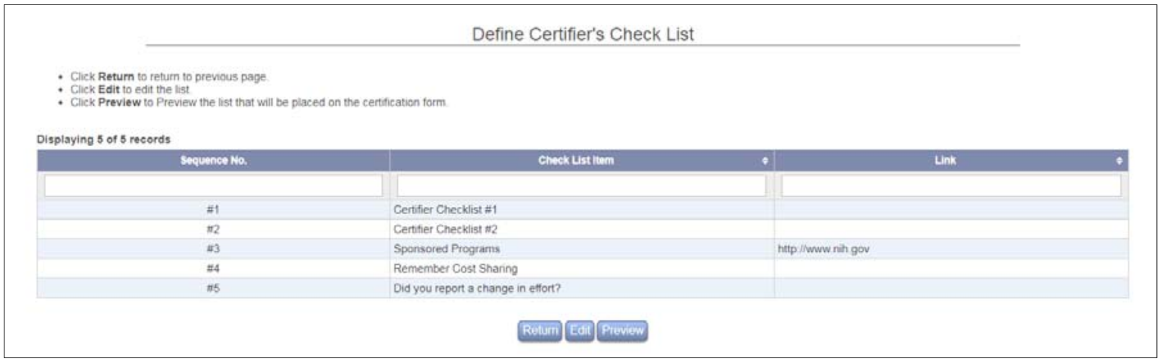


- Enter the item and URL in the *Check List Item* and *Link* column respectively. The value under Link is optional. If left blank, it will just display as plain text with no link on the checklist.
- To submit the updates click on the ***Save*** button.
- To delete menu items, delete content under *Check List Item* and *Link* columns respectively and click the ***Save*** button***.***

The following is an example of the configuration and display on the certification screen:

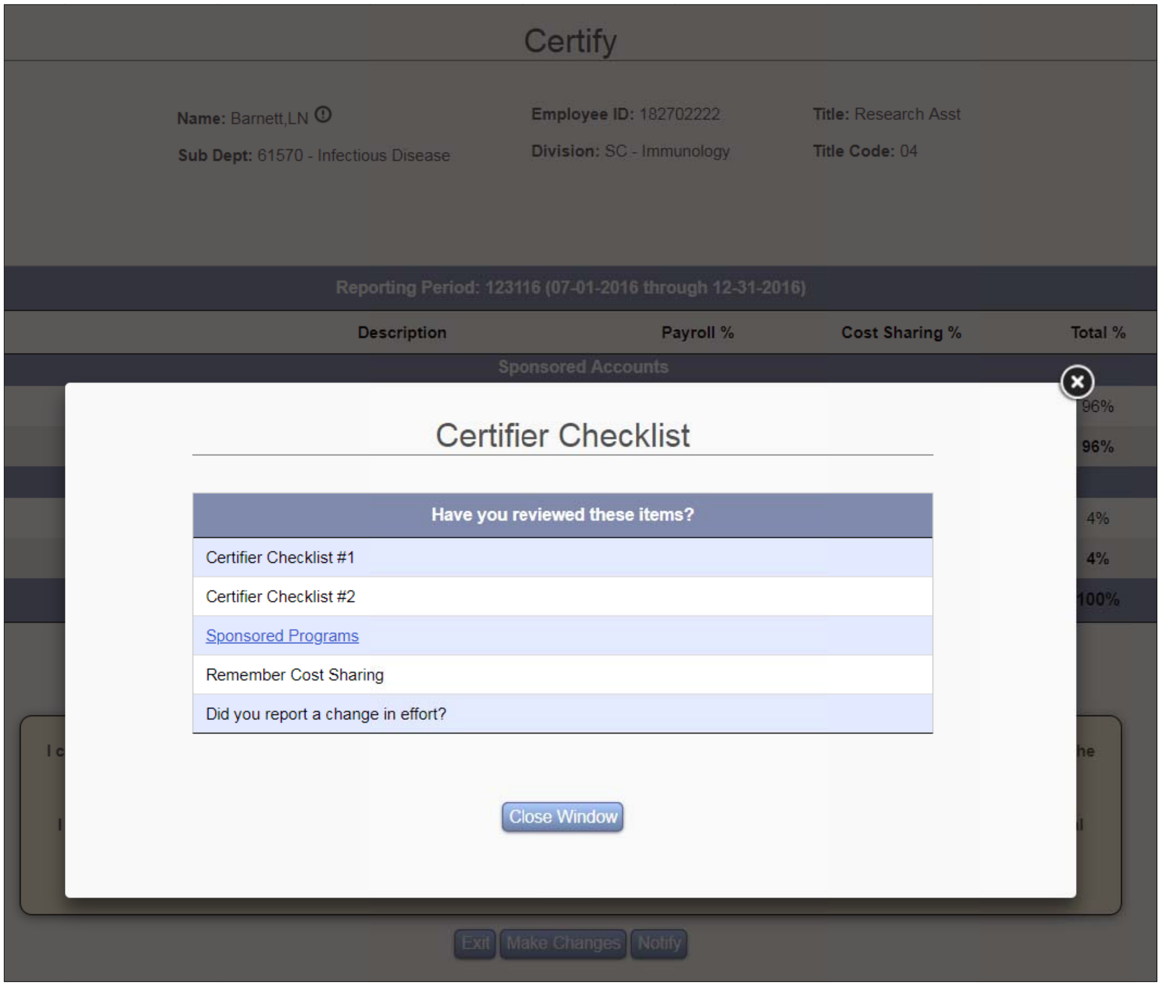


Configure the following checklist items to include links and questions and click on the **Save** button. It will display the following page.



Click on the **View** button to see a preview of the checklist that will display on the Certification screen.

The following screen displays the configured check list items on the Certifier view of the effort form.



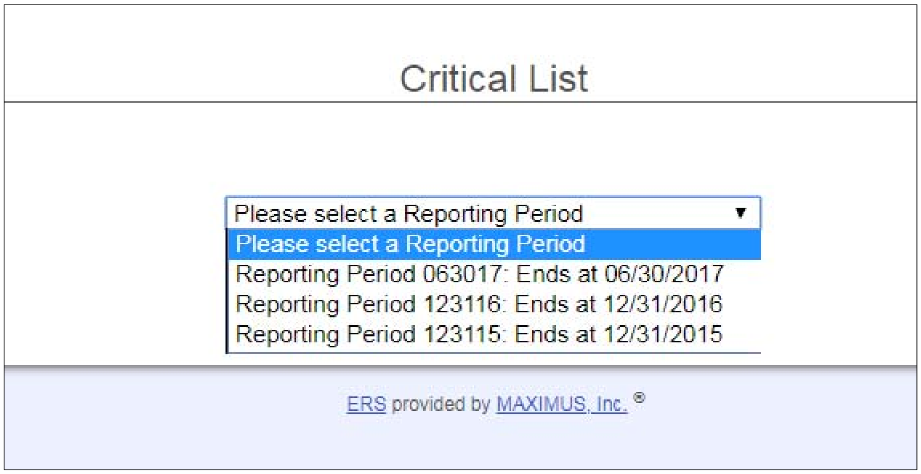
Note: To add a PDF or another document, the file needs to be loaded onto the institution's website and linked to from this interface. There is no option to attach a file to the Certifiers Checklist.

2.4.5 **Critical Lists and Global Release**

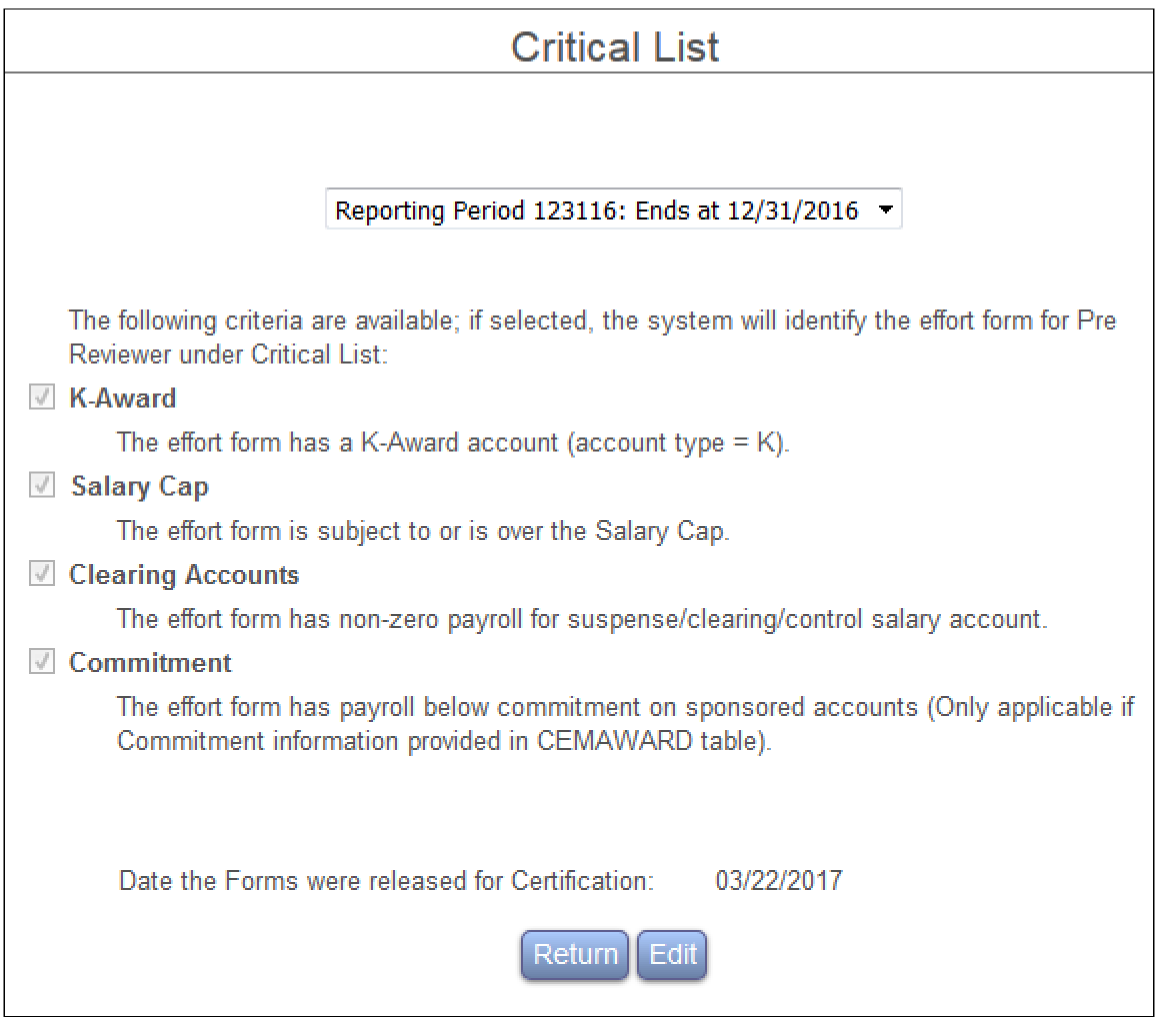
This feature allows the Central Administrator to define the critical criteria in the system in order to categorize the effort forms in a separate *Critical List* for Pre Reviewers to review.

Critical Lists and Global Release	Manage	Manage Critical List and define Global Release by reporting period.

On clicking the *Manage* link the Central Administrator is directed to select a reporting period for which critical categories need to be defined.

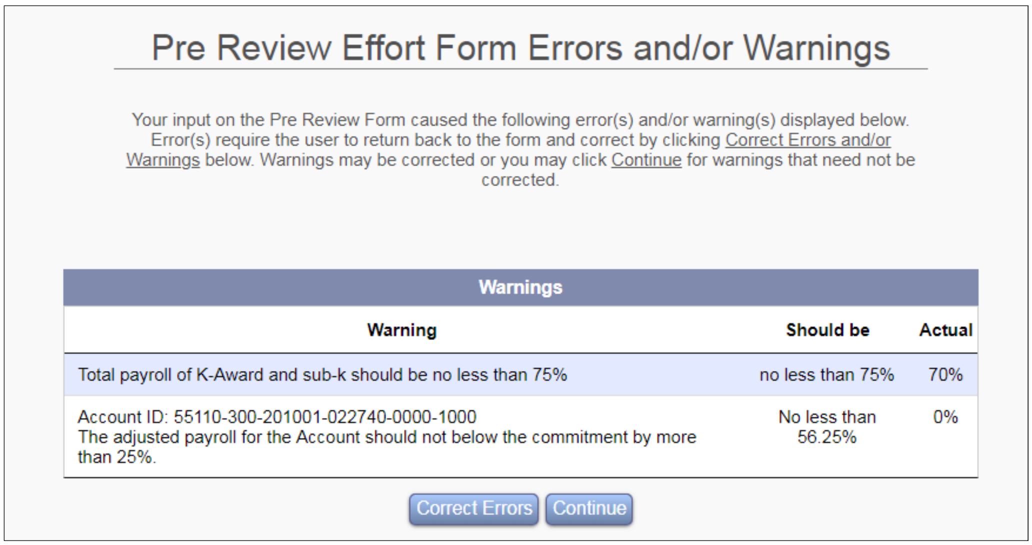


Upon selection of the reporting period, the system provides a list of criteria's to select from.



1. **K-Award** - The effort form will be marked as critical if it has a K-Award account (account type = K) or the K-award account is less than 75% upon completion of pre review.

Important Note: Upon completion of pre review the system performs a check if the adjusted payroll for the K-award account is less than 75% and displays the following warning message on “Proceed”.



Pre Review Effort Form Errors and/or Warnings

Your input on the Pre Review Form caused the following error(s) and/or warning(s) displayed below. Error(s) require the user to return back to the form and correct by clicking Correct Errors and/or Warnings below. Warnings may be corrected or you may click Continue for warnings that need not be corrected.

Warnings

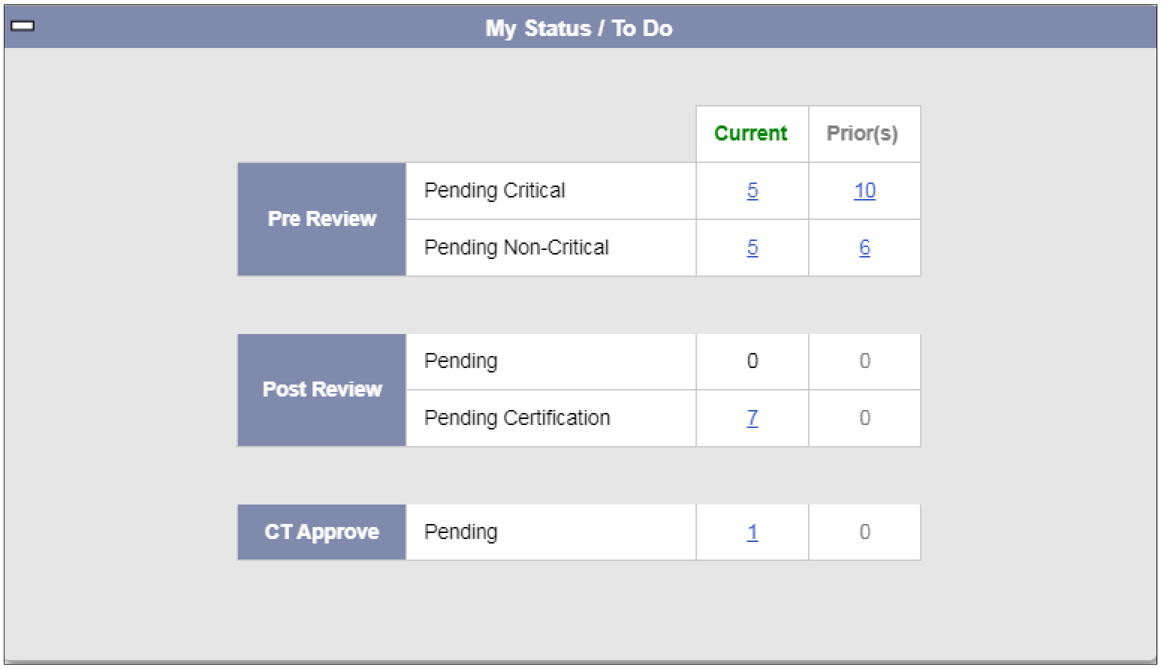
Warning	Should be	Actual
Total payroll of K-Award and sub-k should be no less than 75%	no less than 75%	70%
Account ID: 55110-300-201001-022740-0000-1000 The adjusted payroll for the Account should not below the commitment by more than 25%.	No less than 56.25%	0%

Correct Errors Continue

2. **Salary Cap** - The effort form will be marked as critical if it is subject to or is over the Salary Cap.
3. **Clearing Accounts** - The effort form will be marked as critical if it has non-zero payroll for suspense/ clearing/ control salary account (account type = C).
4. **Commitment** - The effort form will be marked as critical if it has adjusted payroll below commitment on sponsored accounts by 25% (*Only applicable if Commitment information provided in CEMAWARD table*).

Configuration Note: Besides the standard critical criteria mentioned above, ERS allows institutions to define up to four types of customized critical criteria via SQL statement from backend configuration. Once defined, any effort forms that meet the criteria will be marked as critical. Please contact MAXIMUS for details.

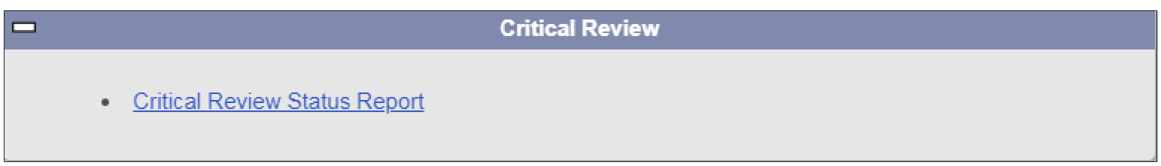
The Pre Reviewer will have the forms that fall under the predefined Critical categories separated from non-critical forms for easy access. Any effort form meeting the selected criteria will be distinguished in a separate column on the Pre Reviewer’s Status/MY TO DO box.



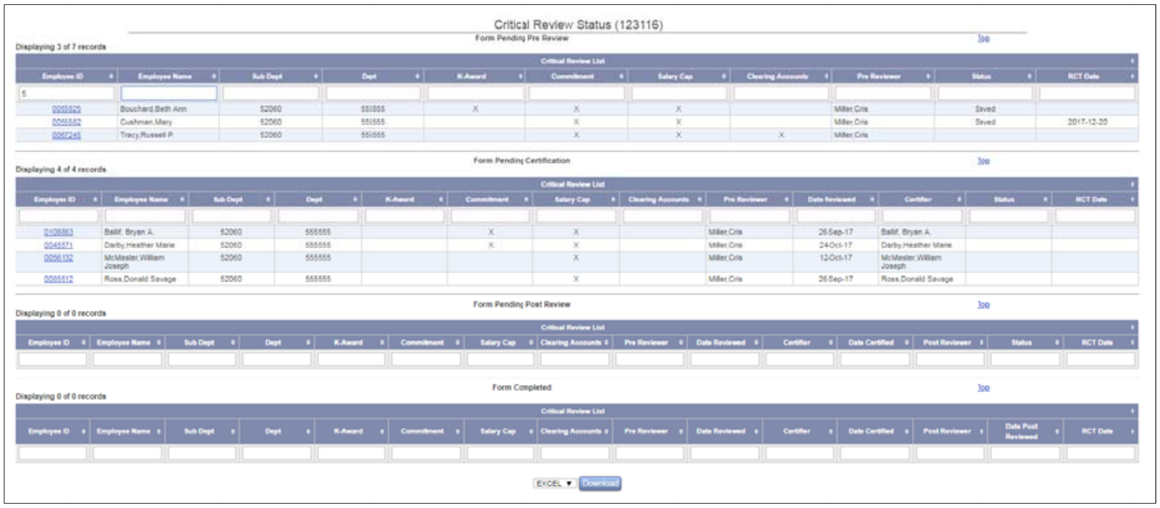
My Status / To Do

		Current	Prior(s)
Pre Review	Pending Critical	5	10
	Pending Non-Critical	5	6
Post Review	Pending	0	0
	Pending Certification	7	0
CT Approve	Pending	1	0

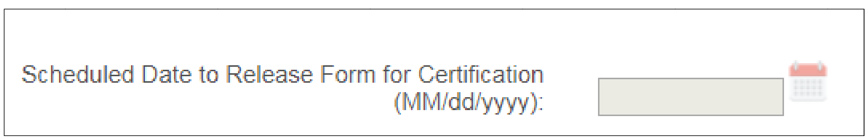
A standard report ***Critical Review Status*** is available under ***Reporting → Critical Review*** section.



Similar to *Comprehensive Status Report* this report is divided into 4 sections based on the effort form status and ***only*** lists the effort forms that meet the pre-defined critical criteria.



An added feature related to the **Critical List** is the ability to schedule the release of non-critical effort forms to the Certifier if Pre Review has not been completed. This feature can be turned on/off by a configuration. The Central Administrator enters the date in the input box when all non Pre Reviewed effort forms should be released to Certifiers.

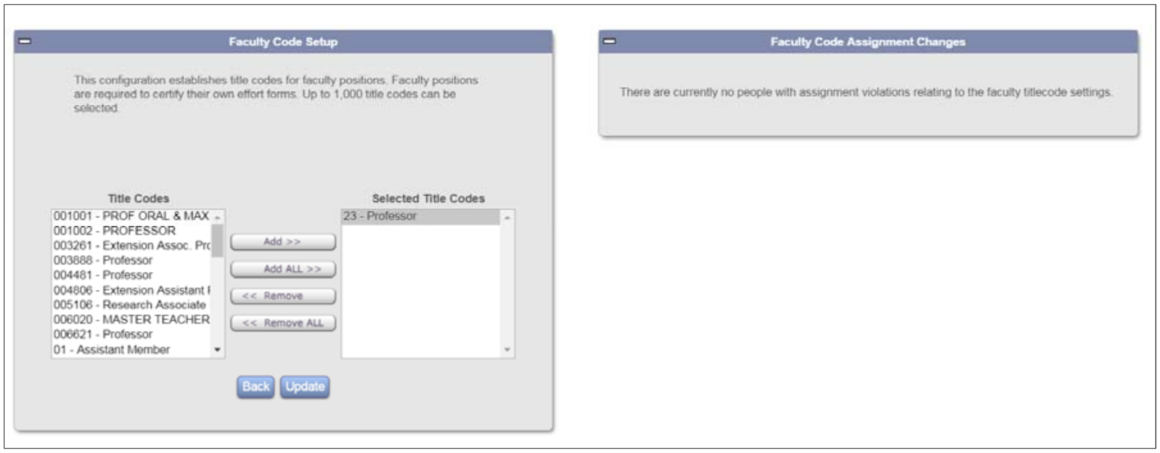


Note: Any effort form that meets the defined critical condition **will not** be released to the Certifier and will remain listed under Pending Pre Review/Critical column in the Status / MY TO DO box for the Pre Reviewer.

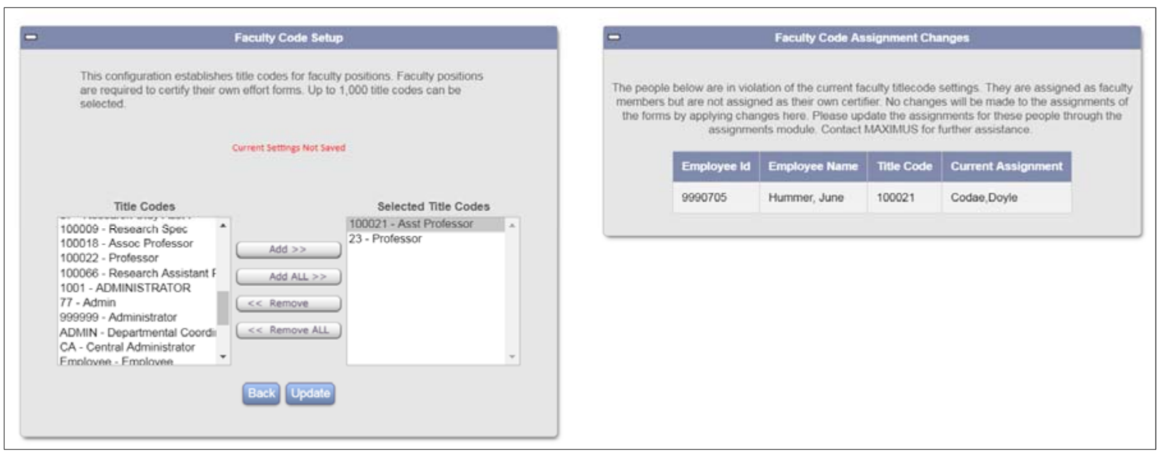
2.4.6 **Faculty Code Setup**

This interface establishes title codes for faculty positions who are required to certify their own effort forms, per the Institution's policy. Previously the faculty title codes could only be updated through a backend change done by MAXIMUS.

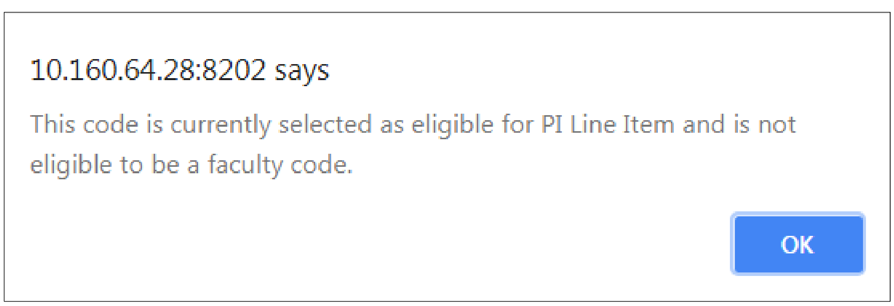
Clicking on the *Manage* link presents the interface to configure the title codes for faculty restriction.



When adding or removing title codes from the list the system will alert the user if any assignment changes need to be done as a result of this change.



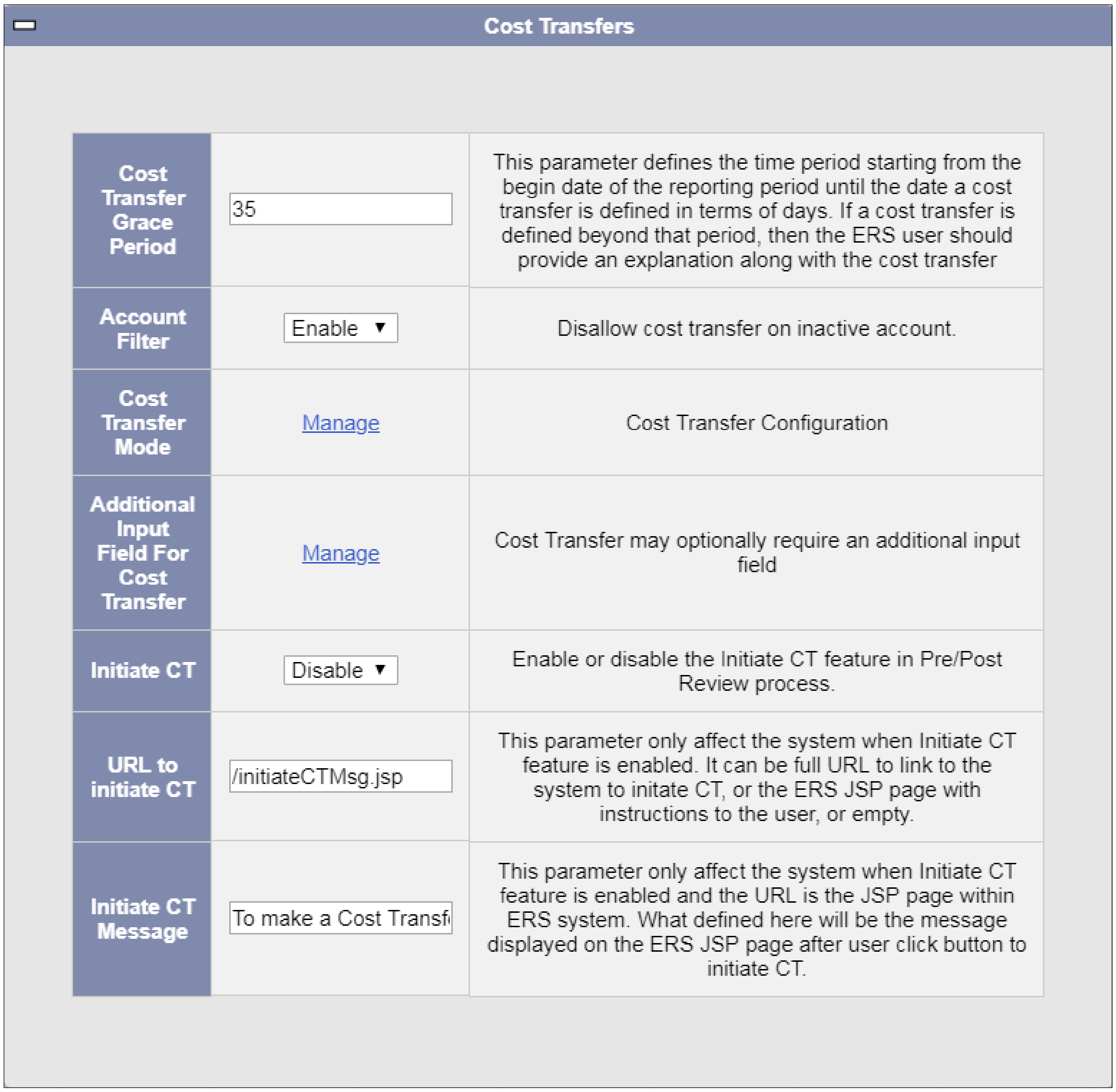
Note also that if a title code has already been selected as eligible for line item certification ERS will not allow that code to be selected as faculty title code.



Assignment changes may be required if faculty are required to certify their own effort form, per the institutional policy. Assigning a new title code to the list of faculty codes means that Certifiers might need to be updated.

2.5 Cost Transfers

ERS allows institutions to transact Cost Transfers and provides various related configurations.


Cost Transfers

Cost Transfer Grace Period	35	This parameter defines the time period starting from the begin date of the reporting period until the date a cost transfer is defined in terms of days. If a cost transfer is defined beyond that period, then the ERS user should provide an explanation along with the cost transfer
Account Filter	Enable ▼	Disallow cost transfer on inactive account.
Cost Transfer Mode	Manage	Cost Transfer Configuration
Additional Input Field For Cost Transfer	Manage	Cost Transfer may optionally require an additional input field
Initiate CT	Disable ▼	Enable or disable the Initiate CT feature in Pre/Post Review process.
URL to initiate CT	/initiateCTMsg.jsp	This parameter only affect the system when Initiate CT feature is enabled. It can be full URL to link to the system to initate CT, or the ERS JSP page with instructions to the user, or empty.
Initiate CT Message	To make a Cost Transfi	This parameter only affect the system when Initiate CT feature is enabled and the URL is the JSP page within ERS system. What defined here will be the message displayed on the ERS JSP page after user click button to initiate CT.

2.5.1 Cost Transfer Grace Period

This configuration allows the CA to define the number of days starting from reporting period begin date to define a cost transfer without the need to provide a late reason.

Cost Transfer Grace Period	35	This parameter defines the time period starting from the begin date of the reporting period until the date a cost transfer is defined in terms of days. If a cost transfer is defined beyond that period, then the ERS user should provide an explanation along with the cost transfer

Note: This configuration is only applicable if cost transfers can be processed in ERS and uses default Cost Transfer Mode.

The number of days specified in this configuration should align with institution's Cost Transfer policy.

2.5.2 **Account Filter**

This parameter specifies whether cost transfer can be transacted on inactive accounts that have been added to the effort form.

Note: This configuration is only applicable if cost transfers are allowed to be identified in ERS.

Account Filter	Enable ▼	Disallow cost transfer on inactive account.

The possible options for selection are:
Disable **–** Can make cost transfers to the inactive account.
Enable **–** Cannot make cost transfers to the inactive account.

Example screenshot when Account Filter is enabled.

Pre Review Effort Form Errors and/or Warnings

Your input on the Pre Review Form caused the following error(s) and/or warning(s) displayed below. Error(s) require the user to return back to the form and correct by clicking Correct Errors and/or Warnings below. Warnings may be corrected or you may click Continue for warnings that need not be corrected.

Errors		
Error	**Should be**	**Actual**
The cost transfer transaction is not allowed for 16010-20010 since it is either Inactive or Terminated	$0.00	$2000

Correct Errors

Note:
The system identifies the account status by referencing the value in the field STATUS in table ERSCHARTACCTS where **I** means Inactive and **A** means Active.

The system only checks for cost transfer transacted on an inactive account that was added using the Add Account process in Pre Review. This validation does not apply to inactive account that is already part of the effort form.

2.5.3 **Cost Transfer Mode**

This option allows the Central Administrator to establish the Cost Transfer configurations.

Cost Transfer Mode	Manage	Cost Transfer Configuration

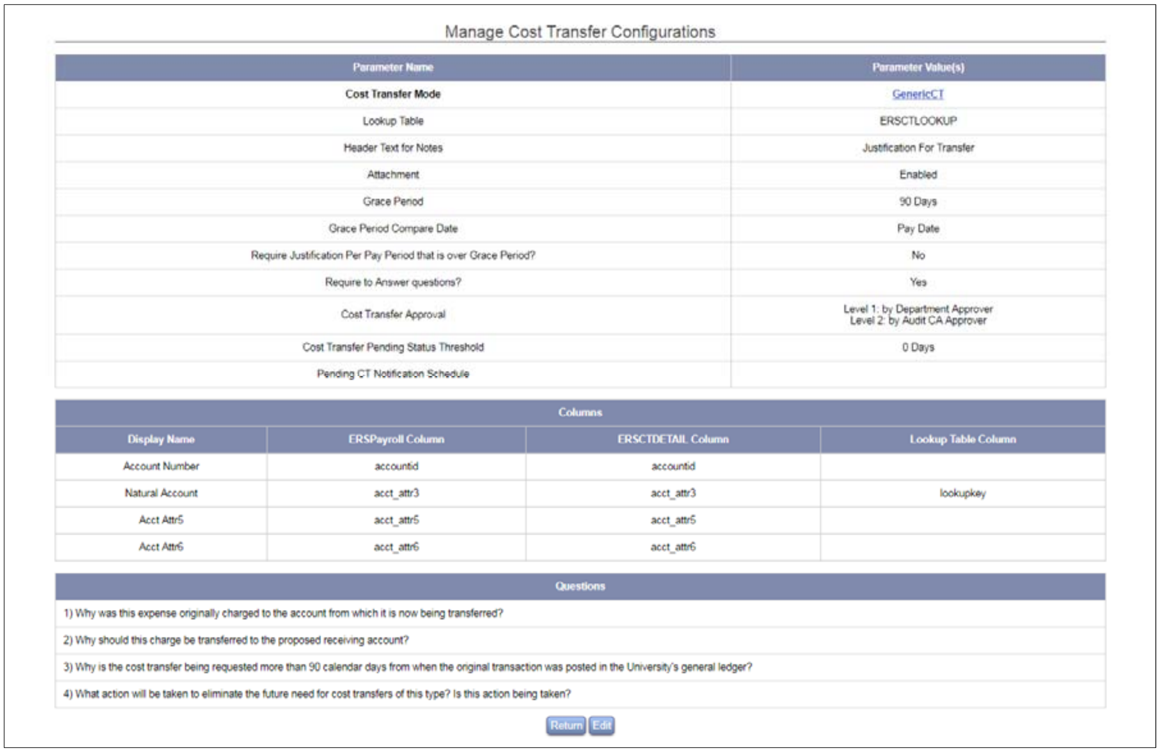
Clicking *Manage* link presents the following screen depending on the Cost Transfer Mode selected:

Manage Cost Transfer Configurations

Parameter Name	Parameter Value(s)
Cost Transfer Mode	N/A
Grace Period Length:	35 Days

Return

OR



Manage Cost Transfer Configurations

Parameter Name	Parameter Value(s)
Cost Transfer Mode	GenericCT
Lookup Table	ERSCTLOOKUP
Header Text for Notes	Justification For Transfer
Attachment	Enabled
Grace Period	90 Days
Grace Period Compare Date	Pay Date
Require Justification Per Pay Period that is over Grace Period?	No
Require to Answer questions?	Yes
Cost Transfer Approval	Level 1: by Department Approver Level 2: by Audit CA Approver
Cost Transfer Pending Status Threshold	0 Days
Pending CT Notification Schedule	

Columns

Display Name	ERSPayroll Column	ERSCTDETAIL Column	Lookup Table Column
Account Number	accountid	accountid	
Natural Account	acct_attr3	acct_attr3	lookupkey
Acct Attr5	acct_attr5	acct_attr5	
Acct Attr6	acct_attr6	acct_attr6	

Questions

1) Why was this expense originally charged to the account from which it is now being transferred?
2) Why should this charge be transferred to the proposed receiving account?
3) Why is the cost transfer being requested more than 90 calendar days from when the original transaction was posted in the University's general ledger?
4) What action will be taken to eliminate the future need for cost transfers of this type? Is this action being taken?

Return Edit

- ***Cost Transfer Mode*** – displays the mode of cost transfer used by the system.
    - ***Default mode*** N/A: The cost transfer is defined on the form level only and will not provide an option to distribute the amount across pay periods;
    - ***GenericCT mode:*** The cost transfer is defined on the form level and to pay period level as well. Only this CT Mode allows for more configurations below.
- ***Lookup Table*** – the table used for attributes lookup when adding an account to the cost transfer.
- ***Header text for Notes*** – the label for the text area that is used for explanations.
- ***Attachment*** – specifies whether the user will be able to attach files to the cost transfer.
- ***Grace Period*** – the number of days that is used to determine whether the cost transfer is delinquent.
- ***Grace Period Compare Date*** – option to use the Pay Date, or the last Day of the Month, to determine whether the cost transfer is over the grace period
- ***Require Justification per Pay Period that is over Grace Period?*** – If required, justification needs to be entered per pay period that exceeds the Grace Period as well as the general justification for the cost transfer.

- ***Require Answer Questions?*** **–** If required, the user must provide a response to specific questions as cost transfer justification. Note, if enabled, the responses provided by the user are not validated.
- ***Cost Transfer Approval*** – specifies cost transfer approval process.
- ***Cost Transfer Pending Status Threshold*** – if the cost transfer remains Pending in the system longer than the threshold defined, then the cost transfer is considered delinquent. Depending upon the Cost Transfer Approval mode, the Central Administrator may have an option to schedule the reminder notifications to the corresponding approver(s) for delinquent cost transfers.
- ***Pending CT Notification Schedule*** **–** If scheduled, the reminder notification schedule will be listed here.
- **Columns** – This section displays various payroll fields used on the *Cost Transfer Define* and summary screens.
- **Questions –** If configured to answer questions as justification, this section displays the pre-defined questions for user to answer when transacting cost transfer.
- There are more configurations and controls defined in the Cost Transfer configuration file, such as the rule used to define approval process and the assignment availability. Only some of the selected attributes are displayed for informational purpose. Clicking on "GenericCT" link will allow the CA to download the actual configuration file and email it to MAXIMUS if change of configuration is needed.

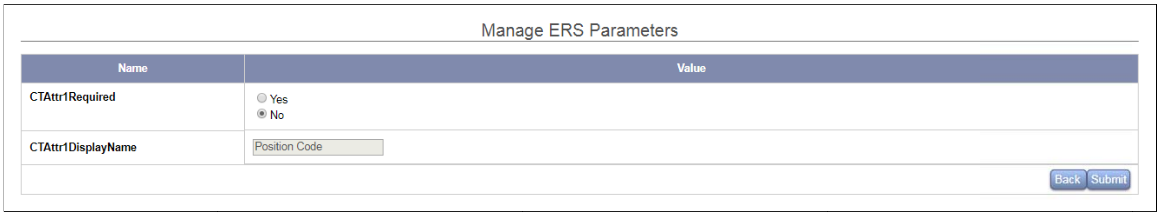
Configuration Note: The cost transfer mode and cost transfer approval configuration are available via back-end. Contact ERSHelpDesk@maximus.com for details or any updates.

2.5.4 Additional Input Field for Cost Transfer

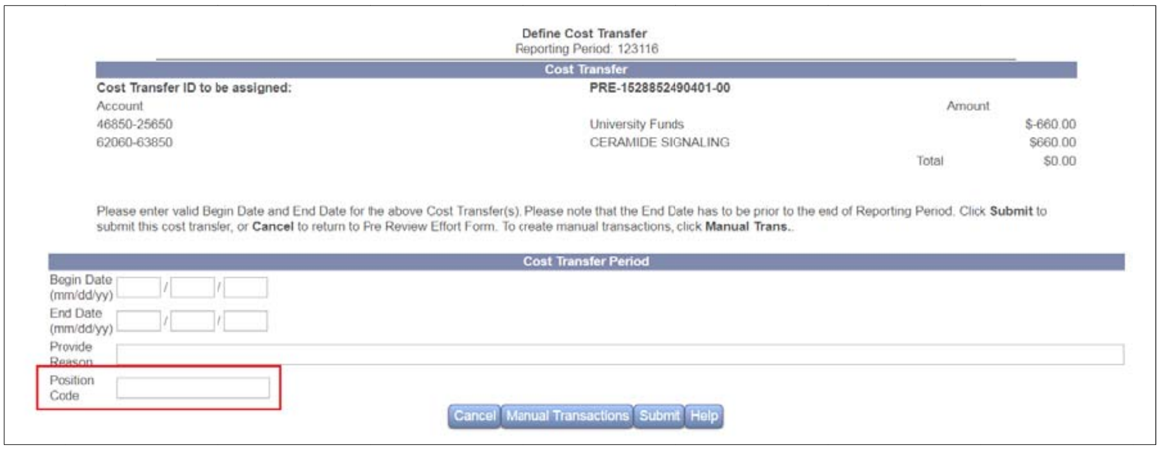
This option permits the inclusion of an optional field when defining cost transfers, which may be required to process cost transfers. It only works with the default CTMode.

Additional Input Field For Cost Transfer	Manage	Cost Transfer may optionally require an additional input field

Clicking on the *Manage* link allows configuring additional attribute.



If *CTAttr1Required* is set to *Yes*, the field *CTAttr1DisplayName* will be displayed on the Cost Transfer screen, and the Pre/Post Reviewer will need to provide it after transacting Cost Transfers.



Note: This configuration is only available if cost transfer process is enabled in ERS. The entry will not be validated in ERS; however, the user will not be able to proceed until a value is entered.

2.6 Effort Form Setup

These configurations allow the Central Administrator to determine the layout of the effort form.

Effort Form Setup

Account Drilldown Setup	Manage	Setup tables/columns used for account drilldown display on effort form.
Payroll Drilldown Setup	Manage	Setup columns used for payroll drilldown display on effort form.
View Payroll	Enable ▼	Allow payroll to be viewed in certify mode.
Payroll Drilldown Transactions Options	Enable ▼	Ignore the transactions that are out of the reporting period on the Payroll Drilldown page.
Payroll Drilldown Sorting Options	Account ID ▼	Sets the account sorting options for the Payroll Drilldown page.
Payroll Drill Down Default Display	By Transaction ▼	Sets the default display options for the Payroll Drilldown page.
Effort Form Layout	Manage	This parameter defines certain layout features on the effort form
Read-only Forms	All Accounts ▼	This option determines how the read-only feature is configured in Pre Review
Enable Cost Sharing	Enable ▼	Allow Cost Sharing on effort forms.
Enable Cost Transfer	Enable ▼	Allow Cost Transfers on effort forms.
Salary Cap Management	Manage	This option will manage Salary Cap related parameter.
Viewable Accounts	Manage	Select special conditions in which accounts can be hidden from an effort form.

2.6.1 Account Drilldown Setup

This option allows the Central Administrator to configure what account details should be made available on the effort form. Click on the *Manage* link to select which table should be considered as the primary source of display when presenting account information on the account drilldown.

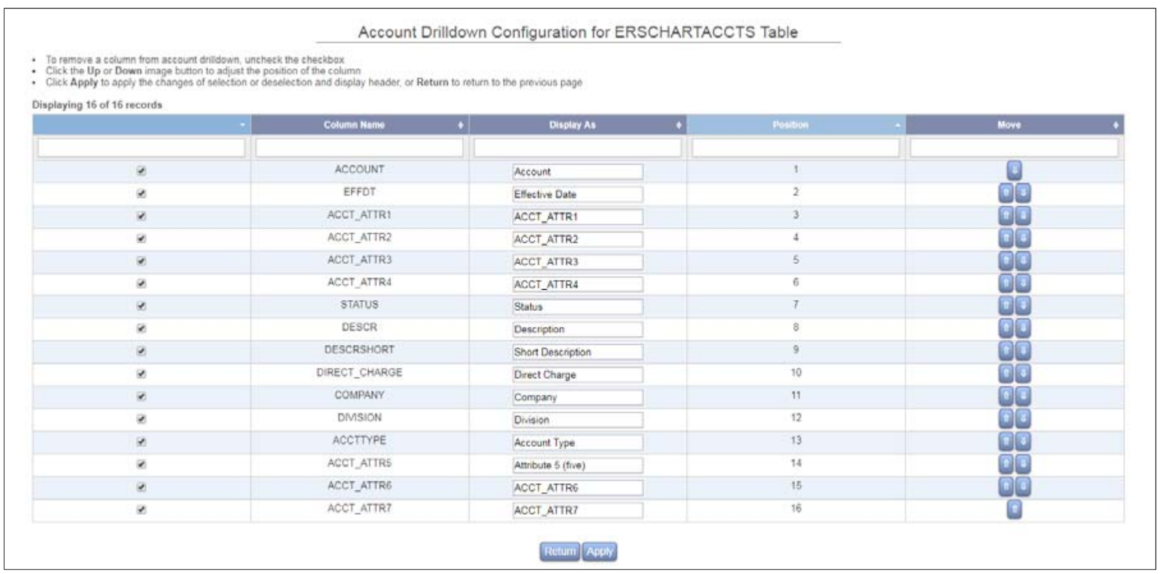
Account Drilldown Setup	Manage	Setup tables/columns used for account drilldown display on effort form.

The *Account Drilldown Configuration* page will look for an account in each table *Enabled* on this screen in the order specified under *Display Priority*.

If the above configuration is used, the system will first search for an account in table CEMAWARD, and if not found, it will search in table ERSCHARTACCTS, if not found in ERSCHARTACCTS table it will display "*Record Not Found*" when any user drills down on the account hyperlink on the effort form.

Clicking 

displays the following screen to allow the CA to select and specify the order in which the columns will be listed for the end user. CA can also change the column name displayed.



Any column can be included/excluded by selecting or unselecting the checkbox available next to each column.

The position of each column can be defined by using the *Up*  or *Down*  button.

The column names may be edited to display titles more in line with institution's conventions. The *Display As* text has a 20 character limit.

Click the ***Apply*** button to apply the changes, or the ***Return*** button to cancel changes and return to the previous screen.

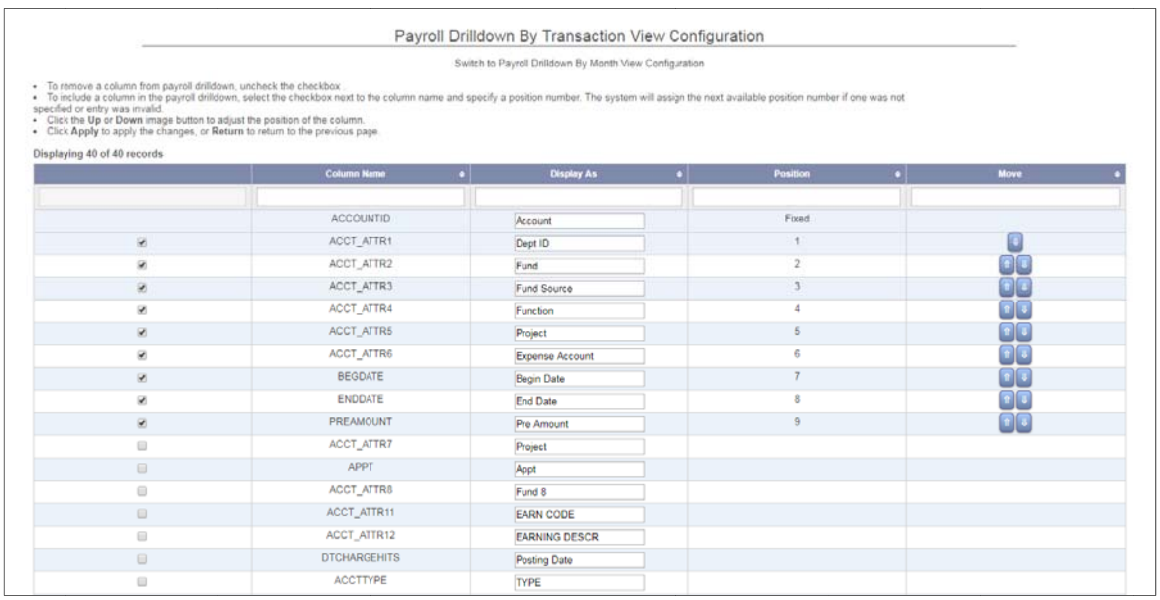
Once the changes have been made, review an effort form to ensure that the drill down is presenting the information correctly in the desired order.

2.6.2 **Payroll Drilldown Setup**

This option allows the CA to configure the columns to be displayed on the drill down when a payroll amount or total payroll link on the effort form is selected.

Payroll Drilldown Setup	Manage	Setup columns used for payroll drilldown display on effort form.

The *Manage* link will make columns available for the configuration from the table ERSPAYROLLxxxxxx.



Payroll Drilldown By Transaction View Configuration

Switch to Payroll Drilldown By Month View Configuration

- To remove a column from payroll drilldown, uncheck the checkbox
- To include a column in the payroll drilldown, select the checkbox next to the column name and specify a position number. The system will assign the next available position number if one was not specified or entry was invalid.
- Click the **Up** or **Down** image button to adjust the position of the column.
- Click **Apply** to apply the changes, or **Return** to return to the previous page

Displaying 40 of 40 records

	Column Name	Display As	Position	Move
	ACCOUNTID	Account	Fixed	
☑	ACCT_ATTR1	Dept ID	1	
☑	ACCT_ATTR2	Fund	2	
☑	ACCT_ATTR3	Fund Source	3	
☑	ACCT_ATTR4	Function	4	
☑	ACCT_ATTR5	Project	5	
☑	ACCT_ATTR6	Expense Account	6	
☑	BEGDATE	Begin Date	7	
☑	ENDDATE	End Date	8	
☑	PREAMOUNT	Pre Amount	9	
☐	ACCT_ATTR7	Project		
☐	APPT	Appt		
☐	ACCT_ATTR8	Fund 8		
☐	ACCT_ATTR11	EARN CODE		
☐	ACCT_ATTR12	EARNING DESCR		
☐	DTCHARGEHITS	Posting Date		
☐	ACCTTYPE	TYPE		

Any column can be included/excluded by selecting or unselecting the checkbox available next to each column.

The position of each column can be defined by using the *Up* or *Down*. button.

The column names may be edited to display titles more in line with institution's conventions. The *Display As* text has a 20 character limit.

Click ***Apply*** to apply the changes, or ***Return*** to cancel any changes and return to the previous screen.

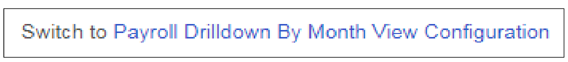
This configuration is applicable only for the *Payroll Drilldown View by Transaction*.

Note: The position of PRE AMOUNT field is fixed and, if selected to be displayed, will always be listed before AMOUNT, NON-EFF, EFFAMT and PERCENT fields

Configuration Note: If the institution already has the PRE AMOUNT column configured to display, the CA should take the following steps for reconfiguration.

- UNCHECK the checkbox next to the PRE AMOUNT column and click the APPLY button to delete this column.
- Scroll down to the Unselected Columns and CHECK the checkbox next to the PRE AMOUNT column and click the APPLY button to re-add it. The column will automatically be re-added with a FIXED, non-configurable position and the subtotals and totals will now be displayed on the payroll drilldowns.

Click on the link to configure the *Payroll Drilldown by Month View*.



This configuration provides a selection of dates from the payroll table that will be used to summarize payroll by month. The default system selection is *ENDDATE:*

The following is an example of the payroll drilldown by month view configured using ENDDATE vs. DTCHARGEAFFECTS:

Details by Transaction													
Account	Dept ID	Fund	Fund Source	Function	Project	Expense Account	Begin Date	End Date	Pre Amount	Payroll	Non-Effort Payroll	Effort Payroll	Effort Payroll %
21150-2332	21150	2332	1100	1100			06/30/2016	07/13/2016	600.0	$600.00	$42.86	$557.14	
21150-2332	21150	2332	1100	1100			07/02/2016	07/13/2016	2000.0	$0.00	$0.00	$0.00	
21150-2332	21150	2332	1100	1100			07/14/2016	07/30/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			07/31/2016	08/13/2016	1076.97	$1,076.97	$0.00	$1,076.97	
21150-2332	21150	2332	1100	1100			08/14/2016	08/30/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			08/31/2016	09/13/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			09/14/2016	09/29/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			09/30/2016	10/13/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			10/14/2016	10/30/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			10/31/2016	11/13/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			11/14/2016	11/29/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			11/30/2016	12/13/2016	600.0	$600.00	$0.00	$600.00	
21150-2332	21150	2332	1100	1100			12/14/2016	12/30/2016	600.0	$600.00	$0.00	$600.00	
									SubTL:	$7,676.97	$42.86	$7,634.11	6%

Group By Enddate

Details by Month														
Account	July		August		September		October		November		December		Account Total	
	$	%	$	%	$	%	$	%	$	%	$	%	$	%
21150-2332	$1,157.14	6.30%	$1,676.97	11.97%	$1,200.00	4.76%	$1,200.00	2.06%	$1,200.00	10.90%	$1,200.00	10.90%	$7,634.11	6%

Group By DtChargeAffects

Details by Month														
Account	July		August		September		October		November		December		Account Total	
	$	%	$	%	$	%	$	%	$	%	$	%	$	%
21150-2332	$4,034.11*	12.01%	$0.00	0%	$1,200.00	2.06%	$1,200.00	10.90%	$1,200.00	10.90%	$0.00	0%	$7,634.11	6%

2.6.3 View Payroll

This parameter allows enabling and disabling of viewing the payroll transactions in the Certify mode as well as accessing Pre Preview Details button.

View Payroll	Enable ▼	Allow payroll to be viewed in certify mode.

The possible options for selection are:
Enable – Payroll drill down link and Pre Review Details are available on the effort form in Certify mode. *Example*:

Certify

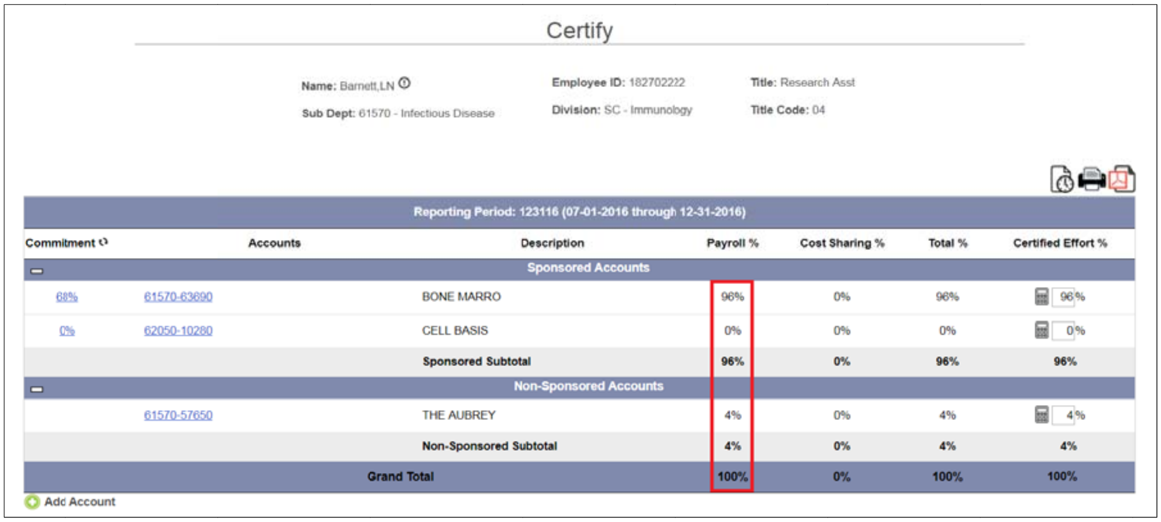
Name: Barnett,LN **Employee ID:** 182702222 **Title:** Research Asst
Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology **Title Code:** 04

View Pre Review Details

Reporting Period: 123116 (07-01-2016 through 12-31-2016)						
Commitment	Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
		Sponsored Accounts				
68%	61570-63690	BONE MARRO	96%	0%	96%	96%
0%	62050-10280	CELL BASIS	0%	0%	0%	0%
		Sponsored Subtotal	**96%**	**0%**	**96%**	**96%**
		Non-Sponsored Accounts				
	61570-57650	THE AUBREY	4%	0%	4%	4%
		Non-Sponsored Subtotal	**4%**	**0%**	**4%**	**4%**
		Grand Total	**100%**	**0%**	**100%**	**100%**

Add Account

Disable – Payroll drill down link and Pre Review Details button are not available on the effort form in Certify mode. *Example:*


Certify

Name: Barnett,LN
Sub Dept: 61570 - Infectious Disease
Employee ID: 182702222
Division: SC - Immunology
Title: Research Asst
Title Code: 04

Reporting Period: 123116 (07-01-2016 through 12-31-2016)						
Commitment	Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts						
68%	61570-63690	BONE MARRO	96%	0%	96%	96 %
0%	62050-10280	CELL BASIS	0%	0%	0%	0 %
		Sponsored Subtotal	**96%**	**0%**	**96%**	**96%**
Non-Sponsored Accounts						
	61570-57650	THE AUBREY	4%	0%	4%	4 %
		Non-Sponsored Subtotal	**4%**	**0%**	**4%**	**4%**
	Grand Total		**100%**	**0%**	**100%**	**100%**

Add Account

2.6.4 Payroll Drilldown Transactions Options

This parameter defines the range of the payroll transactions displayed on the payroll drill down page.

Payroll Drilldown Transactions Options	Enable ▼	Ignore the transactions that are out of the reporting period on the Payroll Drilldown page.

The possible options for selection are:
Enable – Ignores the transactions that are out of the reporting period on the payroll drill down page.

Disable – Displays all the payroll transactions as included in the payroll table regardless if outside of the respective reporting period.

A sample payroll for reporting period ending on 01/28/2017.

EMPID	ACCOUNTID	ACCTTYPE	BEGDATE	ENDDATE
137452222	23304W833500050B03S76050087900000	S	2016-10-29 00:00:00.0	2016-11-27 00:00:00.0
137452222	23304W402000027B03S71050101900000	S	2016-10-29 00:00:00.0	2016-11-27 00:00:00.0
137452222	21044W409812000A01	N	2016-09-29 00:00:00.0	2016-12-28 00:00:00.0
137452222	21044W409812000A01	N	2016-09-29 00:00:00.0	2016-12-28 00:00:00.0
137452222	21044W409812000A01	N	2016-09-29 00:00:00.0	2016-12-28 00:00:00.0
137452222	21044W409812000A01	N	2016-09-29 00:00:00.0	2016-12-28 00:00:00.0
137452222	23304W402000027B03S71050101900000	S	2017-01-01 00:00:00.0	2017-01-28 00:00:00.0
137452222	23304W833500050B03S76050087900000	S	2017-01-01 00:00:00.0	2017-01-28 00:00:00.0

The following is an example screenshot if this configuration is ***disabled***.

Details by Transaction

Account	Dept ID	Fund	Fund Source	Function	Project	Expense Account	Begin Date	End Date	Pre Amount	Payroll	Non-Effort Payroll	Effort Payroll	Effort Payroll %
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$6,618.04	$0.00	$6,618.04	50%
23304W402000027B03S71050101900000	23304	W402000027	S71050101900000	732900			10/29/2016	11/27/2016	1240.88	$1,654.51	$0.00	$1,654.51	
23304W402000027B03S71050101900000	23304	W402000027	S71050101900000	732900			01/01/2017	01/28/2017	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$3,309.02	$0.00	$3,309.02	25%
23304W833500050B03S76050087900000	23304	W833500050	S76050087900000	757206			10/29/2016	11/27/2016	1240.88	$1,654.51	$0.00	$1,654.51	
23304W833500050B03S76050087900000	23304	W833500050	S76050087900000	757206			01/01/2017	01/28/2017	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$3,309.02	$0.00	$3,309.02	25%
									Total:	$13,236.08	$0.00	$13,236.08	100%

The following is an example if this configuration is ***enabled***.

Details by Transaction

Account	Dept ID	Fund	Fund Source	Function	Project	Expense Account	Begin Date	End Date	Pre Amount	Payroll	Non-Effort Payroll	Effort Payroll	Effort Payroll %
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
21044W409812000A01	21044	W409812000		732700			09/29/2016	12/28/2016	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$6,618.04	$0.00	$6,618.04	66%
23304W402000027B03S71050101900000	23304	W402000027	S71050101900000	732900			10/29/2016	11/27/2016	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$1,654.51	$0.00	$1,654.51	17%
23304W833500050B03S76050087900000	23304	W833500050	S76050087900000	757206			10/29/2016	11/27/2016	1240.88	$1,654.51	$0.00	$1,654.51	
									SubTL:	$1,654.51	$0.00	$1,654.51	17%
									Total:	$9,927.06	$0.00	$9,927.06	100%

2.6.5 Payroll Drilldown Sorting Options

This parameter is applicable for the configuration of "*Payroll Drilldown View by Transaction*" and defines if the accounts displayed should be sorted by *Account Type* or *Account ID.*

Payroll Drilldown Sorting Options	Account ID ▾	Sets the account sorting options for the Payroll Drilldown page.

The possible options for selection are:

Account ID - Sort accounts by Account ID in ascending order.

61390-63690	61390	63690	1100	1100			11/30/2016	12/13/2016	2271.1	$2,271.10	$0.00	$2,271.10	
61390-63690	61390	63690	1100	1100			12/14/2016	12/30/2016	2271.1	$2,271.10	$0.00	$2,271.10	
									SubTL:	$24,982.10	$162.22	$24,819.88	18%
61390-63690 E	61390	63690	1100	1100			10/31/2016	11/13/2016	2271.1	$2,271.10	$2,271.10	$0.00	
									SubTL:	$2,271.10	$2,271.10	$0.00	
61570-63690	61570	63690	1100	1100			06/30/2016	07/13/2016	2400.0	$2,400.00	$171.43	$2,228.57	
61570-63690	61570	63690	1100	1100			07/14/2016	07/30/2016	2400.0	$2,400.00	$0.00	$2,400.00	
61570-63690	61570	63690	1100	1100			09/30/2016	10/13/2016	33659.72	$33,659.72	$0.00	$33,659.72	
									SubTL:	$38,459.72	$171.43	$38,288.29	28%

Account Type - Sort accounts by account type in order of Sponsored, Non-Sponsored, Clearing and Excluded account type. Within each account type section, accounts are ordered by Account ID in ascending order.

61390-05160	61390	5160	1100	1100			11/30/2016	12/13/2016	779.08	$779.08	$0.00	$779.08	
61390-05160	61390	5160	1100	1100			12/14/2016	12/30/2016	779.08	$779.08	$0.00	$779.08	
									SubTL:	$39,491.18	$171.43	$39,319.75	29%
600-400 E	600	400	1100	1100			06/30/2016	07/13/2016	700.0	$700.00	$700.00	$0.00	
600-400 E	600	400	1100	1100			07/02/2016	07/13/2016	-2000.0	$0.00	$0.00	$0.00	
600-400 E	600	400	1100	1100			09/30/2016	10/13/2016	1300.0	$1,300.00	$1,300.00	$0.00	
									SubTL:	$2,000.00	$2,000.00	$0.00	
61390-63690 E	61390	63690	1100	1100			10/31/2016	11/13/2016	2271.1	$2,271.10	$2,271.10	$0.00	
									SubTL:	$2,271.10	$2,271.10	$0.00	
830-350 E	830	350	1100	1100	ERN	GSW	10/31/2016	11/13/2016	500.0	$500.00	$500.00	$0.00	
									SubTL:	$500.00	$500.00	$0.00	
									Total:	$141,046.62	$5,451.63	$135,594.99	100%

2.6.6 Payroll Drill Down Default Display

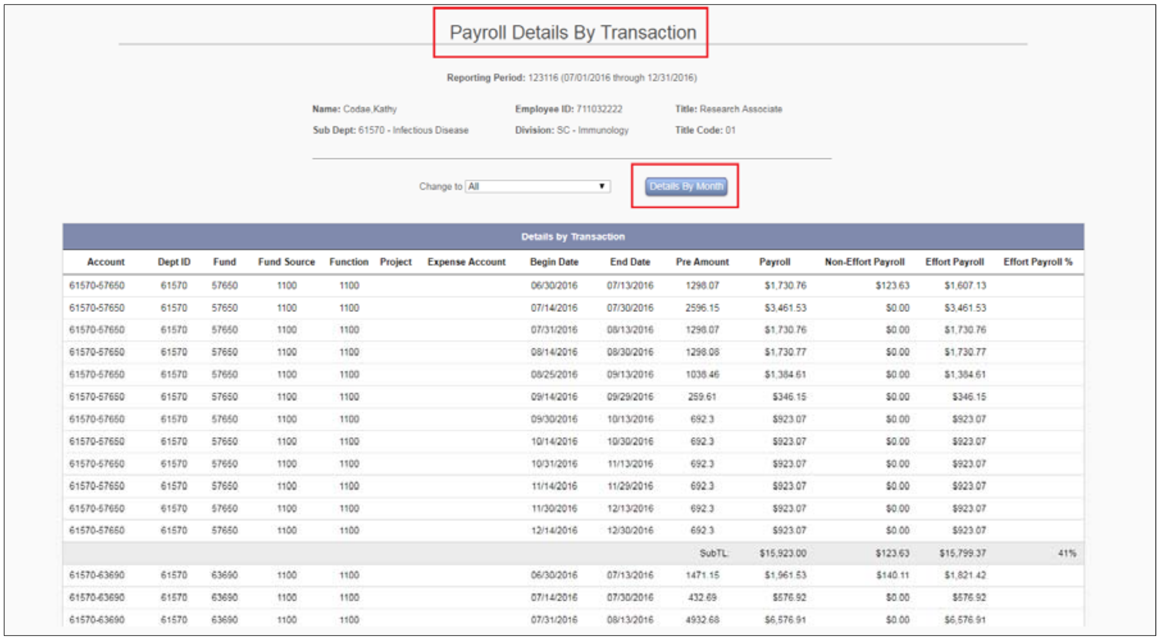
This parameter defines the payroll drill down default display from the payroll link on the effort form.

Payroll Drill Down Default Display	By Transaction ▾	Sets the default display options for the Payroll Drilldown page.

There are two options to select from:

- By Transaction
- By Month

The following is a screenshot of the payroll drill down view if the **By *Transaction*** option is selected, which is the default system setting:



Payroll Details By Transaction

Reporting Period: 123116 (07/01/2016 through 12/31/2016)

Name: Codae,Kathy **Employee ID:** 711032222 **Title:** Research Associate

Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology **Title Code:** 01

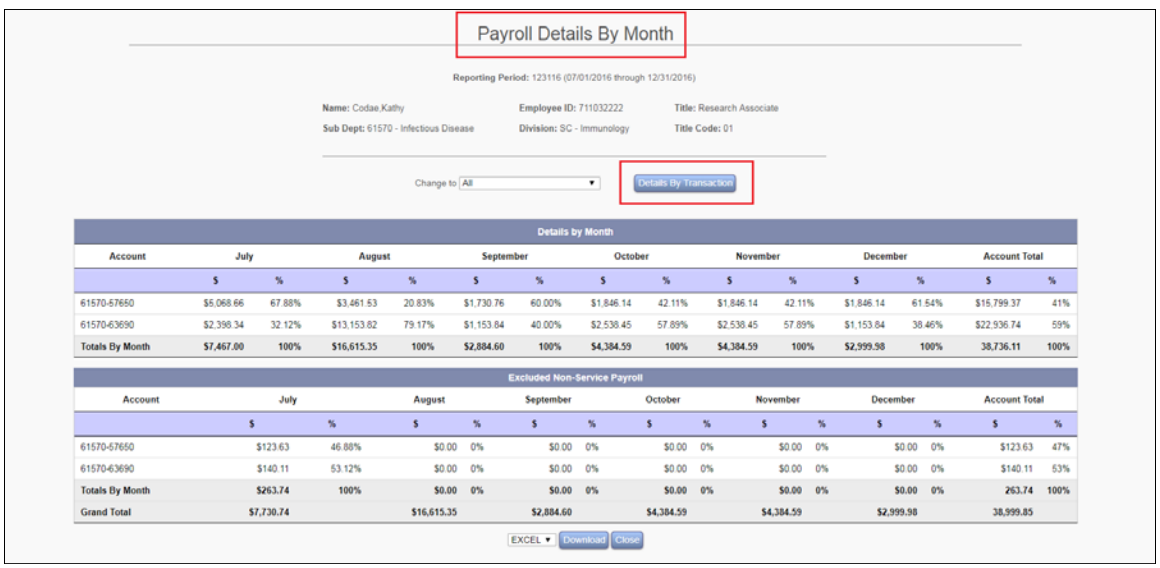
Change to All

Details By Month

Details by Transaction

Account	Dept ID	Fund	Fund Source	Function	Project	Expense Account	Begin Date	End Date	Pre Amount	Payroll	Non-Effort Payroll	Effort Payroll	Effort Payroll %
61570-57650	61570	57650	1100	1100			06/30/2016	07/13/2016	1298.07	$1,730.76	$123.63	$1,607.13	
61570-57650	61570	57650	1100	1100			07/14/2016	07/30/2016	2596.15	$3,461.53	$0.00	$3,461.53	
61570-57650	61570	57650	1100	1100			07/31/2016	08/13/2016	1298.07	$1,730.76	$0.00	$1,730.76	
61570-57650	61570	57650	1100	1100			08/14/2016	08/30/2016	1298.08	$1,730.77	$0.00	$1,730.77	
61570-57650	61570	57650	1100	1100			08/25/2016	09/13/2016	1038.46	$1,384.61	$0.00	$1,384.61	
61570-57650	61570	57650	1100	1100			09/14/2016	09/29/2016	259.61	$346.15	$0.00	$346.15	
61570-57650	61570	57650	1100	1100			09/30/2016	10/13/2016	692.3	$923.07	$0.00	$923.07	
61570-57650	61570	57650	1100	1100			10/14/2016	10/30/2016	692.3	$923.07	$0.00	$923.07	
61570-57650	61570	57650	1100	1100			10/31/2016	11/13/2016	692.3	$923.07	$0.00	$923.07	
61570-57650	61570	57650	1100	1100			11/14/2016	11/29/2016	692.3	$923.07	$0.00	$923.07	
61570-57650	61570	57650	1100	1100			11/30/2016	12/13/2016	692.3	$923.07	$0.00	$923.07	
61570-57650	61570	57650	1100	1100			12/14/2016	12/30/2016	692.3	$923.07	$0.00	$923.07	
									SubTL:	$15,923.00	$123.63	$15,799.37	41%
61570-63690	61570	63690	1100	1100			06/30/2016	07/13/2016	1471.15	$1,961.53	$140.11	$1,821.42	
61570-63690	61570	63690	1100	1100			07/14/2016	07/30/2016	432.69	$576.92	$0.00	$576.92	
61570-63690	61570	63690	1100	1100			07/31/2016	08/13/2016	4932.68	$6,576.91	$0.00	$6,576.91	

The following is an example of the payroll drill down view if the ***By Month*** option is selected:



Payroll Details By Month

Reporting Period: 123116 (07/01/2016 through 12/31/2016)

Name: Codae,Kathy **Employee ID:** 711032222 **Title:** Research Associate

Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology **Title Code:** 01

Change to All

Details By Transaction

Details by Month

Account	July		August		September		October		November		December		Account Total	
	$	%	$	%	$	%	$	%	$	%	$	%	$	%
61570-57650	$5,068.66	67.88%	$3,461.53	20.83%	$1,730.76	60.00%	$1,846.14	42.11%	$1,846.14	42.11%	$1,846.14	61.54%	$15,799.37	41%
61570-63690	$2,398.34	32.12%	$13,153.82	79.17%	$1,153.84	40.00%	$2,538.45	57.89%	$2,538.45	57.89%	$1,153.84	38.46%	$22,936.74	59%
Totals By Month	**$7,467.00**	**100%**	**$16,615.35**	**100%**	**$2,884.60**	**100%**	**$4,384.59**	**100%**	**$4,384.59**	**100%**	**$2,999.98**	**100%**	**38,736.11**	**100%**

Excluded Non-Service Payroll

Account	July		August		September		October		November		December		Account Total	
	$	%	$	%	$	%	$	%	$	%	$	%	$	%
61570-57650	$123.63	46.88%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$123.63	47%
61570-63690	$140.11	53.12%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$0.00	0%	$140.11	53%
Totals By Month	**$263.74**	**100%**	**$0.00**	**0%**	**$0.00**	**0%**	**$0.00**	**0%**	**$0.00**	**0%**	**$0.00**	**0%**	**263.74**	**100%**
Grand Total	**$7,730.74**		**$16,615.35**		**$2,884.60**		**$4,384.59**		**$4,384.59**		**$2,999.98**		**38,999.85**	

EXCEL Download Close

Regardless of the default view selected the user will have an option to toggle between the two views by clicking either *Detail By Month* or *Detail By Transaction*.

2.6.7 Effort Form Layout

This parameter enables or disables the ability to flag or assign Sub –K accounts that are associated with the K-award.

Effort Form Layout	Manage	This parameter defines certain layout features on the effort form

The *Manage* link presents the following option for effort form layout.

Manage Parameters

Layout Parameter	Layout Option
Sub-K selection	Enable flagging of "sub-k". Provide the user with the option of identifying "sub-k" accounts related to the K-Award. Effort form will be flagged as having a "K-Award". Any sponsored account (other than the K-Award) identified on the effort form can be flagged as the "sub-k". If commitment information is available, ERS will validate whether total effort associated with the K-Award and any selected "sub-k" match the specified commitment. "Sub-k" can be identified either in Pre Review or Certify modes. Disable flagging of "sub-k". Effort form will be flagged as having a "K-Award", however, the user will not be able to identify any accounts related to the K-Award.

Return Save

Any sponsored account (other than the K-award) identified on the effort form can be flagged as the "Sub-K". Enable flagging of "sub-k" will flag the effort form as having K-award and will allow identifying any sponsored account as Sub-K.

This Effort Form has a K-Award. The K-Award is identified by . To identify Accounts related with K-Award, please check the checkbox next to the Account description.

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

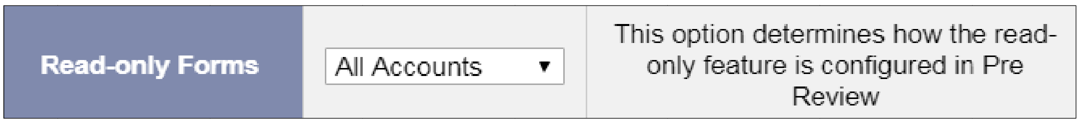
Commitment	Payroll		Accounts	Description	Cost Transfer		Cost Sharing		Total $	Total %
Sponsored Accounts										
	$1,486.22	5%	55110-100-100005-022740-0000-0000	PHS K02HL091111/1-5	$0.00	0%	$0.00	0%	$1,486.22	5%
	$21,638.89	70%	55110-300-201001-022740-0000-0000	PHS K02HL091111/1-5	$7,091.66	23%	$0.00	0%	$28,730.55	93%
75%	$0.00	0%	55110-300-201001-022740-0000-1000	PHS K02HL091111/1-5	$0.00	0%	$0.00	0%	$0.00	0%
75%	**$23,125.11**	**75%**		**Sponsored Subtotal**	**$7,091.66**	**23%**	**$0.00**	**0%**	**$30,216.77**	**98%**

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
		$1,486.22 5%	55110-100-100005-022740-0000-0000	PHS K02HL091111/1-5	$0.00 0%	$0.00 0%	$1,486.22 5%	$1,486.22 5%	$0.00 0%	$0.00 0%	$1,486.22 5%
		$21,638.89 70%	55110-300-201001-022740-0000-0000	PHS K02HL091111/1-5	$7,091.66 23%	$0.00 0%	$28,730.55 93%	$28,730.55 93%	$0.00 0%	$0.00 0%	$28,730.55 93%
75%	75%	$0.00 0%	55110-300-201001-022740-0000-1000	PHS K02HL091111/1-5	$0.00 0%	$0.00 0%	$0.00 0%	$0.00 0%	$0.00 0%	$0.00 0%	$0.00 0%
75%	**75%**	**$23,125.11 75%**		**Sponsored Subtotal**	**$7,091.66 0%**	**$0.00 0%**	**$30,216.77 98%**	**$30,216.77 98%**	**$0.00 0%**	**$0.00 0%**	**$30,216.77 98%**

2.6.8 Read-only Forms

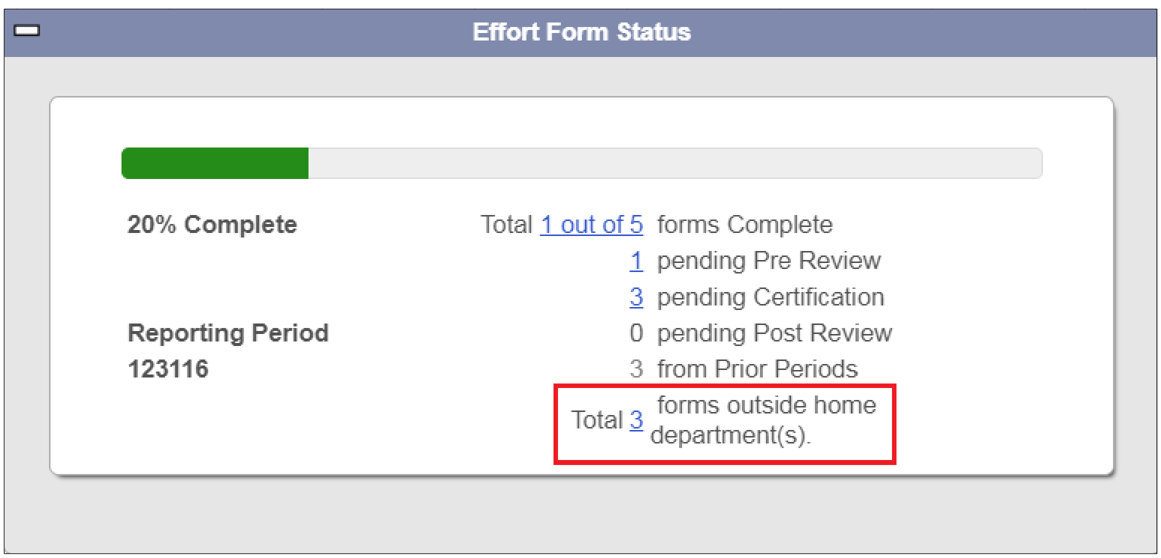
This option makes "read only" versions of effort forms available so that DC or SubDC can review effort forms associated with individuals that are assigned to another department or sub department, but whose charges occur to accounts in the user's department.



Note: If this option is to be used, the COMPANY field on ERSCHARTACCTS table must be updated with the department/sub department owning the account.

The possible options for selection are:

- ***Sponsored Only*** **–** the user will only be able to see payroll details associated with the sponsored account(s) that belong to the user's domain.



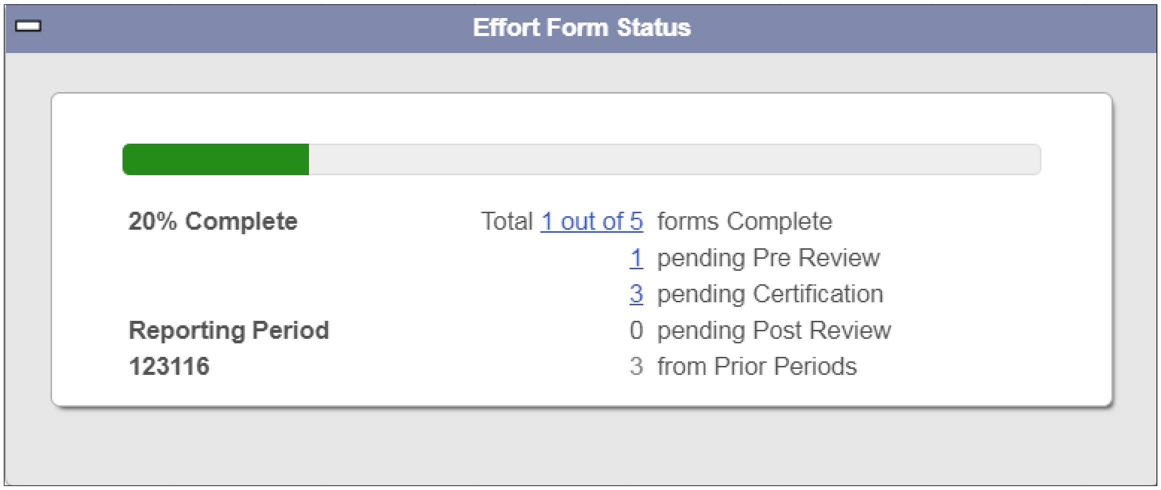
Reporting Period: 123116 (07-01-2016 through 12-31-2016)										
Commitment	Payroll		Accounts	Description	Cost Transfer		Cost Sharing		Total $	Total %
				Sponsored Accounts						
0%	$24,819.88	18%	61390-63690	GENE PROJ	$0.00	0%	$0.00	0%	$24,819.88	18%
0%	$38,288.29	28%	61570-63690	BONE MARRO	$0.00	0%	$0.00	0%	$38,288.29	28%
0%	$22,142.41	16%	62050-10280	CELL BASIS	$0.00	0%	$0.00	0%	$22,142.41	16%
	$3,390.55	3%	50350-10280	CELL BASIS COST SHAR	$0.00	0%			$3,390.55	3%
0%	$88,641.13	65%		Sponsored Subtotal	$0.00	0%	$0.00	0%	$88,641.13	65%
				Non-Sponsored Accounts						
	$7,634.11	6%	21150-2332	CELLULAR I	$0.00	0%	$0.00	0%	$7,634.11	6%
	$39,319.75	29%	61390-05160	MED GENERA	$0.00	0%	$0.00	0%	$39,319.75	29%
	$46,953.86	35%		Non-Sponsored Subtotal	$0.00	0%	$0.00	0%	$46,953.86	35%
	$135,594.99	100%		Grand Total	$0.00	0%	$0.00	0%	$135,594.99	100%

- ***All Accounts*** - The user will be able to see payroll details associated with all accounts on the effort form.

Reporting Period: 123116 (07-01-2016 through 12-31-2016)										
Commitment	Payroll		Accounts	Description	Cost Transfer		Cost Sharing		Total $	Total %
				Sponsored Accounts						
0%	$24,819.88	18%	61390-63690	GENE PROJ	$0.00	0%	$0.00	0%	$24,819.88	18%
0%	$38,288.29	28%	61570-63690	BONE MARRO	$0.00	0%	$0.00	0%	$38,288.29	28%
0%	$22,142.41	16%	62050-10280	CELL BASIS	$0.00	0%	$0.00	0%	$22,142.41	16%
	$3,390.55	3%	50350-10280	CELL BASIS COST SHAR	$0.00	0%			$3,390.55	3%
0%	$88,641.13	65%		Sponsored Subtotal	$0.00	0%	$0.00	0%	$88,641.13	65%
				Non-Sponsored Accounts						
	$7,634.11	6%	21150-2332	CELLULAR I	$0.00	0%	$0.00	0%	$7,634.11	6%
	$39,319.75	29%	61390-05160	MED GENERA	$0.00	0%	$0.00	0%	$39,319.75	29%
	$46,953.86	35%		Non-Sponsored Subtotal	$0.00	0%	$0.00	0%	$46,953.86	35%
	$135,594.99	100%		Grand Total	$0.00	0%	$0.00	0%	$135,594.99	100%

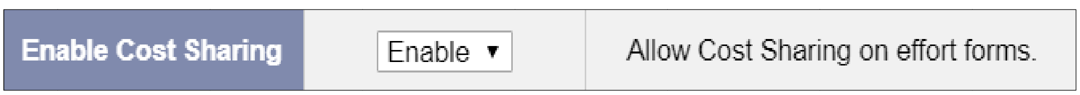
- **Disabled**- If Read Only Forms is disabled the user will not see any Read-only Effort Forms.

  If the institution practices multi-disciplinary activities, enabling this option will allow departments to review comments made to their accounts even if the individuals are assigned to other departments.



2.6.9 Enable Cost Sharing

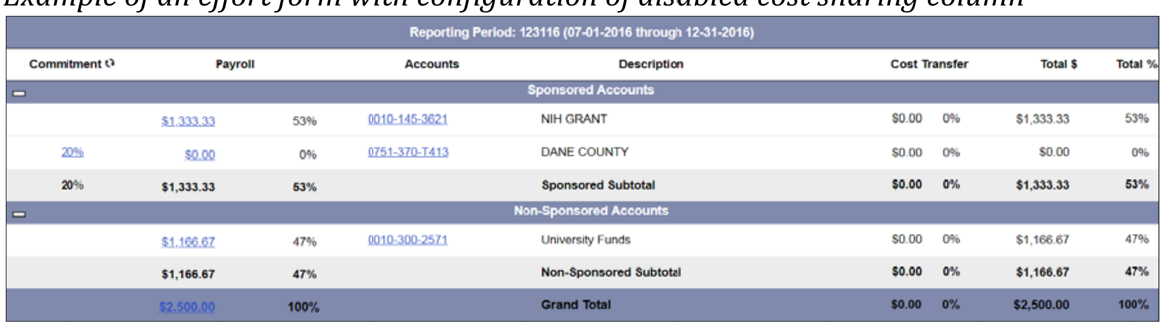
This parameter defines whether cost sharing entries are allowed on the effort form, on the memorandum basis.



The possible options for selection are:
Enable - User can document cost sharing on Effort Form – Pre/Post Review
Disable - Cost sharing column is disabled

Institutions that establish Companion Cost Sharing account for each sponsored account that incurs cost sharing should not be using the Cost Sharing column.

Example of an effort form with configuration of disabled cost sharing column



Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Payroll		Accounts	Description	Cost Transfer		Total $	Total %
				Sponsored Accounts				
	$1,333.33	53%	0010-145-3621	NIH GRANT	$0.00	0%	$1,333.33	53%
20%	$0.00	0%	0751-370-T413	DANE COUNTY	$0.00	0%	$0.00	0%
20%	**$1,333.33**	**53%**		**Sponsored Subtotal**	**$0.00**	**0%**	**$1,333.33**	**53%**
				Non-Sponsored Accounts				
	$1,166.67	47%	0010-300-2571	University Funds	$0.00	0%	$1,166.67	47%
	$1,166.67	**47%**		**Non-Sponsored Subtotal**	**$0.00**	**0%**	**$1,166.67**	**47%**
	$2,500.00	**100%**		**Grand Total**	**$0.00**	**0%**	**$2,500.00**	**100%**

2.6.10 **Enable Cost Transfer**

This parameter defines whether cost transfer can be transacted in ERS.

Enable Cost Transfer	Enable ▾	Allow Cost Transfers on effort forms.

The possible values for selection are:
Enable - User can transact Cost Transfers
Disable - Cost Transfers cannot be transacted in ERS on Effort Forms – Pre/Post Review

Institutions should contact MAXIMUS if they wish to remove the Cost Transfer column completely.

Example of an effort form with configuration of Cost Transfer disabled.

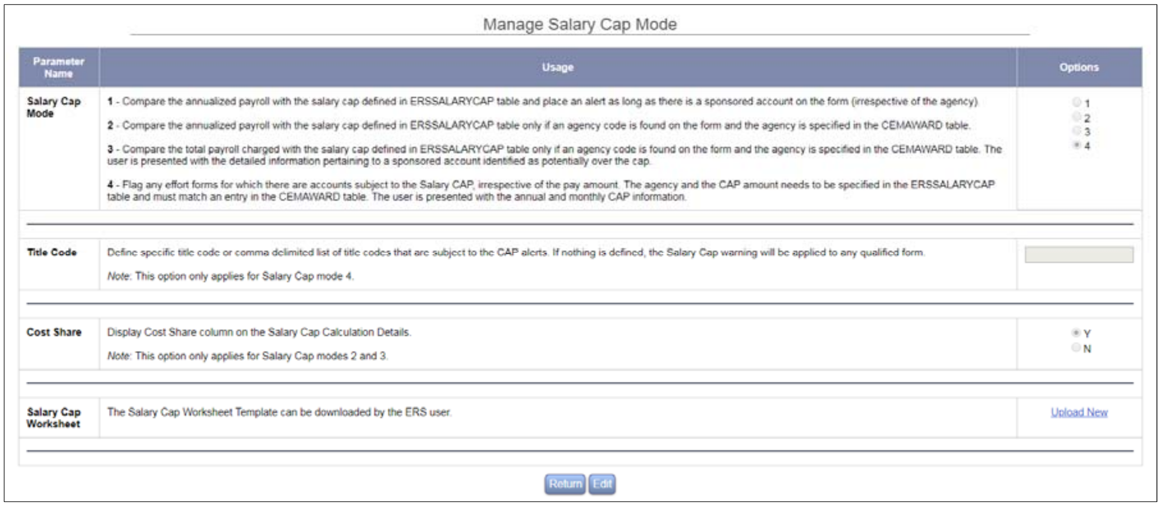
Reporting Period: 123116 (07-01-2016 through 12-31-2016)								
Commitment	**Payroll**		**Accounts**	**Description**	**Cost Sharing**		**Total $**	**Total %**
				Sponsored Accounts				
	$1,333.33	53%	0010-145-3621	NIH GRANT	$0.00	0%	$1,333.33	53%
20%	$0.00	0%	0751-370-T413	DANE COUNTY	$500.00	20%	$500.00	20%
20%	**$1,333.33**	**53%**		**Sponsored Subtotal**	**$500.00**	**20%**	**$1,833.33**	**73%**
				Non-Sponsored Accounts				
	$1,166.67	47%	0010-300-2571	University Funds	$-500.00	-20%	$666.67	27%
	$1,166.67	**47%**		**Non-Sponsored Subtotal**	**$-500.00**	**-20%**	**$666.67**	**27%**
	$2,500.00	**100%**		**Grand Total**	**$0.00**	**0%**	**$2,500.00**	**100%**

2.6.11 **Salary Cap Management**

2.6.11.1 ***Salary Cap Management***

This option allows the Central Administrator to specify how alerts are presented when ERS encounters an effort form with an account/project that is subject to the Salary CAP.

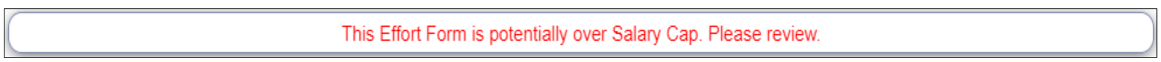
Salary Cap Management	Manage	This option will manage Salary Cap related parameter.



Salary Cap Modes are only applicable to Pre Review.

Option 1 will alert the Pre Reviewer when the individual's annualized payroll amount exceeds the Salary CAP defined, if there is a sponsored account listed on the effort form. This option is recommended if the institution does not maintain specific agencies that require a cap and need a way to flag those effort forms that are over specific dollar amount. ERSSALARYCAP table needs to be updated to reflect the Salary CAP amount for the reporting period.

The following alert is placed at the top of the Pre Review Form:



The following details are presented to the Pre Reviewer:

Option 2 will alert the Pre Reviewer when the individual's annualized payroll for accounts whose agency is subject to the CAP exceeds the CAP amount specified. ERSSALARYCAP and CEMAWARD tables need to be updated to ensure the Salary CAP amount for all desired agencies are updated. The Pre Reviewer will be able to

view the Salary CAP details associated with the sponsored account; a CAP icon will be placed next to the account imposed by the CAP.

The following alert is placed at the top of the Pre Review Form:

> This form contains an award(s) with a sponsor imposed salary cap that have been indicated by $ below. To see the details related to all cap-imposed Accounts, click here.

The following details are presented to the Pre Reviewer:

Salary Cap

Reporting Period: 123116 (07/01/2016 through 12/31/2016)

Name: Codae,Doyle **Employee ID:** 167982222 **Title:** PI
Sub Dept: 61390 - Internal Medicine **Division:** SC - Immunology **Title Code:** 02

Displaying 1 of 1 records

Account	Agency	Agency Name	Salary Cap Amount	Annualized Salary
61390-63690	NIH	NIH	$185,100.00	$271,189.98

Option 3 is similar to Option 2, with the exception that more detailed information is presented to the Pre Reviewer to assist with reviewing and correctly processing effort forms that are over the CAP.

The following alert is placed at the top of the Pre Review Form:

> This form contains an award(s) with a sponsor imposed salary cap that have been indicated by $ below. To see the details related to all cap-imposed Accounts, click here.

The following details are presented to the Pre Reviewer:

Salary Cap

Reporting Period: 123116 (07/01/2016 through 12/31/2016)

Name: Codae,Doyle **Employee ID:** 167982222 **Title:** PI
Sub Dept: 61390 - Internal Medicine **Division:** SC - Immunology **Title Code:** 02

Displaying 1 of 1 records

Account	Agency	Agency Name	Salary Cap Amount	Annualized Salary	Maximum Allowed To Charge*	Total Payroll Charged for this Reporting Period		Difference $	Difference %
						$	%		
61390-63690	NIH	NIH	$185,100.00	$271,189.98	$16,659.00	$24,819.88	18%	$8,160.88	6%

* Maximum allowed to charge is calculated with assumption that the payroll has not been adjusted for the CAP. If payroll has already been adjusted for the CAP, this amount may not be applicable.

Option 4 will flag any effort form with effort associated with an account with agency codes listed in the ERSSALARYCAP table irrespective of the individual's salary amount. The Pre Reviewer is presented with the annualized Salary CAP amount as well as the Monthly Rate of the Salary CAP. Both CEMAWARD and ERSSALARYCAP tables need to be updated with the Salary CAP information and Agency subject to the CAP information. The CA can further define which forms are flagged with the Salary CAP alert by using specific title codes when selecting Option 4.

The following alert is placed at the top of the Pre Review Form:

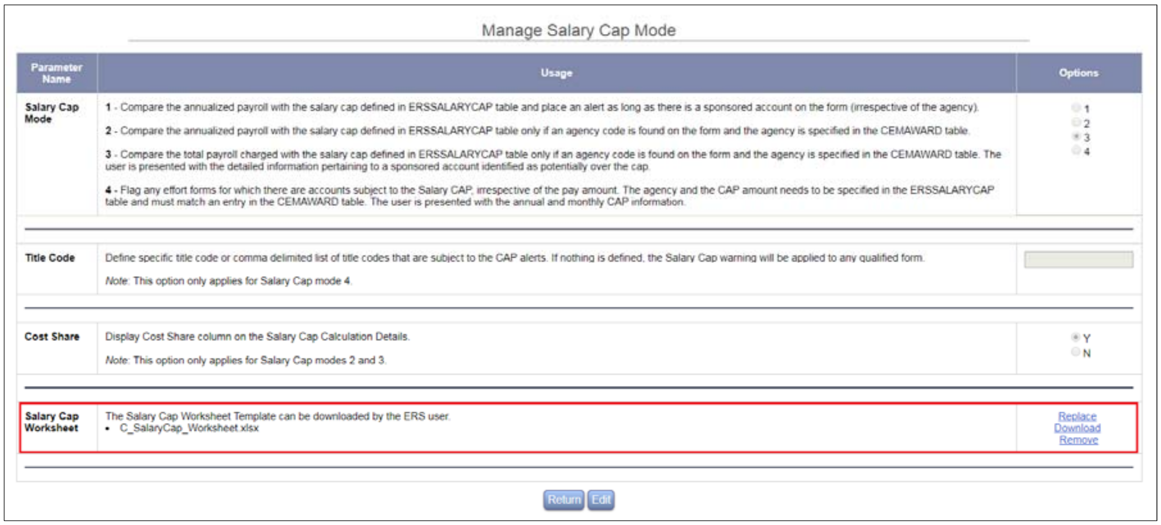
The following details are presented to the Pre Reviewer:

Details for Options 2 and 3 also allow for display of Cost Sharing information, such that ERS can suggest how much Cost Sharing the Pre Reviewer should identify to ensure the effort form complies with the Salary CAP requirements.

If enabled, the user will be presented with the following:

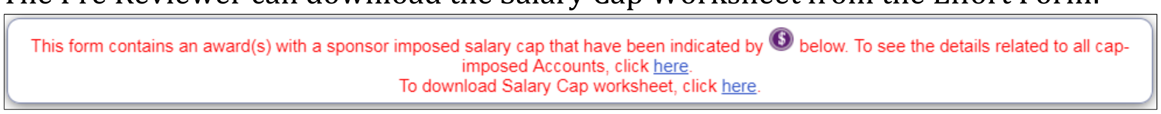
An option is provided for institutions to load their institution-specific Salary Cap Worksheet to allow administrators to download the file, update the necessary information and determine how to correctly review the effort form that is subject to the CAP. This process is only available to Pre Reviewers.

Critical List will be used to identify effort forms that are subject to the CAP. User can access critical list via Status / My To Do box.



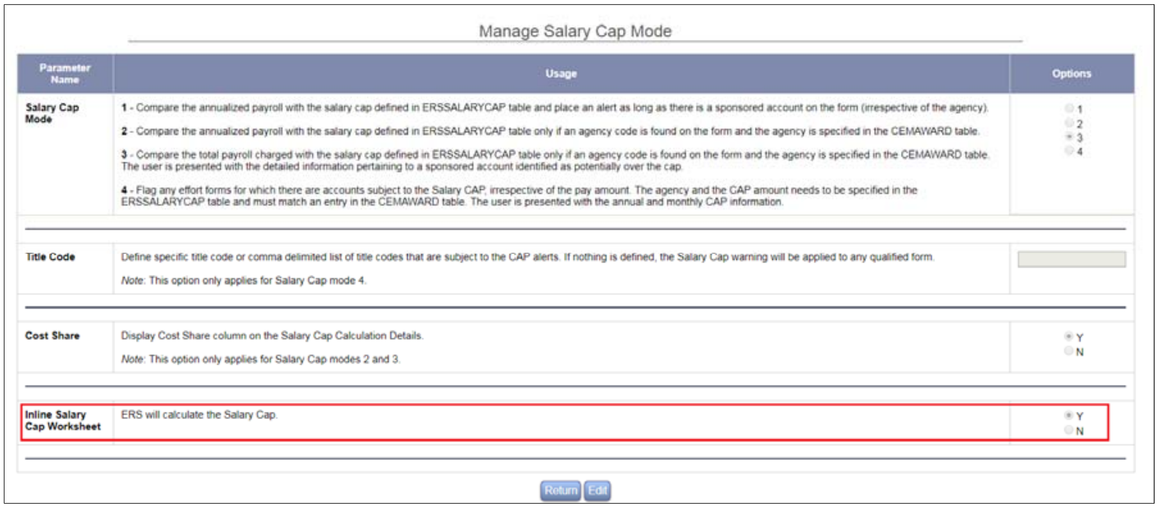
ERS allows the institution to supply a customized Salary Cap Worksheet, usually an Excel spreadsheet, to help the pre reviewer define adjustments on the Effort Form. The CA can upload the worksheet via Salary Cap management option.

The Pre Reviewer can download the Salary Cap Worksheet from the Effort Form:

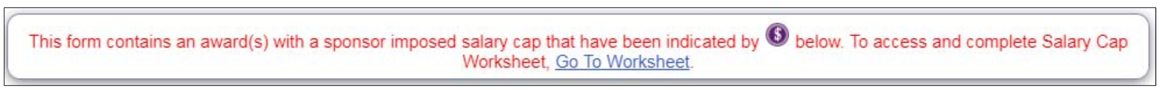


Note: Worksheet will not include any information pertaining to an effort report that the user is viewing. It will just be a template for the Pre Reviewer to review and update with the information pertaining to the effort form.

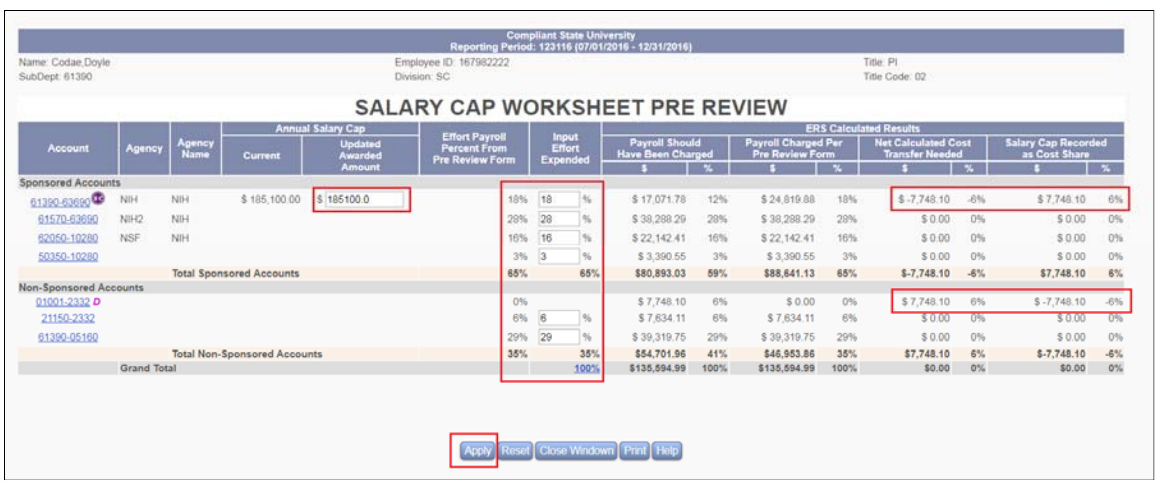
Instead of using the Salary Cap Template, ERS can be configured to use the "Inline Salary Cap worksheet" that is embedded with particular effort form.



The Pre Reviewer will see the link to the Inline Salary Cap Worksheet on the Effort Form that is subject to the Salary Cap:



Following the “Go To Worksheet” link, ERS will bring up the worksheet with the information pertaining to the Effort Form:



The Pre Reviewer can change the “Awarded Amount” and enter “Effort Expended” for each account. The worksheet will then calculate any Cost Sharing and Cost Transfer needed for the accounts based on the information entered. The Pre Reviewer can click on “Apply” to apply the changes to the effort form.

Contact MAXIMUS to discuss Best Practices related to Salary Cap Management.

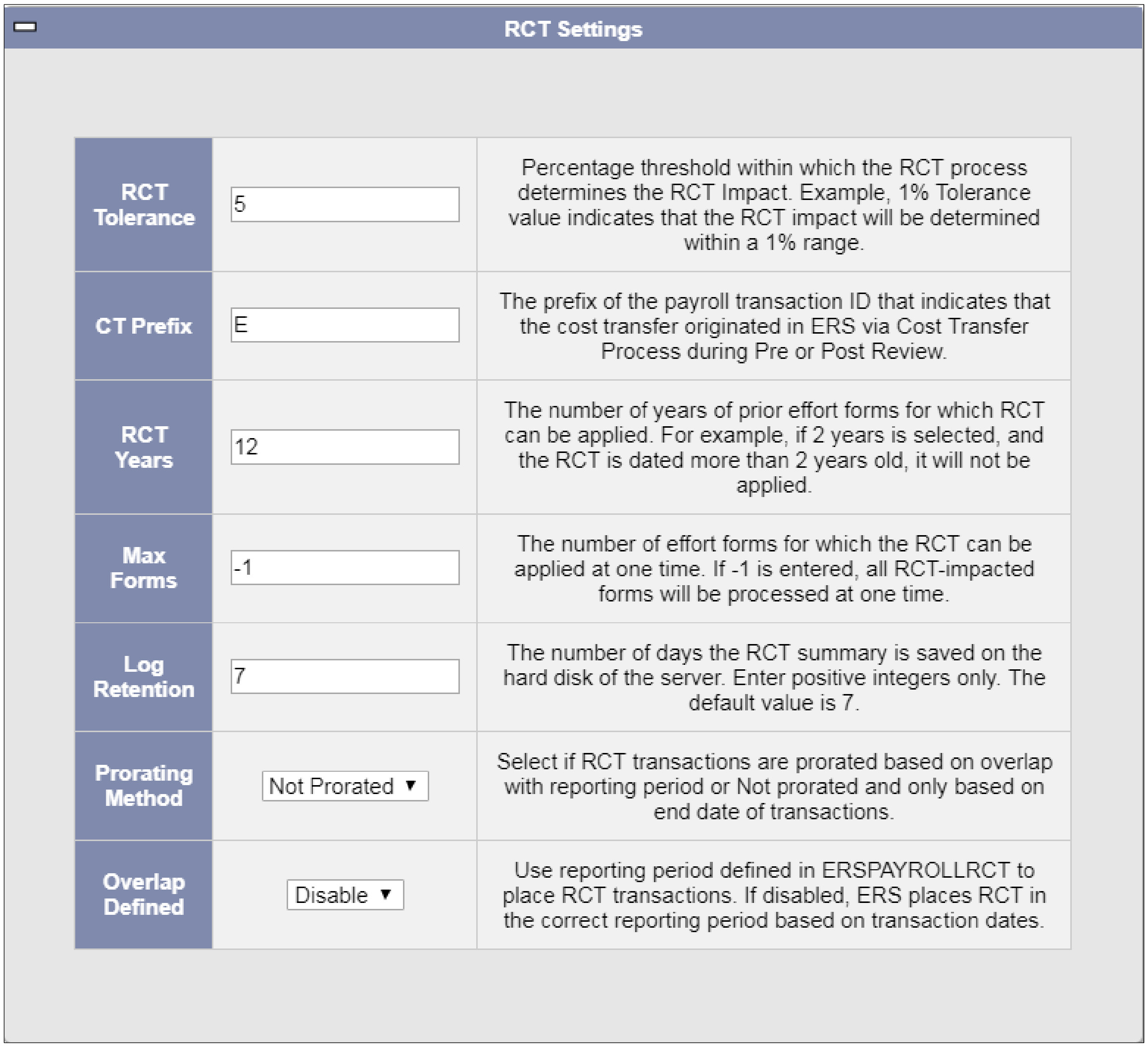
2.6.12 **Viewable Accounts**

This option allows the Central Administrator to define special conditions in which accounts with a total effort of $0.00 or a Commitment of 0% can be hidden on the effort form.

Note: Accounts will always be displayed if any one of the following criteria are met:
- There is non $0 effort amount on the account.
- The account is a companion cost sharing account.
- The account was added by a pre reviewer or certifier.
- There is a cost transfer or cost sharing on the account.
- There is certified effort on the account.

2.7 **RCT Settings**

This option sets parameters for incoming retroactive cost transfers and their impact on existing effort forms.



RCT Settings

RCT Tolerance	5	Percentage threshold within which the RCT process determines the RCT Impact. Example, 1% Tolerance value indicates that the RCT impact will be determined within a 1% range.
CT Prefix	E	The prefix of the payroll transaction ID that indicates that the cost transfer originated in ERS via Cost Transfer Process during Pre or Post Review.
RCT Years	12	The number of years of prior effort forms for which RCT can be applied. For example, if 2 years is selected, and the RCT is dated more than 2 years old, it will not be applied.
Max Forms	-1	The number of effort forms for which the RCT can be applied at one time. If -1 is entered, all RCT-impacted forms will be processed at one time.
Log Retention	7	The number of days the RCT summary is saved on the hard disk of the server. Enter positive integers only. The default value is 7.
Prorating Method	Not Prorated ▼	Select if RCT transactions are prorated based on overlap with reporting period or Not prorated and only based on end date of transactions.
Overlap Defined	Disable ▼	Use reporting period defined in ERSPAYROLLRCT to place RCT transactions. If disabled, ERS places RCT in the correct reporting period based on transaction dates.

Refer Chapter *Retroactive Cost Transfer (RCT)* for details.

2.8 Quick Settings

Quick Settings

Edit Payroll	Enable ▼	Allow CA to edit payroll for effort forms not certified.
DC Rights	Enable ▼	Allow Department Coordinator (DC) to change Sub Department Coordinator (SubDC) assignments.
Archive Dropped Effort	Disable ▼	Archive Effort Forms when dropped.
Enable Post Review Module	Enable ▼	Enable Post Review. This enables the Certifier to change effort and adds the option to assign Post Reviewers in assignments.
Pre Review Control Salary/Suspense/Payroll Clearing Accounts Account	Enable ▼	Perform checking on clearing suspend account when the employee is assigned with No Pre Reviewer.

2.8.1 Edit Payroll

This parameter defines if the Central Administrator can edit the effort payroll amount.

Edit Payroll	Enable ▼	Allow CA to edit payroll for effort forms not certified.

The possible options for selection are:

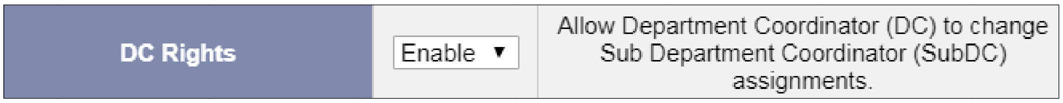
Enable - Allows editing effort payroll amount (*default value*).
Disable - Does not allow editing effort payroll amount.

If *Edit Payroll* is enabled, the interface to edit the payroll will be available under the *Data Management → Manage ERS Tables*.

Note: The system only allows editing the payroll transactions for an uncertified effort form.

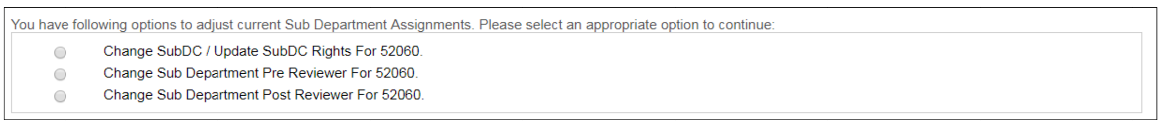
2.8.2 DC Rights

This parameter controls the *Department Coordinator* (DC) ability to change a *Sub Department Coordinator* (SubDC) and modify the SubDC's rights through the *Assignments* module.

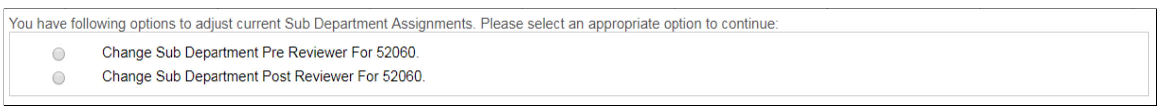


The possible options for selection are:

Enable - DC can change/modify Sub DC rights and assignments

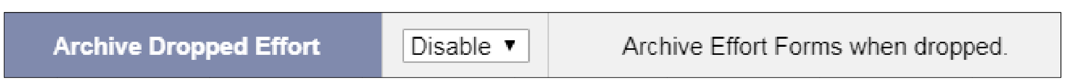


Disable - DC cannot alter Sub DC parameters



2.8.3 Archive Dropped Effort

This option allows the Central Administrator to maintain an audit trail of all the effort forms that were dropped by the CA.



For details refer Chapter on ***Archiving***, section *Archiving Effort Forms dropped by the Central Administrator.*

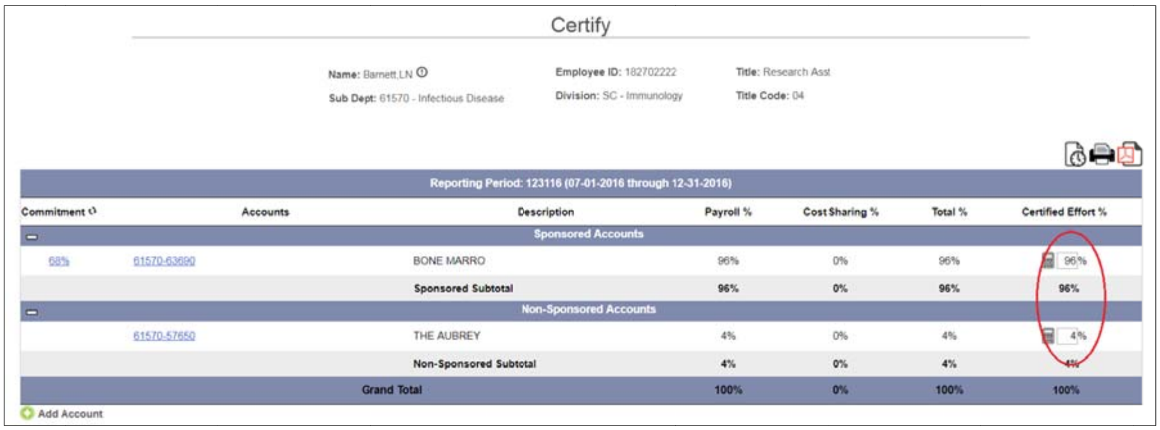
2.8.4 Enable Post Review Module

This parameter enables Post Review in the system. If *Post Review* is disabled:

- The *Certifier* is not allowed to make changes to the effort form or add an account to the form. Any changes to the Effort percentages would need to be done in Pre Review.
- There won't be options for DC to change sub dept Post Reviewer, or to change individual's post reviewer, through assignment module.

Enable Post Review Module	Enable ▼	Enable Post Review. This enables the Certifier to change effort and adds the option to assign Post Reviewers in assignments.

Example of an effort form where Post Review is enabled:



Certify

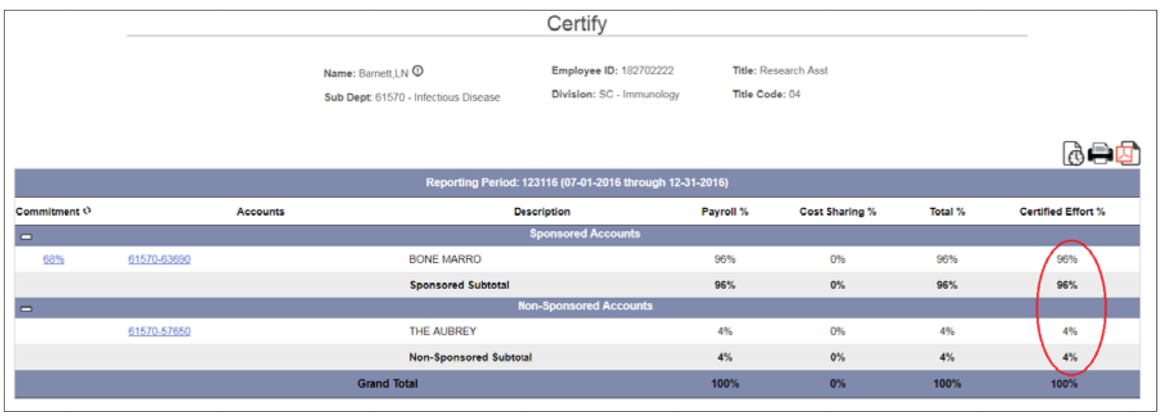
Name: Barnett,LN | Employee ID: 182702222 | Title: Research Asst
Sub Dept: 61570 - Infectious Disease | Division: SC - Immunology | Title Code: 04

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts						
68%	61570-63690	BONE MARRO	96%	0%	96%	96%
		Sponsored Subtotal	96%	0%	96%	96%
Non-Sponsored Accounts						
	61570-57650	THE AUBREY	4%	0%	4%	4%
		Non-Sponsored Subtotal	4%	0%	4%	4%
		Grand Total	100%	0%	100%	100%

Add Account

Example of an effort form where Post Review is disabled:



Certify

Name: Barnett,LN | Employee ID: 182702222 | Title: Research Asst
Sub Dept: 61570 - Infectious Disease | Division: SC - Immunology | Title Code: 04

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts						
68%	61570-63690	BONE MARRO	96%	0%	96%	96%
		Sponsored Subtotal	96%	0%	96%	96%
Non-Sponsored Accounts						
	61570-57650	THE AUBREY	4%	0%	4%	4%
		Non-Sponsored Subtotal	4%	0%	4%	4%
		Grand Total	100%	0%	100%	100%

Any changes that need to be reflected on an effort form will need to be done by the Pre Reviewer.

2.8.5 Pre Review Control Salary/ Suspense/ Payroll Clearing Accounts Account

This parameter defines whether ERS should perform a check of effort forms with clearing or suspense accounts when the user assigns a ‘No Pre Review’ option in the Assignments module.

Pre Review Control Salary/Suspense/Payroll Clearing Accounts Account	Enable ▼	Perform checking on clearing suspend account when the employee is assigned with No Pre Reviewer.

The possible options for selection are:
Enable - Perform Check (*default system setting*)
Disable - Do not perform Check

If enabled ERS will perform a check in the *Assignment* module where ERS will not allow the user to change the Pre Review assignment of an individual with an effort form containing Payroll Cleaning/Suspense/Control Salary account to *No Pre Review*.

Change Individual Assignments

You have selected No Pre Reviewer to be the Pre Reviewer for following employees:

Employee Name	Sub Department
Jungbluth,John 1	61390

1 Employee(s) can not be assigned with No Pre Reviewer because of the Control Salary/Suspense/Payroll Clearing Accounts in the uncompleted Effort Form(s).

To select another employee, click **Back**.

Back

2.9 PI Line Item

These settings allow the Central Administrator to enable and configure the PI line item certification feature. For details refer to appendix – *Line Item Certification*.

PI Line Item

PI Line Item Setup	Manage	Configure which effort forms are eligible for PI Line Item Certification
Account Threshold	2	Sets the minimum number of accounts on the form to be eligible for PI Line Item.
DC Assignment Rights	Enable ▼	Allow a DC the right to change assignment on PI Line Item forms.
DC Enable Rights	Enable ▼	Allow a DC the right to enable/ disable PI Line Item on a form.

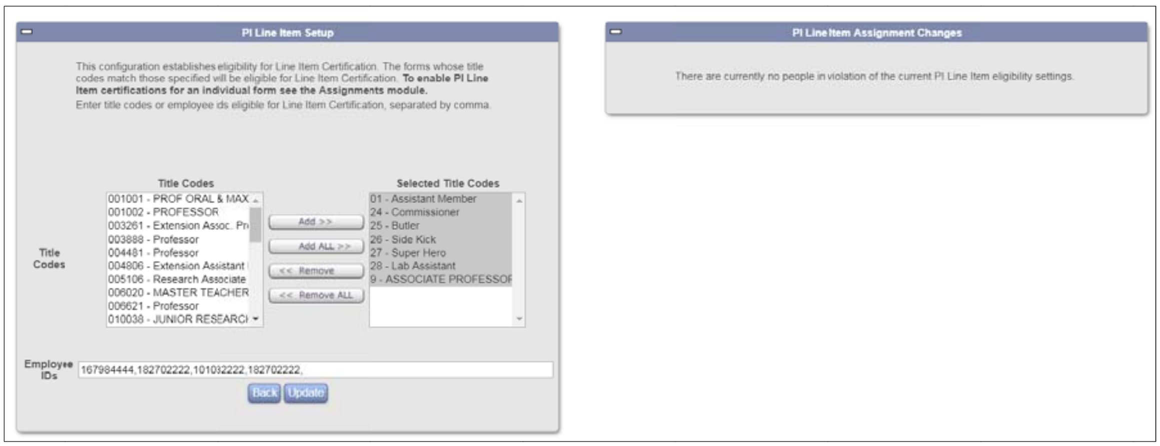
2.9.1 PI Line Item Setup

This option configures the eligibility criteria for the line item effort forms.

PI Line Item Setup	Manage	Configure which effort forms are eligible for PI Line Item Certification

All title codes except the title codes specified as faculty codes, are displayed as eligible. CA can use the add button to select which title codes are eligible for line item certification. If any effort forms are assigned as line item but are not using an eligible title code, they will be displayed on the right.

Individual employees may also be added by listing their empid.



Note: Through this interface CA needs to select eligible title codes. To make all title codes eligible EXCEPT a certain list, contact MAXIMUS for a backend update.

2.9.2 Account Threshold

This option allows the CA to define the minimum number of sponsored accounts required in order to make the effort form eligible for line item certification.

Account Threshold	2	Sets the minimum number of accounts on the form to be eligible for PI Line Item.

2.9.3 DC Assignment Rights

This configuration allows DC to change assignments on PI line Item forms.

DC Assignment Rights	Enable ▼	Allow a DC the right to change assignment on PI Line Item forms.

The possible options for selection are:
Enable – Allows DC to change the Account Certifiers.
Disable - Does not allow DC to change the Account Certifiers.

2.9.4 DC Enable Rights

This configuration defines if the Department Coordinator or Sub Department Coordinator is allowed to enable or disable line item effort form.

DC Enable Rights	Enable ▼	Allow a DC the right to enable/ disable PI Line Item on a form.

The possible options for selection are:
Enable – Allow DC/SubDC to enable the line item on the effort form
Disable – Does not allow DC/SubDC to enable line item on the effort form

2.10 Over and Above

These settings allow the Central Administrator to enable and configure over and above feature on the effort form.

Over and Above

Over and Above	Disable ▼	Enable the Over and Above feature
Over and Above Threshold	20	Maximum percent of over and above allowed
Over and Above Rules	Manage	Setup Over and Above Rules Per Reporting Period

2.10.1 **Over and Above**

This configuration specifies if Over and Above accounts are used on the Effort Form.

Over and Above	Disable ▼	Enable the Over and Above feature

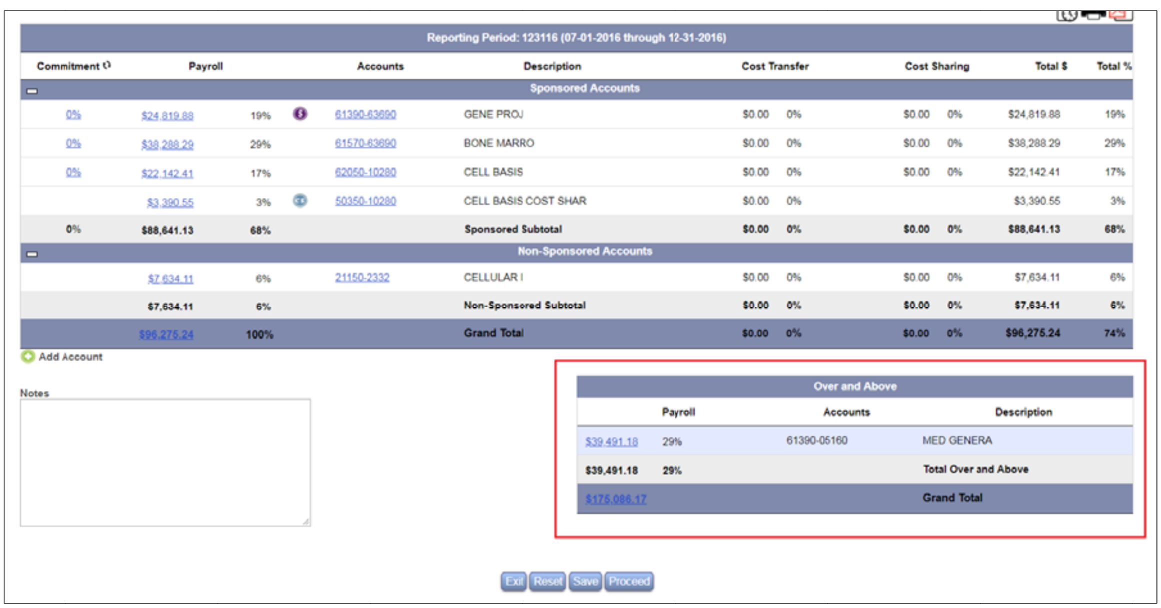
The possible options for selection are:
Enable – The over and above account(s) display feature on the effort form is available.
Disable – The over and above account(s) display feature on the effort form is not available.

Note: Contact MAXIMUS for more details on this feature.

2.10.2 **Over and Above Threshold**

Institutions can use this configuration to set maximum percentage allowed as Over and Above.

Over and Above Threshold	20	Maximum percent of over and above allowed


Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Payroll		Accounts	Description	Cost Transfer		Cost Sharing		Total $	Total %
Sponsored Accounts										
0%	$24,819.88	19%	61390-63690	GENE PROJ	$0.00	0%	$0.00	0%	$24,819.88	19%
0%	$38,288.29	29%	61570-63690	BONE MARRO	$0.00	0%	$0.00	0%	$38,288.29	29%
0%	$22,142.41	17%	62050-10280	CELL BASIS	$0.00	0%	$0.00	0%	$22,142.41	17%
	$3,390.55	3%	50350-10280	CELL BASIS COST SHAR	$0.00	0%			$3,390.55	3%
0%	**$88,641.13**	**68%**		**Sponsored Subtotal**	**$0.00**	**0%**	**$0.00**	**0%**	**$88,641.13**	**68%**
Non-Sponsored Accounts										
	$7,634.11	6%	21150-2332	CELLULAR I	$0.00	0%	$0.00	0%	$7,634.11	6%
	$7,634.11	**6%**		**Non-Sponsored Subtotal**	**$0.00**	**0%**	**$0.00**	**0%**	**$7,634.11**	**6%**
	$96,275.24	100%		Grand Total	$0.00	0%	$0.00	0%	$96,275.24	74%

Add Account

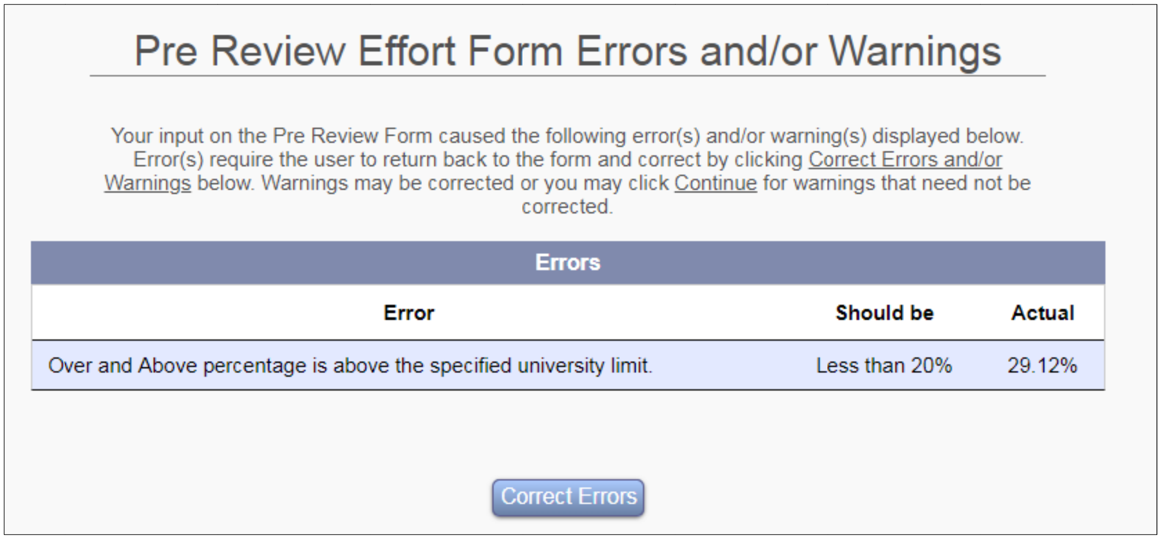
Notes

Over and Above

Payroll		Accounts	Description
$39,491.18	29%	61390-05160	MED GENERA
$39,491.18	**29%**		**Total Over and Above**
$175,086.17			Grand Total

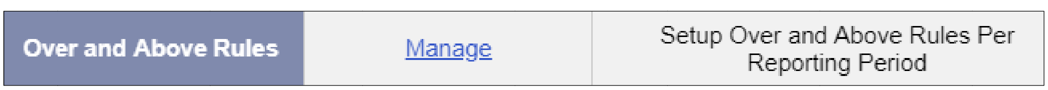
Exit Reset Save Proceed

During the Pre Review of an effort form if the sum of all Over and Above percentages exceeds the specified threshold ERS will generate the following error message:



2.10.3 **Over and Above Rules**

This option allows the Central Administrator to set rules to identify over and above accounts on the effort form. These rules are established by reporting period (xxxxxx) in the respective payroll table (ERSPAYROLLxxxxxx).



Click on the *Manage* link to setup the Over and Above rule. The interface to setup the rules is same as setting up the exclusion rules. Refer section *Initiation Settings* → *Exclusion Rules Setup* for details on using the interface to setup the rules.

2.11 Maintenance

Maintenance

Download Logs	Manage	Download server logs for system maintenance and/or troubleshooting
Certifier Assignments	Refresh	Refresh the Certifier Assignments if changes to the CEMAWARD table are not currently reflected in the assignments for PI Line Item Certifiers.
ERS Reporting Periods	Manage	This parameter contains information about the ERS reporting periods, and it is refreshed every time when the ErsPeriods table updated.
Effort Form Header	Refresh	Refresh the customizable Effort Form Header.
Refresh JNDI	Refresh	Refresh JNDI settings in the database.

2.11.1 Download Logs

Use this option to download server logs for system maintenance and/or troubleshooting.

Download Logs	Manage	Download server logs for system maintenance and/or troubleshooting

On clicking *Manage* the following screen is presented.

Under each category/subcategory, the log entries are sorted alphabetically, with the latest entry shown last.

The only exceptions are the first entry in server log (server.log) and user log (user.log). They are displayed at the top under their respective category.

Collapse All | Expand All

- ArchiveLogger
- CemDataRefreshLog
  - com.mms.cem.CemDataRefreshLog_1507236474072.log
- CTAttachmentRelocate
- ErsImportLog
- ErsRefreshOrgLog
- Init
  - init.log.0
  - init.log.0.1
  - init.log.0.lck
  - init.log.1
  - init.log.2
- maximus_wf10_8202-stderr
- maximus_wf10_8202-stdout
- maximus_wf10_8252-stderr
- maximus_wf10_8252-stdout
- RCT
  - AutoProcess
    - AutoProcesSummary1528252664013.xml
  - ManualProcess
  - rct
- ReminderLogger
- server
- service
- user

- server
  - server.log
  - server.log.2017-02-10
  - server.log.2017-02-12
  - server.log.2017-02-16
  - server.log.2017-02-18
  - server.log.2017-02-21
  - server.log.2017-02-22
  - server.log.2017-02-23

- user
  - user.log
  - user.log.2017-02-28
  - user.log.2017-03-16
  - user.log.2017-03-21
  - user.log.2017-04-21
  - user.log.2017-05-02
  - user.log.2017-05-05
  - user.log.2017-05-10

2.11.2 **Certifier Assignments**

This option should be used to refresh the Certifier Assignments, if changes to the CEMAWARD table are not currently reflected in the assignments for PI Line Item Certifiers.

Certifier Assignments	Refresh	Refresh the Certifier Assignments if changes to the CEMAWARD table are not currently reflected in the assignments for PI Line Item Certifiers.

Note: This parameter is only applicable when the PI Line Item functionality is enabled.

2.11.3 **ERS Reporting Periods**

This configuration defines various reporting periods initiated in ERS. The list of reporting periods is refreshed every time the table ERSPERIODS is updated. This information is used primarily for troubleshooting.

ERS Reporting Periods	Manage	This parameter contains information about the ERS reporting periods, and it is refreshed every time when the ErsPeriods table updated.

2.11.4 **Effort Form Header**

Use this option to refresh the header information displayed on the effort form after any configuration update is performed.

Effort Form Header	Refresh	Refresh the customizable Effort Form Header.

2.11.5 **Refresh JNDI**

Use this option to reload the current configurations from the database if a setting was changed through a SQL. Any setting that was updated through "System Settings" does not require this step.

Refresh JNDI	Refresh	Refresh JNDI settings in the database.

Chapter 3

Data Management

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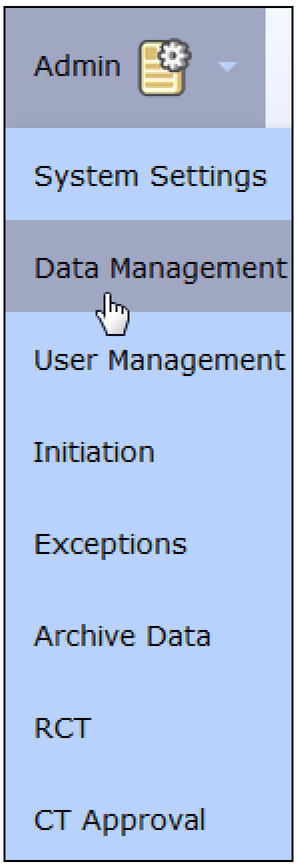
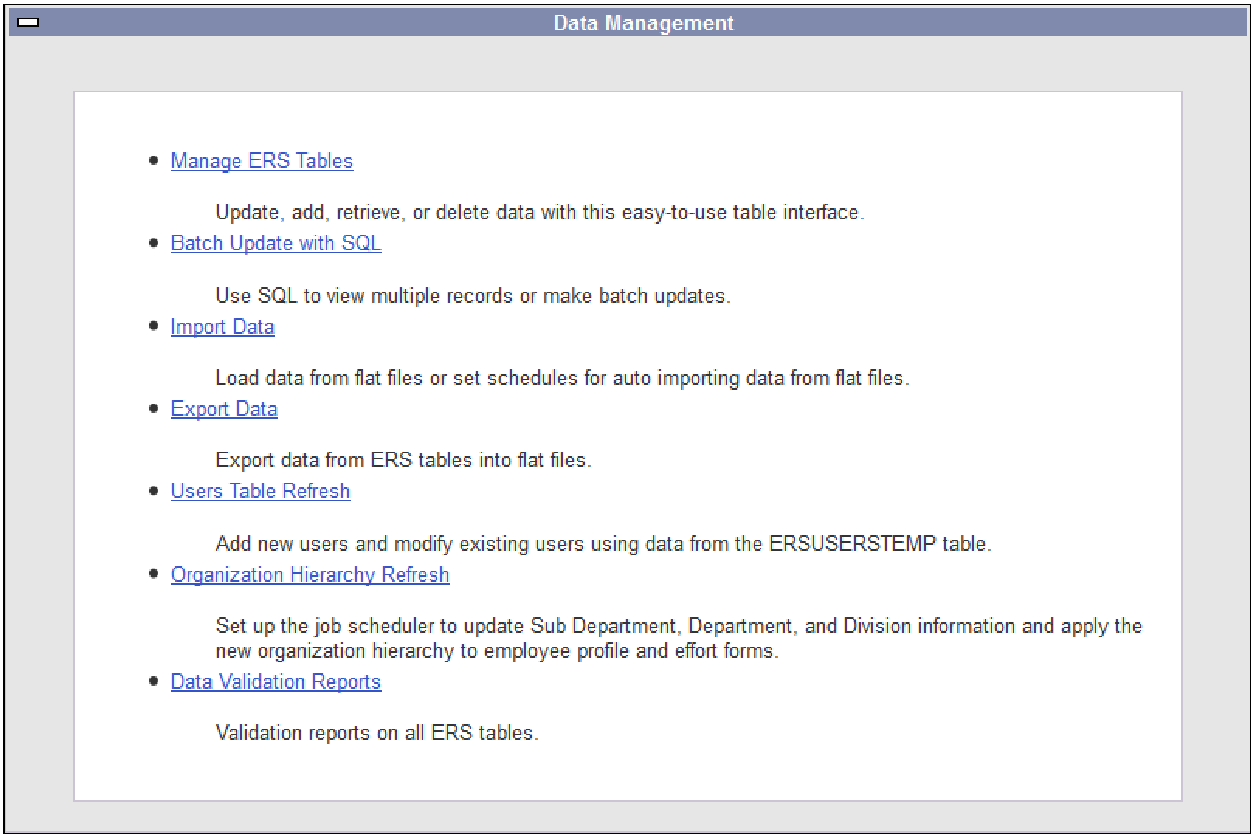
3 Data Management

The ***Data Management*** menu option allows the Central Administrator to access or modify data through specific tables, run queries, import or export data, perform user's data and organizational hierarchy data refresh and view Data validation reports. This feature is available to the Central Administrator under *Admin* menu option.



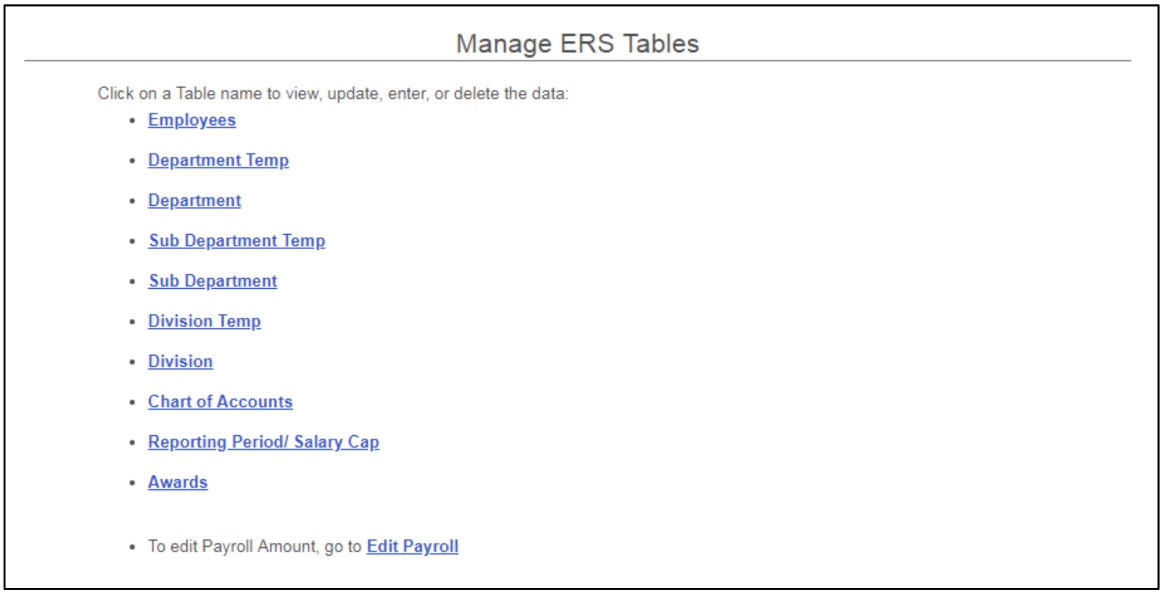
Seven different options with respective descriptions are available. The user can access specific system functionalities by selecting a descriptive link.



3.1 Manage ERS Tables

This interface allows the CA to access, add and modify source or configuration data, one record at a time. On selecting **Manage ERS Tables** menu option**,** links to various source tables are presented. Each table name provides a link to that table; to access a table, select the specific link.

***Recommendation*:** This functionality is recommended for making specific, minor, modifications to data within the system without having to import or refresh data.



The following lists the common functionality for each available link:

- On accessing any table the system will display the primary key field(s) of the selected table as the search criteria for retrieving a record.

  Note: The primary key of a relational table uniquely identifies each record in the table. It can be a normal attribute that is guaranteed to be unique such as Employee ID in a table with no more than one record per person.
  Primary keys may consist of a single attribute or multiple attributes in combination.

  Example:
  Employees is a link to records in ERSUSERS table and the primary key of this table is the *Employee ID*.

- This search interface for each table link has an auto complete feature built-in where the system will give suggestions for possible matches as the information is keyed in, for example, employee ID, employee name etc.

Example:
In order to search for an employee the Central Administrator can enter the first few numbers of the employee id or the first few characters of an employee name and the system will provide a lookup list. The list is further refined as more characters are entered.

- To add a new record, click ***Submit*** without keying any value. This will display a blank form. If a value is entered that does not already exist, a form to enter a new record with the search criteria already populated in the appropriate field(s) will be displayed.

- Only source input fields can be updated through this interface. The system fields are grayed out and can only be updated by the system.

3.1.1 Employees

The following is a screenshot on retrieving an employee record.

Update Record

Please update or enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Update Record** will update the record. Click on **Delete Record** will delete the record from the table. Click on **Cancel** to cancel your action.

Table: ERSUSERS

Column Name	Input Value
Employee Id	711032222 *
Employee Name	Codae,Kathy *
Sub Dept Code	61570 * **Infectious Disease**
Dept Code	M50 * **Medicine**
Division	SC * **Immunology**
College	SKI **SKI**
Email	ers.maximus@gmail.com
User Id	KATHY *
Password	••••••
Title Code	01
Title	Research Associate
Status Code	A *
Role	NONE * **Employee**
Get Par	Y
Temp Password	N
Employee Status	A *
PreReviewer ID	149432222
PreReviewer Name	Miller,Cris
Certifier ID	167982222
Certifier Name	Codae,Doyle
PostReviewer ID	149432222
PostReviewer Name	Miller,Cris
Alternate SubDept	
Form Type	BAS *

* Required Values

Cancel | Update Record | Delete Record

- Validation is done on all user input fields. Maximum character lengths are checked so that long values cannot be entered. Additionally, many fields have special validations and auto complete features.
- The fields *Employee Name, College, Email, User ID, Password, Title Code, Title, Status, Get Par,* and *Temp Password* only have validation on field length.
- *Sub Dept Code* validates if the entered sub department exists. An auto complete drop down is provided. Once a sub department code is entered the sub department name is updated next to it and the Department and Division information is automatically updated.
- *Role* validates if the role is a valid system role. An auto complete drop down is provided.
- *Employee Status* is validated if the value is either A *(Active)* or T *(Terminated)*.
- When updating the *Sub Dept Code* the system will update the related *Dept Code* and *Division* as well as update the assignments to the default values for the Sub Department.

Update Record

Please update or enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Update Record** will update the record. Click on **Delete Record** will delete the record from the table. Click on **Cancel** to cancel your action.

Table: ERSUSERS

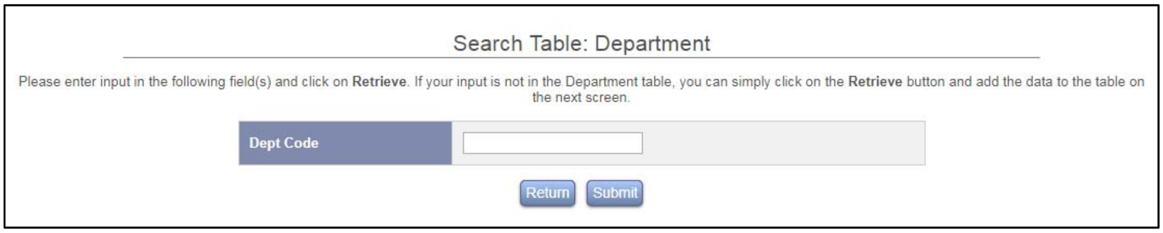
Column Name	Input Value
Employee Id	711032222 *
Employee Name	Codae,Kathy *
Sub Dept Code	61390 * **Internal Medicine**
Dept Code	M50 * **Medicine**<-- System Modified
Division	SB * **Cell Biology**<-- System Modified
College	SKI **SKI**
Email	ers.maximus@gmail.com
User Id	KATHY *
Password	••••••
Title Code	01
Title	Research Associate
Status Code	A *
Role	NONE * **Employee**
Get Par	Y
Temp Password	N
Employee Status	A *
PreReviewer ID	114132222 <-- System Modified
PreReviewer Name	Benjamin,Deck <-- System Modified
Certifier ID	167982222
Certifier Name	Codae,Doyle
PostReviewer ID	149432222 <-- System Modified
PostReviewer Name	Miller,Cris <-- System Modified
Alternate SubDept	
Form Type	BAS *

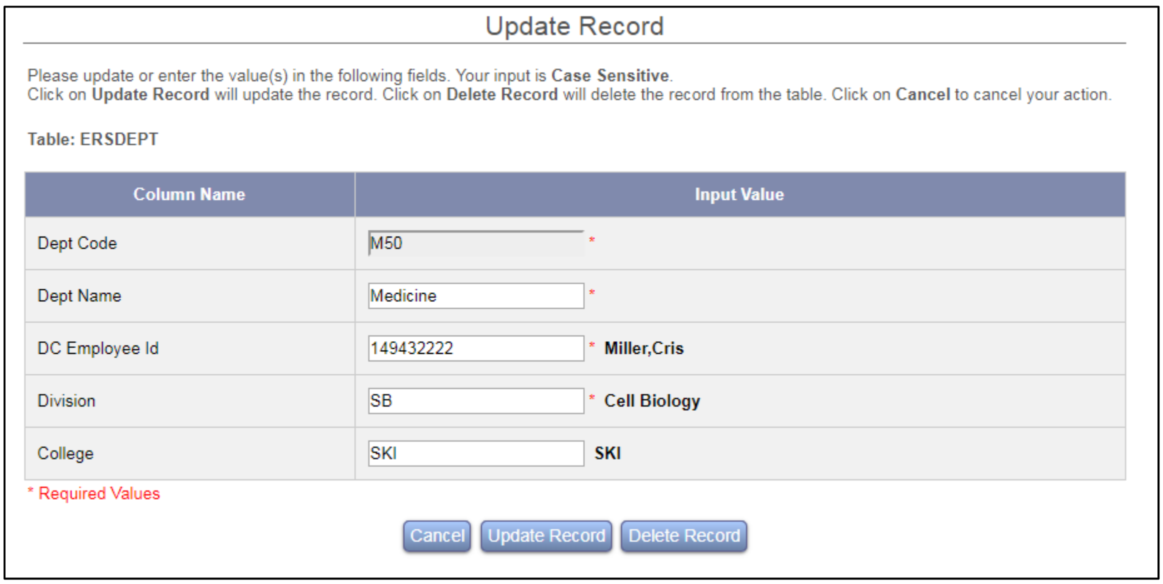
* Required Values

Cancel | Update Record | Delete Record

3.1.2 Department

The following screenshots show the Department interface. This table contains the department information for the system.

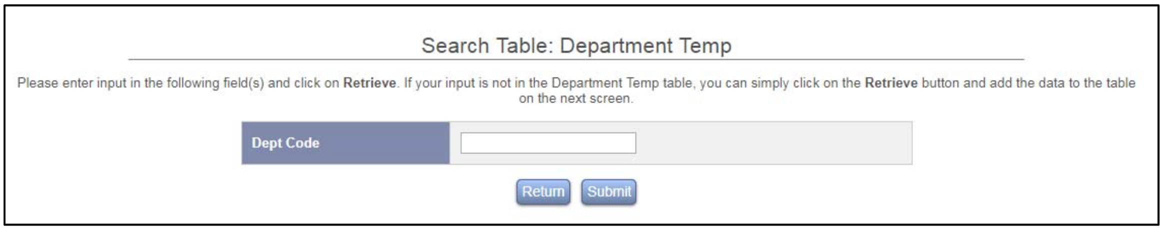




- Validation is done on all user input fields. Maximum character length is checked so that long values cannot be entered. Additionally, many fields have special validations and auto complete features.
- The fields *Dept Name* and *College* only have validation on field length.
- *DC Employee ID* validates if the employee entered exists in the system. An auto complete drop down is provided. If the selected employee is not currently listed as a DC, the role will be updated.
- *Division* validates if the division entered exists in ERS.

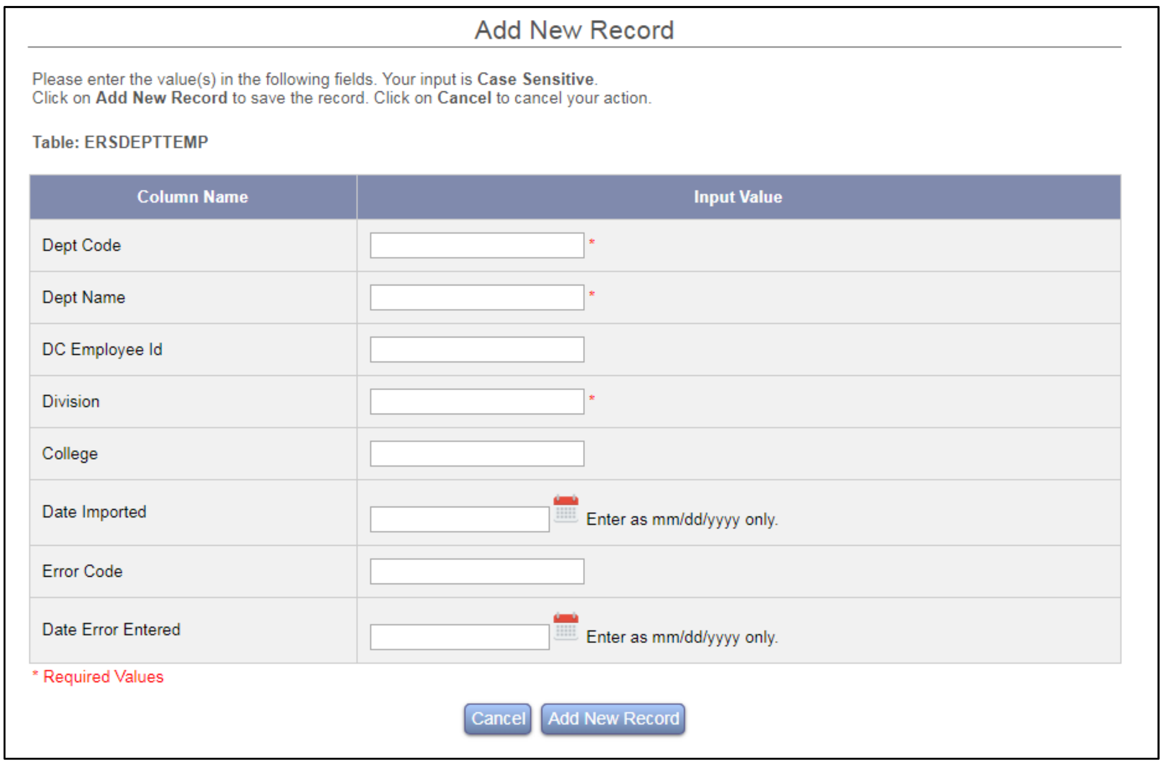
3.1.3 Department Temp

The following screenshots show the Department Temp interface. This table is used as a staging area for the Org Refresh process.



Below is an example of adding a new record. In this case the primary key fields are left blank and editable.

Note: The updates to this table have no effect on the system until the Organizational Hierarchy Data Refresh process is run. Refer section *Organizational Hierarchy Refresh* for more information on this process.

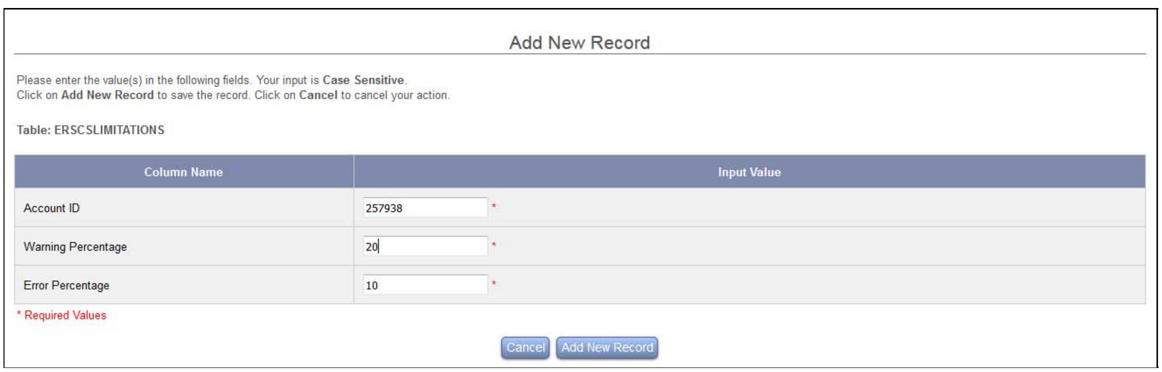


- Validation is done on all user input fields. Maximum character length is checked so that long values cannot be entered. Additionally, some fields have special validations and auto complete features.
- The fields *Dept Code, Dept Name, College,* and *Error Code* only have validation on field length.
- *DC Employee ID* validates that the employee exists in the system.
- *Date Imported* validates if the date is in the correct format.
- *Date Error Entered* validates if the date is in the correct format.

3.1.4 CS Limitations

The following screenshots show the CS Limitations interface. This feature allows the CA to update the cost sharing percentage limit that is permitted on specific accounts.

Limitations can be assigned as an error and will prevent the user from proceeding until the CS percentage is below the set limit. Or, it can be classified as a warning which warns the user that they have used a percentage over the limit but will allow them to proceed without corrections. A percentage amount can only be entered as either a Warning or an Error and cannot be entered in both places.



- Validation is done on all user input fields. Maximum character length is checked so that long values cannot be entered. Additionally, some fields have special validations and auto complete features.
- The field *Account ID* is only validated on field length.
- *Warning Percentage* is validated to be an integer.
- *Error Percentage* is validated to be an integer.

3.1.5 Sub Department Temp

The following screenshots show the Sub Department Temp table interface. This table is used as a staging table for the ORG refresh process.

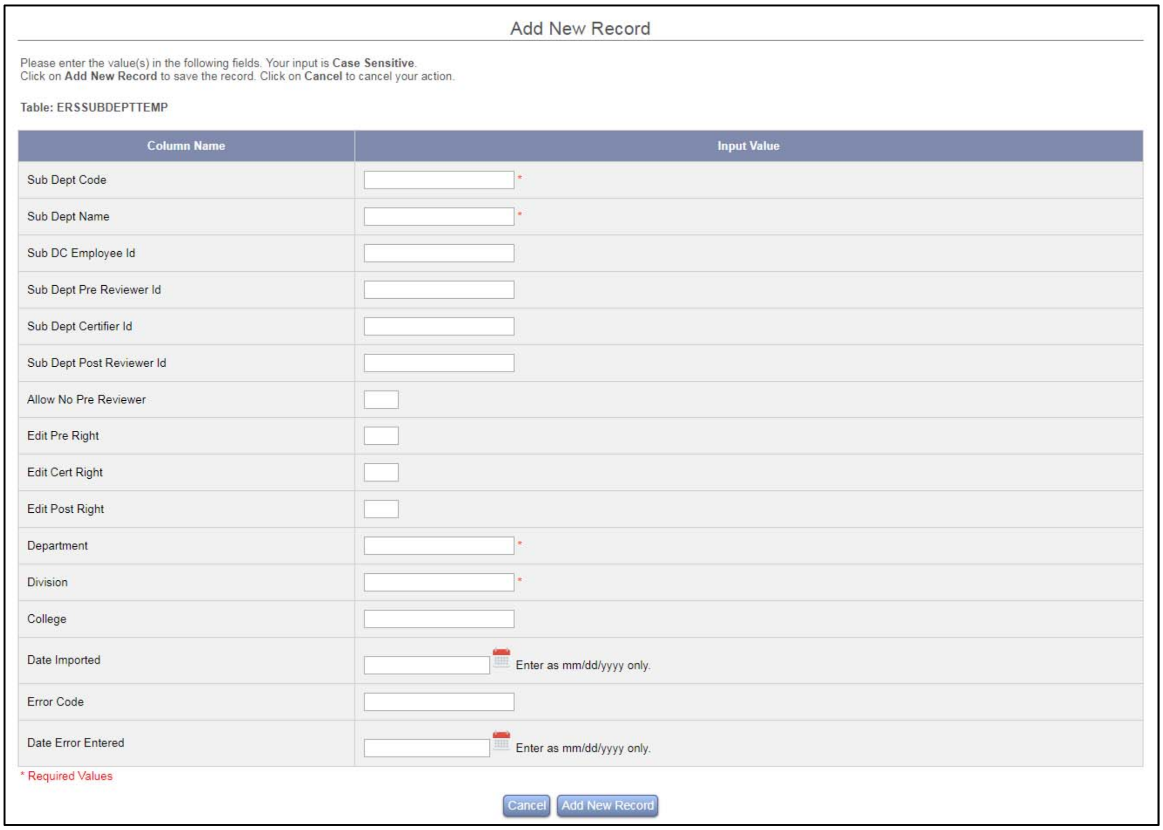
Search Table: Sub Department Temp

Please enter input in the following field(s) and click on **Retrieve**. If your input is not in the Sub Department Temp table, you can simply click on the **Retrieve** button and add the data to the table on the next screen.

Sub Dept Code	

Return Submit

Note: The updates to this table have no effect on the system until the Organizational Hierarchy Data Refresh process is run. See section *Refresh Data→Organizational Hierarchy Refresh* for more information on this process.



Add New Record

Please enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Add New Record** to save the record. Click on **Cancel** to cancel your action.

Table: ERSSUBDEPTTEMP

Column Name	Input Value
Sub Dept Code	*
Sub Dept Name	*
Sub DC Employee Id	
Sub Dept Pre Reviewer Id	
Sub Dept Certifier Id	
Sub Dept Post Reviewer Id	
Allow No Pre Reviewer	
Edit Pre Right	
Edit Cert Right	
Edit Post Right	
Department	*
Division	*
College	
Date Imported	Enter as mm/dd/yyyy only.
Error Code	
Date Error Entered	Enter as mm/dd/yyyy only.

* Required Values

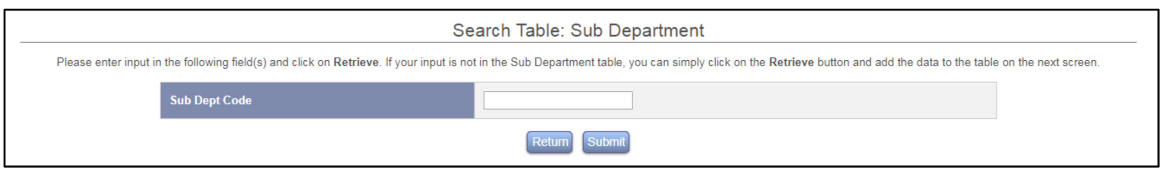
Cancel Add New Record

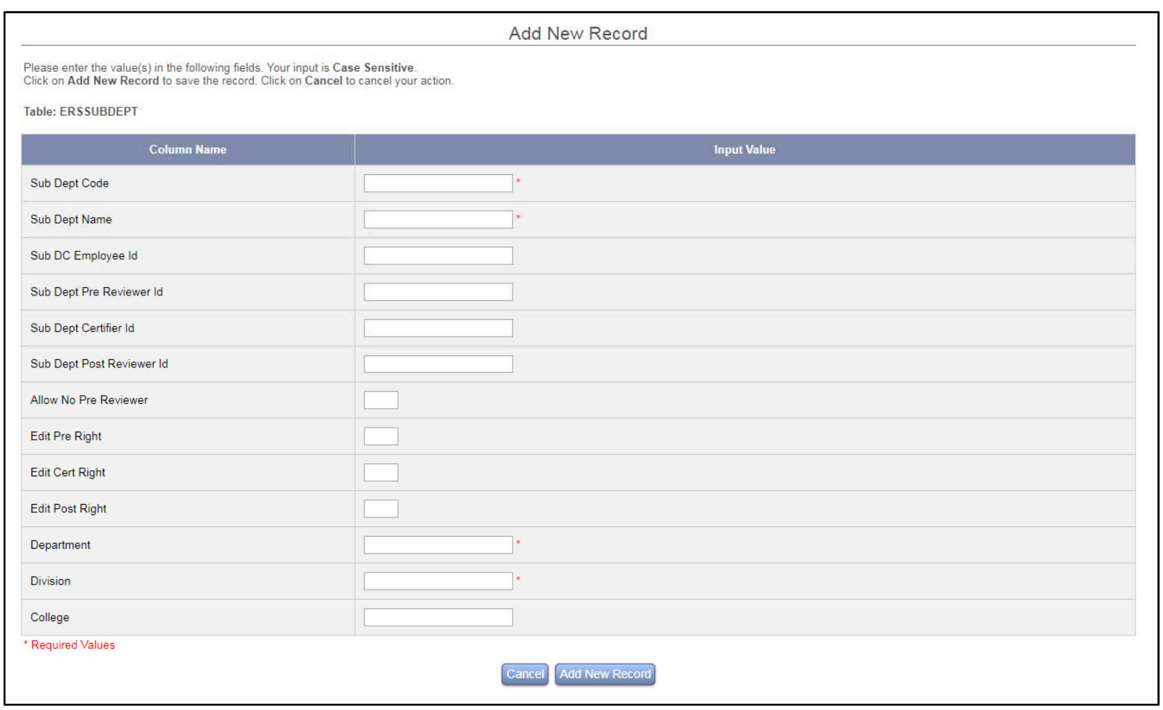
- Validation is done on all user input fields. Maximum character length is checked so that long values cannot be entered. Additionally, some fields have special validations and auto complete features.
- The fields *Sub Dept Code, Dept Name, Allow No Previewer, Edit Pre Right, Edit Cert Right, Edit Post Right, College,* and *Error Code* only have validation on field length.
- *Sub DC Employee ID* validates if the employee entered exists in the system. An auto complete drop down is provided.
- *Sub Dept Pre Reviewer ID* validates if the employee entered exists in the system. An auto complete drop down is provided.

- *Sub Dept Certifier ID* validates if the employee entered exists in the system. An auto complete drop down is provided. It is recommended to leave this field blank so that certifiers can be assigned based on individual effort forms.
- *Sub Dept Post Reviewer ID* validates if the employee entered exists in the system. An auto complete drop down is provided.
- *Department* validates if the department entered exists in the system. An auto complete drop down is provided.
- *Division* validates if the division entered exists in the system. An auto complete drop down is provided.
- *Date Imported* validates if the date is in the correct format.
- *Error Code.* System generated Error code value.
- *Date Error Entered* validates if the date is in the correct format.

3.1.6 Sub Department

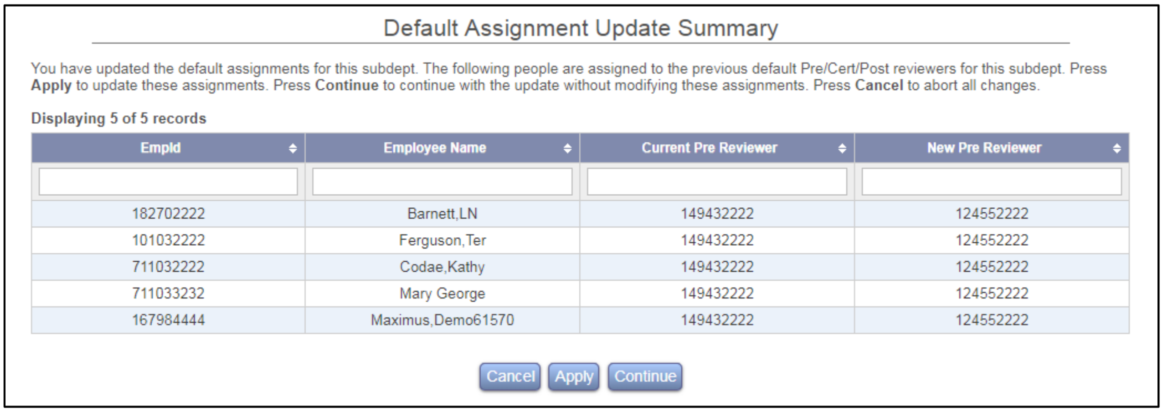
The following screenshots show the Sub Department table interface. This table contains the system sub department information.





- Validation is done on all user input fields. Maximum character lengths are checked so that long values cannot be entered. Additionally some fields have special validations and auto complete features.
- The fields *Sub Dept Code, Dept Name, Allow No Previewer, Edit Pre Right, Edit Cert Right, Edit Post Right, College,* and *Error Code* only have validation on field length.
- *Sub DC Employee ID* validates if the employee entered exists in the system. An auto complete drop down is provided. Additionally if the newly assigned Sub DC was not already a Sub DC, the role will be updated. The former Sub DC will also have their role updated if applicable.
- *Sub Dept Pre Reviewer ID* validates if the employee entered exists in the system. An auto complete drop down is provided. If effort forms are currently assigned to the previous default pre reviewer you will be given the option of updating these assignments to the new default pre reviewer. *See screenshot below.*
- *Sub Dept Certifier ID* validates if the employee entered exists in the system. An auto complete drop down is provided. If effort forms are currently assigned to the previous default certifier the user will be given the option of updating these assignments to the new default certifier. It is recommended to leave this field blank so that certifiers can be assigned for individual forms.
- *Sub Dept Post Reviewer ID* validates if the employee entered exists in the system. An auto complete drop down is provided. If effort forms are currently assigned to the previous default post reviewer you will be given the option of updating these assignments to the new default post reviewer.
- *Department* validates if the department entered exists in the system. An auto complete drop down is provided.
- *Division* validates if the division entered exists in the system. An auto complete drop down is provided.

When updating the default Pre Reviewer the following confirmation is presented, if and only if, there are effort forms assigned to the previous default pre reviewer of the selected sub department.



Default Assignment Update Summary

You have updated the default assignments for this subdept. The following people are assigned to the previous default Pre/Cert/Post reviewers for this subdept. Press **Apply** to update these assignments. Press **Continue** to continue with the update without modifying these assignments. Press **Cancel** to abort all changes.

Displaying 5 of 5 records

EmpId	Employee Name	Current Pre Reviewer	New Pre Reviewer
182702222	Barnett,LN	149432222	124552222
101032222	Ferguson,Ter	149432222	124552222
711032222	Codae,Kathy	149432222	124552222
711033232	Mary George	149432222	124552222
167984444	Maximus,Demo61570	149432222	124552222

Cancel Apply Continue

3.1.7 Division

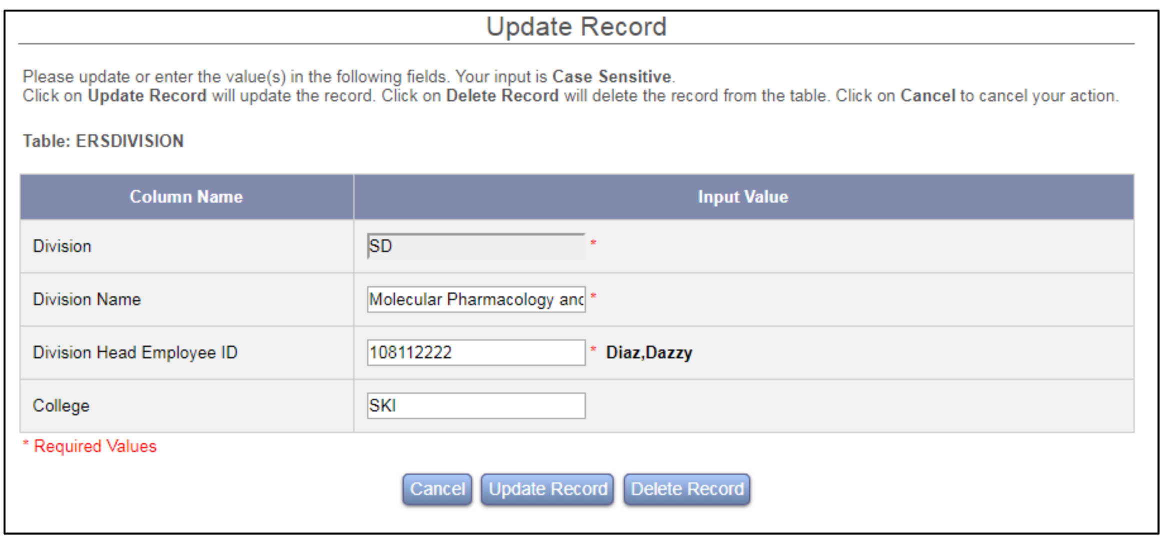
The following screenshots show the Division table interface. This table contains the information about the divisions.

Search Table: Division

Please enter input in the following field(s) and click on **Retrieve**. If your input is not in the Division table, you can simply click on the **Retrieve** button and add the data to the table on the next screen.

Division	

Return Submit



Update Record

Please update or enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Update Record** will update the record. Click on **Delete Record** will delete the record from the table. Click on **Cancel** to cancel your action.

Table: ERSDIVISION

Column Name	Input Value
Division	SD *
Division Name	Molecular Pharmacology anc *
Division Head Employee ID	108112222 * **Diaz,Dazzy**
College	SKI

* Required Values

Cancel Update Record Delete Record

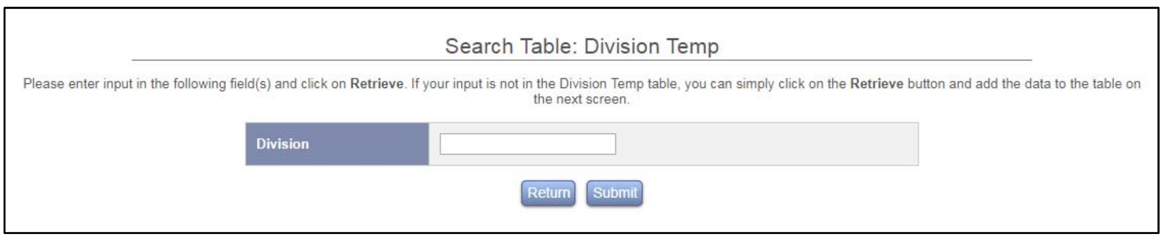
- Validation is done on all user input fields. Maximum character lengths are checked so that long values cannot be entered. Additionally, some fields have special validations and auto complete features.

- The fields *Division, Division Name,* and *College* only have validation on field length.
- *Div Employee ID* validates if the employee entered exists in the system. An auto complete drop down is provided.

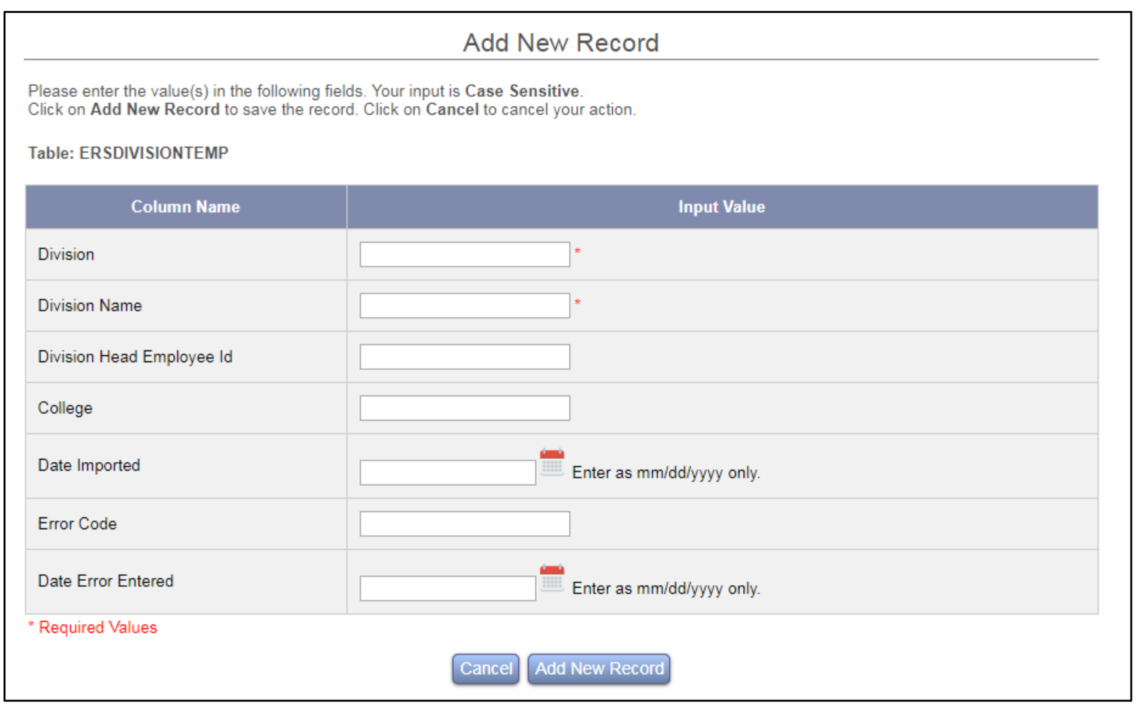
> ***Important Note:*** Changing the Div Employee Id via this interface will not automatically update their role to DH.

3.1.8 Division Temp

The following screenshots show the Division Temp table interface. This table is used as a staging table for the *Organizational Hierarchy Refresh* process.



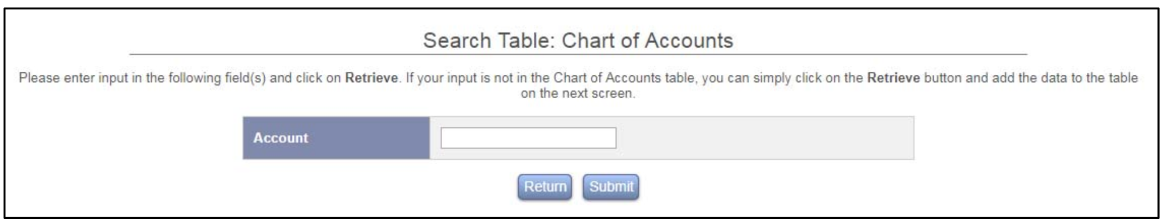
> ***Note:*** The updates to this table have no effect on the system until the Organizational Hierarchy Refresh process is run. Refer section *Organizational Hierarchy Refresh* for more information on this process.

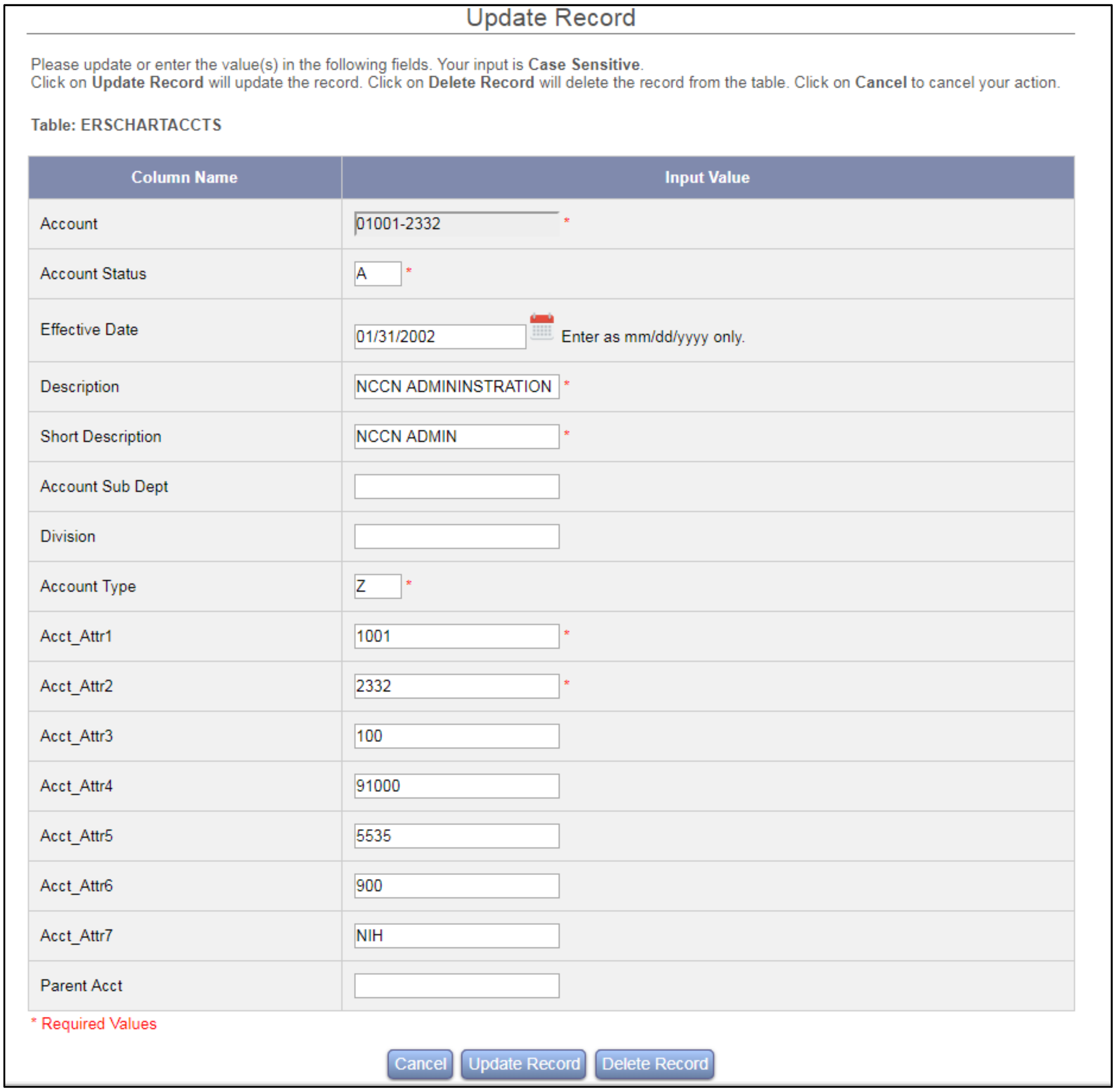


- Validation is done on all user input fields. Maximum character lengths are checked so that long values cannot be entered. Additionally, some fields have special validations and auto complete features.
- The fields *Division, Division Name, College,* and *Error Code* only have validation on field length.
- *Div Employee ID* validates if the employee entered exists in the system. An auto complete drop down is provided.
- *Date Imported* validates if the date is in the correct format.
- *Error Code.* System generated Error code value.
- *Date Error Entered* validates if the date is in the correct format.

3.1.9 Chart of Accounts

The following screenshots show the Chart of Accounts table interface.





Update Record

Please update or enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Update Record** will update the record. Click on **Delete Record** will delete the record from the table. Click on **Cancel** to cancel your action.

Table: ERSCHARTACCTS

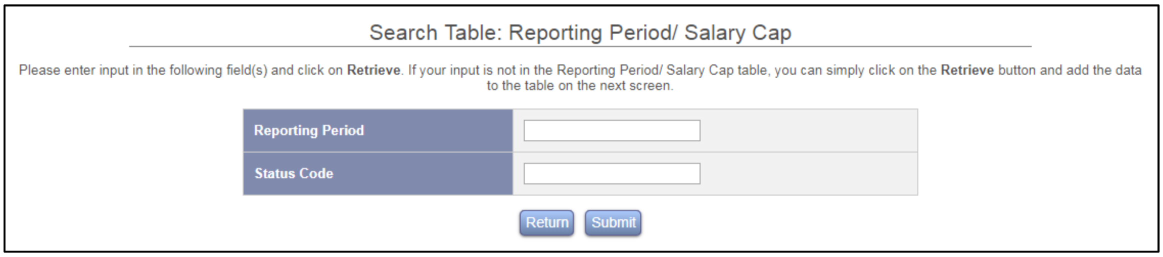
Column Name	Input Value
Account	01001-2332 *
Account Status	A *
Effective Date	01/31/2002 Enter as mm/dd/yyyy only.
Description	NCCN ADMININSTRATION *
Short Description	NCCN ADMIN *
Account Sub Dept	
Division	
Account Type	Z *
Acct_Attr1	1001 *
Acct_Attr2	2332 *
Acct_Attr3	100
Acct_Attr4	91000
Acct_Attr5	5535
Acct_Attr6	900
Acct_Attr7	NIH
Parent Acct	

* Required Values

Cancel Update Record Delete Record

- Validation is done on all user input fields. Maximum character lengths are checked so that long values cannot be entered. Additionally some fields have special validations and auto complete features.
- The fields *Account Status, Description, Short Description, College, Account Type, Acct_Attr1, Acct_Attr2, Acct_Attr3, Acct_Attr4, Acct_Attr5, Acct_Attr6,* and *Acct_Attr7* only have validation on field length.
- *Effective Date* validates if the date is in the correct format.
- *Division* validates if the division entered exists in the system. An auto complete drop down is provided.
- *Parent Acct* validates if the account entered as a Parent Account exists in the system. An auto complete drop down is provided.

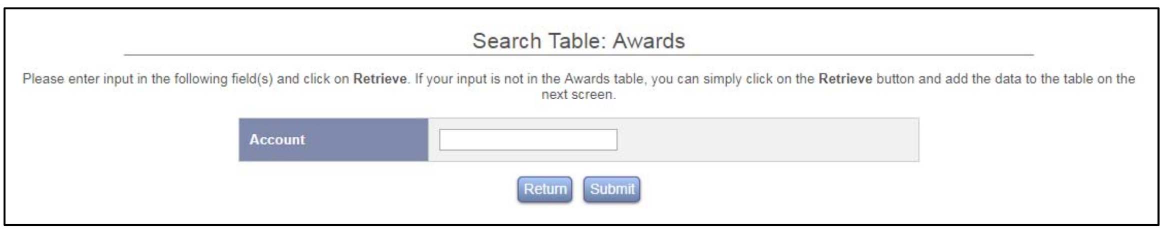
3.1.10 Reporting Periods/ Salary Cap



Reporting Periods and **Salary Cap** are functions used primarily during the initiation process and are covered in detail in the *Initiation* chapter.

3.1.11 Awards

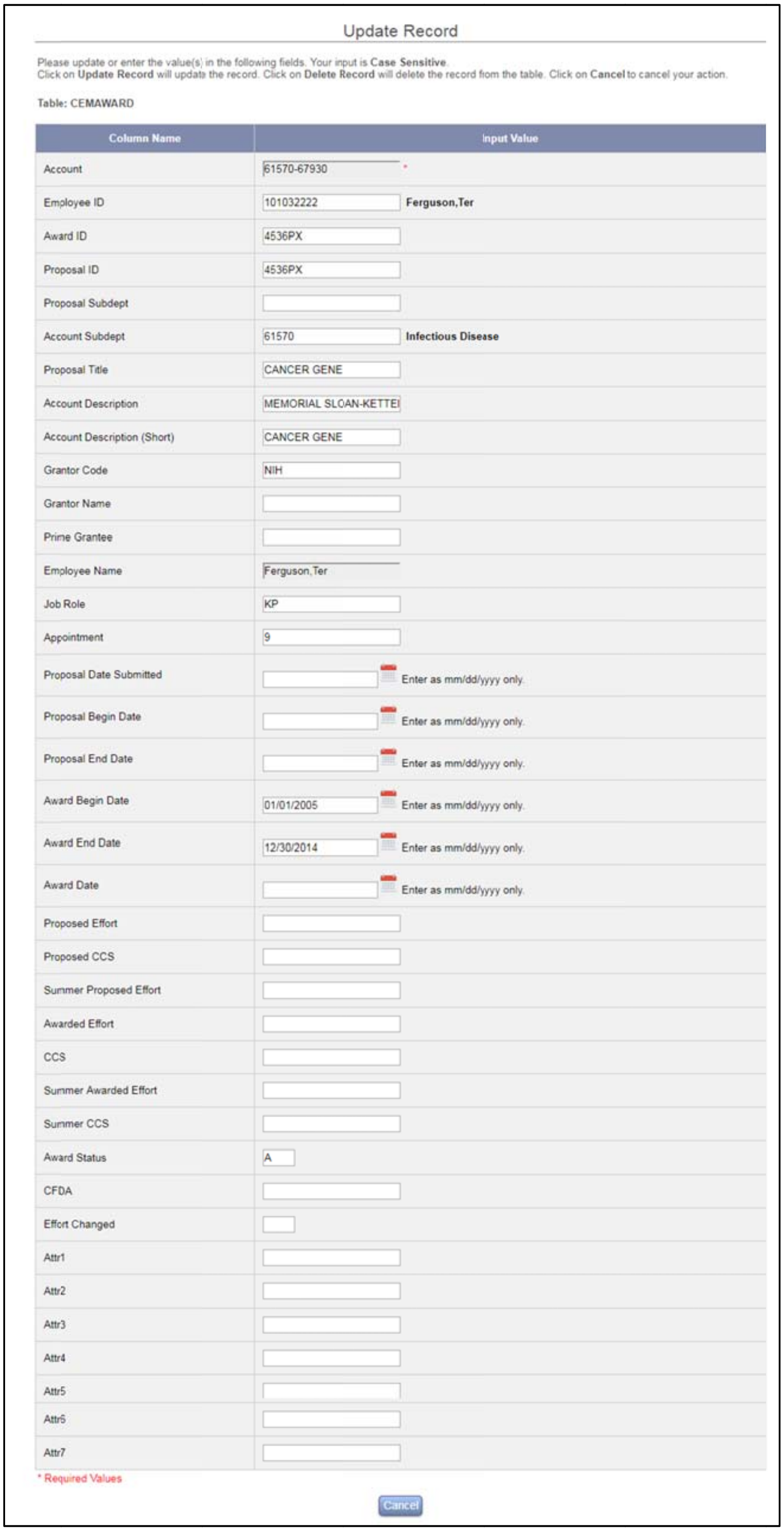
The following screenshots show the Awards table interface.



Under certain configurations it is possible to have multiple records for a single award. Typically this happens when displaying commitment information on the effort forms. In this case the user may see the following screen after entering an Account ID. This screen allows the user to select specific award record that needs to be updated.

	Account	Employee ID	Award ID	Proposal ID	Proposal Subdept	Account Subdept	Proposal Title	Account Description	Account Description (Short)	Grantor Code	Grantor Name	Prime Grantee	Employee Name	Job Role	Appointment	Proposal Date Submitted	Proposal Begin Date	Proposal End Date	Award Begin Date	Award End Date
Retrieve	61570-67930	114132222	4536PX	4536PX		61390	CANCER GENE	MEMORIAL SLOAN-KETTERING CANCER GENE THE	CANCER GENE	NIH			Benjamin,Deck	OT	12				01/01/2006	12/30/2014

	Account	Employee ID	Award ID	Proposal ID	Proposal Subdept	Account Subdept	Proposal Title	Account Description	Account Description (Short)	Grantor Code	Grantor Name	Prime Grantee	Employee Name	Job Role	Appointment	Proposal Date Submitted	Proposal Begin Date	Proposal End Date	Award Begin Date	Award End Date
Retrieve	61570-67930	312422222	4536PX	4536PX		61390	CANCER GENE	MEMORIAL SLOAN-KETTERING CANCER GENE THE	CANCER GENE	NIH			Lin,HongKK	OT	12				01/01/2006	12/30/2014



Update Record

Please update or enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Update Record** will update the record. Click on **Delete Record** will delete the record from the table. Click on **Cancel** to cancel your action.

Table: CEMAWARD

Column Name	Input Value
Account	61570-67930 *
Employee ID	101032222 **Ferguson,Ter**
Award ID	4536PX
Proposal ID	4536PX
Proposal Subdept	
Account Subdept	61570 **Infectious Disease**
Proposal Title	CANCER GENE
Account Description	MEMORIAL SLOAN-KETTE
Account Description (Short)	CANCER GENE
Grantor Code	NIH
Grantor Name	
Prime Grantee	
Employee Name	Ferguson,Ter
Job Role	KP
Appointment	9
Proposal Date Submitted	Enter as mm/dd/yyyy only.
Proposal Begin Date	Enter as mm/dd/yyyy only.
Proposal End Date	Enter as mm/dd/yyyy only.
Award Begin Date	01/01/2005 Enter as mm/dd/yyyy only.
Award End Date	12/30/2014 Enter as mm/dd/yyyy only.
Award Date	Enter as mm/dd/yyyy only.
Proposed Effort	
Proposed CCS	
Summer Proposed Effort	
Awarded Effort	
CCS	
Summer Awarded Effort	
Summer CCS	
Award Status	A
CFDA	
Effort Changed	
Attr1	
Attr2	
Attr3	
Attr4	
Attr5	
Attr6	
Attr7	

* Required Values

Cancel

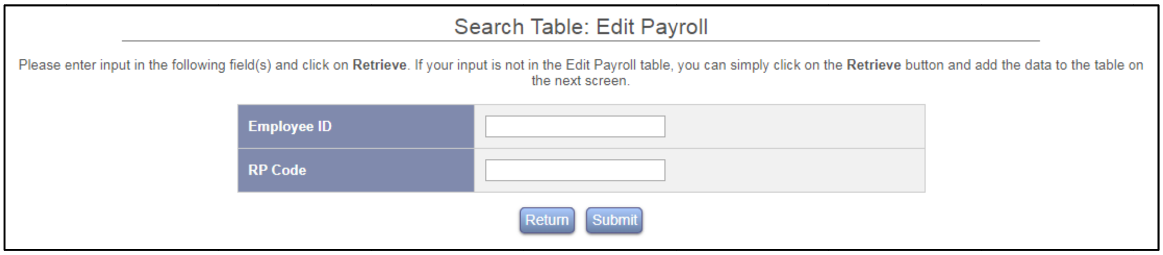
- Validation is done on all user input fields. Maximum character lengths are checked so that long values cannot be entered. Additionally, some fields have special validations and auto complete features.
- The fields *Account, Award ID, Proposal ID, Proposal Title, Account Description, Account Description (Short), Grantor Code, Grantor Name, Prime Grantee, Employee Name, Proposed Effort, Proposed CCS, Summer Proposed Effort, Awarded Effort, CCS, Summer Awarded Effort, Summer CCS, CFDA, Attr1, Attr2, Attr3, Attr4, Attr5, Attr6,* and *Attr7* only have validations on field length.
- *Employee ID* validates if the employee entered exists in the system. An auto complete drop down is provided.
- *Proposal Subdept* validates if the sub department entered exists in the system. An auto complete drop down is provided.
- *Account Subdept* validates if the sub department entered exists in the system. An auto complete drop down is provided.
- *Job Role* validates if the job role is one of the valid roles; PI, CP, KP, OKP, OTH.
- *Appointment* validates if the appointment is one of the valid values; 8.5, 9, 10, 11, 12
- *Proposal Submitted Date* validates if the date is in the correct format.
- *Proposal Begin Date* validates if the date is in the correct format.
- *Proposal End Date* validates if the date is in the correct format.
- *Award Begin Date* validates if the date is in the correct format.
- *Award End Date* validates if the date is in the correct format.
- *Award Status* validates if the status is valid; A, W, R, C
- *Effort Changed* validates if the value is Y, or N.

3.1.12 Edit Payroll

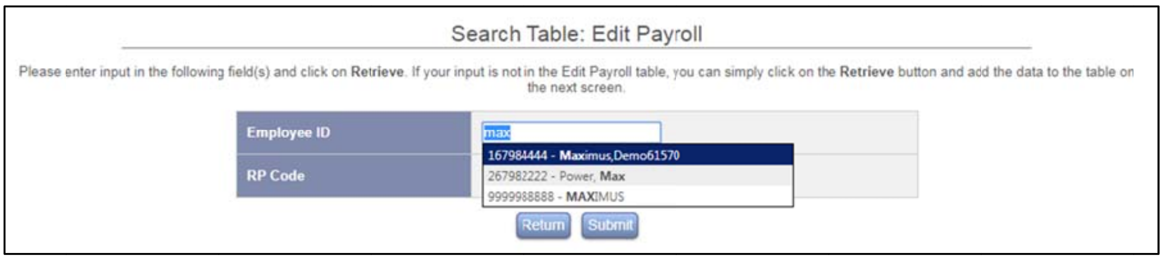
This feature allows the Central Administrator to edit the *effort payroll amount* of a specific employee's effort form.

- To edit Payroll Amount, go to Edit Payroll

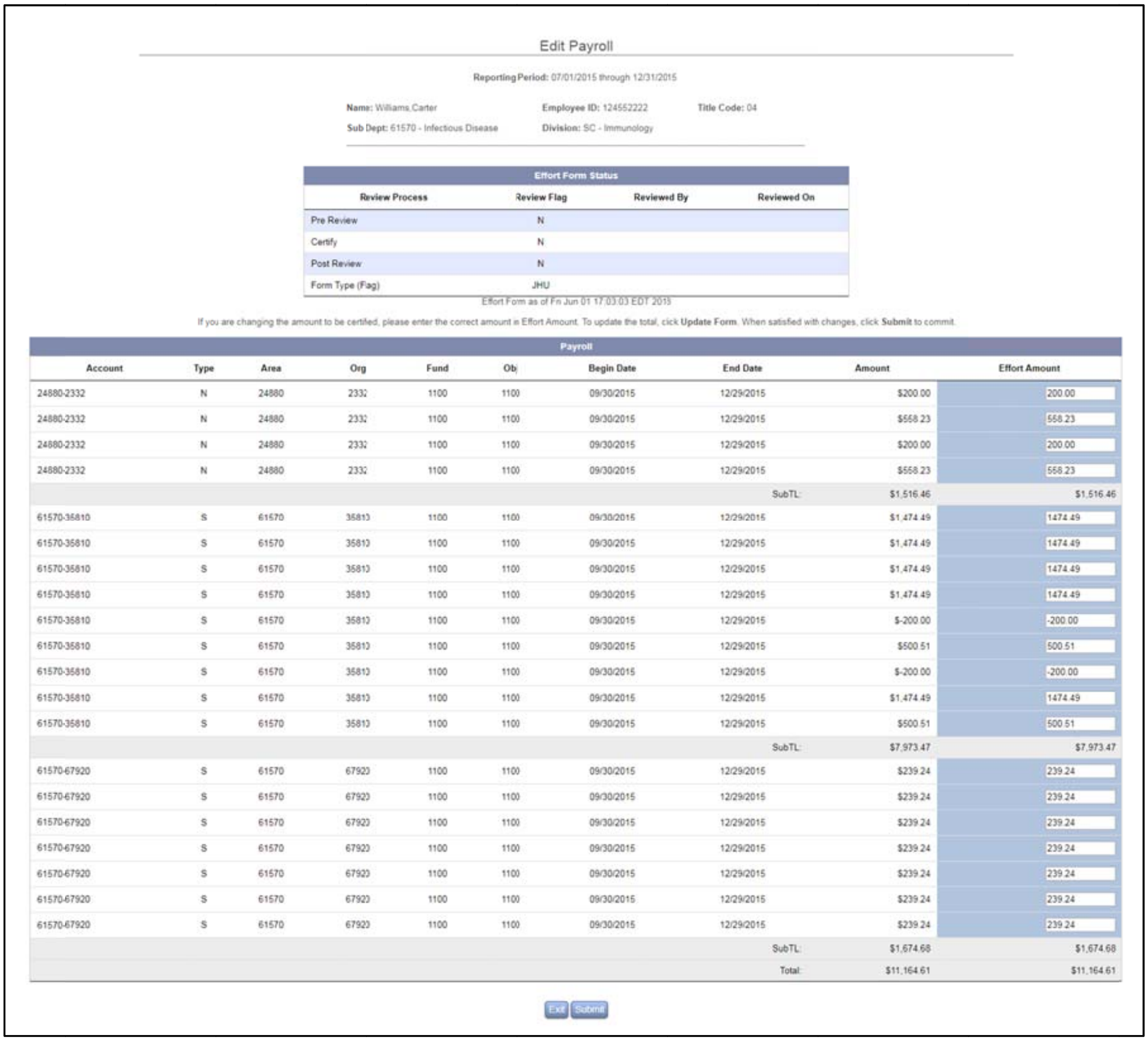
Clicking on link **Edit Payroll** provides the following screen that requires inputting Employee ID and Reporting Period Code.



This interface provides an auto complete capability.



Clicking on **Submit** will display the Edit Payroll screen



Edit Payroll

Reporting Period: 07/01/2015 through 12/31/2015

Name: Williams,Carter **Employee ID:** 124552222 **Title Code:** 04

Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	N		
Certify	N		
Post Review	N		
Form Type (Flag)	JHU		

Effort Form as of Fri Jun 01 17:03:03 EDT 2015

If you are changing the amount to be certified, please enter the correct amount in Effort Amount. To update the total, click **Update Form**. When satisfied with changes, click **Submit** to commit.

Payroll

Account	Type	Area	Org	Fund	Obj	Begin Date	End Date	Amount	Effort Amount
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$200.00	200.00
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$558.23	558.23
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$200.00	200.00
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$558.23	558.23
							SubTL:	$1,516.46	$1,516.46
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	1474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	1474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	1474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	1474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$-200.00	-200.00
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$500.51	500.51
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$-200.00	-200.00
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	1474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$500.51	500.51
							SubTL:	$7,973.47	$7,973.47
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	239.24
							SubTL:	$1,674.68	$1,674.68
							Total:	$11,164.61	$11,164.61

Exit Submit

Configuration Note: A back-end configuration is available to add additional payroll attributes, if needed. Please contact ERSHelpDesk@maximus.com for details.

Important Note:

This interface allows the CA to edit the effort payroll amount **only**. No other payroll attribute can be edited via this interface.

The excluded payroll transactions are not available for editing.

Only **uncertified** effort form's effort amount is available for editing.

The system does not log the changes made by the Central Administrator to the effort amount. This feature should only be used in rare circumstances.

The Total on the effort form will be refreshed while CA edits the Effort Amount. The system will reset the effort amount to 0 if it is entered as anything other than number.

Note: The system will treat the Effort Amount as 0 if it is left blank. It is recommended to populate the Effort Amount field with number 0 if no value is required.

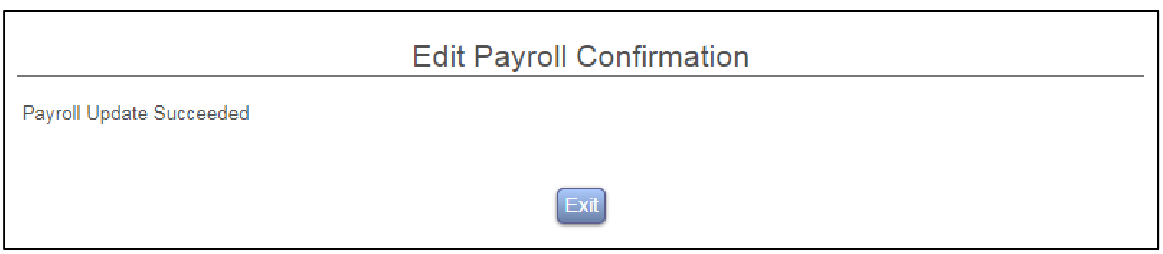
The system allows inputting a number with decimals more than two digits but only saves the value up to two decimal places by rounding the digits. Example:

Account	Type	Area	Org	Fund	Obj	Begin Date	End Date	Amount	Effort Amount
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$200.00	200.1232

On **Submit**, the system rounded the four decimal digits to two decimal digits.

Account	Type	Area	Org	Fund	Obj	Begin Date	End Date	Amount	Effort Amount
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$200.00	200.12

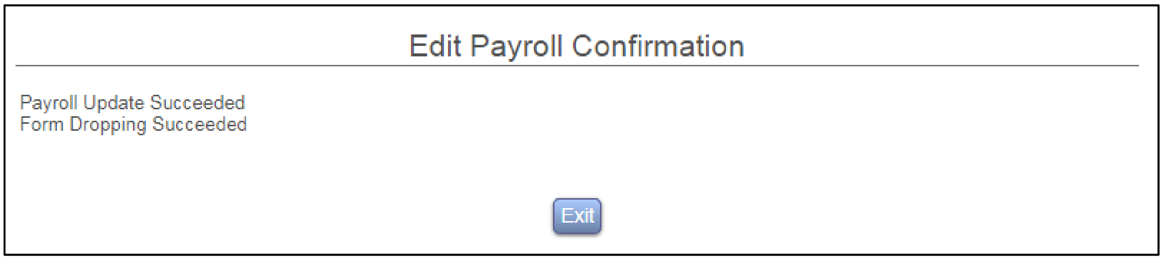
To submit the updates click button **Submit**. The system will provide the following confirmation message.



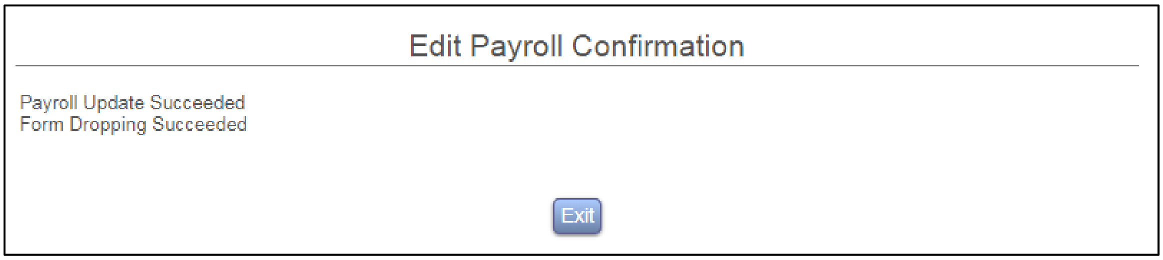
If the effort form was accessed where the Pre Reviewer saved the effort form or completed pre review; or Certifier saved the effort form a message will appear above the available buttons.

The system will drop the effort results of the employee, update the effort payroll amount and send an email notification to the Pre Reviewer or the Certifier with No Pre Review to pre review or certify the effort form again.

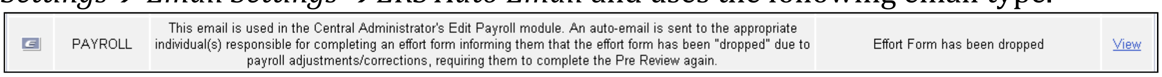
The following confirmation message is displayed for the effort forms where an update was performed for an effort form that was either Pre Reviewed or saved by the Pre Reviewer.



The following confirmation message is displayed for the effort forms where an effort amount update was performed on an effort form saved by the Certifier. In this case an email notification is sent to both the Pre Reviewer and Certifier.

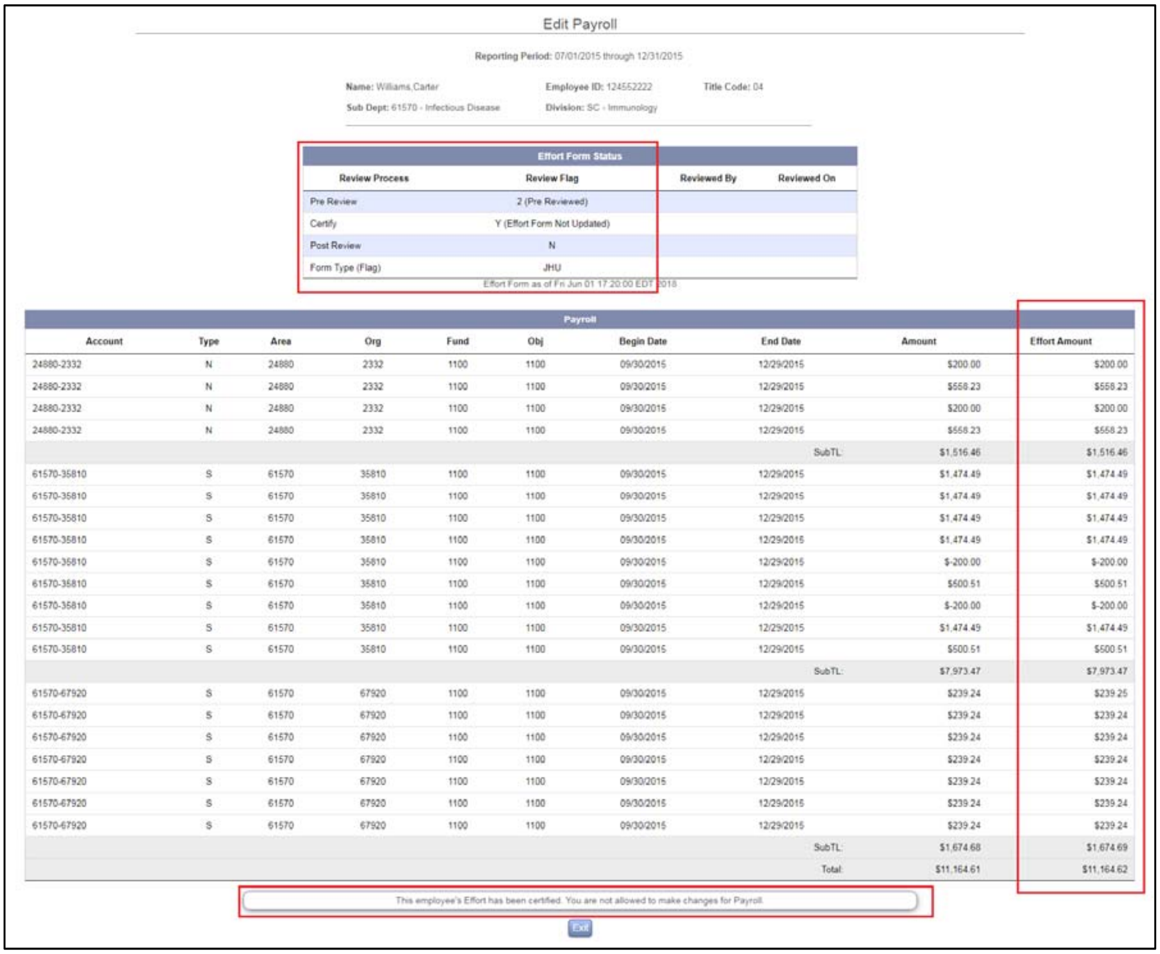


Configuration Note: The email notification sent to the Pre Reviewer and Certifier (if no Pre Review is required) is configurable and is available for edit under *System Settings→Email Settings →ERS Auto Email* and uses the following email type.



Note: The un-accessed effort forms will accept an update with no notifications.

Once the effort form has been certified, the effort amount is not available for editing as noted in the screenshot below:



Edit Payroll

Reporting Period: 07/01/2015 through 12/31/2015

Name: Williams,Carter **Employee ID:** 124552222 **Title Code:** 04

Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	2 (Pre Reviewed)		
Certify	Y (Effort Form Not Updated)		
Post Review	N		
Form Type (Flag)	JHU		

Effort Form as of Fri Jun 01 17:20:00 EDT 2018

Payroll									
Account	**Type**	**Area**	**Org**	**Fund**	**Obj**	**Begin Date**	**End Date**	**Amount**	**Effort Amount**
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$200.00	$200.00
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$558.23	$558.23
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$200.00	$200.00
24880-2332	N	24880	2332	1100	1100	09/30/2015	12/29/2015	$558.23	$558.23
							SubTL:	$1,516.46	$1,516.46
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	$1,474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	$1,474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	$1,474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	$1,474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$-200.00	$-200.00
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$500.51	$500.51
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$-200.00	$-200.00
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$1,474.49	$1,474.49
61570-35810	S	61570	35810	1100	1100	09/30/2015	12/29/2015	$500.51	$500.51
							SubTL:	$7,973.47	$7,973.47
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	$239.25
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	$239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	$239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	$239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	$239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	$239.24
61570-67920	S	61570	67920	1100	1100	09/30/2015	12/29/2015	$239.24	$239.24
							SubTL:	$1,674.68	$1,674.69
							Total:	$11,164.61	$11,164.62

This employee's Effort has been certified. You are not allowed to make changes for Payroll.

Exit

Recommendation! If changes must be made to a payroll entry for the certified effort form, drop the form, make the changes to the payroll and start the certification process over.

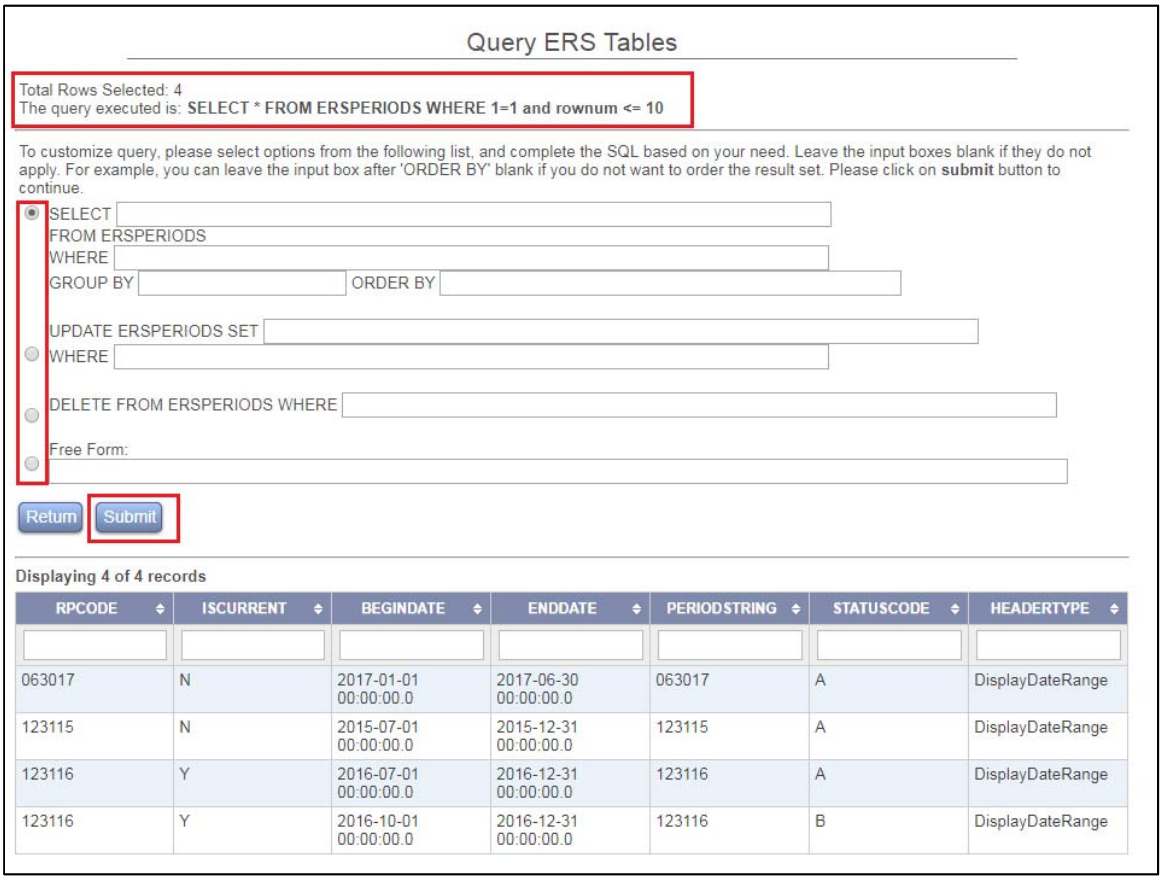
3.2 Batch Update with SQL

This interface allows the CA to query or modify any table in ERS, including source and system tables. This query functionality is recommended for a mass modification to data.

After selecting **Batch Update with SQL**, various tables are listed in alphabetical order with the option to access each using the *Query link*.

Click on the *Query* link provides the following interface:

- SELECT – (default system setting)
- UPDATE
- DELETE
- Free Form



Query ERS Tables

Total Rows Selected: 4
The query executed is: **SELECT * FROM ERSPERIODS WHERE 1=1 and rownum <= 10**

To customize query, please select options from the following list, and complete the SQL based on your need. Leave the input boxes blank if they do not apply. For example, you can leave the input box after 'ORDER BY' blank if you do not want to order the result set. Please click on **submit** button to continue.

SELECT
FROM ERSPERIODS
WHERE
GROUP BY ORDER BY

UPDATE ERSPERIODS SET
WHERE

DELETE FROM ERSPERIODS WHERE

Free Form:

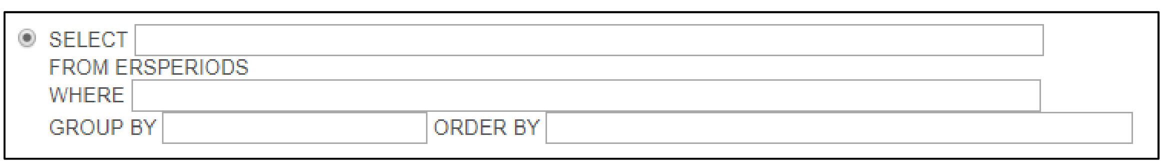
Return Submit

Displaying 4 of 4 records

RPCODE	ISCURRENT	BEGINDATE	ENDDATE	PERIODSTRING	STATUSCODE	HEADERTYPE
063017	N	2017-01-01 00:00:00.0	2017-06-30 00:00:00.0	063017	A	DisplayDateRange
123115	N	2015-07-01 00:00:00.0	2015-12-31 00:00:00.0	123115	A	DisplayDateRange
123116	Y	2016-07-01 00:00:00.0	2016-12-31 00:00:00.0	123116	A	DisplayDateRange
123116	Y	2016-10-01 00:00:00.0	2016-12-31 00:00:00.0	123116	B	DisplayDateRange

3.2.1 SELECT

Complete the SQL in the box below based on specific need. Leave the input boxes blank if they do not apply. For example, the user can leave the input box after 'ORDER BY' blank if the order of the result set does not need to be established.



SELECT
FROM ERSPERIODS
WHERE
GROUP BY ORDER BY

USING *
The use of an asterisk * will return ALL columns.

USING Count(*)
Use Count(*) to find the number of records in the table.

Example:

```
SELECT count(*) FROM ERSUSERS
```

This will return the number of records in the ERSUSERS table.

USING WHERE

WHERE allows the user to conditionally select data from a table.

- Use single quotes around the conditional values.
- Numeric values should not be enclosed in quotes.
- With the WHERE clause, the following operators can be used:

Operator	Description
=	Equal
<>	Not equal
>	Greater than
<	Less than
>=	Greater than or equal
<=	Less than or equal

Recommendation! Always use WHERE condition except for count(*) that narrows down the retrieval of the number of records and is good for system performance.

Example:

For text values:

This is correct:
SELECT * **FROM** ERSUSERS **WHERE** *DEPT* = '4245A'
This is wrong:
SELECT * **FROM** ERSUSERS **WHERE** *DEPT* = 4245A

For numeric values:

This is correct:
SELECT * **FROM** ERSPAYROLL123116 **WHERE** *AMOUNT* > 1000
This is wrong:
SELECT * **FROM** ERSPAYROLL123116 **WHERE** *AMOUNT* > '1000'

USING COLUMN NAMES

Use column names of the table to view values of specific column(s).
Example:

SELECT *EMPID, EMPNAME, EMAIL* **FROM** ERSUSERS **WHERE** *DEPT*='4245A'

This will return the EMPID, EMPNAME and the EMAIL only from the ERSUSERS table just for those individuals listed in DEPT 4245A.

USING AND or OR
The use of **AND** after the WHERE statement will return information that meets all subsequent conditions.
Example:

SELECT * **FROM** ERSUSERS **WHERE** *DEPT*='4245A' **AND** ROLE = 'CERT'

This will return all columns from the ERSUSERS table just for those individuals listed in DEPT 4245A that also have the role of 'CERT'.

The use of **OR** after the WHERE statement will return information that meets either of the subsequent conditions.
Example:

SELECT * **FROM** ERSUSERS **WHERE** *DEPT*='4245A' **OR** ROLE = 'CERT'

This will return all columns from the ERSUSERS table just for those individuals listed in DEPT 4245A (regardless of role) or those that have the role of 'CERT' (regardless of department).

Other Examples:

SELECT * FROM ERSUSERS WHERE EMPSTATUS <> 'A'
This will select all individuals from ERSUSERS table that do not have an 'A' for Active employment status.

SELECT * FROM ERSUSERS WHERE ROLE = 'DC'
This will select all individuals from ERSUSERS table that have a role of DC - Department Coordinators.

SELECT * FROM ERSUSERS WHERE STATUSCODE = 'C' AND GETPAR = 'Y'
This will select all individuals from ERSUSERS table that are classified to report monthly and have an effort form in the current report period.

SELECT * FROM ERSCHARTACCTS WHERE ACCTTYPE = 'S'
This will select all accounts from ERSCHARTACCTS table that are classified as Sponsored Accounts.

SELECT * FROM ERSCHARTACCTS WHERE STATUS <> 'A'
This will select all accounts from ERSCHARTACCTS table that are not Active.

SELECT * FROM ERSCT WHERE APPROVED IS NULL
This will select all cost transfers from ERSCT table that have not been approved.

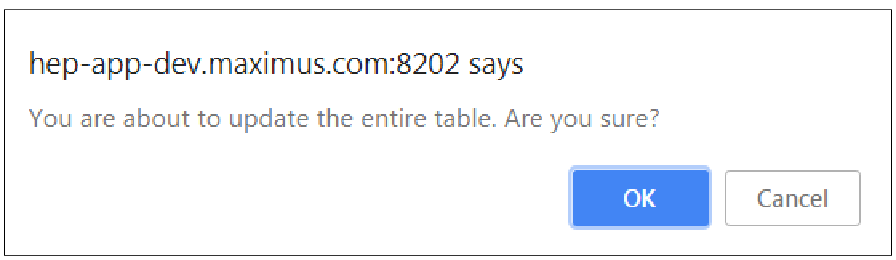
SELECT * FROM ERSPAYROLL093007 WHERE ACCTTYPE = 'S'
This will select all payroll entries from ERSCPAYROLL093007 table that are classified as Sponsored Accounts.

SELECT * FROM ERSEFFHEADER WHERE EMPID = '12345678'
This will select all entries from ERSEFFHEADER for a specific individual.

3.2.2 UPDATE

This option is used when any record(s) need to be updated.

The system will prompt for confirmation only if UPDATE is performed without any criteria and all the records in the table will be impacted.

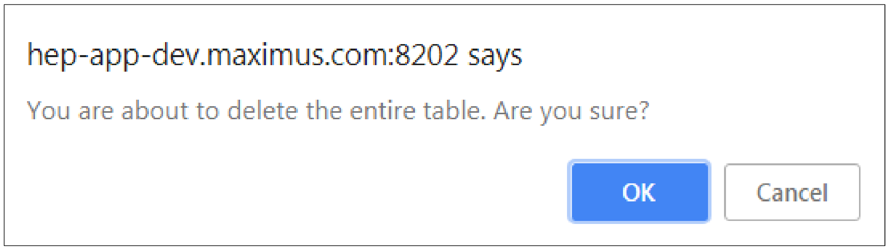


!!Caution!! The system does not provide a confirmation when using the UPDATE option unless the UPDATE is performed on the entire table. Extreme caution should be taken when utilizing this interface.

3.2.3 DELETE

This option is used when any record(s) needs to be removed from the table.

The system will prompt for confirmation only if the DELETE is performed without any criteria and all the data in the table will be removed.



!!Caution!! The system does not prompt a confirmation when using the DELETE option unless the DELETE is performed on entire table. Extreme caution should be taken when utilizing this interface.

3.2.4 Free Form

This option allows the user to use any SQL (SELECT, UPDATE, DELETE, INSERT etc.) statement.

Important Note: Do not put any semicolon at the end of the SQL statement.

To execute a SQL statement, click the **Submit** button.

The system will display a message if the query executed was successful or failed and provide number of records affected where applicable.

Example of successful query execution:

Query Executed Successfully!
10 row(s) affected.

Example of unsuccessful query execution:

ORA-00904: "COUNT": invalid identifier

ORA-00923: FROM keyword not found where expected

3.3 Import Data

The Institution will need to import source data to the Effort Reporting System (ERS) database in order to make it operational. There are two approaches the Central Administrator can utilize to import source data in ERS:

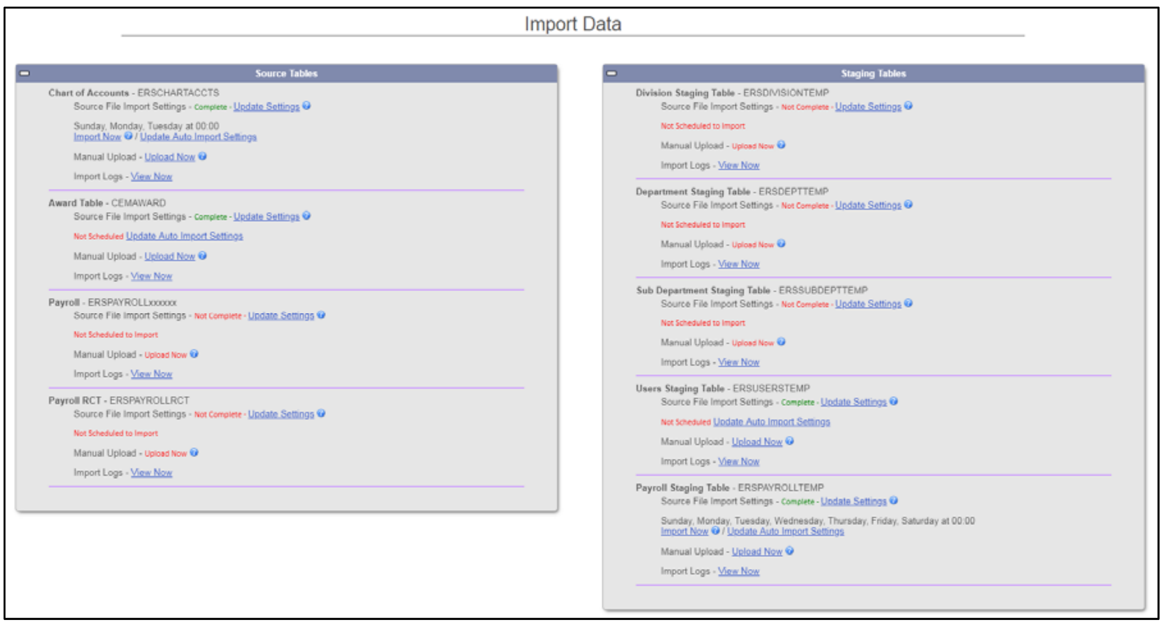
Option 1: Direct Data Import

The data may be imported to the ERS database directly from the Institution's source database. Database specific tools such as SQL Loader (Oracle) are utilized to transfer the data.

Option 2: Flat File Import

The *Central Administrator* may import data from CSV, Text, XML, XLS and XLSX files. The Institution's source data can be imported to ERS tables by using the *Import Data* option under Admin -> Data Management.

The import interface is divided into two sections: ***Source Tables*** and ***Staging Tables***.



Source tables section consists of following tables:

1. Chart of Accounts - ERSCHARTACCTS
2. Award Table - CEMAWARD
3. Payroll - ERSPAYROLLxxxxxx
4. Payroll RCT – ERSPAYROLLRCT

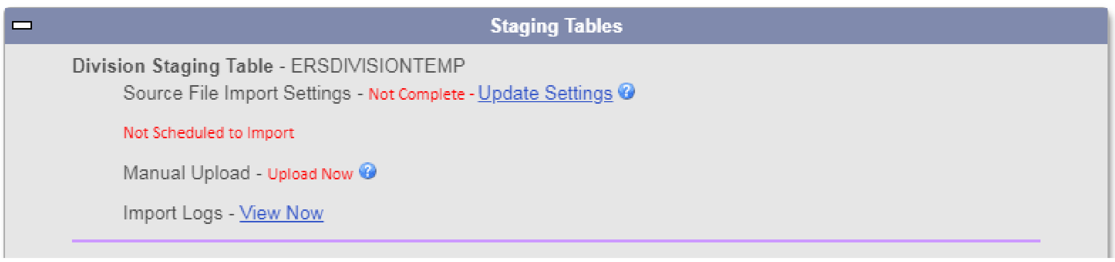
Staging table (temp tables) section comprises of following tables:

1. Division - ERSDIVISIONTEMP
2. Department - ERSDEPTTEMP
3. Sub Department - ERSSUBDEPTTEMP
4. Users - ERSUSERSTEMP

Note: When utilizing option 1 the response time is relatively faster than option 2 since the import is performed at the database level. Generally the *Database Administrator (DBA)* or *Database Programmer* is involved to assist the *Central Administrator* in performing the database-related work.

The system provides following options for each source and system tables:

1. Source file Import settings
2. Update Auto Import Setting or Import Now
3. Manual Upload
4. Import Logs



The icon displays a help message. This gives a quick reference to users of what each option can do.

3.3.1 Source File Import settings

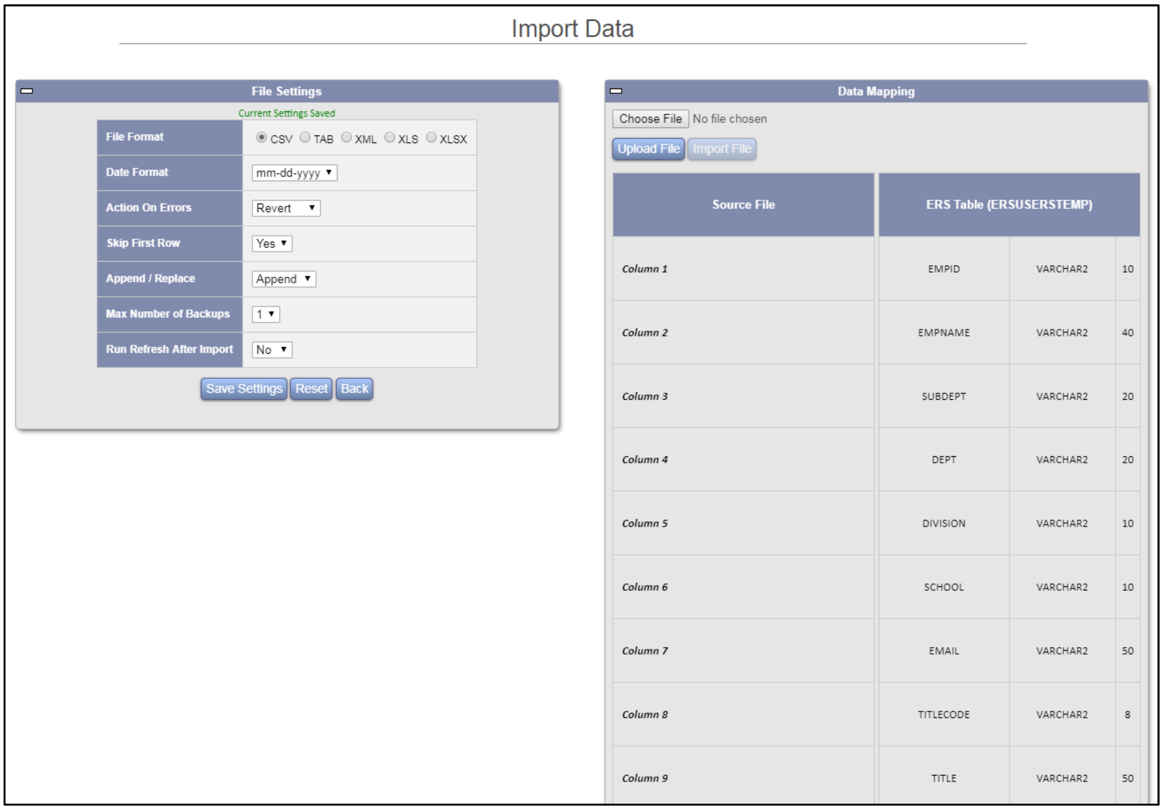
The first step in the data import process is updating the source file settings (files that will be brought into ERS) or making sure that the prior settings saved in the system are correct.

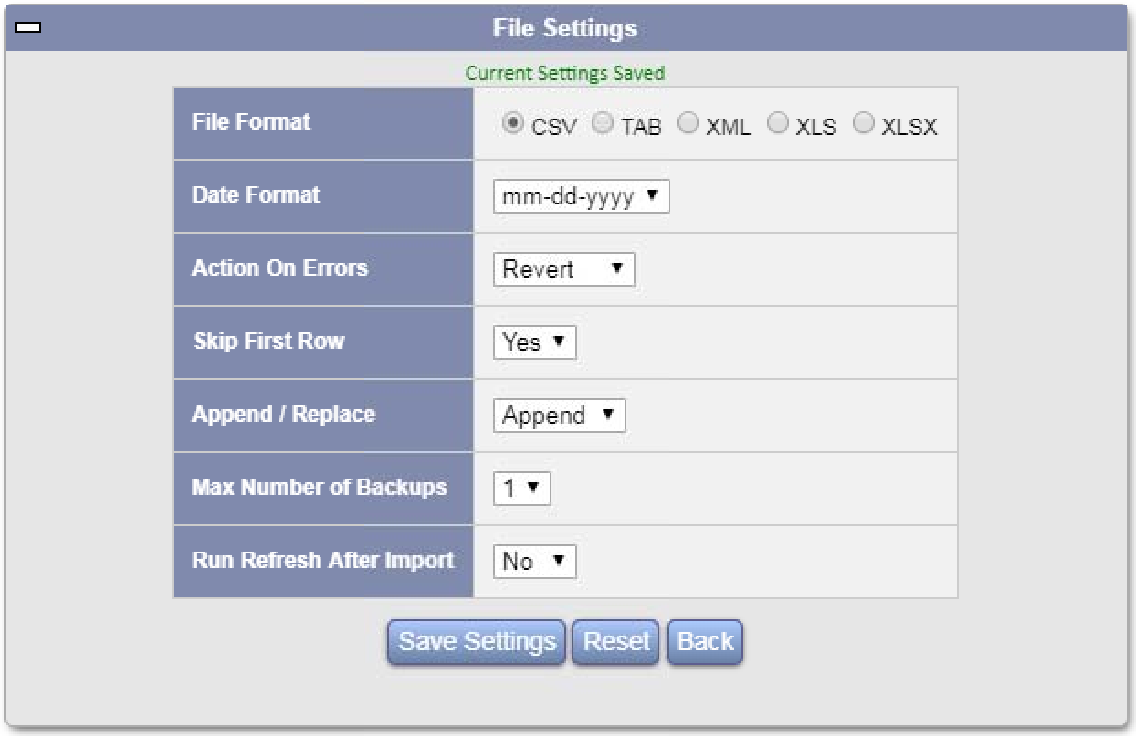
By default the system will display “Not Complete” when settings are not saved in the system.

To update the settings click on link “Update Settings” that will present the following screen allowing the CA to configure the File Settings and Data Mapping.

3.3.2 File Settings

The *File Settings* section provides following configuration settings:


Import Data
File Settings
Current Settings Saved
File Format
CSV TAB XML XLS XLSX
Date Format
mm-dd-yyyy
Action On Errors
Revert
Skip First Row
Yes
Append / Replace
Append
Max Number of Backups
1
Run Refresh After Import
No
Save Settings
Reset
Back
Data Mapping
Choose File No file chosen
Upload File
Import File
Source File
ERS Table (ERSUSERSTEMP)
Column 1 EMPID VARCHAR2 10
Column 2 EMPNAME VARCHAR2 40
Column 3 SUBDEPT VARCHAR2 20
Column 4 DEPT VARCHAR2 20
Column 5 DIVISION VARCHAR2 10
Column 6 SCHOOL VARCHAR2 10
Column 7 EMAIL VARCHAR2 50
Column 8 TITLECODE VARCHAR2 8
Column 9 TITLE VARCHAR2 50



3.3.2.1 *File Format*

The following file types are supported by ERS:

- CSV
- Tab (Text tab delimited)
- XML
- XLS
- XLSX

3.3.2.2 *Date Format*

The *Date Format* dropdown provides following four date format options:

- mm-dd-yyyy
- mm/dd/yyyy
- yyyy-mm-dd
- dd-mm-yy

3.3.2.3 *Action on Errors*

Select from one of the following options for the system to take in the event the import process encounters errors.

- ***Stop:*** Upon encountering the first error in the source file, the import process will cease.
- ***Revert:*** The system will not add or replace any data when it encounters data.
- ***Continue:*** The system will continue the import process when errors are encountered and will display errors in the logs when import is complete. Records with errors will not be brought into ERS.

3.3.2.4 *Skip first row*

To skip the first row of the source file during import select "Yes" from the Skip first row dropdown. This can be used by institutions that reserve first row for field names.

3.3.2.5 *Append/ Replace*

To append data or replace existing data in the selected ERS source table select the appropriate option from Append/Replace dropdown.

The data in ERSPAYROLLRCT should never be removed hence "Append" is the only option available for this table.

3.3.2.6 *Max Number of Backups*

ERS allows up to 3 backup tables per each table imported. The backup tables will use the following convention - *Table_name_MMXXXXXXX* where *XXXXXXX* represents random alpha numeric characters. When the backup table limit is reached, the system will replace the first backup table with the new one.

3.3.2.7 *Run refresh after import*

In order to run the *Data Refresh* process after completion of *Data Import* select "Yes" from the Run refresh after import dropdown.

Note: This option is only available for staging tables i.e. Division, Department, Sub Department and Users table.

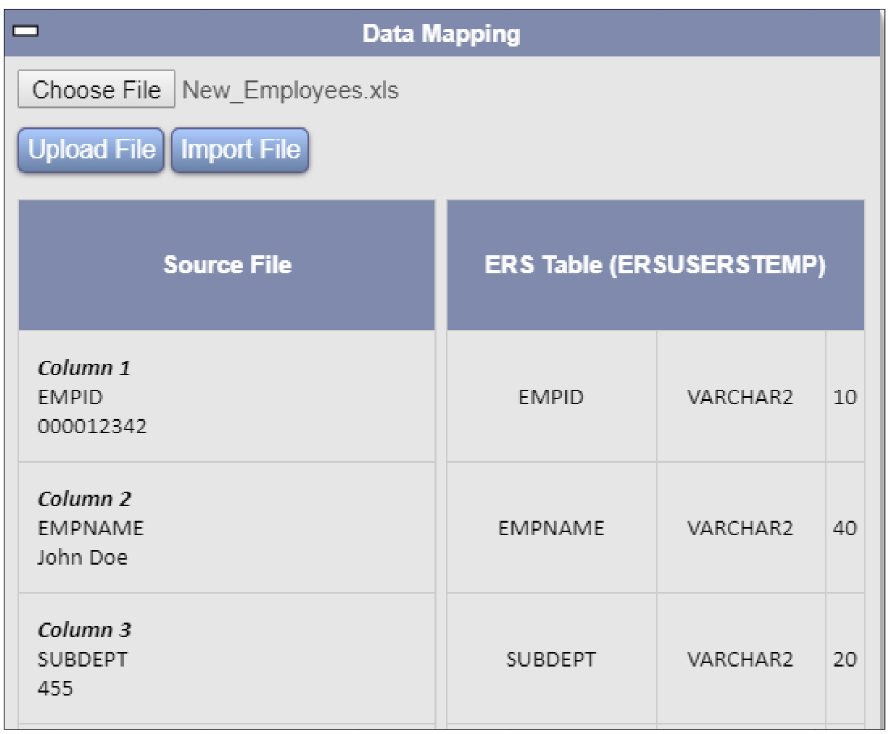
3.3.2.8 *RPCode*

This option is only available for ERSPAYROLL table.

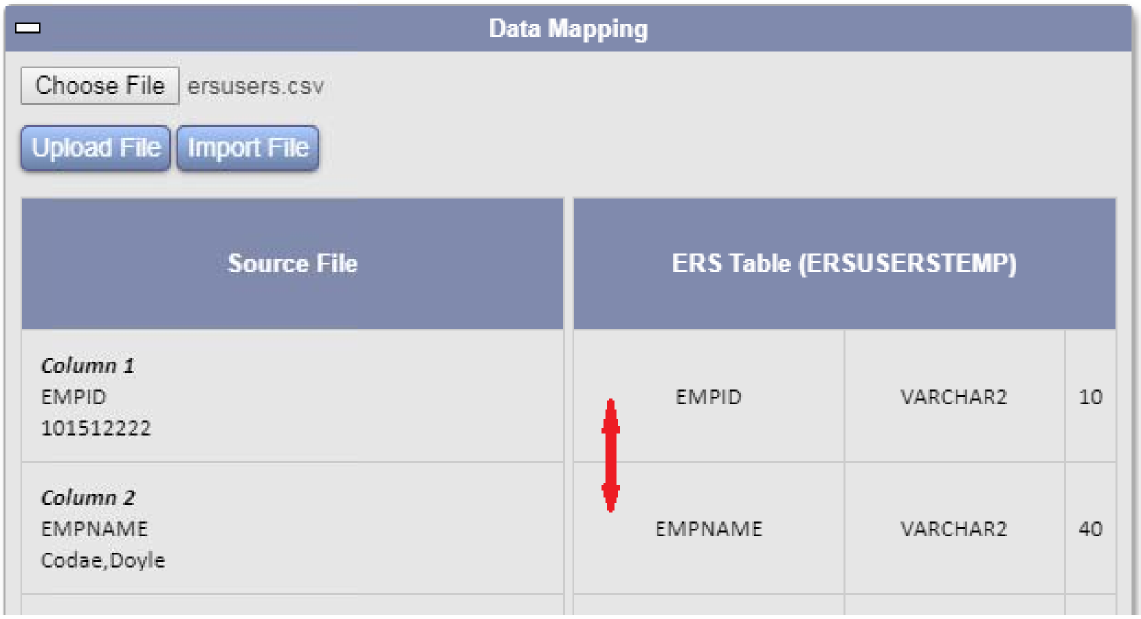
Click "*Save Settings*" button to save the updates.
Click "*Reset*" button to revert back.
Click the "*Back*" button to navigate back to the Import Data main page.

3.3.3 Data Mapping

Data mapping allows the CA to upload source file and map the column position in the source file to the column position in the respective ERS table. To upload a file click the "*Browse*" button, select a file stored locally or on the network and click *Upload File* button. Click on "*Import File*" button to start the import process.



The *Columns* in *Source File* section can be repositioned up or down by dragging and dropping to align them with the ERS table column.



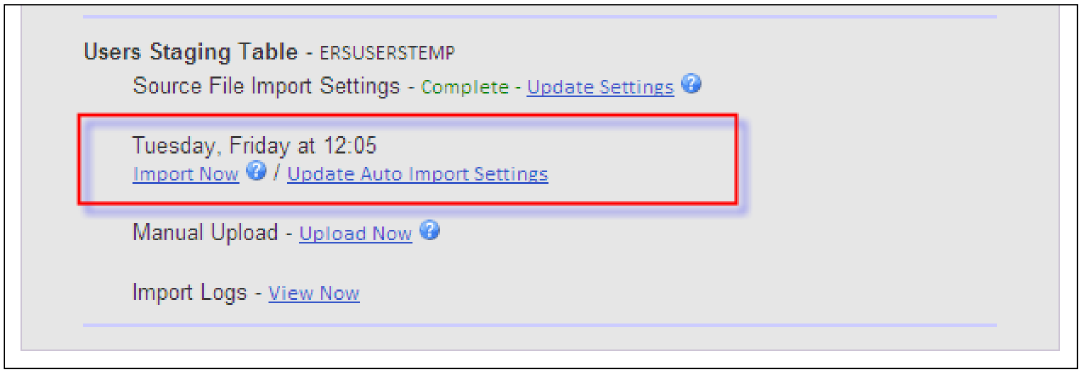
The *Columns* displays the value from the first two records of the source file.

Note: If the number of columns in the source file is greater than the number of columns in ERS table, ERS will not display them in Data mapping section and will ignore them during the import process.

3.3.4 Auto Import /Import now

3.3.4.1 *Update Auto Import Settings*

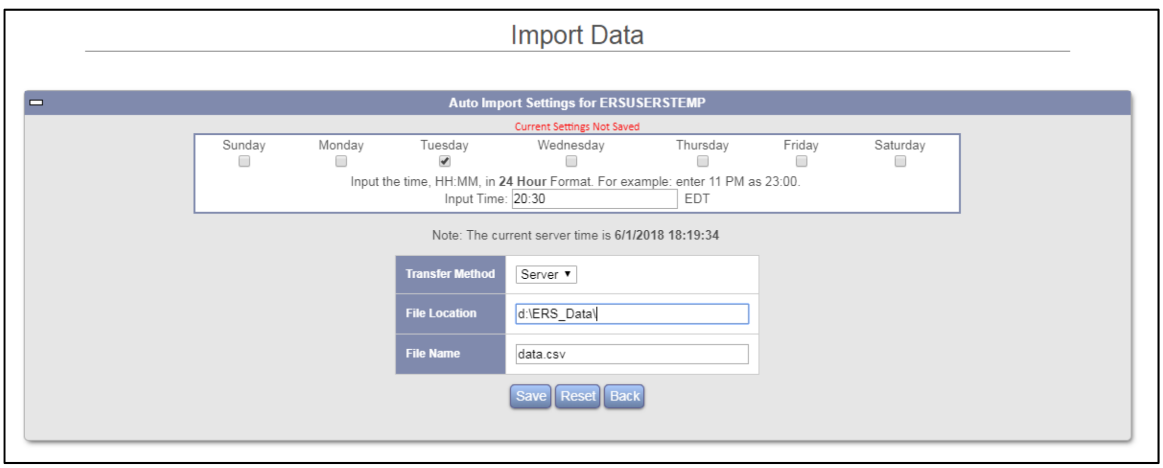
In order to schedule Data Import to run at a later time click the “Update Auto Import Settings” link. The auto import functionality is available for each of the staging or source table. As shown in the screenshot below Auto Import has been set for ERSUSERSTEMP table to run on Friday at 12:05. Tables for which auto import has not been scheduled will have a message: “Not scheduled”.



The Import can be scheduled to run daily or for any day of the week. The input time should be in 24-hour format.

The following options are provided in the Auto Import Settings:

- Transfer Method
- File Location
- File name



3.3.4.1.1 Transfer Method

The following three file transfer methods are available.

- ***Server* –** Source file can be imported from the server (where the ERS application is running).
- ***SFTP* –** Import from a secure FTP site.
- ***SCP* –** Secure Copy

For imports from SFTP or SCP, ERS will prompt the user to provide *Host* and *User Name* as shown in the screenshot below.

3.3.4.1.2 File location

In the File location input box provide the path of source file.

3.3.4.1.3 File name

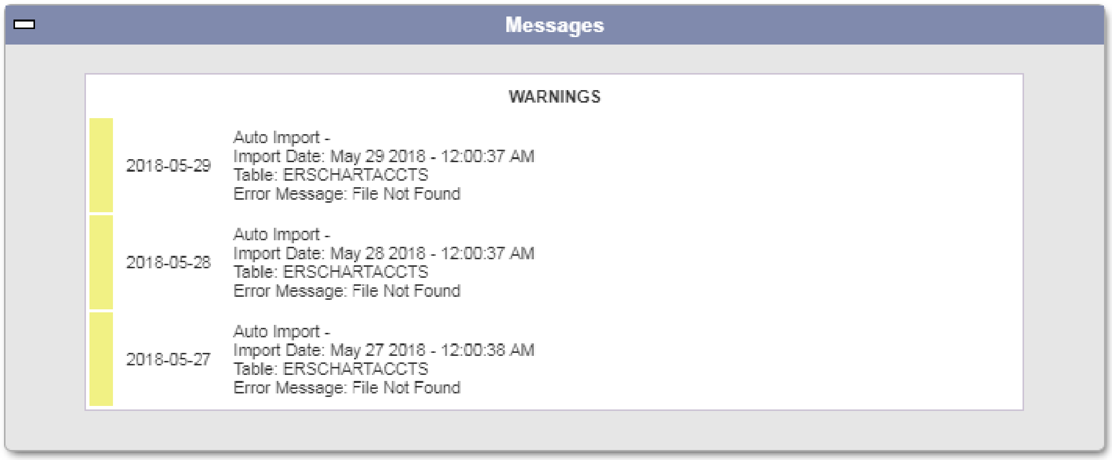
This is the name of the source file.

Click the "*Save*" button to save settings.
Click the "*Reset*" button to revert back to previously stored settings.
Click the "*Back*" button to navigate back to the Data import main page.

Logs

Every auto import process results in generation of the logs available under the "*Import Logs*" tab.

Once the auto import process is completed at the scheduled time, an automatic email notification is sent to the Central Administrator with details and errors (should they occur). If an error occurs, an announcement with a link to the log is placed on the message board to be seen at the next login.

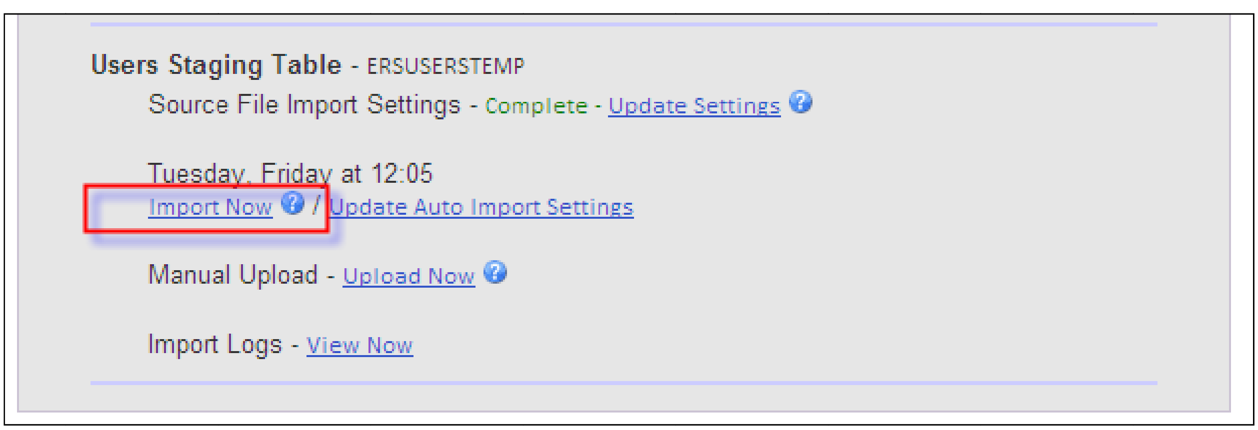


!!Caution!! After the auto import process is completed at the scheduled time, the system does not remove the data file from the defined location or rename the data file.

If this feature is used, it is recommended to develop internal processes to remove the data files after the auto process schedule is completed in order to avoid duplicate data uploads.

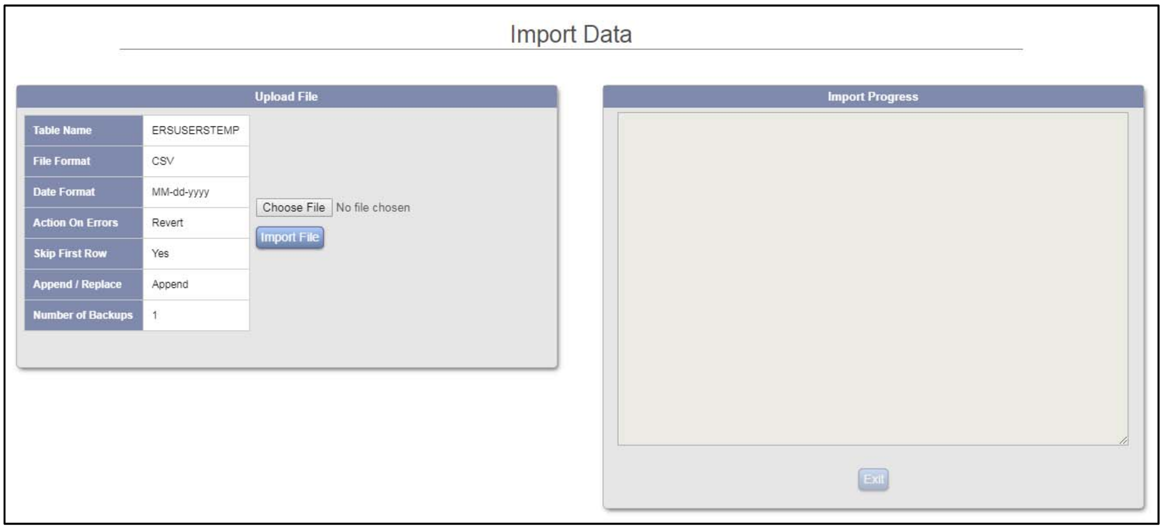
3.3.4.2 *Import Now*

Whereas auto import can be used to schedule imports to run at latter time, *Import Now* allows the user to run scheduled tasks instantly. On clicking the *Import Now* link, the system will retrieve the file from the location specified in *Auto Import Settings* and run the import process.

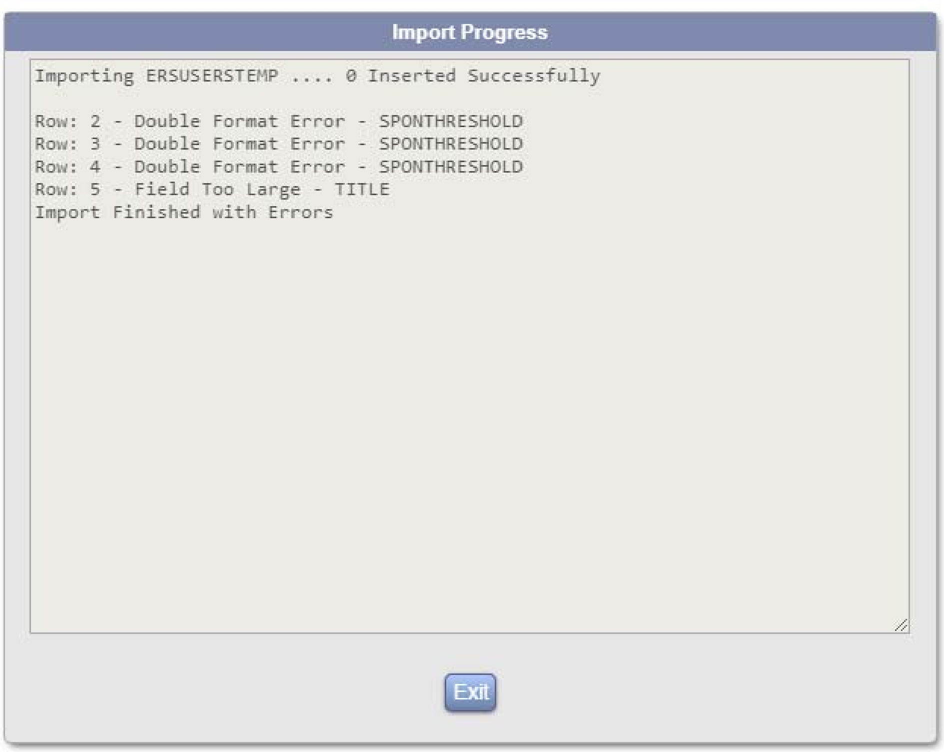


3.3.5 Manual Upload

A quicker and easier way of importing a file into the system is through *Manual Upload*. By clicking the link *Upload Now* the CA can select the file stored locally and run the import.



On clicking the *Import File* button, ERS will start the import process and will display the import results in *Import Progress* section of the page.

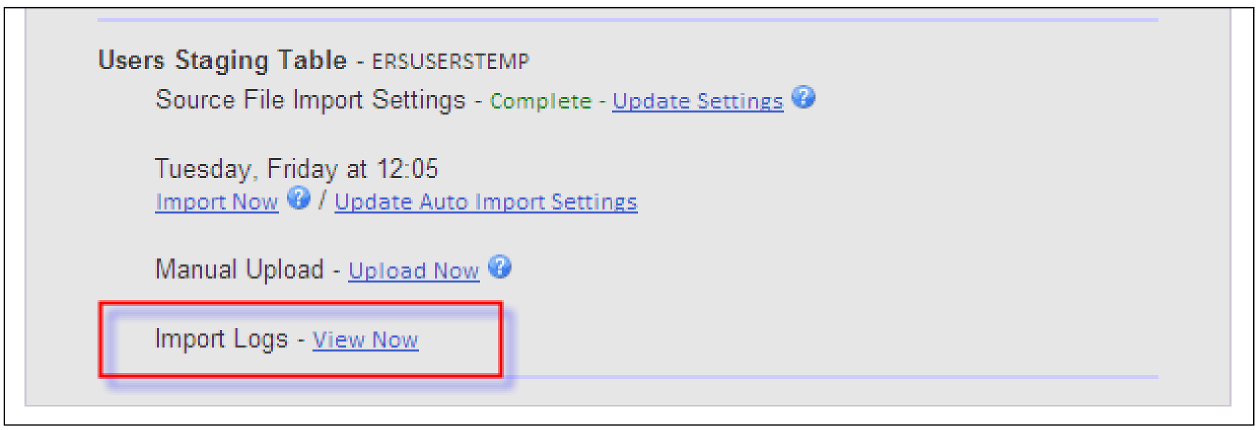


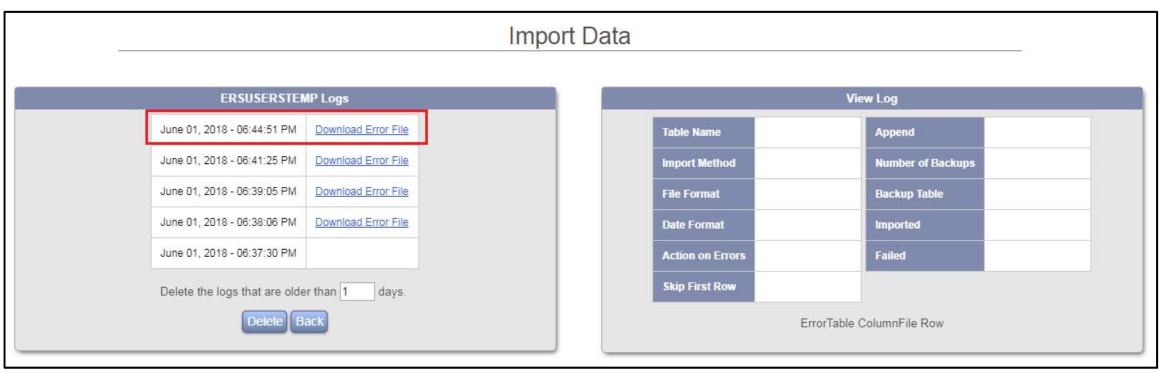
The system performs robust and accurate error handling. As shown above ERS imported 11 rows successfully from source file into ERSUSERSTEMP table and displayed rest of the rows with errors in ascending order.

Note: ERS will only display the first 200 errors found in the source file. If a record in the source file has multiple errors ERS will only display the first one.

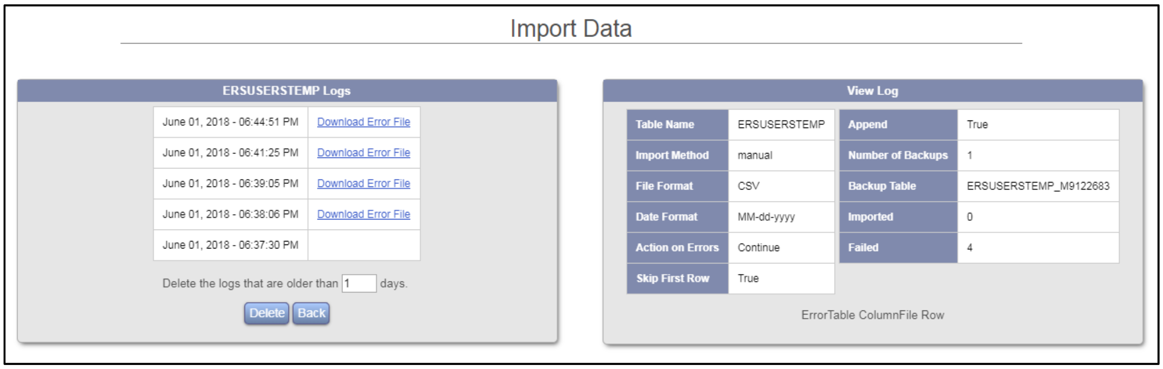
3.3.6 Import Logs

The logs are available after the import process is complete. Click link "*View Now*" to access the import log.

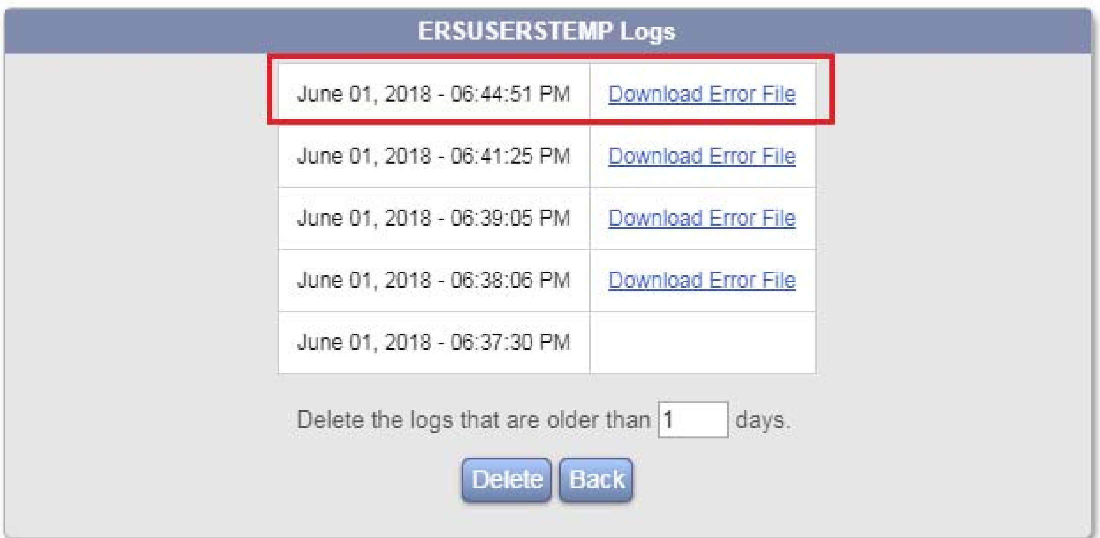




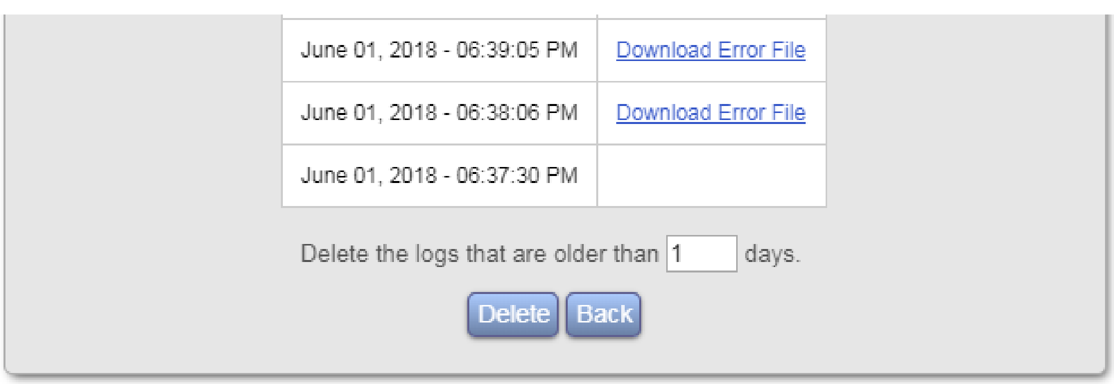
The logs are displayed in descending order. Click on the date and time of log to view the result of import in View Log section. ERS will provide the count of imported and failed records as well as display the details of errors found in source file.



The CA will also have an option to download the error file that lists only those records that have errors.



The logs can be deleted by providing the number of days in the input box shown below:



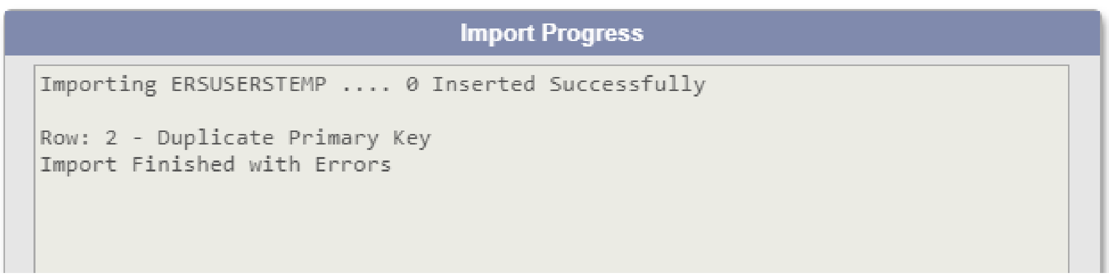
Click the *Delete* button to delete logs.

3.3.7 General Import Errors

The main errors encountered during the import process occur when the underlying constraints of the database are violated. For example, if a field has a constraint that it cannot have null or no values and if an attempt is made to insert a record with a blank value for that field the database will generate an error and not insert the record. The following lists commonly encountered errors and their resolutions:

3.3.7.1 Primary Key Violation

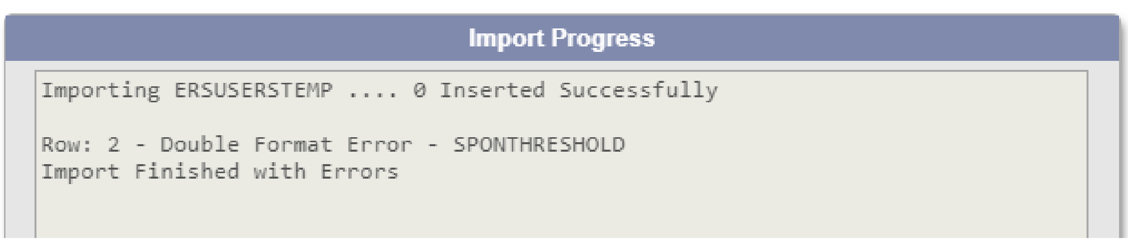
The *Primary Key Violation* error is encountered when an attempt is made to load a data file that contains a record with same primary key that already exists in the table.



How to resolve?
Remove the record with the same primary key from the data file OR the table.

3.3.7.2 Invalid Number

The *Invalid Number* error generally occurs when an attempt is made to load a data file containing an invalid numeric value to the numeric field in the table.



How to resolve?

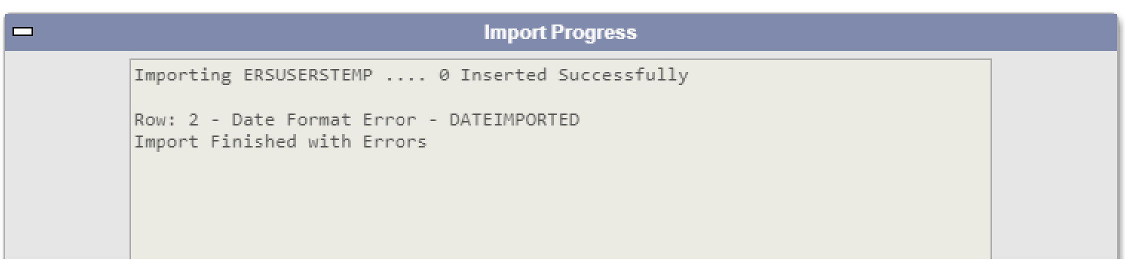
- Ensure the data file does not contain an invalid numeric value where the numeric value is expected. Valid numbers contain the digits '0' thru '9', with possibly one decimal point, a sign (+ or -) at the beginning or end of the string, or an 'E' or 'e' (if it is a floating point number in scientific notation).

> ***Tip:*** A typical numeric error is including a comma or other characters in the amount value. Check for this character in the numeric field and remove it from the source data file.
> *Example of valid value:* 12000
> *Example of invalid values:*
> $12000
> $12,000
> 12,000
> 12,000.00

- If no numeric error is found, ensure that the order of the columns in the data files matches the table structure defined in the data dictionary or is properly assigned using the data mapping process described above.

3.3.7.3 Wrong Date Format

The *Wrong Date Format* error generally occurs when an attempt is made to load a data file with date fields whose format is different from that selected on the Import Source Data screen prior to submitting the data file for import.



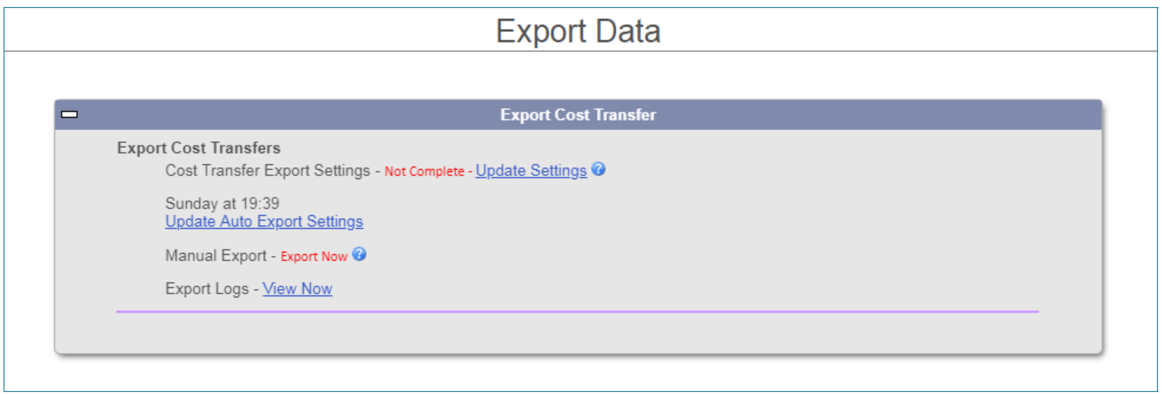
How to resolve?
Ensure that the date format in the data file and the selected date format is the same.

3.4 Export Data

The data export process in ERS provides the Central Administrator (CA) the ability to export eligible Cost Transfer records in the ERSCT table for later update in the institution's authoritative systems. The CA will have the control in defining what records are eligible for exporting and what columns and format the cost transfer will be exported in.

Note: This feature is only applicable to the institutions that process cost transfers in ERS.

After selecting the Export Data option from the menu, the CA will see the screen below.

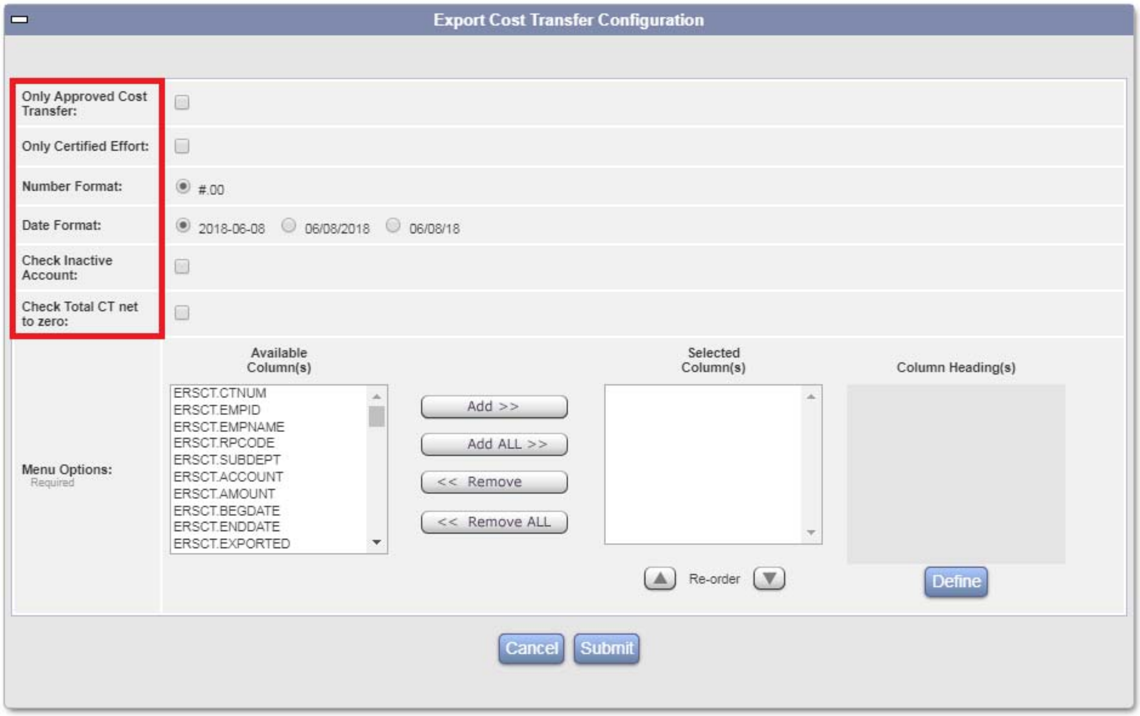


The "*Export Cost Transfer*" interface is divided into the following four options:

1. Update Settings
2. Update Auto Export Settings
3. Manual Export
4. Export Logs

3.4.1 Update Settings

Upon clicking the link "Update Settings" the system presents the following screen with a list of export criteria, list of data columns to export and the option to begin the export process on click of a button.



The following cost transfer export criteria are available for selection:

- ***Only Approved Cost Transfers*** – If checked, only approved cost transfers transacted either by the pre reviewer or post reviewer will be considered for export.
- ***Only Certified Effort*** – If checked, only the certified effort forms with a cost transfer will be considered for export.

  Note: If there is a cost transfer in pre review, it will qualify for data export once the form is certified. Similarly, if there is a cost transfer in post review, it will be marked as eligible for export.

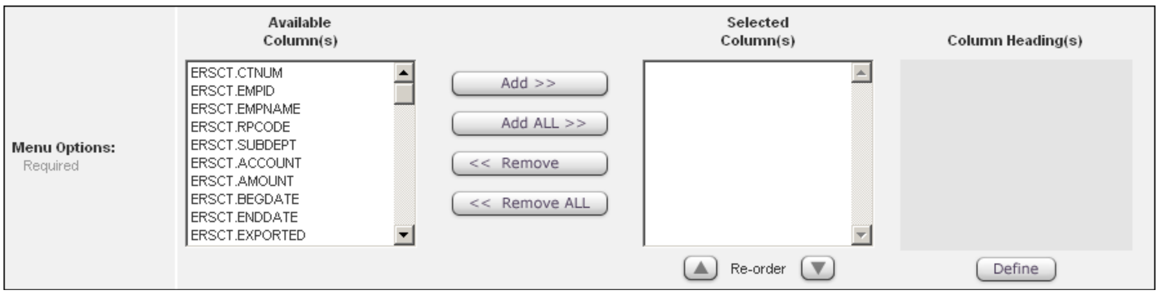
- ***Number Format*** – Used to select the format in which the value of the amount should be presented in the export file. Currently system only supports the .00 format.
- ***Date Format*** – Used to select the date format. The following date formats are available for selection:
  - yyyy-mm-dd
  - mm/dd/yyyy
  - mm/dd/yy

- ***Check Inactive Account*** – If checked, the system will not export a cost transfer that involves an inactive account.

Note: The status of the account is determined by the value in the field STATUS in table ERSCHARTACCTS. If STATUS is set to I, it denotes an inactive account.

- ***Check Total CT net to zero*** – The system checks to ensure that the total cost transfer nets to zero.

The interface lists the eligible columns for selection that can be included in the cost transfer export file.

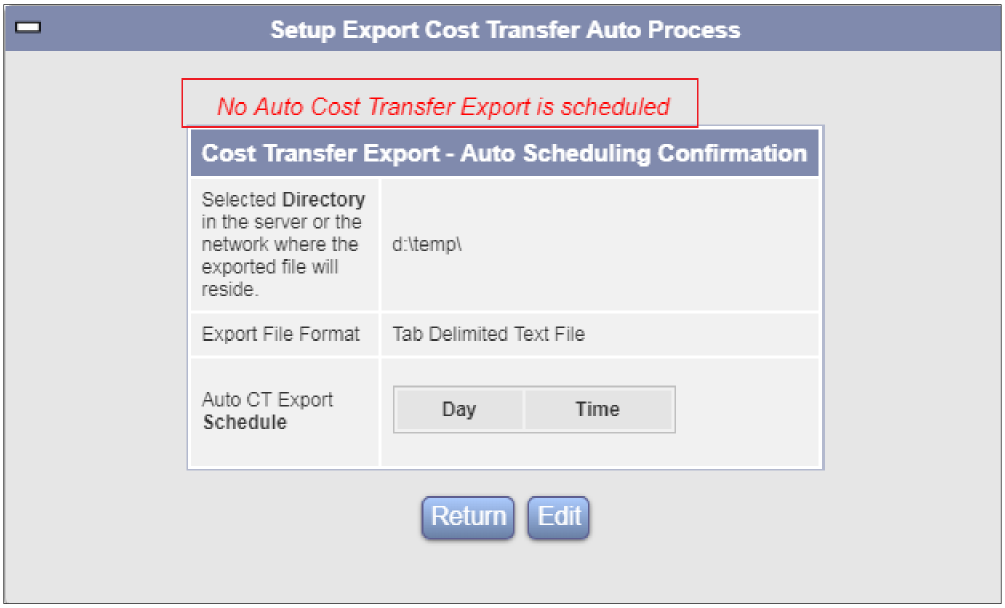


Important Note: Institutions using 9 over 12 conversion and transacting cost transfers in ERS should specify "Cash Basis" fields (debit_cash, credit_cash) to export cost transfer amount for 9 over 12.

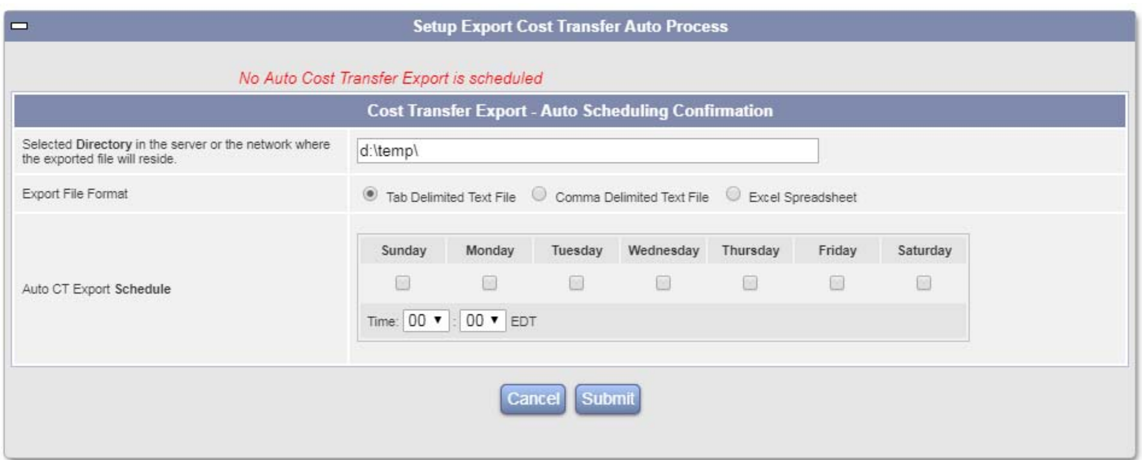
3.4.2 Update Auto Export Settings

The *Auto Export* interface allows the CA to schedule export of the eligible cost transfers at a specified time during the week.

If no auto cost transfer export scheduler is configured the following screen is displayed.



Click on “Edit” button to configure the auto scheduler. The scheduling of cost transfer export under auto export process is a three step sequential setup:



Step 1: Provide the ***absolute*** path or the location to place the exported file on the server.

Step 2: Specify the format in which the file should be generated. The system supports three formats:

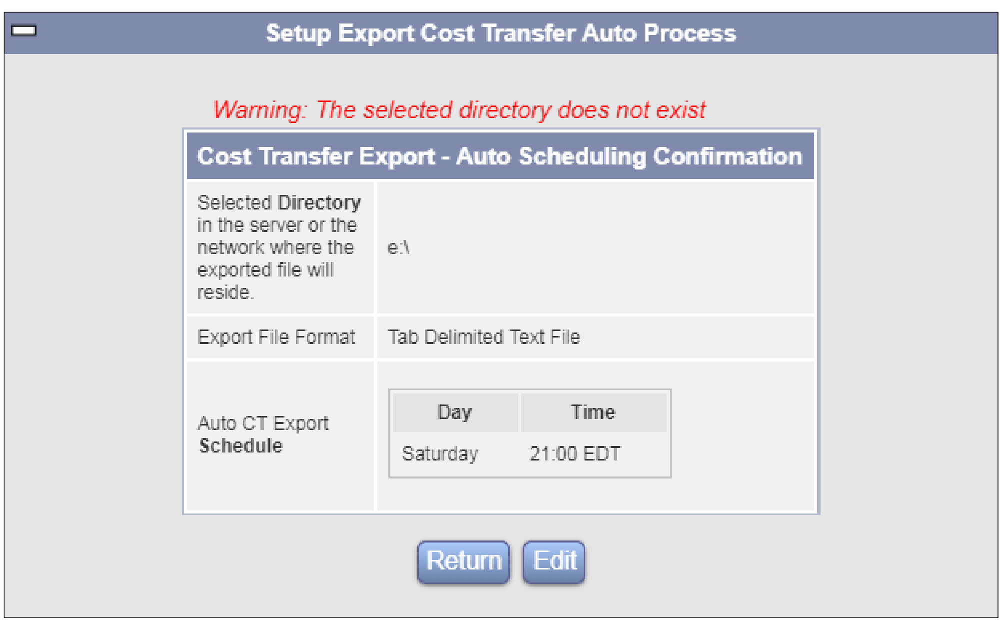
- Tab Delimited Text File
- Comma Delimited Text File
- Excel Spreadsheet

Step 3: Set-up the schedule by selecting the days of the week and time.

Note: The system will execute the auto export process when the scheduled time matches the time on the server where Effort Reporting System is installed.

Clicking button "*Submit*" provides the following confirmation of the auto-scheduling configuration.

If the specified directory path does not exist, the system will display a warning in red that needs to be corrected.



Caution!! Ensure that this warning is corrected, otherwise the Auto Export function will not execute.

The system runs the auto export function as per the schedule and generates a zip file that contains the configured export format file in the specified location.

The zip file uses the following naming convention - **ExportCT_auto_YYYY-MM-DD-HH-MM-SS.zip.**

Note: If the auto export process does not find any cost transfers for export it generates a zip file with an empty text file.

Important Note:
The cost transfers exported as a result of the auto export process will be marked as "Exported" i.e. ERSCT.Exported = Y. Unlike Manual Export process there is no option to review the details of the transfer prior to marking is the records as "exported".

Every auto export process results in generation of the logs that are available under the "*Export Logs*" tab.

3.4.3 Manual Export - *Export Now*

Once the settings have been updated and saved, the "Export Now" link will be active. On clicking the "Export Now" link, the system identifies qualified cost transfers for exporting based on the criteria defined through the Export Cost Transfer Configuration.

Once the cost transfers to be exported are identified, the following screen is presented to the Central Administrator.

Step 1 – *Review*:

In this step the CA can download the cost transfers in any of the following formats and review the results.

- Tab Delimited Text File
- Comma Delimited Text File
- MS Excel File

Step 2 – *Accept or Reject*:

This step allows the CA to mark the cost transfers found eligible in Step 1 as exported or leave the cost transfers unchanged.

- ***Accept:*** This will mark the eligible cost transfers as exported. These cost transfers will not be listed when the *Export Cost Transfer* function is executed again.
- ***Reject***: This will not mark the eligible cost transfers as exported. These cost transfers will be listed when the Export Cost Transfer function is executed again.

Important Note: The effort forms that contain cost transfers identified by the system in Step 1 for export will be locked to prevent any user update. In order to unlock the effort forms, Step 2 should be completed by selecting the option of *Accept* or *Reject.*

The cost transfers transacted in ERS are saved in the following system tables:

- **ERSCT** – The cost transfers defined on the effort form are saved in this table and the following fields are assigned the respective default values:

  Exported = N
  Reversal = N

  If Accept action is selected, the system will mark the cost transfer as exported by updating the *Exported* field to Y.

- **ERSCTDETAIL –** The cost transfer details (i.e. debit and credit entries by pay period) are saved in this table. The following fields are assigned the respective default values:

  Original = Y
  Reversal = N

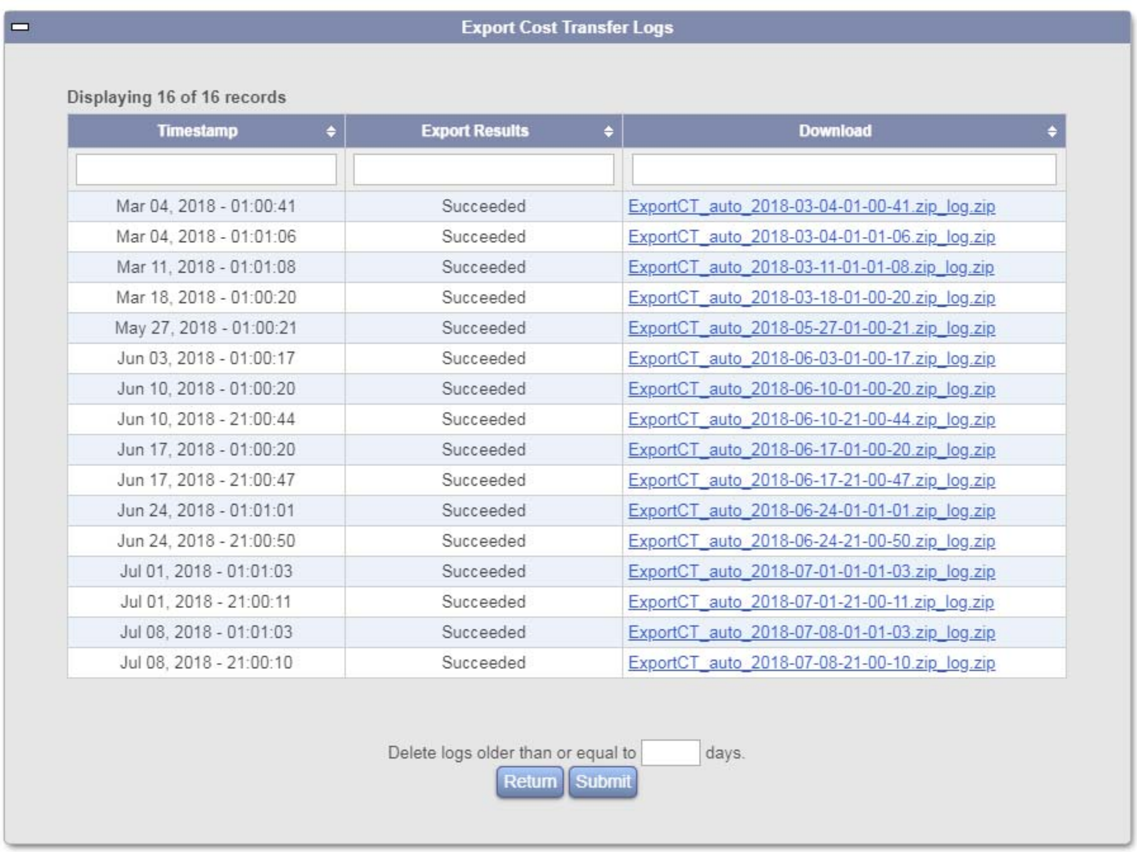
  These values remain unchanged for the cost transfers marked as exported.

Note: The tables ERSCT and ERSCTDETAILS are related by the CTNUM field.

3.4.3.1 Export Logs

The "*Export Logs*" interface displays the logs generated by the "*Auto Export*" process only.

Recommendation! No email notification is sent or announcement is posted on the Central Administrator's home page after each data export run. If auto export is scheduled, the CA should check the logs after the auto export process is complete.



Export Cost Transfer Logs

Displaying 16 of 16 records

Timestamp	Export Results	Download
Mar 04, 2018 - 01:00:41	Succeeded	ExportCT_auto_2018-03-04-01-00-41.zip_log.zip
Mar 04, 2018 - 01:01:06	Succeeded	ExportCT_auto_2018-03-04-01-01-06.zip_log.zip
Mar 11, 2018 - 01:01:08	Succeeded	ExportCT_auto_2018-03-11-01-01-08.zip_log.zip
Mar 18, 2018 - 01:00:20	Succeeded	ExportCT_auto_2018-03-18-01-00-20.zip_log.zip
May 27, 2018 - 01:00:21	Succeeded	ExportCT_auto_2018-05-27-01-00-21.zip_log.zip
Jun 03, 2018 - 01:00:17	Succeeded	ExportCT_auto_2018-06-03-01-00-17.zip_log.zip
Jun 10, 2018 - 01:00:20	Succeeded	ExportCT_auto_2018-06-10-01-00-20.zip_log.zip
Jun 10, 2018 - 21:00:44	Succeeded	ExportCT_auto_2018-06-10-21-00-44.zip_log.zip
Jun 17, 2018 - 01:00:20	Succeeded	ExportCT_auto_2018-06-17-01-00-20.zip_log.zip
Jun 17, 2018 - 21:00:47	Succeeded	ExportCT_auto_2018-06-17-21-00-47.zip_log.zip
Jun 24, 2018 - 01:01:01	Succeeded	ExportCT_auto_2018-06-24-01-01-01.zip_log.zip
Jun 24, 2018 - 21:00:50	Succeeded	ExportCT_auto_2018-06-24-21-00-50.zip_log.zip
Jul 01, 2018 - 01:01:03	Succeeded	ExportCT_auto_2018-07-01-01-01-03.zip_log.zip
Jul 01, 2018 - 21:00:11	Succeeded	ExportCT_auto_2018-07-01-21-00-11.zip_log.zip
Jul 08, 2018 - 01:01:03	Succeeded	ExportCT_auto_2018-07-08-01-01-03.zip_log.zip
Jul 08, 2018 - 21:00:10	Succeeded	ExportCT_auto_2018-07-08-21-00-10.zip_log.zip

Delete logs older than or equal to days.

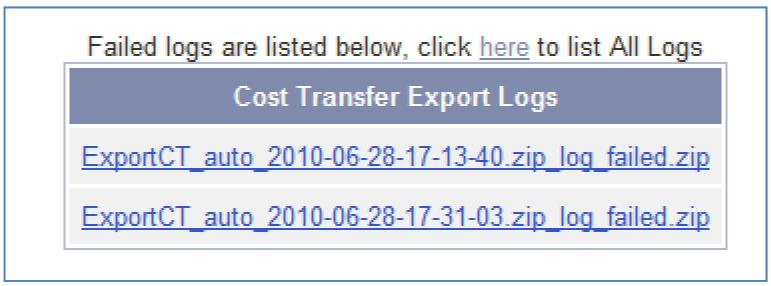
Return Submit

Each time an auto export function is executed, a log is generated and is available as a link to download and view.

Configuration Note: The system places the log files under the *specified directory/log* directory. The responsible individual other than the Central Administrator can grab the cost transfer export file without accessing ERS.

The default screen displays the logs for successful auto export process only. The successful logs are named in the following format - *ExportCT_auto_YYYY-MM-DD-HH-MM-SS.zip_log.zip*

To view the logs for the failed auto export process click on the link *here* that displays the following screen:



The failed logs are named in the following format - *ExportCT_auto_YYYY-MM-DD-HH-MM-SS.zip_log_failed.zip*

The zipped file contains a text file that provides the following information:

```
INFO: Start auto CT export.
INFO: found 8 pre qualified records
INFO: Auto CT Export completes
```

The Central Administrator has the ability to delete the logs by specifying the number of retention days.

Note: If 0 is input then the system removes all the logs.

3.4.4 Cost Transfer Reversal

ERS creates a cost transfer reversal when the user processes another cost transfer after the original cost transfers transacted either in Pre Review or Post Review have been exported.

If a cost transfer for an effort form has been exported, executing any of the functions below will result in creating a reversal of the original cost transfer:

- Effort Results Dropped
- Post Review Results Dropped
- Effort Form Pre Reviewed or Post Reviewed again

The following summarizes the value of the fields in the table at different stages where the highlighted text represents the fields that are updated in the process.

- **Original Cost Transfer:**
  Table: ERSCT
  Fields: Exported = N
  Reversal = N
  Table: ERSCTDETAIL
  Fields: Original = Y
  Reversal = N

- **Exported Cost Transfers:**
  Table: ERSCT
  Fields: **Exported = Y**
  Reversal = N

  Table: ERSCTDETAIL
  Fields: Original = Y
  Reversal = N

- **Cost Transfer with reversals:**
  New cost transfer transactions created.

  Table: ERSCT
  Fields: **Exported = N**
  Reversal = Y

  No new cost transfer transactions created.
  Table: ERSCTDETAIL
  Fields: **Original** = Y
  Reversal = Y

Note: The value of ERSCTDETAIL.ORIGINAL is never N for original or reversal records. If it's a reversal then check for the condition Original = Y, Reversal = Y for the same Cost Transfer Identifier i.e. CTNUM.

The reverse cost transfers (EXPORTED=N and REVERSAL=Y) will be eligible for export whenever the next export process is executed.

3.5 Users Table Refresh

This feature allows refreshing employees (source table ERSUSERSS) data in ERS.

When data is available in the USERS temp table the required changes can be configured in Configure Settings page. These changes can then be previewed in Preview page before running the refresh. Refresh process, which can be run manually or via Auto scheduler will update or insert only those records that have passed validation and ignore the ones that have failed.

The Employee Refresh feature is designed to address the following activities occurring on a frequent basis in the source system of the institution.

- Addition of new employees.
- Changes to the existing employee record, like the following:
  - Employees moving to a new unit (Division, Department, Sub Department)
  - Employees that no longer work for the institution i.e. terminated.
  - Employees changing job title, position etc.
  - Employees changing names.
  - Update Effort Form Certifier.

3.5.1 Source Data Requirement

The Employee Refresh uses the staging table - ERSUSERSTEMP

Note: Refer to the ERS data dictionary for the table structure.

3.5.2 What does this feature do?

- The Employee Refresh runs data validation checks on the data provided in the staging table – ERSUSERSTEMP. Any data errors found will need to be addressed before running the refresh.

- Prior to executing the data validation process the user has an option to select the specific source fields that should be refreshed for the existing or new employees.

- After the data validation is completed, ERS compares ERSUSERSTEMP and ERSUSERS, and identifies the following:

  - New Employees
  - Existing Employees
    - Existing Employees with change in department/ sub department and other updates.
    - Existing Employees with update other than change in department/ sub department
    - Employees with terminated status

> ***Note:*** Employee Refresh Process provides a list of existing individuals where ERS identified a change. If the existing user record is identical to the record in ERSUSERSTEMP, the user record will not be refreshed.

- The Central Administrator can review the updates before committing the changes.

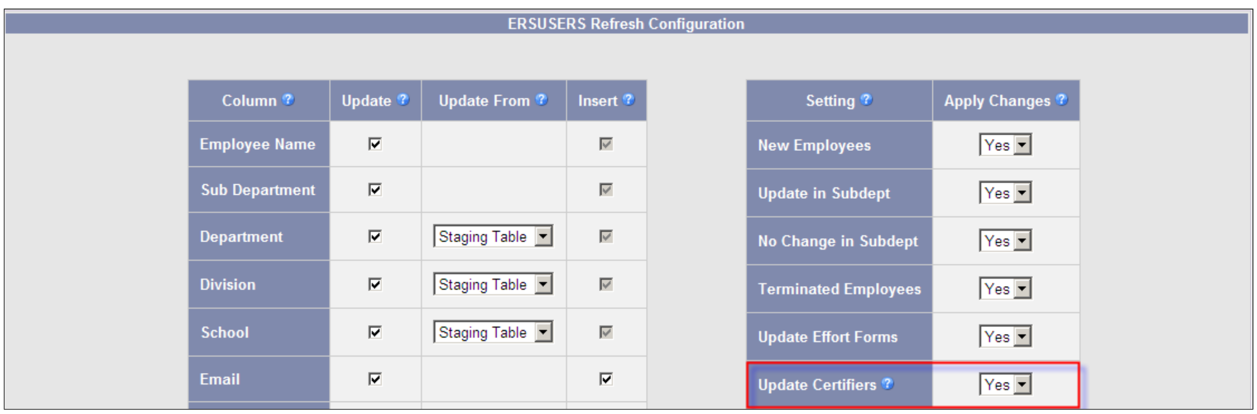
- New Employees
  - The Pre Reviewer and Post Reviewer for new employees are based on the current default sub department Pre Reviewer and sub department Post Reviewer in the ERSSUBDEPT table.
  - The Certifier is the individual himself or herself unless a default certifier for a sub department is set up in the table ERSSUBDEPT.
  - Email column can be included or excluded for new employees.
  - The default role is set to NONE.

- Existing Employees with change a in department/ sub department and other updates
  - If a new sub department is detected for the existing individual, the Pre Reviewer and Post Reviewer assignment is updated based on the new sub department default Pre Reviewer or Post Reviewer.

- The Certifier is updated **only** if the system is configured to default the certifier assignment to the employee, otherwise the certifier assignment is not updated.

> ***Note:*** Under ERSUSERS Refresh Configuration page Certifier Update setting can be set to Yes or No:
>
> **Yes**- Certifier assignment will be refreshed to default to the individual.
> **No**- Certifier assignment will not be refreshed.

Update Certifier was previously a back-end configuration change. In version 8.0 and higher the Effort form Certifier can be updated to the named individual when changing departments by selecting “Yes” from the dropdown in Configure Settings page as shown below.



The role of the individual is not updated.

➢ Terminated Employees
- The role of the terminated individual is not updated.
- The Employee Refresh process provides a warning for different roles assigned to Terminated Employees (*Refer the report for terminated employee for details*).

➢ For existing individuals with updates, only the source column selected prior to data validation is updated.

As an example, if the Central Administrator does not select an option to validate email address of the users in the staging table, then the Update step does not refresh the email address of the existing user in the ERSUSERS table.

- For the existing individuals with changes found during the Employee Refresh process, a setting "Update Effort Form" can be set to Yes to update the profile on the effort form for **current reporting period** only.

> ***Important Note:*** The system updates the profile only if the effort form for the current reporting period was not accessed.

- Prior to applying any updates to the existing individuals identified, the original record is copied to the table ERSUSERSARCHIVE.

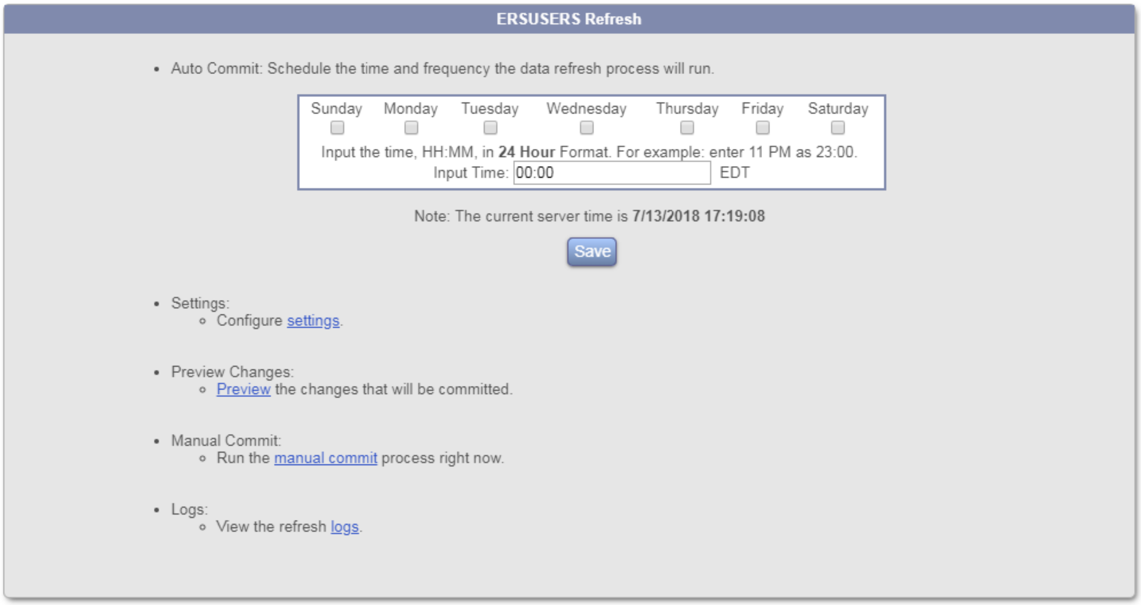
> ***Note***: The table ERSUSERSARCHIVE maintains the audit trail for all the updates to any user record.

- The data in the staging table is removed after the Employee Refresh Process is complete; if the Central Administrator made this selection prior to committing the changes, otherwise the records are not removed from staging table.

> ***Important Note:***
> This feature ***does not***
> - change the assignment for existing individuals with no change in sub department.
> - handle any Employee ID changes.
> - override the alternate sub department assignment.

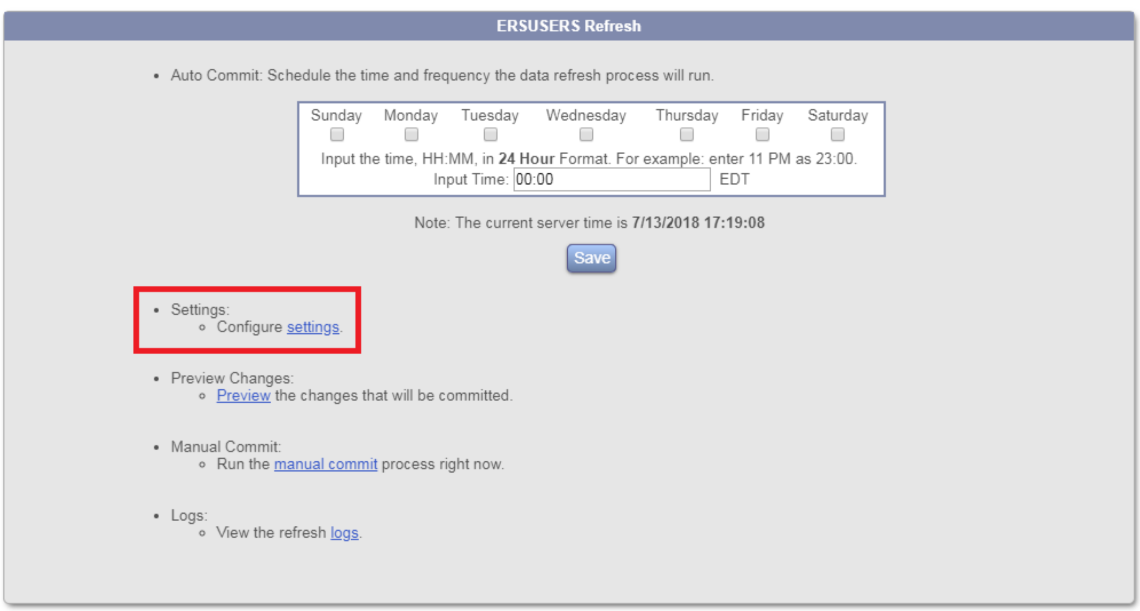
3.5.3 Employee Refresh Interface

CA can access Employee Refresh interface via *Admin→Data Management→ Users Table Refresh*

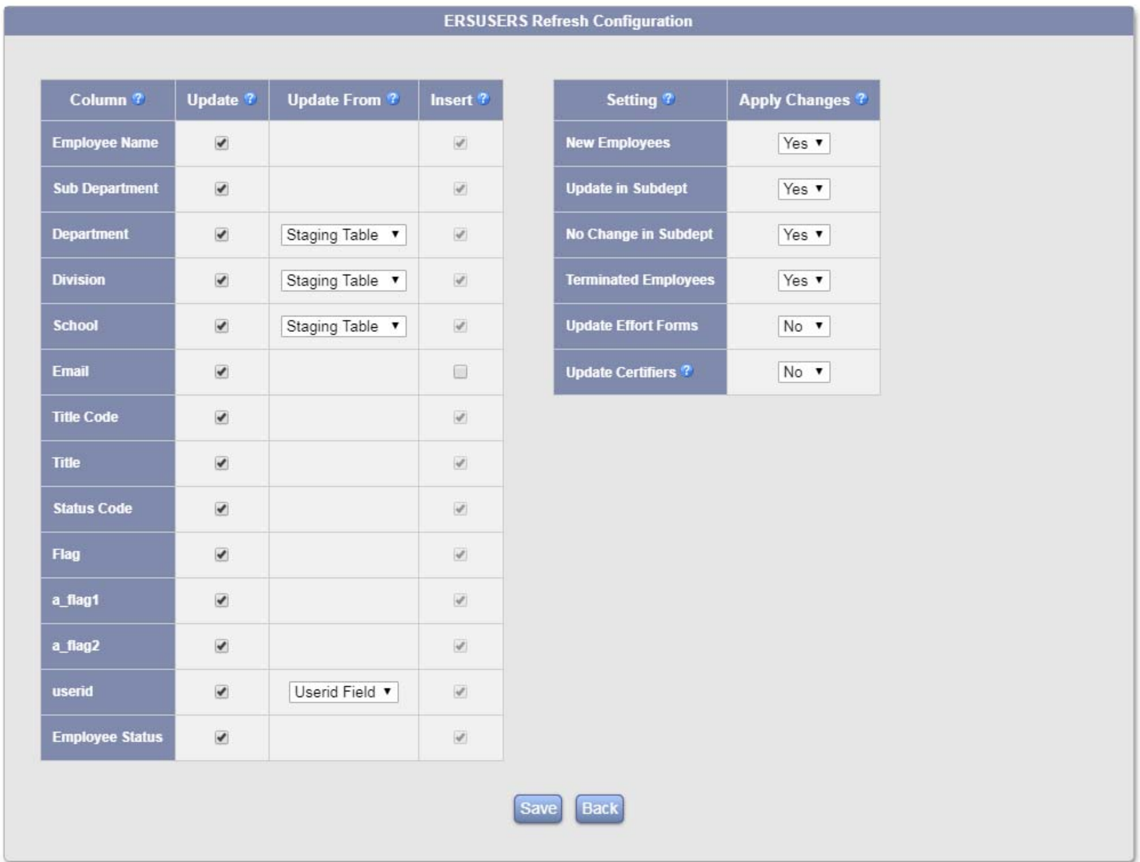


3.5.3.1 *Configure Settings*

The initial step is to configure setting when running the refresh for the first time. Click "Setting" link to specify columns in ERSUSERSTEMP table to update columns for Existing or New Users.



Prior to running the refresh process, options are given to specify which columns of the ERSUSERSTEMP table should be validated. After clicking the settings link, a checklist of each of the source columns is displayed. Users can select or de-select columns to update Existing Users, Update Department, Division and School columns from Staging table or SubDept table, update userid field from ERSUSERSTEMP table, include or exclude fields when inserting New Employees.

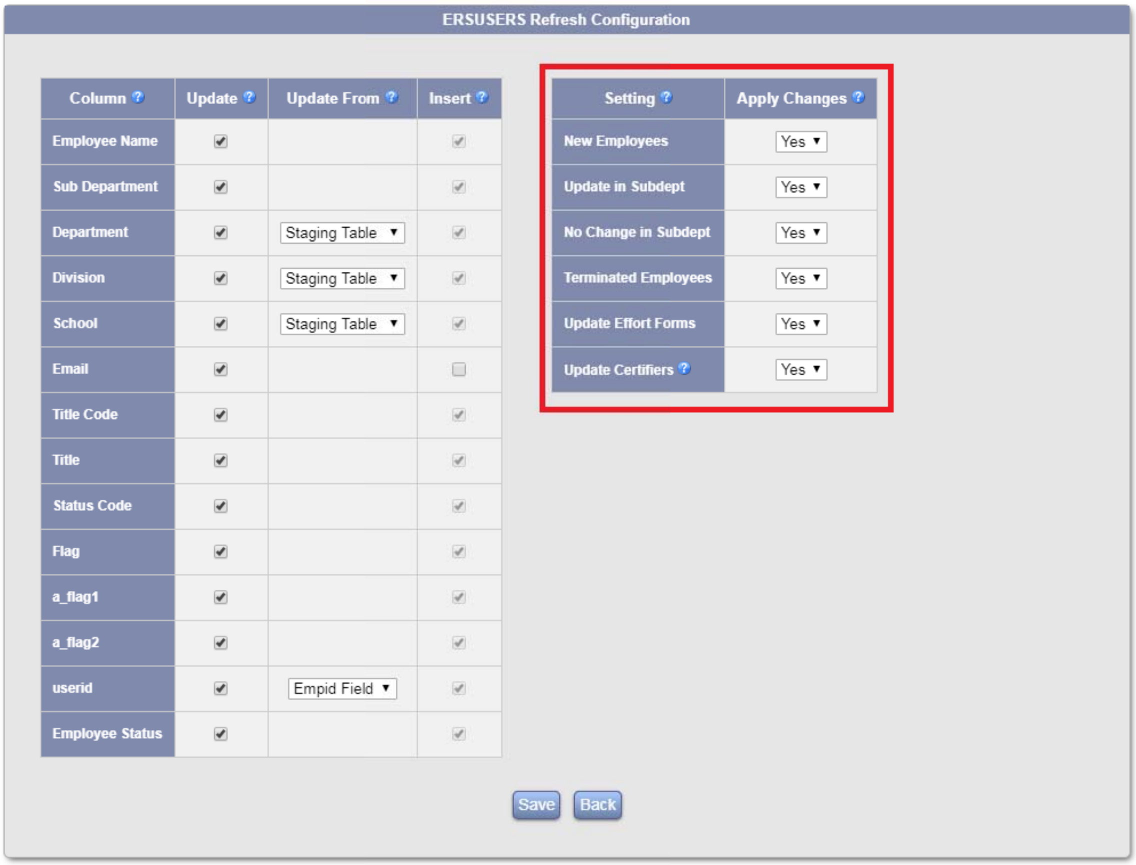


There are two methods available to update the DEPT, DIVISION and SCHOOL columns. *One method* is to select SUBDEPT table under "Update From" column then select the three columns Department, Division and School to *Update Based on SubDept. The second method is* to update the fields DEPT, DIVISION and SCHOOL directly from the ERSUSERTEMP table by selecting staging table from dropdowns in "Update From" column.

In the settings page CAs can choose to apply or ignore following. These changes will be applied to ERSUSERS and ERSEFFHEADER table after the refresh process has run.

- New Employee
- Update in SubDept
- No Change in SubDept

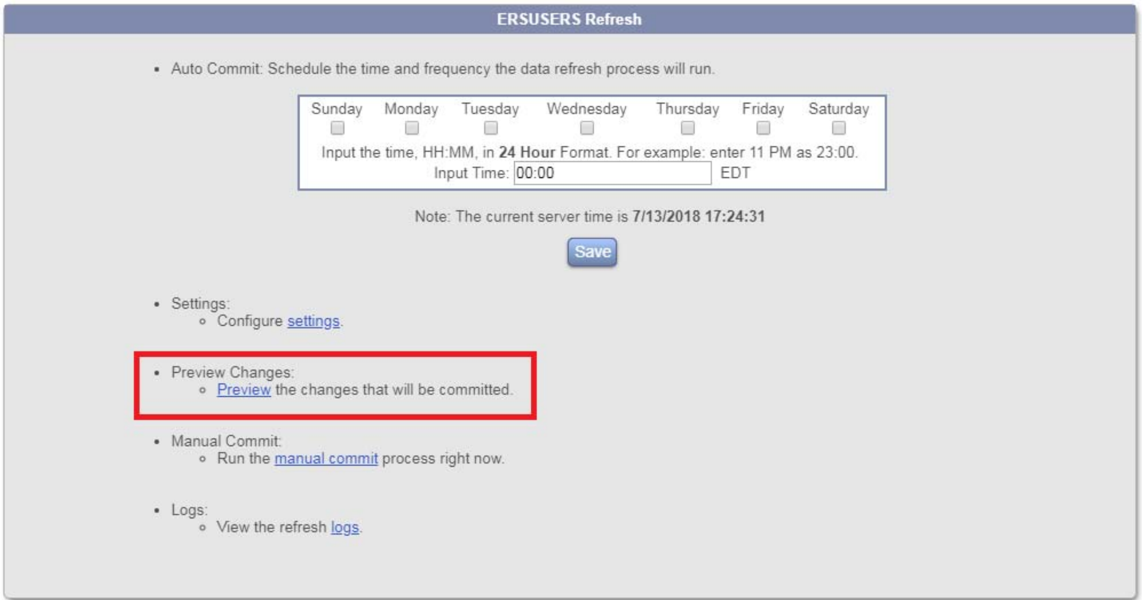
- Terminated Employees
- Update Effort Form
- Update Certifiers



After making the appropriate selections click the ***Save*** button**.**

3.5.3.2 *Preview Changes*

Click the Preview link to view the data changes before running the refresh process.



Preview changes in the Preview page before running the refresh process (if no errors) or fix data in temp table before applying the changes.

Summary

Update Type	Count
New Employees	0
Updated Employees with No Change in Sub Department	0
Updated Employees with Changes in Sub Department	0
Terminated Employees	0
Updated Effort Forms	0

Validation - Errors Found

Condition	Results
Null Value(s) in EMPNAME - Existing Employee	Pass
Null Value(s) in EMPNAME - New Employee	Pass
Null Value(s) in SUBDEPT - Existing Employee	Pass
Null Value(s) in SUBDEPT - New Employee	Pass
Null Value(s) in DEPT - Existing Employee	Pass
Null Value(s) in DEPT - New Employee	Pass
Null Value(s) in DIVISION - Existing Employee	Pass
Null Value(s) in DIVISION - New Employee	Pass
Null Value(s) in EMAIL - Existing Employee	Pass
Null Value(s) in STATUSCODE - Existing Employee	Pass
Null Value(s) in STATUSCODE - New Employee	Pass
Null Value(s) in FLAG - Existing Employee	Pass
Null Value(s) in FLAG - New Employee	Pass
Invalid Value(s) in EMPSTATUS - Existing Employee	Pass
Invalid Value(s) in EMPSTATUS - New Employee	Pass
Invalid Foreign Key(s) for SUBDEPT - Existing Employee	Failed
select distinct(subdept) from (select * from ersuserstemp where empid in (select empid from ersusers)) where subdept not in(select subdept from erssubdept)	x11
Invalid Foreign Key(s) for SUBDEPT - New Employee	Failed
select distinct(subdept) from (select * from ersuserstemp where empid in (select empid from ERSUSERSTEMP minus select empid from ersusers)) where subdept not in(select subdept from erssubdept)	455
Invalid Foreign Key(s) in DEPT - Existing Employee	Pass
Invalid Foreign Key(s) in DEPT - New Employee	Failed
select distinct(dept) from (select * from ersuserstemp where empid in (select empid from ERSUSERSTEMP minus select empid from ersusers)) where dept not in(select dept from ersdept)	455
Invalid Foreign Key(s) in DIVISION - Existing Employee	Pass
Invalid Foreign Key(s) in DIVISION - New Employee	Failed
select distinct(division) from (select * from ersuserstemp where empid in (select empid from ERSUSERSTEMP minus select empid from ersusers)) where division not in(select division from ersDivision)	44
Invalid Foreign Key(s) in STATUSCODE - Existing Employee	Pass
Invalid Foreign Key(s) in STATUSCODE - New Employee	Pass
Invalid Foreign Key(s) in ALTSUBDEPT - New Employee	Pass
Invalid Email Address(es) - Existing Employee	Pass
Null Value(s) in EMPSTATUS - Existing Employee	Pass
Null Value(s) in EMPSTATUS - New Employee	Pass

New Employees - 0

Empid	Empname	Subdept	Dept	Division	School	Email	UserID	Password	TitleCode	Title	StatusCode	Role	GetPar	PreEmpID	PreEmpName	CertEmpID

Update Employees in Same Department - 0

Empid	Empname	Subdept	Dept	Division	School	Email	UserID	Password	TitleCode	Title	StatusCode	Role	GetPar	PreEmpID	PreEmpName	CertEmpID

Updated Employees in New Departments - 0

Empid	Empname	Subdept	Dept	Division	School	Email	UserID	Password	TitleCode	Title	StatusCode	Role	GetPar	PreEmpID	PreEmpName	CertEmpID

Updated Terminated Employees - 0

Empid	Empname	Subdept	Dept	Division	School	Email	UserID	Password	TitleCode	Title	StatusCode	Role	GetPar	PreEmpID	PreEmpName	CertEmpID

Updated Effort Forms - 0

RpCode	Empid	Empname	Subdept	Dept	Division	School	TitleCode	Title	StatusCode

** Denotes changed value

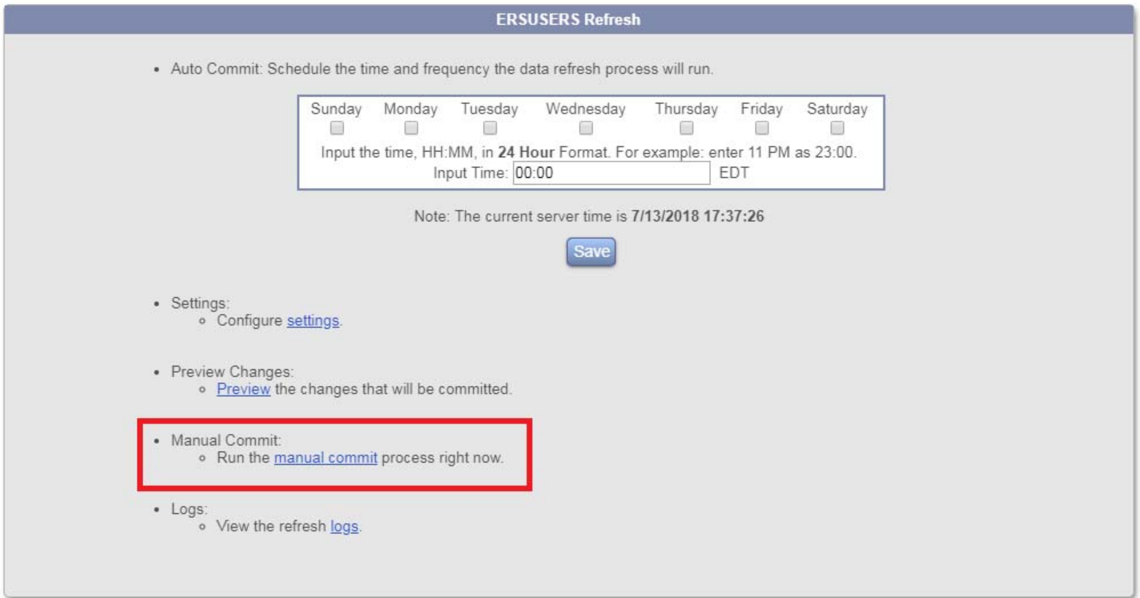
Close Window

Following information is presented in the various sections of preview page:

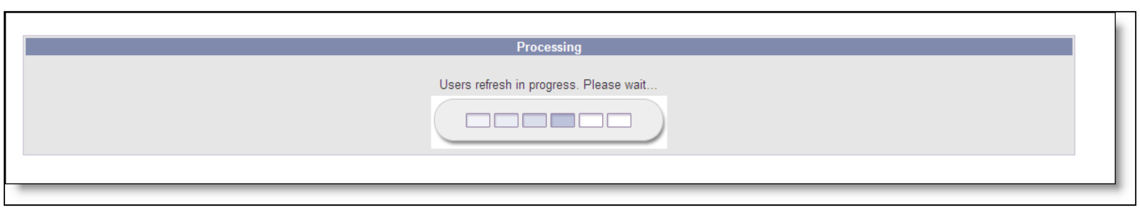
- **Summary –** This section summarizes the changes that will take place after the completion of Refresh process such as number of New Employees that will be updated in ERSUSERS table
- **Validation –** This section generates a validation report. Any invalid data is highlighted along with the invalid records with the associated error.
- **New Employee –** New Employees that will be inserted in ERSUSERS table are listed in this section.
- **Update Employees in Same Department –** Lists employees when there is no change in the Department.
- **Update Employees in New Department –** Lists employees when there is a change in the Department.
- **Update Terminated Employees –** Lists employees that will be updated to Terminated Status.
- **Update Effort Forms –** Lists employees whose profile change will be reflected on the Effort Form after update. Only those Effort Forms whose status has not changed or are not complete will be updated.

3.5.4 Manual Commit

Click on the manual commit link to run the Refresh process right away.

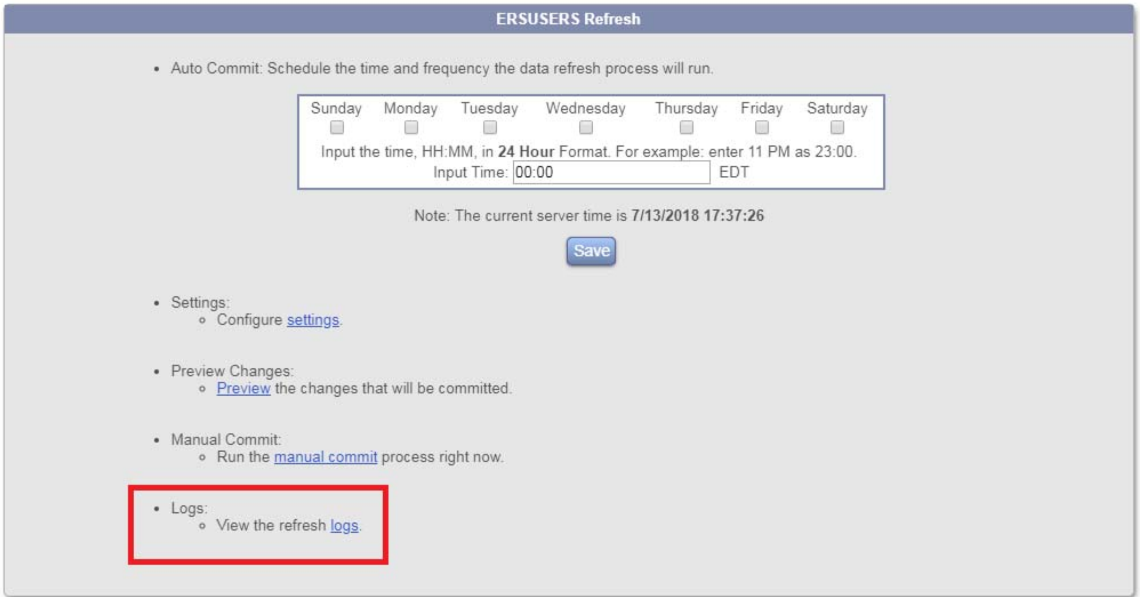


On clicking this link system will display a progress bar and when the process is complete will take the user back to the main Employee Refresh page.

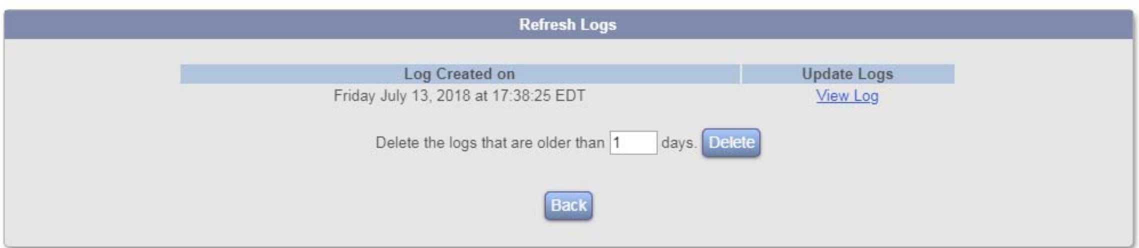


3.5.5 Logs

Click the “logs” link to view Refresh logs. The logs are generated after the refresh process is complete.



On clicking this link the system will display all previously saved logs.



The logs page captures both before and after values and the values that are updated are denoted with ** in red.

Updated Terminated Employees - 3

Empid	Empname	Subdept	Dept	Division	School	Email	UserID	Password	TitleCode	Title	StatusCode	Role	GetPar	PreEmpID
102540856	Doe120.John	61390	M50	SC	Test_Sch	jdoe120@syr.edu	102540856	******	Faculty	Instructor-Adjunct	A	DC	N	114132222
102540856	Doe120.John	999070**	M50	SB**	Test_Sy**	jdoe120@syr.edu	102540856	******	Faculty	Instructor-Adjunct	A	DC	N	596722222**
102542622	Doe121.John	61390	M50	SC	Test_Sch	jdoe121@syr.edu	102542622	******	Faculty	Instructor-Adjunct	A	DC	N	114132222
102542622	Doe121.John	999070**	M50	SB**	Test_Sy**	jdoe121@syr.edu	102542622	******	Faculty	Instructor-Adjunct	A	DC	N	596722222**
102559468	Doe122.John	61390	M50	SC	Test_Sch	jdoe122@syr.edu	102559468	******	Faculty	Instructor-Adjunct	A	DC	N	114132222
102559468	Doe122.John	999070**	M50	SB**	Test_Sy**	jdoe122@syr.edu	102559468	******	Faculty	Instructor-Adjunct	A	DC	N	596722222**

Updated Effort Forms - 0

RpCode	Empid	Empname	Subdept	Dept	Division	School	TitleCode	Title	StatusCode

** Denotes changed value

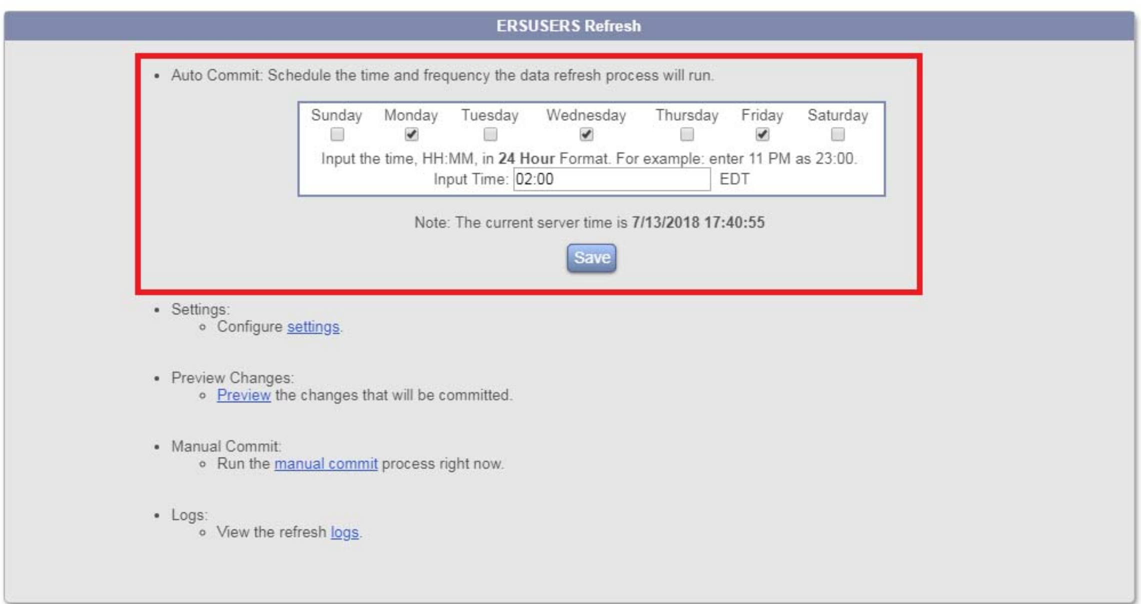
Warnings

Warning	3 terminated employee(s) are assigned as a Department Coordinator Please see the terminated employee report.

Logs also display "Warnings" such as "terminated Employee(s) are assigned as a Department Coordinator. A link is also provided to access "Terminated Employee Report".

3.5.6 Auto Commit Scheduler

An auto commit scheduler is also available to schedule an ERSUSERS refresh run at a later time.



To schedule a refresh run select a day(s) by clicking the checkbox for the specified day. The input time should be in 24 Hour format. Click the ***Save*** button.

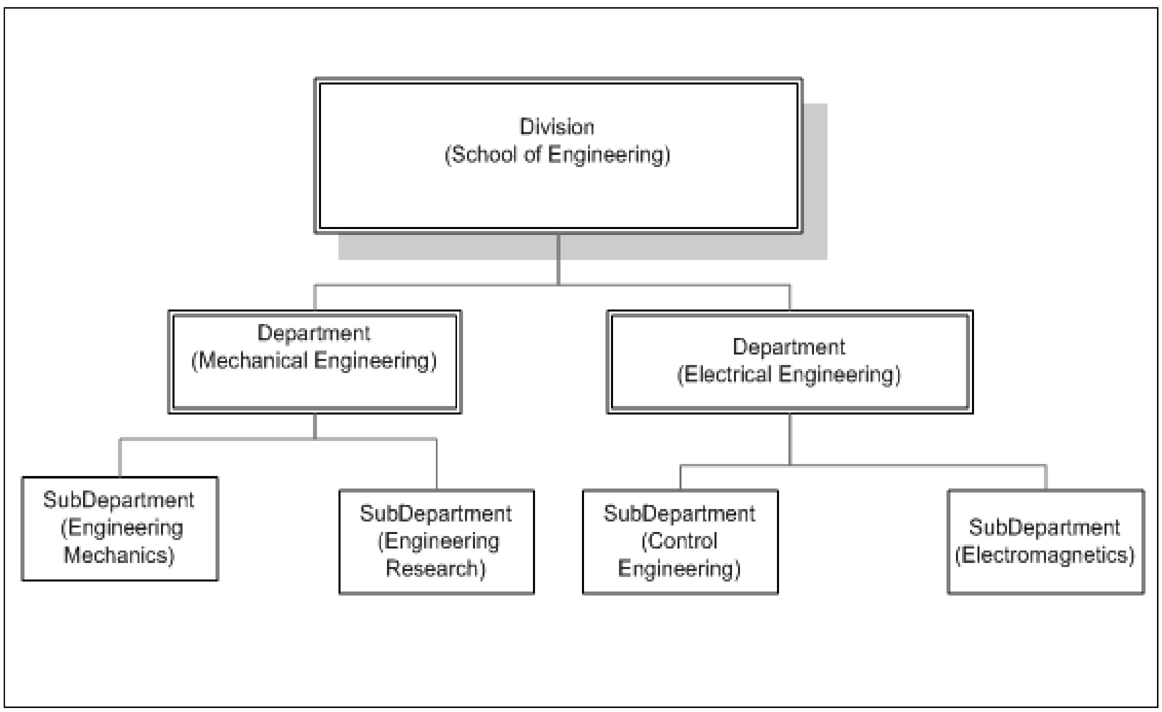
Note: The date and time that displays on the Auto Scheduler is current server date and time.

3.6 Organizational Hierarchy Refresh

In ERS terminology, an organization hierarchy consists of the following three units:

- Division
- Department
- Sub Department

The following illustrates the Organization Hierarchy in ERS where the Division is at the top level followed by Department followed by Sub Department.



Note: For some institutions the department and sub department are treated at the same level i.e. there are as many departments as there are sub departments.

The *Organization Hierarchy Refresh* feature was designed to address the following activities occurring on frequent basis in the institution's source system.

- New units are added (Division, Department, Sub Department)
- Low level units are re-organized (Department, Sub Department)
- Existing units are renamed (Division, Department, Sub Department)

3.6.1 Source Data Requirements

The Organizational Hierarchy Refresh uses the following staging tables.

- ERSDIVISIONTEMP
- ERSDEPTTEMP
- ERSSUBDEPTEMP

Note: Refer to the ERS data dictionary for the table structure.

3.6.2 High Level Process Details

The Organization Hierarchy Refresh compares the data between the following staging and source tables.

Staging Table	Source Table
ERSDIVISIONTEMP	ERSDIVISION
ERSDEPTTEMP	ERSDEPT
ERSSUBDEPTTEMP	ERSSUBDEPT

On comparing the tables the system identifies and processes the following:

- Add a new unit (DIVISION, DEPT, SUBDEPT)
- Update any name change of the unit (DIVNAME, DEPTNAME, SUBDEPTNAME)
- Update regrouping of low level unit
- Update the current users profile (ERSUSERS)
- Update un-archived effort form profile (ERSEFFHEADER) with the new organization structure.
- The system performs data validation checks and only processes records that pass these checks.

As an example, the following validation check is performed for ERSDEPT

- **New Department**
  If a new department (DEPT) code is found then the following is also required or the refresh will not add the new department.
  - DEPTNAME
  - DCEMPID

- DIVISION

- **Update Existing Department**
  If an existing department is found the following columns will be updated with the values provided in the ERSDEPTTEMP
  - DEPTNAME
  - DIVISION
  - SCHOOL

> ***Note:*** For the existing department the columns DCEMPID and CEMDCEMPID are not updated by the refresh process regardless if the value is provided or not.

- If the record cannot be refreshed due to data integrity, an error code will be populated by the system in the following fields.
  - ERRORCODE – Indicates type of error
  - DATEERRENTERED – Timestamp when the error was recorded.

- Audit Trail - The system maintains a copy of the original record in the respective archive tables – ERSDIVISIONARCHIVE, ERSDEPTARCHIVE, ERSSUBDEPTARCHIVE.

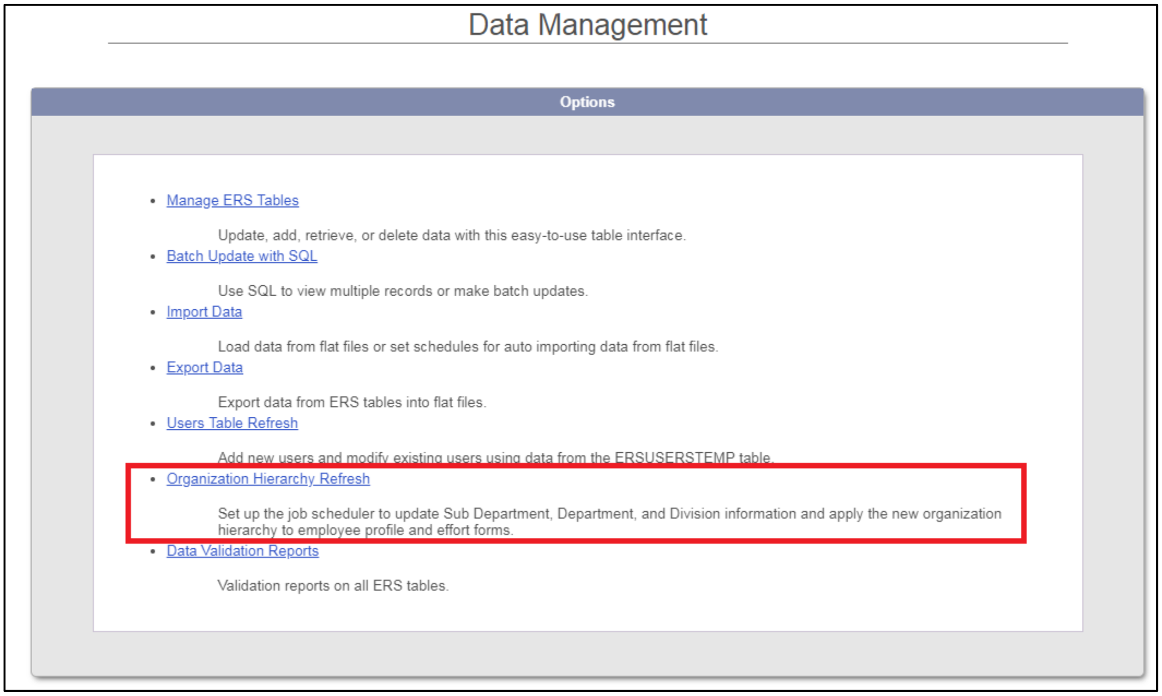
  The records in the archive table are never removed on the subsequent refresh. The records are always appended to the archive tables.

> ***Important Note:*** This feature does not refresh routing assignment for
> - **existing units** - *sub department, department, and division* (example, a new SubDC is identified for a sub department – the refresh process will not address this reassignment).
> - **existing users**.

3.6.3 Organization Hierarchy Refresh Interface

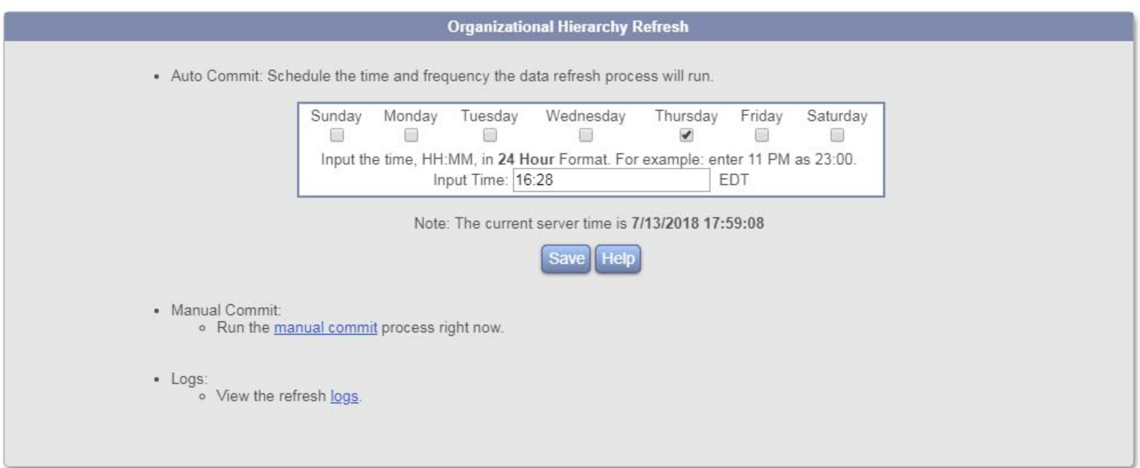
This feature allows the Central Administrator to schedule the day and time to run and refresh the sub department, department and division information per employee and effort report. In addition to the automated scheduler, the system provides the option to run the process on demand. The refresh process makes the following updates based on the new values stored in the temp tables.

This feature can be found under *Admin→Data Management→Organization Hierarchy Refresh*



The Organizational Hierarchy Refresh page is organized into the following three sections:

- Auto Commit
- Manual Commit
- Logs

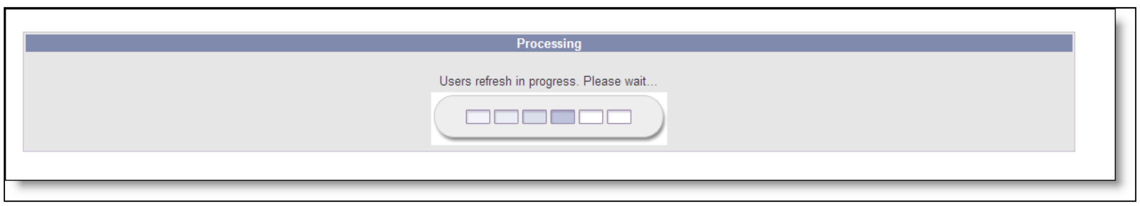


The following describes the two different options that can be used to execute the Organizational Hierarchy Refresh process:

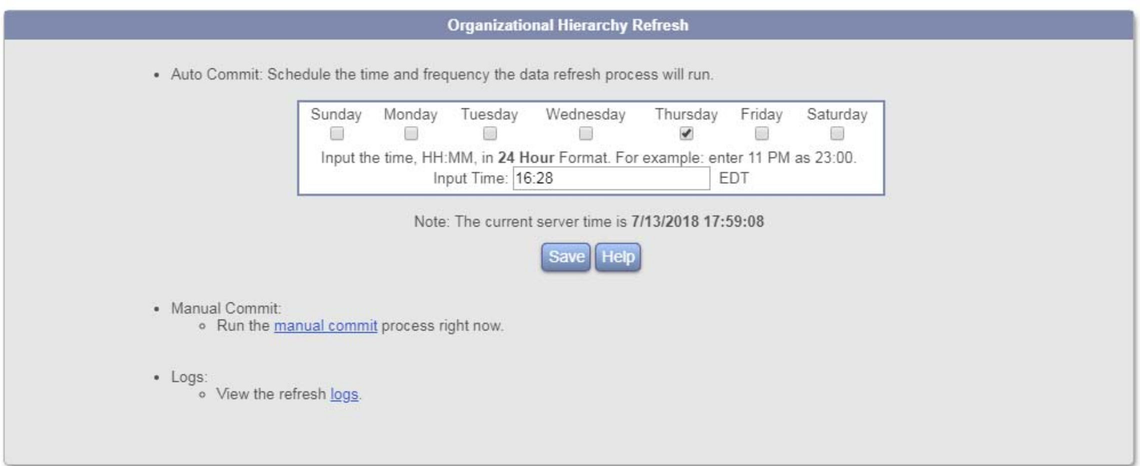
3.6.3.1 Manual Commit

The Central Administrator executes the *Organization Refresh* process by clicking on the link *Manual Commit*

The following page is presented when the Organization Refresh is under progress.

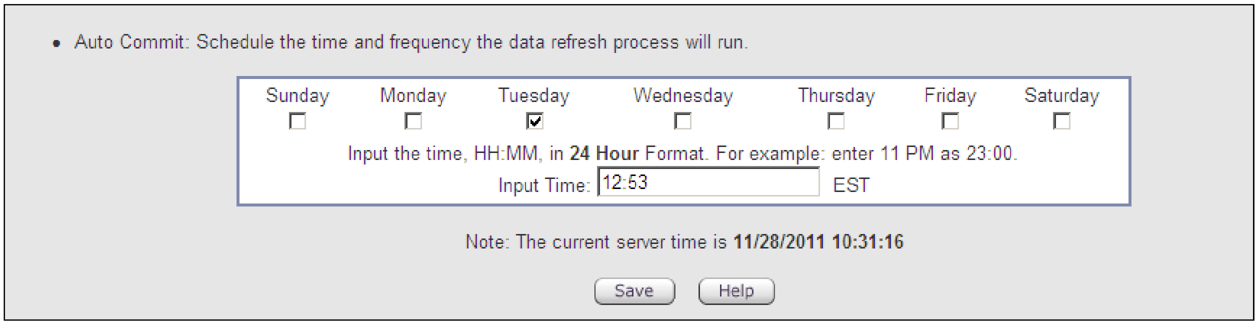


Once the Organization Refresh Process is complete, the user is brought back to the main Organization Refresh page.



3.6.3.2 Auto Commit

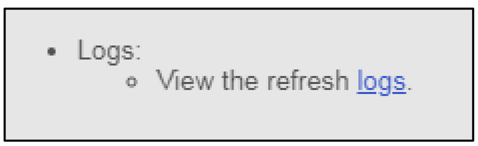
The Central Administrator schedules a day and time when the Organizational Refresh process should execute. The auto commit configuration involves selecting day(s) and providing a time when the process should run.

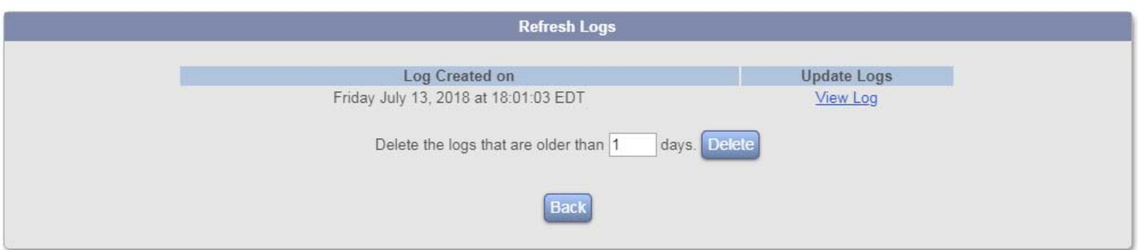


3.6.3.3 Logs

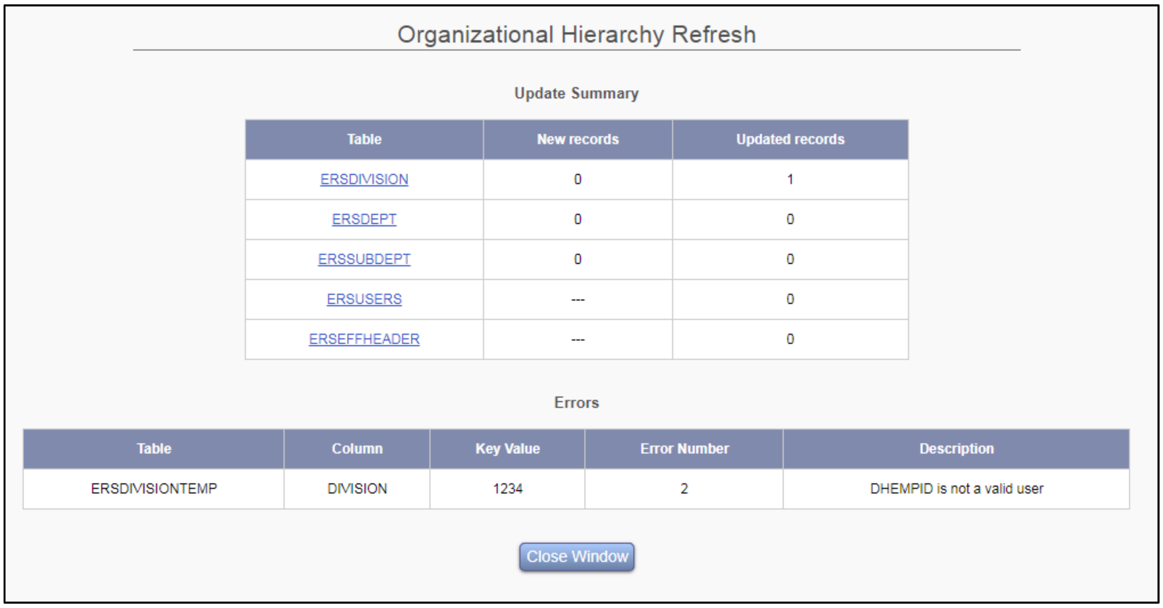
The results of the Organization Refresh can be viewed under the section – *Logs*

To view the results of the refresh, click on the link *logs,* which presents the list of all the available logs by date when the Organization Refresh process was executed.





Click on link *View Log* presents the Update Summary and Errors.



Organizational Hierarchy Refresh

Update Summary

Table	New records	Updated records
ERSDIVISION	0	1
ERSDEPT	0	0
ERSSUBDEPT	0	0
ERSUSERS	---	0
ERSEFFHEADER	---	0

Errors

Table	Column	Key Value	Error Number	Description
ERSDIVISIONTEMP	DIVISION	1234	2	DHEMPID is not a valid user

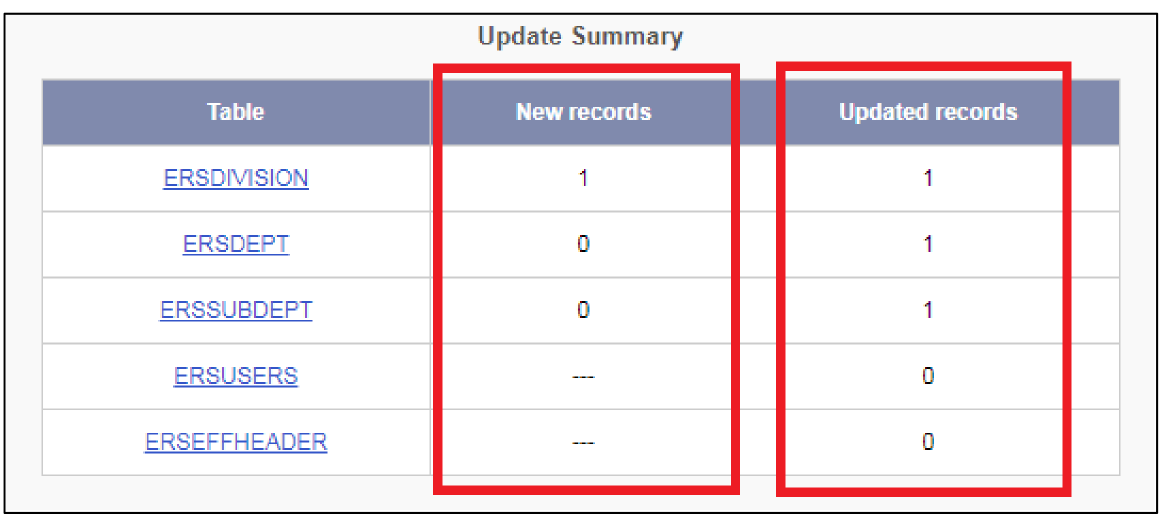
Close Window

If any data validation errors are found, they will be listed below the Update Summary. The errors are grouped by staging table by error.

Note: The Errors Section is displayed **only** if any data validation identified as an error.

3.6.3.4 Update Summary

This section summarizes the new and updated records per table involved in Organization Refresh.



Update Summary

Table	New records	Updated records
ERSDIVISION	1	1
ERSDEPT	0	1
ERSSUBDEPT	0	1
ERSUSERS	---	0
ERSEFFHEADER	---	0

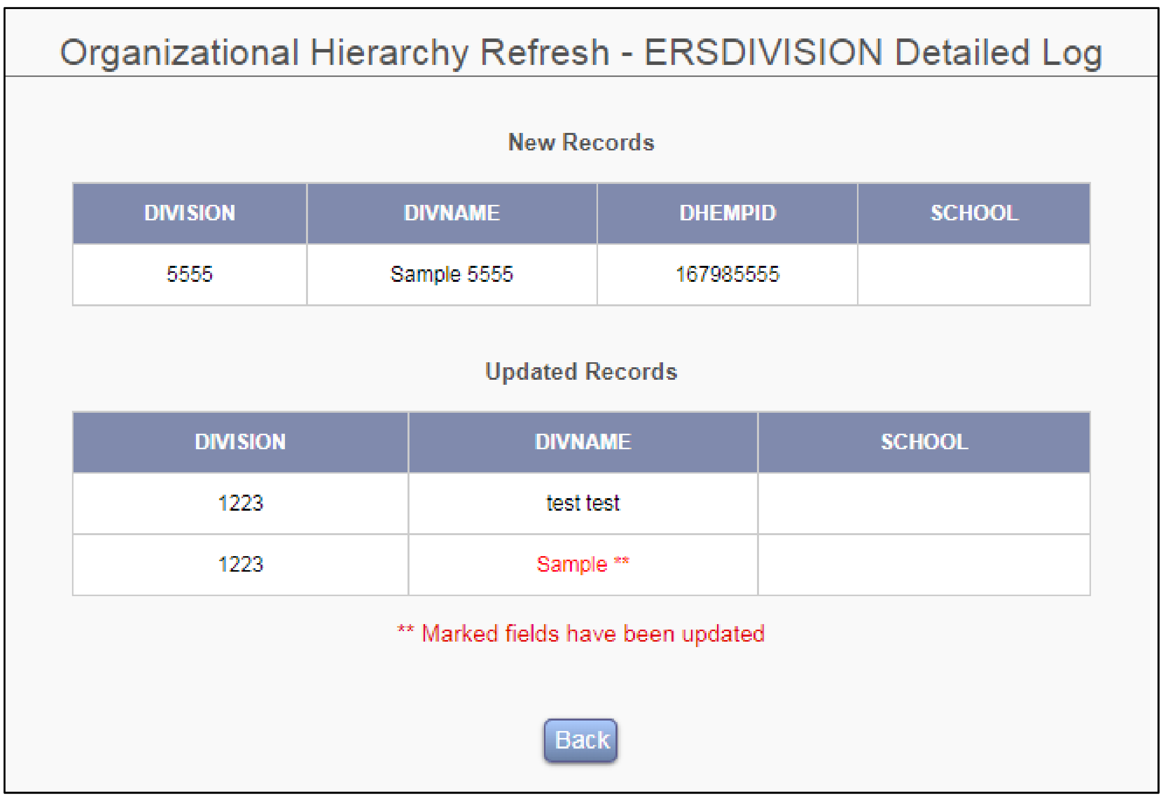
Click on each table link to view the details of data refresh.

Note: No new records are added in the table ERSUSERS and ERSEFFHEADER as a result of the Organization Hierarchy Refresh and hence no count is displayed.

3.6.3.4.1 ERSDIVISION

The ERSDIVISION link displays a page that is divided into two sections:

- **New Records**: This section lists new divisions added.
- **Updated Records**: This section lists updated records. The first line lists the original record. The second line lists the updated fields of the original record and is denoted by ** in red.


Organizational Hierarchy Refresh - ERSDIVISION Detailed Log

New Records

DIVISION	DIVNAME	DHEMPID	SCHOOL
5555	Sample 5555	167985555	

Updated Records

DIVISION	DIVNAME	SCHOOL
1223	test test	
1223	Sample **	

** Marked fields have been updated

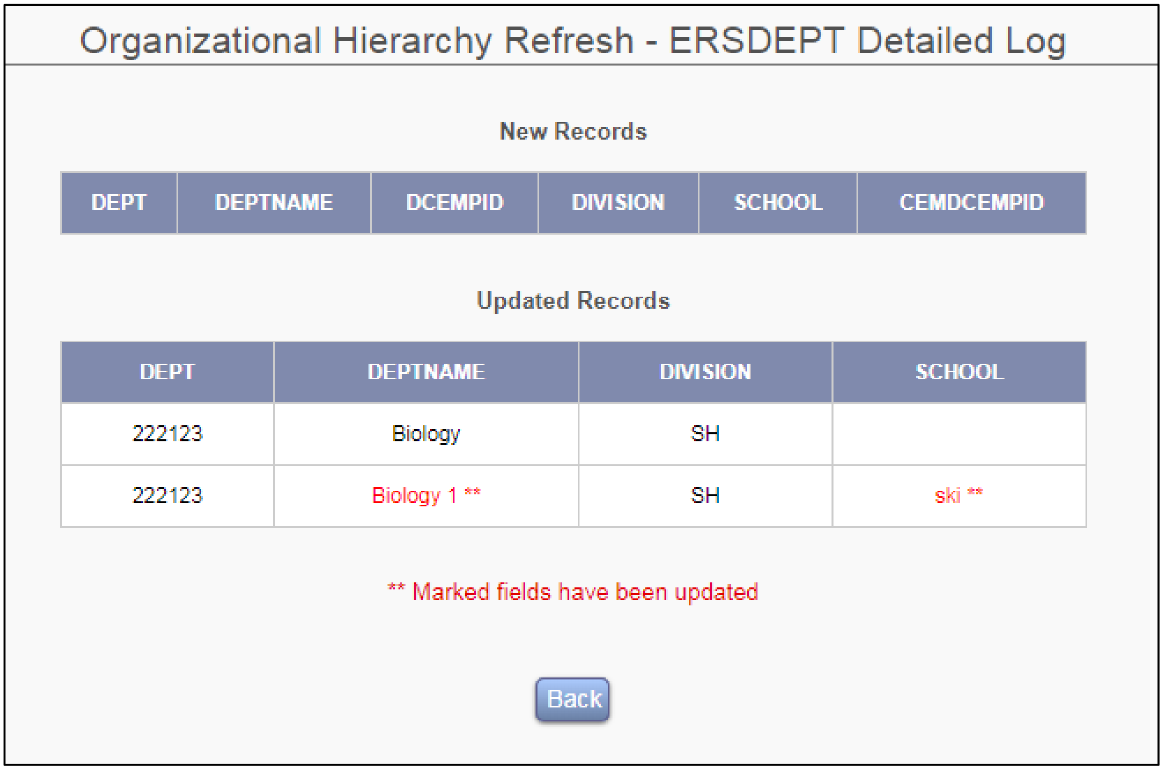
Back

3.6.3.4.2 ERSDEPT

The ERSDEPT link displays a page that is divided into two sections:

- **New Records**: This section lists the new departments added.

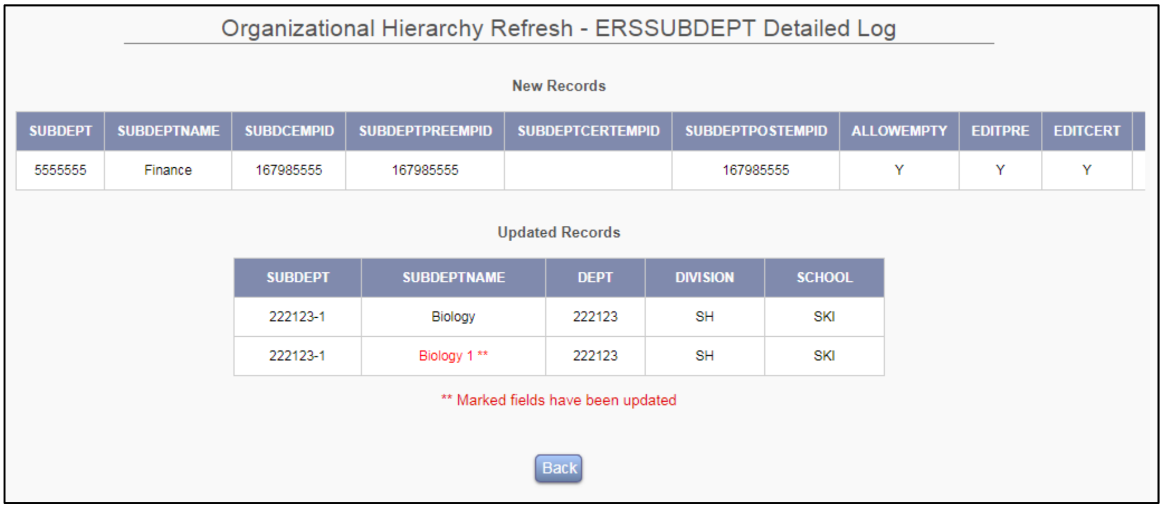
- **Updated Records**: This section lists the updated records. The first line lists the original record. The second line lists the updated fields of the original record and is denoted by ** in red.



3.6.3.4.3 ERSSUBDEPT

The ERSSUBDEPT link displays a page that is divided into two sections:

- **New Records**: This section lists new sub departments added.
- **Updated Records**: This section lists updated records. The first line lists the original record. The second line lists the updated fields of the original record and is denoted by ** in red.



Organizational Hierarchy Refresh - ERSSUBDEPT Detailed Log

New Records

SUBDEPT	SUBDEPTNAME	SUBDCEMPID	SUBDEPTPREEMPID	SUBDEPTCERTEMPID	SUBDEPTPOSTEMPID	ALLOWEMPTY	EDITPRE	EDITCERT
5555555	Finance	167985555	167985555		167985555	Y	Y	Y

Updated Records

SUBDEPT	SUBDEPTNAME	DEPT	DIVISION	SCHOOL
222123-1	Biology	222123	SH	SKI
222123-1	Biology 1 **	222123	SH	SKI

** Marked fields have been updated

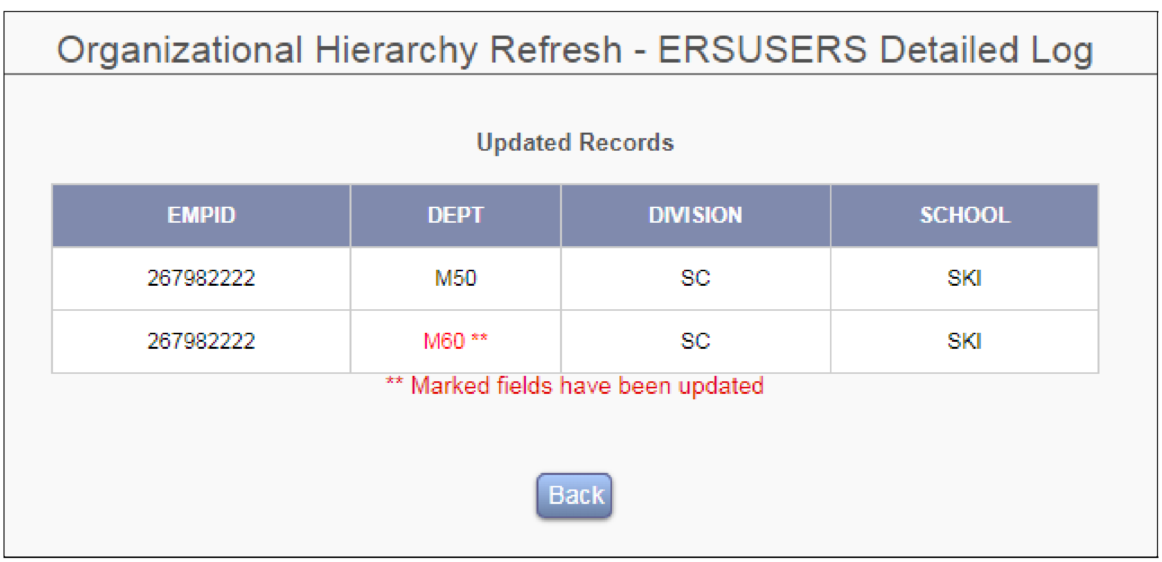
Back

3.6.3.4.4 ERSUSERS

The ERSUSERS link displays a page with a list of updated records only.

This section lists the existing user records which were updated as a result of regrouping of sub department to a different department or division.

The first line lists the original record. The second line lists the updated fields of the original record and is denoted by ** in red.



Organizational Hierarchy Refresh - ERSUSERS Detailed Log

Updated Records

EMPID	DEPT	DIVISION	SCHOOL
267982222	M50	SC	SKI
267982222	M60 **	SC	SKI

** Marked fields have been updated

Back

Note: No new records are added in the ERSUSERS table.

3.6.3.4.5 ERSEFFHEADER

The ERSEFFHEADER link displays updated records for each un-archived effort form of the individual with the new organization structure.

This section lists the updated record of individual's effort form which was updated as a result of regrouping of sub department to a different department or division.

The first line lists the original record. The second line lists the updated fields of the original record and is denoted by ** in red.

Organizational Hierarchy Refresh - ERSEFFHEADER Detailed Log

Updated Records

EMPID	DEPT	DIVISION	SCHOOL
167982222	M50	SC	SKI
167982222	M60 **	SC	SKI
800101040	M50	SC	SKI
800101040	M60 **	SC	SKI
691762222	M50	SC	SKI
691762222	M60 **	SC	SKI
117222222	M50	SC	SKI
117222222	M60 **	SC	SKI
129332222	M50	SC	SKI
129332222	M60 **	SC	SKI

Note: No new records are added in the ERSEFFHEADER table.

3.6.3.5 How to resolve data errors?

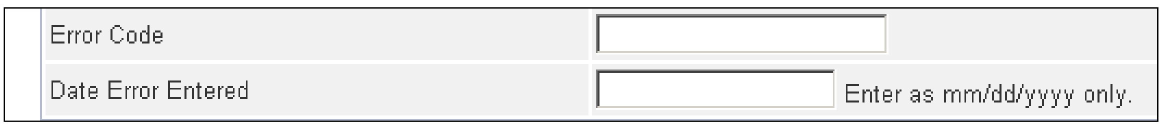
The records with data errors are not removed from the staging tables and are identified with error code and date when the error was entered by the *Organization Hierarchy Refresh* process.

Depending on the data error and availability of the correct data information, the errors can be resolved using any one of the following options:

1. **Manage ERS Table Interface**
   Use the Manage ERS Tables interface to correct the data errors one at a time.

   Admin → Data Management →Manage ERS Tables → *Organization Hierarchy Refresh Staging Table (Division Temp* or *Department Temp* or *Sub Department Temp)*

   Ensure the data errors are resolved and the following fields are left blank.



2. **Import Data Interface**
   Remove the existing data in the staging tables before importing the data with correct or missing information. Ensure that the system fields - ERRORCODE & DATEERRENTERED are left blank.

Important Note: Ensure data errors are addressed in all the involved staging tables before running the *Organization Hierarchy Refresh* process again.

3.7 Data Validation Reports

Validation reports come prepackaged with the application. After a reporting period has been initiated CA can view these reports to correct any potential errors or warnings in data.

Validation Report

Displaying 81 of 81 records

Table Name	Report Title	Report Description	Count
ERSCHARTACCTS	Check for blank or null STATUS	STATUS MUST be provided.	5
	Check for invalid Account	ACCTTYPE MUST be provided. Valid ACCTTYPE values are 'S','N','E','C','K','Y','Z','O'	5
	Check for invalid STATUS	STATUS MUST be provided. Valid STATUS values are: 'A','I'	5
	Check for blank or null DESCR	DESCR MUST be provided	1
	Check for blank or null ACCT_ATTR1	ACCT_ATTR1 MUST be provided	0
	Check for Foreign Key for COMPANY	This column specifies the Sub Department the Account belongs to	0
	Check for Foreign Key for PARENT_ACCT	Account ID of PARENT ACCOUNT	0
	Check for blank or null ACCOUNT	ACCOUNT MUST be provided.	0
	Check for blank or null ACCTTYPE	ACCTTYPE MUST be provided.	0
	Check for blank or null ACCT_ATTR2	ACCT_ATTR2 MUST be provided	0
	Check for blank or null DESCRSHORT	DESCRSHORT MUST be provided	0
ERSDEPT	Check for blank or null DCEMPID	DCEMPID MUST be provided. If this information is not available, populate with a dummy EMPID. Ensure the dummy EMPID record exists in table ERSUSERS.	5
	Check for blank or null DIVISION	DIVISION MUST be provided.	1
	Check for blank or null DEPT	DEPT MUST be provided	0
	Check for blank or null DEPTNAME	If DEPTNAME is missing, it will not be displayed wherever applicable.	0
	Check for invalid DCEMPID	Valid DCEMPID must be provided. Resolve the data error by adding details for DCEMPID in table ERSUSERS.	0
	Check for invalid DIVISION	Valid DIVISION MUST be provided.Resolve the data error by adding details for DCEMPID in table ERSDIVISION	0

Note here that CA can view the detail of each report by clicking the Report title link.

View Report

Report Title: ERSCHARTACCTS-Check for invalid Account
Report Description: ACCTTYPE MUST be provided. Valid ACCTTYPE values are 'S','N','E','C','K','Y','Z','O'
Source Table: erschartaccts
Query: select account, accttype from erschartaccts where accttype not in('S','N','C','K','Y','Z','O')
Total No of Records: 5
No. of Pages: 1
Time taken to generate report:
Dated Modified: 13-Jul-2018

Back : Excel Escape Double Quotes Download Exit

Displaying 5 of 5 records

ACCOUNT	ACCTTYPE
830-350	E
600-400	E
111313133	2
600400	E
830350	E

Chapter 4

Role Management

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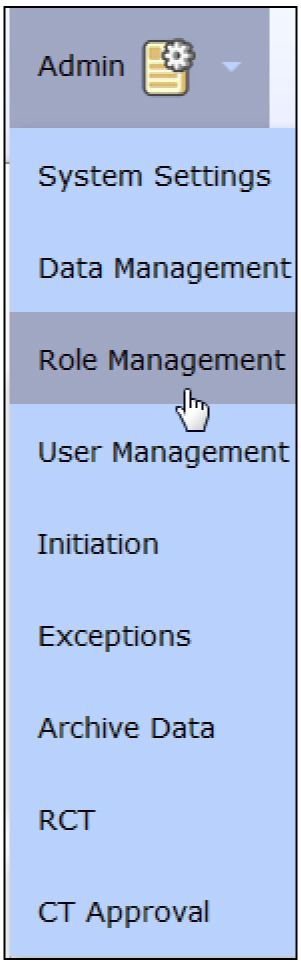
4.1 Role Management 3
4.1.1 Edit Role 4
4.1.2 Add New Role 5
4.1.3 Delete Role 6

4 Role Management

4.1 Role Management

Each individual with a need to access ERS is assigned a role. Each role has specific rights designated in ERS. The Role Management feature allows the Central Administrator to create new roles and view/ update an individual's role.

This option is available to the Central Administrator under the Admin menu option.



The *Role Management* page lists all the possible roles defined in the system.

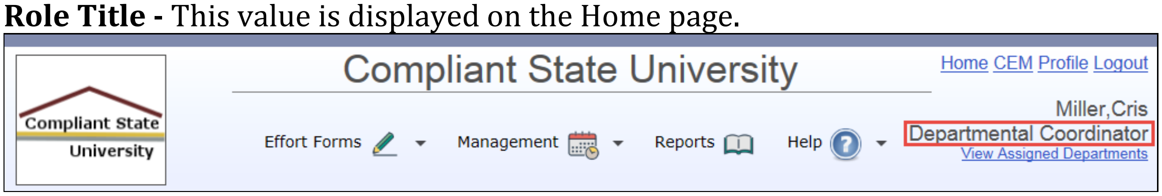
Role Management

Displaying 12 of 12 records

Edit	Role	Role Title	Date Modified	Default Role?
	AUDITCA	Auditor	06/27/2017	Y
	CA	ERS Administrator	07/03/2017	Y
	CERT	Certifier	07/03/2017	Y
	CTAP	Cost Transfer Approver	07/03/2017	Y
	DC	Departmental Coordinator	07/05/2017	Y
	DCDH	Department Coordinator - Division Head & Dept Head	06/30/2017	Y
	DH	Division Head	06/28/2017	Y
	NONE	Employee	07/05/2017	Y
	POST	Post Reviewer	06/26/2017	Y
	PRE	Pre Reviewer	10/26/2009	Y
	PREPOST	Pre and Post Reviewer	06/30/2017	Y
	SUBDC	Sub Department Coordinator	10/26/2009	Y

Add New Role

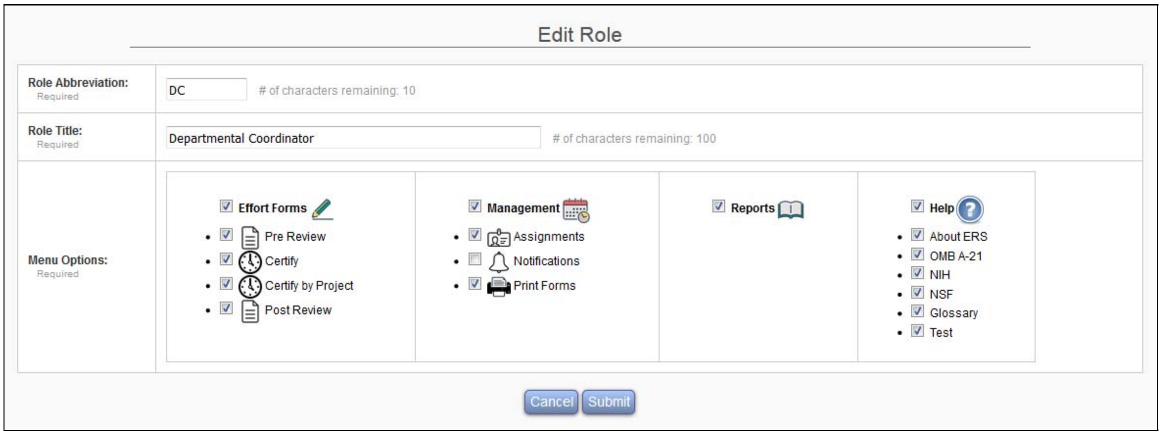
- **Edit –** This icon allows to view and edit the menu options assigned to role.
- **Role –**This abbreviated value is the key that ERS uses to identify the role.
- **Role Title -** This value is displayed on the Home page.



- **Date Modified -** Displays the last time the role was updated.
- **Default Role** - Defines if it's a system defined role or Central Administrator defined role. There are two possible values.
  - **Y –** Indicates system defined role and cannot be removed.
  - **N –** Indicates CA defined role and can be removed.

4.1.1 Edit Role

By clicking on the icon, the Central Administrator has the ability to edit the Role Title or responsibilities of the selected role by adding or removing the menu options or deleting non-default ERS role.



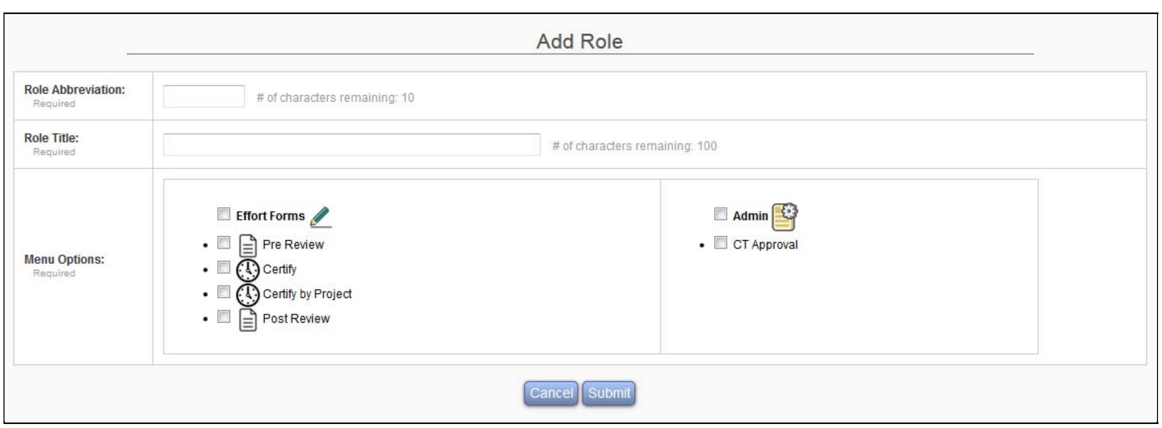
By editing available menu options, ERS will apply the selection globally to all users assigned that role.

Notes:
Only the Help menu options are editable for the role of Central Administrator.

DCDH and NONE roles are an exception where there is no menu option for editing, only Role Title is editable.

4.1.2 Add New Role

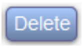
To add new roles to ERS, start by clicking the Add New Role button. The Central Administrator can choose the name of the new Role and its abbreviation. The menu options listed can be added to the responsibilities of this new Role and can be ordered by preference.



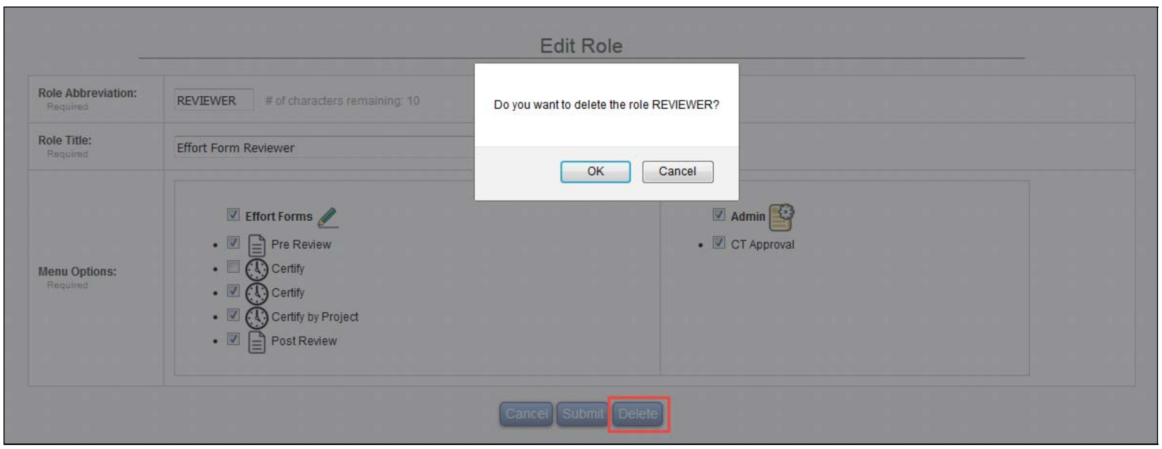
The new roles that can be created are currently limited to the Pre Review, Certify, Certify by Project, Post Review and CT Approval menu options.

4.1.3 Delete Role

Only those roles created by the Central Administrator via this interface or having Default Value of 'N' are available for deletion.

The 

button is available via Edit option only if this role was created by the Central Administrator. Upon selecting Delete option a confirmation box is presented to verify that the deletion should take place.



Caution!! Prior to removing the role, ensure that no user is assigned this role. If users are assigned the designated role, first assign a valid role for these individuals by either using the *User Management* or *Assignment* function.
The following query can be used to generate a list of users with a particular role.
Select * from ERSUSERS where role = *'Role Abbreviation'*

Chapter 5

User Management

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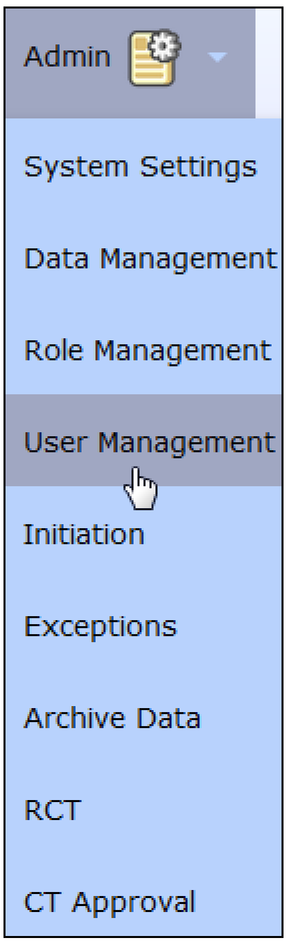
5.1.5 Certifier Information 14

5 User Management

The User Management allows the Central Administrator to view an individual's full profile such as role, assignments and responsibilities including completed and pending effort forms.

This option is available to the Central Administrator under the Admin menu option.

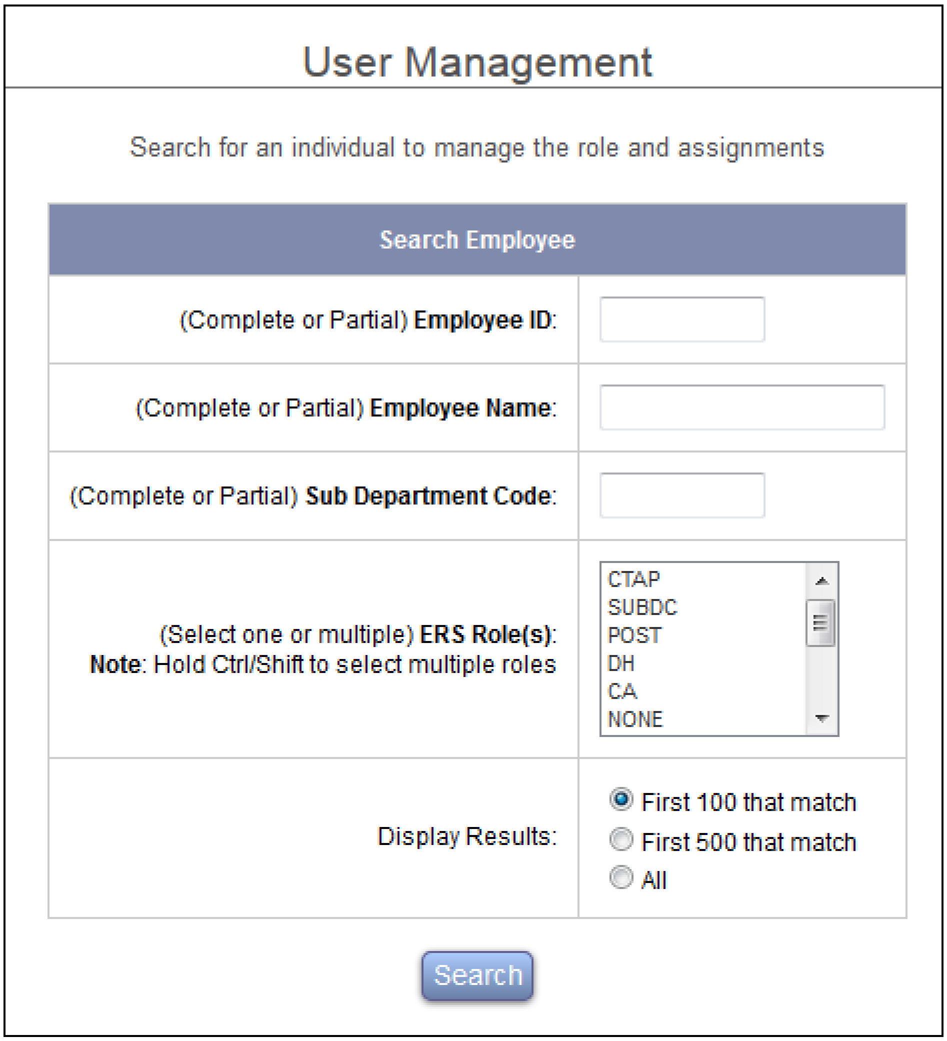


The Central Administrator is presented with the following Search Employee criteria upon selecting the *User Management* option.

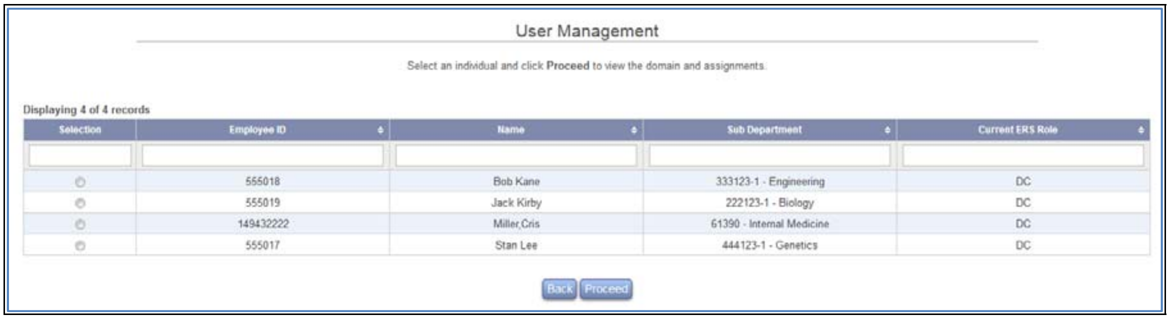
5.1 User Profile

To view the profile of the user enter complete or partial information for at least one search criteria (case in-sensitive).

- Employee ID
- Employee Name
- Sub Department Code
- ERS Role



The system will return the records that match the search criteria entered, including the individual's current ERS role and the sub department name. Select the desired user and click Proceed.



User Management

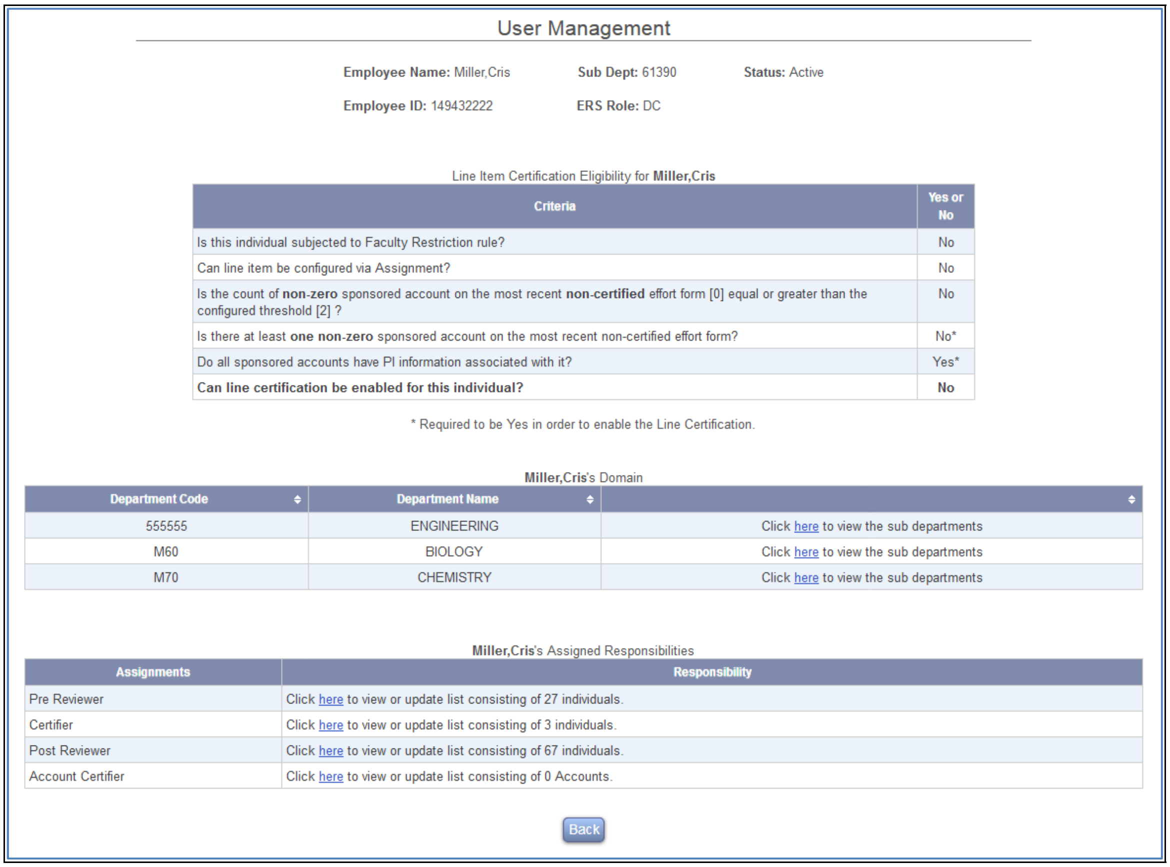
Select an individual and click **Proceed** to view the domain and assignments.

Displaying 4 of 4 records

Selection	Employee ID	Name	Sub Department	Current ERS Role
	555018	Bob Kane	333123-1 - Engineering	DC
	555019	Jack Kirby	222123-1 - Biology	DC
	149432222	Miller,Cris	61390 - Internal Medicine	DC
	555017	Stan Lee	444123-1 - Genetics	DC

Back Proceed

Depending on the user role and domain the profile information will vary. The screen below is the profile information of the Department Coordinator.



User Management

Employee Name: Miller,Cris **Sub Dept:** 61390 **Status:** Active

Employee ID: 149432222 **ERS Role:** DC

Line Item Certification Eligibility for **Miller,Cris**

Criteria	Yes or No
Is this individual subjected to Faculty Restriction rule?	No
Can line item be configured via Assignment?	No
Is the count of **non-zero** sponsored account on the most recent **non-certified** effort form [0] equal or greater than the configured threshold [2] ?	No
Is there at least **one non-zero** sponsored account on the most recent non-certified effort form?	No*
Do all sponsored accounts have PI information associated with it?	Yes*
Can line certification be enabled for this individual?	**No**

* Required to be Yes in order to enable the Line Certification.

Miller,Cris's Domain

Department Code	Department Name	
555555	ENGINEERING	Click here to view the sub departments
M60	BIOLOGY	Click here to view the sub departments
M70	CHEMISTRY	Click here to view the sub departments

Miller,Cris's Assigned Responsibilities

Assignments	Responsibility
Pre Reviewer	Click here to view or update list consisting of 27 individuals.
Certifier	Click here to view or update list consisting of 3 individuals.
Post Reviewer	Click here to view or update list consisting of 67 individuals.
Account Certifier	Click here to view or update list consisting of 0 Accounts.

Back

5.1.1 Header

Displays the Employee Name, ID, Sub Dept, ERS Role and Status (Active or Terminated).

Employee Name: Miller,Cris **Sub Dept:** 61390 **Status:** Active

Employee ID: 149432222 **ERS Role:** DC

5.1.2 Line Item Certification Information

Provide Central Administrator with the information related to **Line Item Forms** for the institutions using **Line Item Certification** feature as well as provide additional information related to the individual's effort form.

Line Item Certification Eligibility for **Miller,Cris**

Criteria	Yes or No
Is this individual subjected to Faculty Restriction rule?	No
Can line item be configured via Assignment?	No
Is the count of **non-zero** sponsored account on the most recent **non-certified** effort form [0] equal or greater than the configured threshold [2] ?	No
Is there at least **one non-zero** sponsored account on the most recent non-certified effort form?	No*
Do all sponsored accounts have PI information associated with it?	Yes*
Can line certification be enabled for this individual?	**No**

* Required to be Yes in order to enable the Line Certification.

- **Is this individual's form subject to Faculty Restriction rule?**
  Whether the individual's effort form is subject to **Faculty Restriction** which is determined by the configuration in *System Settings > Initiation Settings > Faculty Code Setup.* Department Coordinators do not have the ability to reassign the Certifier; however, the CA can overwrite it through User Management module, if necessary.
- **Can line item be configured via Assignment?**
  Line Item Certification eligibility is determined by the configuration under *System Settings > PI Line Item*.
- **Is the count of non-zero sponsored account on the most recent non-certified effort form [N] equal or greater than the configured threshold [2]?**
  This provides the number of sponsored accounts included on the effort form to assist the Central Administrator with the decision to enable the **Line Item Certification** process for the selected employee's form.
- **Is there at least one non-zero sponsored account on the most recent non-certified effort form?**
  This is one of the required criteria to enable the Line Certification.
- **Do all sponsored accounts have PI information associated with it?**

This information is required in order for the effort form to correctly function as line item and to assist the Central Administrator in making a decision to enable line certification or not.

- **Can line certification be enabled for this individual?**
  If the form is not enabled with **Line Item Certification**, and the form is eligible for it, ERS will allow the CA to enable it by clicking on the here link as shown in the screenshot below.

Can line certification be enabled for this individual? Click here to enable Line Item Certification.	Yes

The effort form enabled for line certification can be disabled provided the latest effort form has not been Certified or saved by certifier.

Certification Status
Form not saved by Certifier. Click here to disable Line Item Certification

5.1.3 Domain

If the user's role is DH, DC or SUBDC it will list the respective domain information. The screen below presents the domain of the Department Coordinator and lists the departments under it.

Miller,Cris's Domain

Department Code	Department Name	
555555	ENGINEERING	Click here to view the sub departments
M60	BIOLOGY	Click here to view the sub departments
M70	CHEMISTRY	Click here to view the sub departments

If the domain has another level of organization unit under it, the details can be viewed by clicking the *here* link. Example, clicking on the link to view the sub departments under a department presents the following details of the sub department.

User Management

Sub Departments Under Department 555555

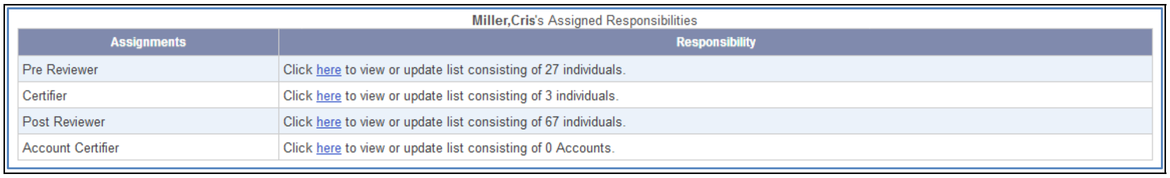
Displaying 2 of 2 records

Sub Department	Sub Department Name	Sub Department Coordinator	Sub Department Pre Reviewer	Sub Department Post Reviewer
52060	ENGINEERING	Miller,Cris	Miller,Cris	Miller,Cris
55524	ENGINEERING	Miller,Cris	Miller,Cris	Miller,Cris

Close Window

5.1.4 Assignments

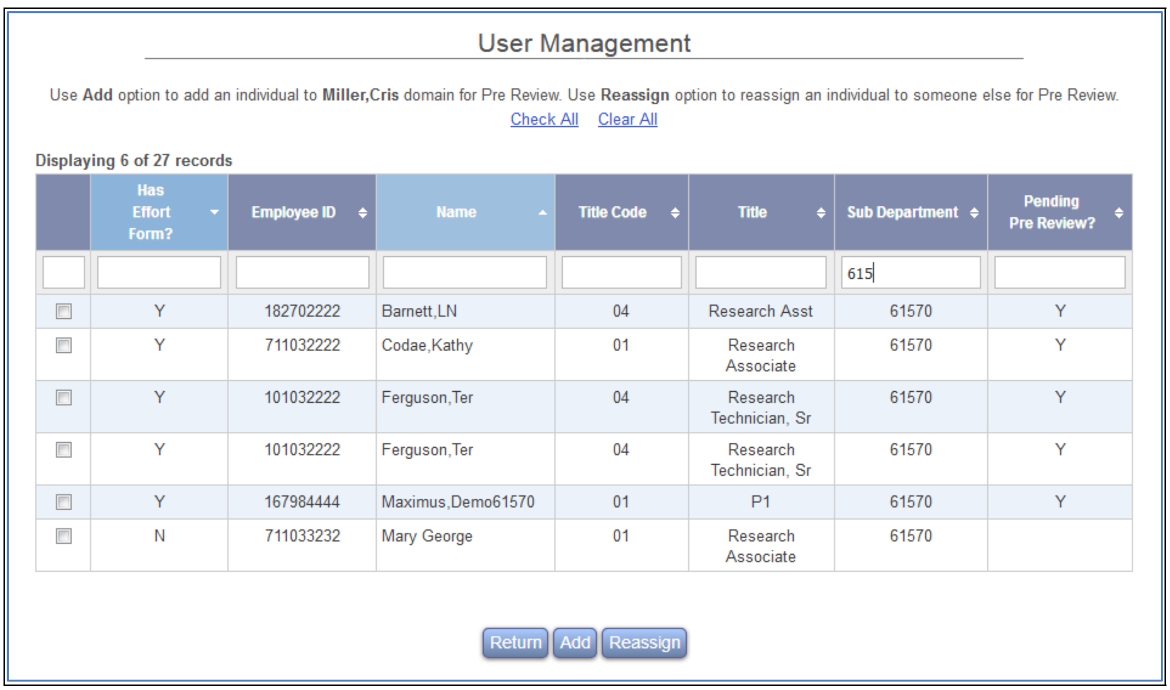
This section lists the user's assignments as a Pre Reviewer, Certifier, Post Reviewer or Account Certifier.



Miller,Cris's Assigned Responsibilities

Assignments	Responsibility
Pre Reviewer	Click here to view or update list consisting of 27 individuals.
Certifier	Click here to view or update list consisting of 3 individuals.
Post Reviewer	Click here to view or update list consisting of 67 individuals.
Account Certifier	Click here to view or update list consisting of 0 Accounts.

The *here* link next to each Assignments category of Pre Reviewer, Certifier, Post Reviewer or Account Certifier allows the CA to reassign user's responsibility or add an individual to the assignment list.



User Management

Use **Add** option to add an individual to **Miller,Cris** domain for Pre Review. Use **Reassign** option to reassign an individual to someone else for Pre Review.
Check All Clear All

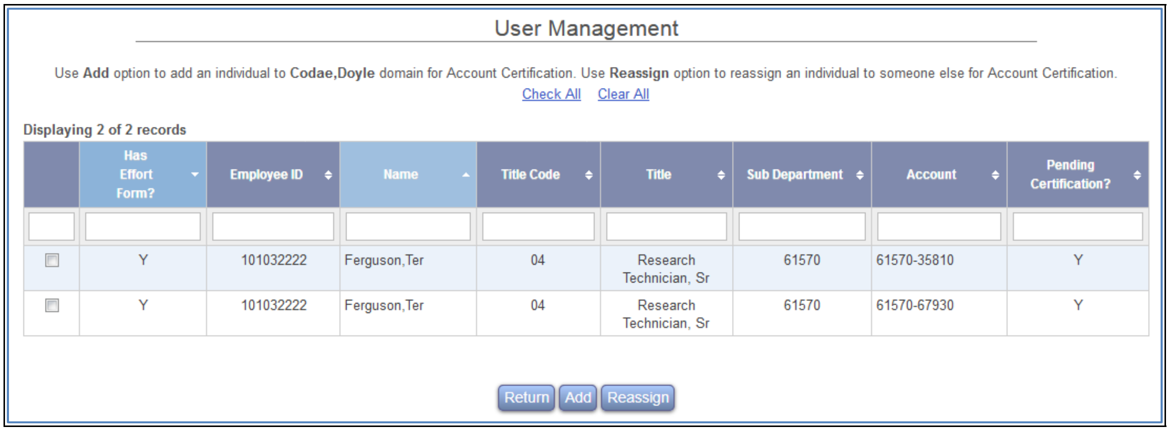
Displaying 6 of 27 records

	Has Effort Form?	Employee ID	Name	Title Code	Title	Sub Department	Pending Pre Review?
						615	
	Y	182702222	Barnett,LN	04	Research Asst	61570	Y
	Y	711032222	Codae,Kathy	01	Research Associate	61570	Y
	Y	101032222	Ferguson,Ter	04	Research Technician, Sr	61570	Y
	Y	101032222	Ferguson,Ter	04	Research Technician, Sr	61570	Y
	Y	167984444	Maximus,Demo61570	01	P1	61570	Y
	N	711033232	Mary George	01	Research Associate	61570	

Return Add Reassign

The list is sorted by column *Has Effort Form?* which indicates if the individuals listed have an effort form in ERS or not. The individuals with an effort form are listed at the top and further sorted by Name. The last column, "*Pending Pre Review?*" indicates if the effort form is pending review. The review label will vary depending on the review category selection.

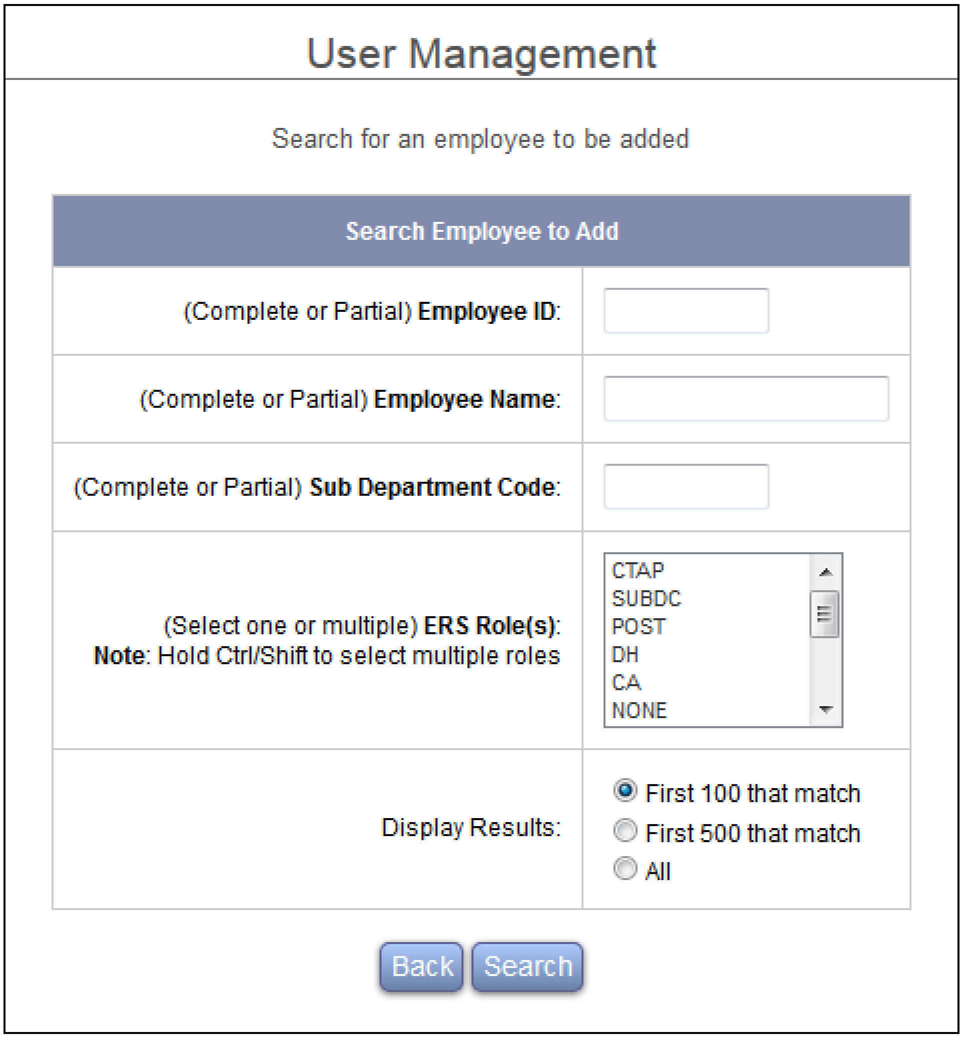
In the case of Account Certifiers it also lists the Account.



The Central Administrator can either add individuals to the domain presented or reassign selected individuals to someone else. The newly designated responsible individual will be notified of the new assignment.

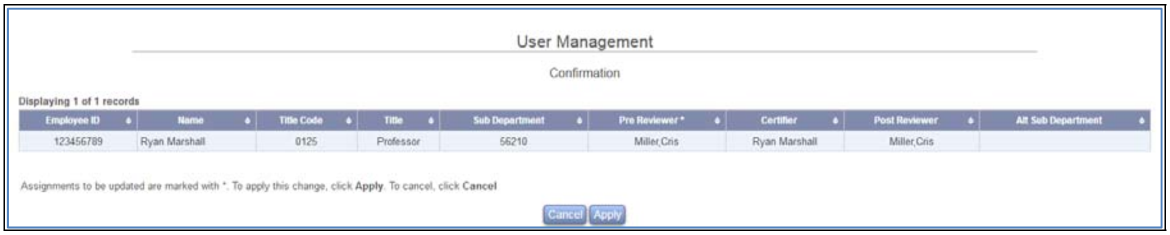
5.1.4.1 Add

Click on the **Add** button to add an individual to the domain. Enter the Search criteria to find the desired Individual to be added to the list.

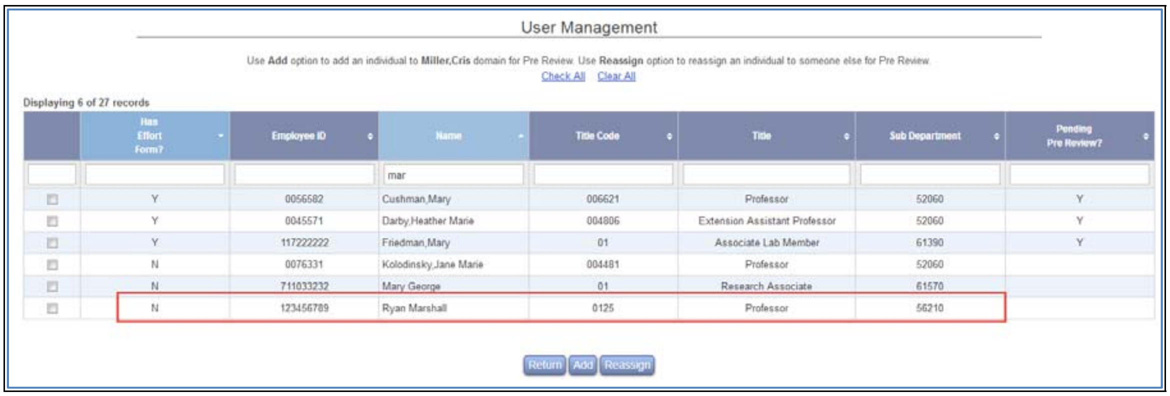


Click on **Search** button.

Select the Individual from the search criteria list and click **Proceed**.

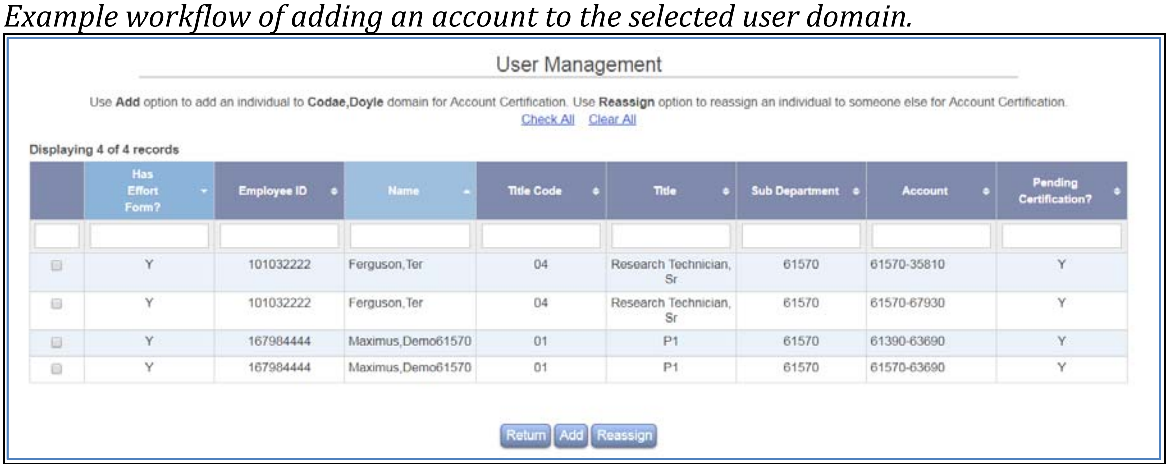


Confirm the changes by clicking on the **Apply** button which takes the Central Administrator back to the selected Review (Pre Review, Certify, Post Review) Assignment list.



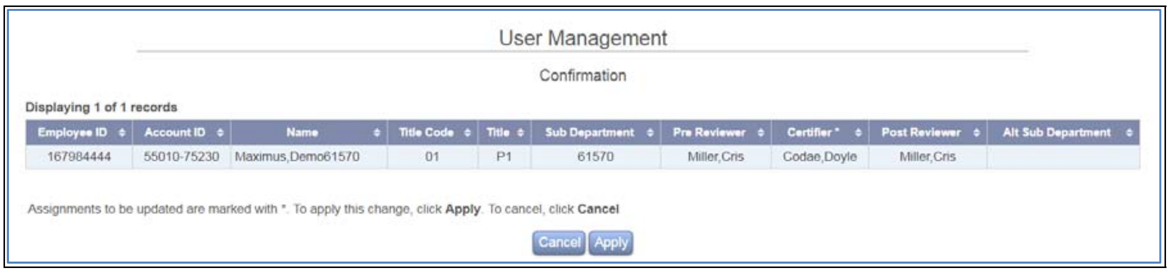
For the Account Certifiers the Add and Reassign function allows the Central Administrator to add individual accounts to the domain presented or reassign selected individual accounts to someone else.

Example workflow of adding an account to the selected user domain.

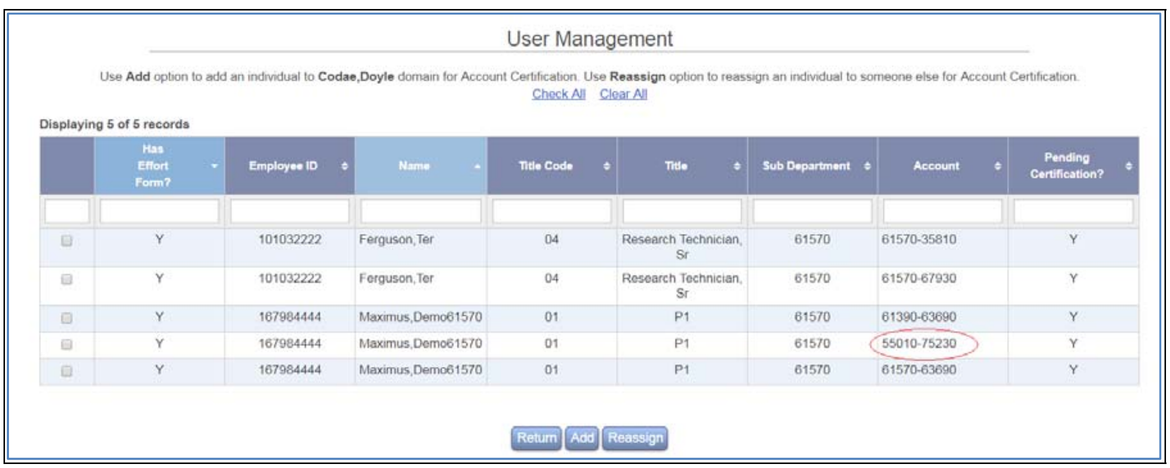


Click on **Add** button, the same Search Screen will appear. Enter an employee's name and click **Search**.

Select the account and click **Proceed**.

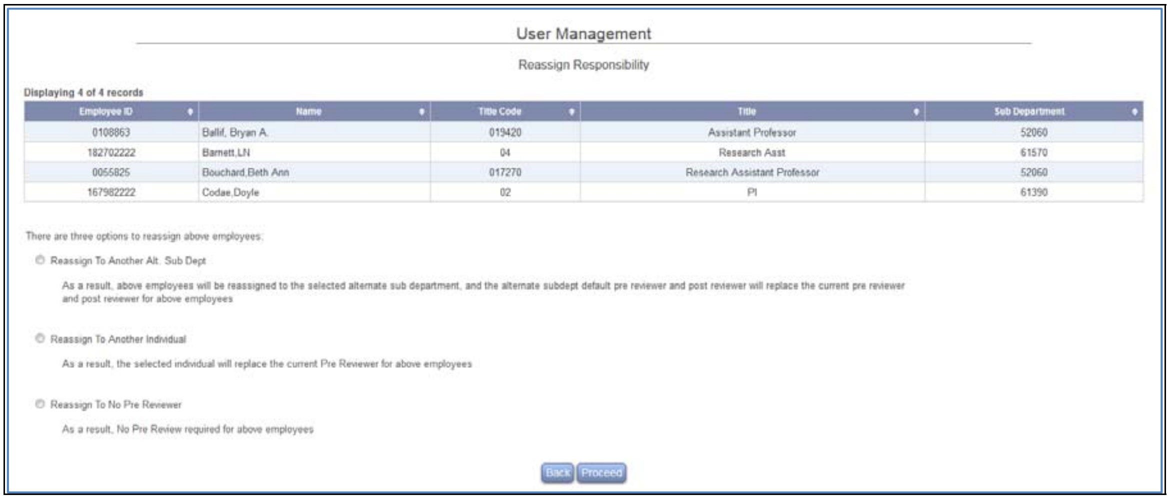


Click **Apply** to confirm adding the account for Codae Doyle to certify.



5.1.4.2 Reassign

Click on the **Reassign** button to change the assignment of the individual from the list.



Reassign To Another Alt. Sub Dept

This option is available for Pre Review and Post Review. As a result, selected employees will be reassigned to the selected alternate sub department, and the alternate sub department's default pre reviewer and post reviewer will replace the current pre reviewer and post reviewer for the selected employees. The SUBDC of the alternate sub department will receive an email notification regarding this assignment change.

Reassign to Another Individual

The new individual will replace the current individual to perform Pre Review/Certify/Post Review responsibilities for the selected employees. The new individual will receive email notification regarding this assignment change.

Reassign to No Pre Reviewer

This option is only available for Pre Review. As a result, the effort forms for the selected employees will not need the Pre Review. ERS, however, will perform a check to ensure that the selected effort form(s) are not subject to any of the critical criteria. When enabled, the effort form(s) will be sent directly to the certifier, bypassing the Pre Review.

This feature is particularly helpful when an individual terminates and responsibilities need to be reassigned.

5.1.5 Certifier Information

If the individual's role is CERT, ERS displays the individual's assignments, including Pre Reviewer, Post Reviewer, Department Coordinator and Sub Department Coordinator.

The following individuals are assigned for **Codae,Doyle's** effort form

Role	Assigned Individuals
Pre Reviewer	Benjamin,Deck
Certifiers	Codae,Doyle
Post Reviewer	Miller,Cris
SubDC (61390)	Aiello,Marie
DC (M50)	Miller,Cris1
DH (SC)	Ferguson,Ter

Codae,Doyle's Effort Forms Status

Reporting Period	Effort Forms Not Certified	Effort Forms Certified		
		Certified Without Changes	Certified With Changes	Completed
123116	X			
123115		X		X

If the effort form is enabled for line certification then the Certifiers will list the Accounts and the corresponding line Certifiers as shown in the figure below.

The following individuals are assigned for **Ferguson,Ter's** effort form

Role	Assigned Individuals
Pre Reviewer	Miller,Cris
Certifiers	61570-35810 : Codae,Doyle 61570-67930 : Codae,Doyle
Post Reviewer	Codae,Kathy
SubDC (61570)	Adams, Grant
DC (M50)	Miller,Cris1
DH (SC)	Ferguson,Ter

The effort form status information is categorized in two sections:

Codae,Doyle's Effort Forms Status

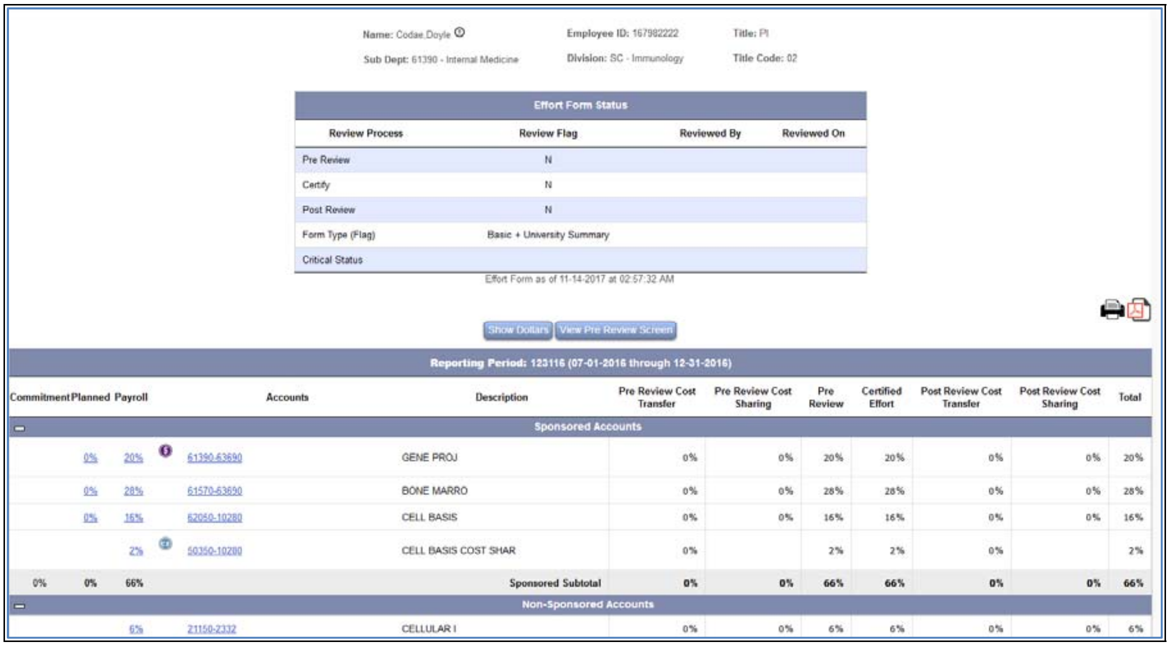
Reporting Period	Effort Forms Not Certified	Effort Forms Certified		
		Certified Without Changes	Certified With Changes	Completed
123116	X			
123115		X		X

1. *Effort Forms Not Certified*
2. *Effort Form Certified*

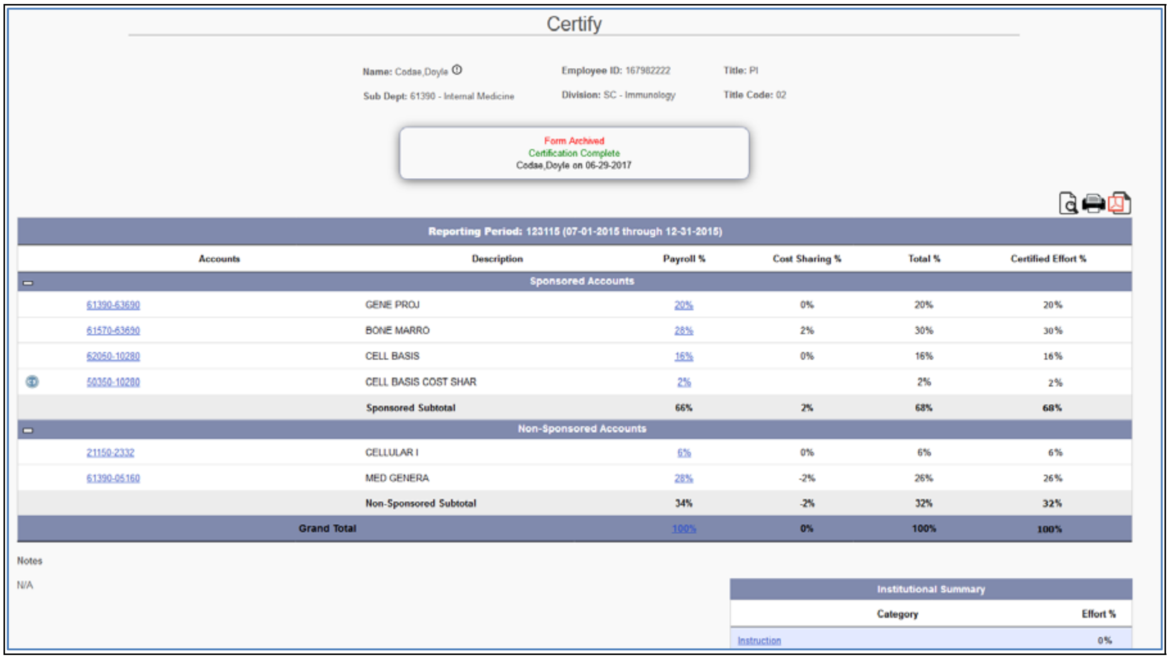
This section is further divided into three sub-sections

i. Certified Without Changes
ii. Certified with Changes
iii. Completed

The reporting period link serves as a drilldown to view the effort form whereas the link associated with *Effort Forms Not Certified* will bring the user to a read only version of the CA view screen.



The link to the reporting period associated with *Effort Forms Certified or Completed* will take the user to the Effort Forms Certified screen.



Certify

Name: Codae,Doyle
Employee ID: 167982222
Title: PI
Sub Dept: 61390 - Internal Medicine
Division: SC - Immunology
Title Code: 02

Form Archived
Certification Complete
Codae,Doyle on 06-29-2017

Reporting Period: 123115 (07-01-2015 through 12-31-2015)

Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts					
61390-63690	GENE PROJ	20%	0%	20%	20%
61570-63690	BONE MARRO	28%	2%	30%	30%
62050-10280	CELL BASIS	16%	0%	16%	16%
50350-10280	CELL BASIS COST SHAR	2%		2%	2%
	Sponsored Subtotal	66%	2%	68%	68%
Non-Sponsored Accounts					
21150-2332	CELLULAR I	6%	0%	6%	6%
61390-05160	MED GENERA	28%	-2%	26%	26%
	Non-Sponsored Subtotal	34%	-2%	32%	32%
Grand Total		100%	0%	100%	100%

Notes

N/A

Institutional Summary	
Category	Effort %
Instruction	0%

Note: If the individual's role is NONE, yet, the individual has an effort form; ERS will also display individual's current assignments.

Chapter 6

Assignment

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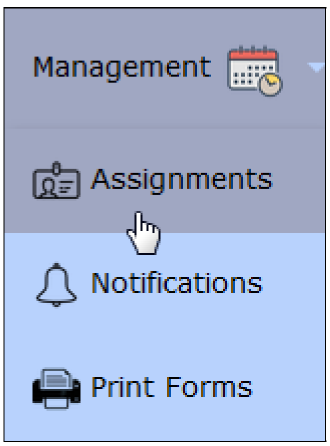
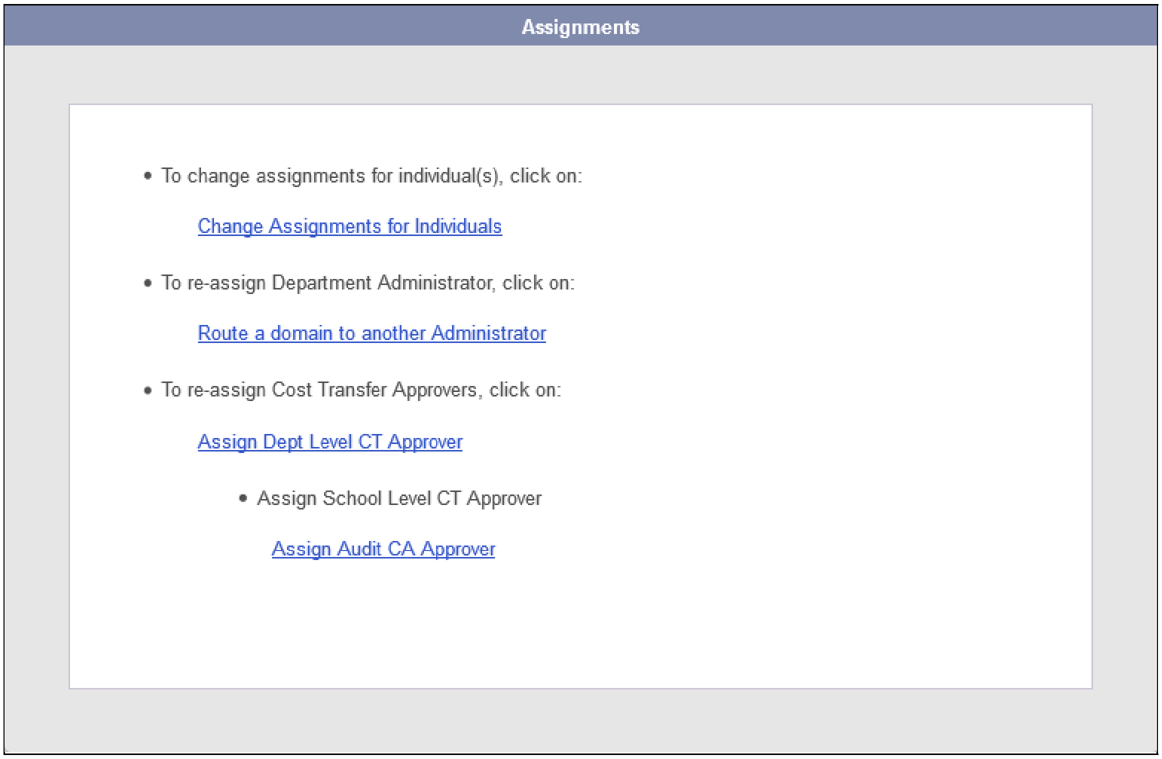
6 Assignment

6.1 Assignments

The Central Administrator has the ability to change the assignment of the user, update Administrators and their respective domains and assign Cost Transfer Approvers.

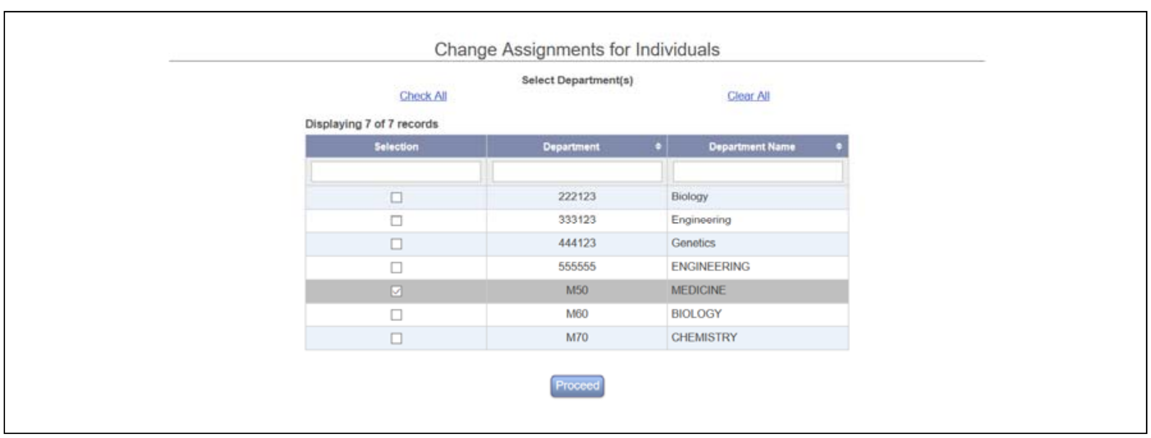
This option is available to the Central Administrator under the Management menu option.



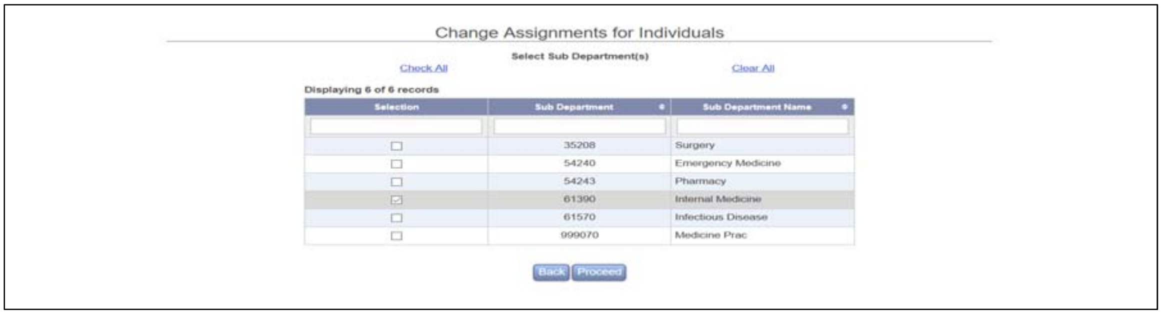


6.1.1 Change Assignments for Individuals

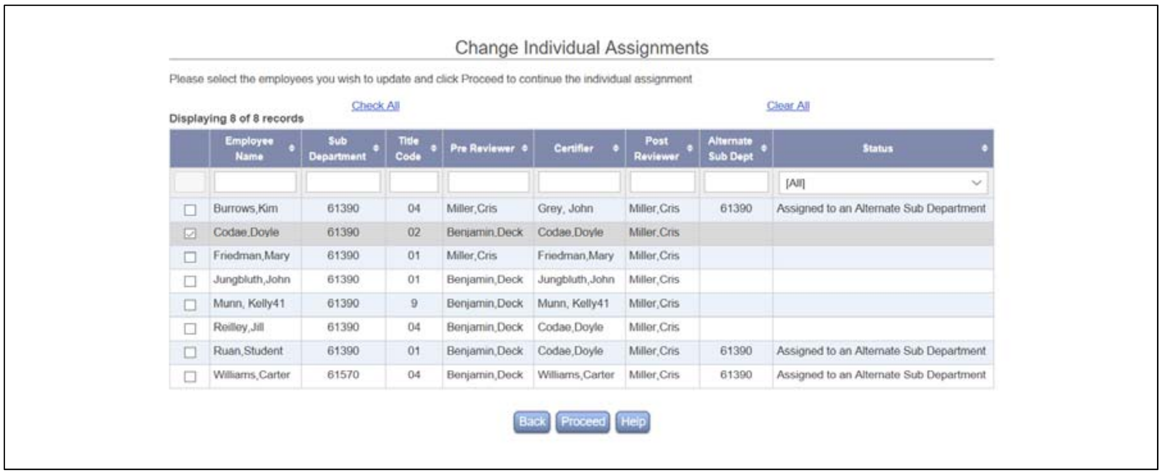
By clicking on "Change Assignments for Individuals", the Central Administrator is presented with a list of all Departments to manage.



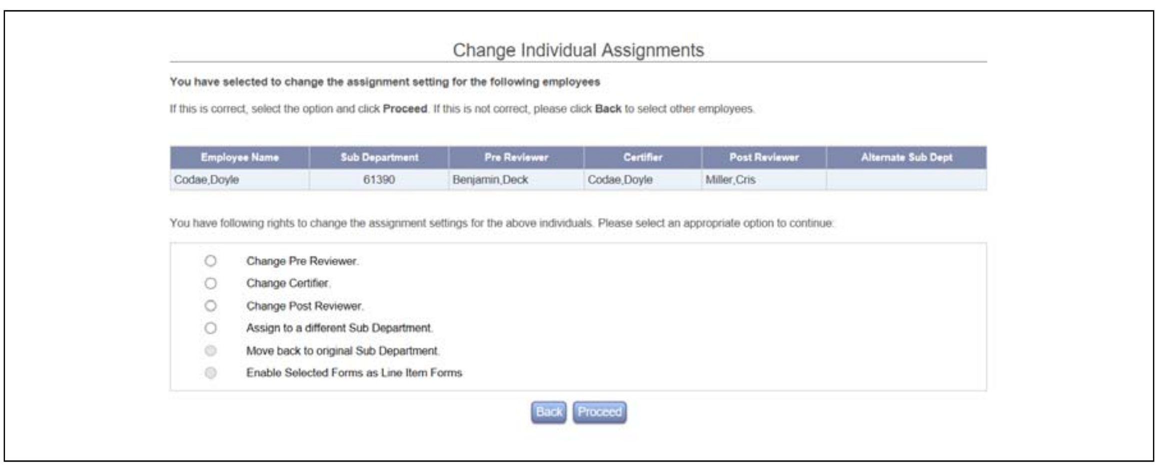
After selecting the appropriate Departments, the Central Administrator is presented with a list of all Sub Departments that fall within the selected Departments.



After selecting the appropriate Sub Department(s), the procedure replicates that of the DC or SUBDC assignment process. The CA can select individuals for whom they wish to make assignments changes.

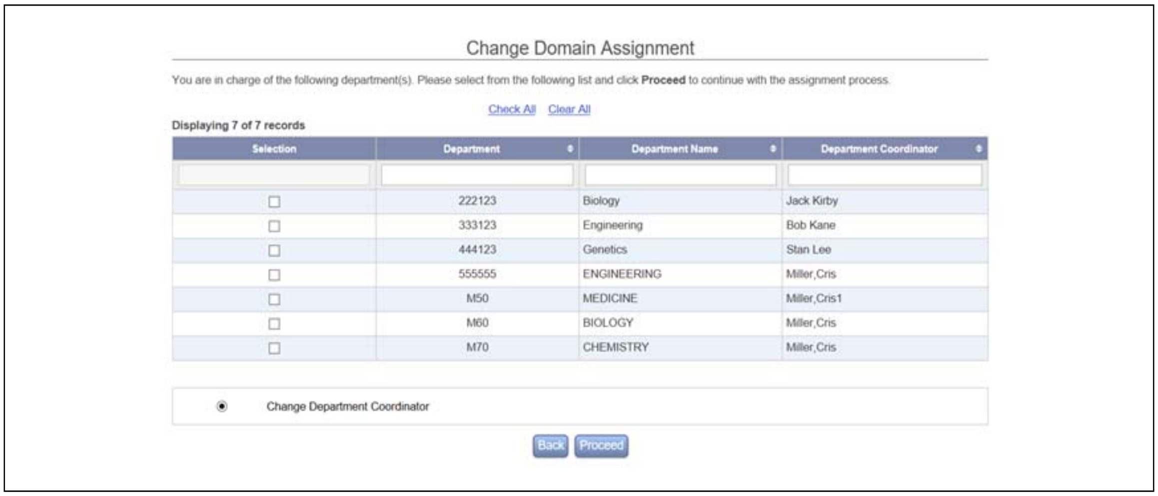


The CA can then perform the same assignment changes as DC and SubDC.



6.1.2 Route a domain to another Administrator

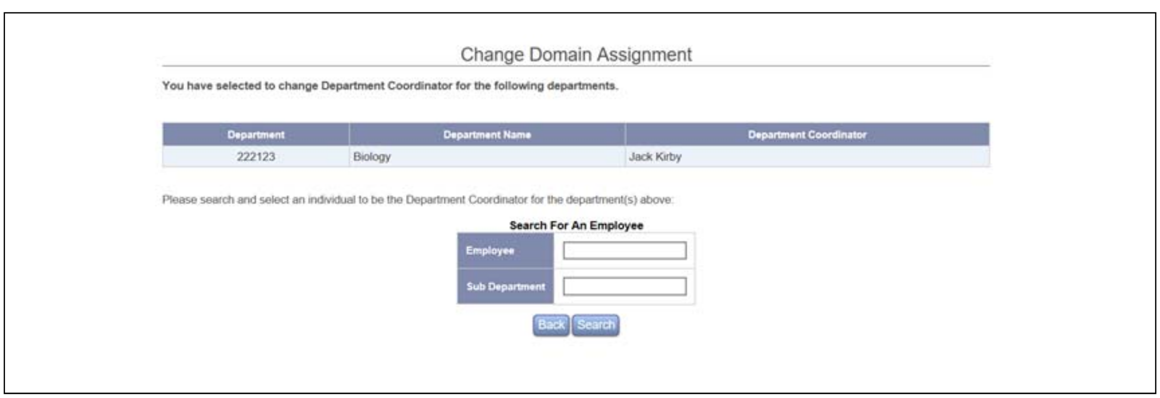
When “Route a domain to another Administrator” is selected, the CA is presented with a list of all departments and their respective DCs. The CA can update the DCs for one or multiple departments by selecting checkbox next to the listed departments.



The option of “Proceed” will present a Search screen that allows the CA to search for the individual to be assigned as the Department Coordinator for the selected department(s). Search can be performed on the following fields:

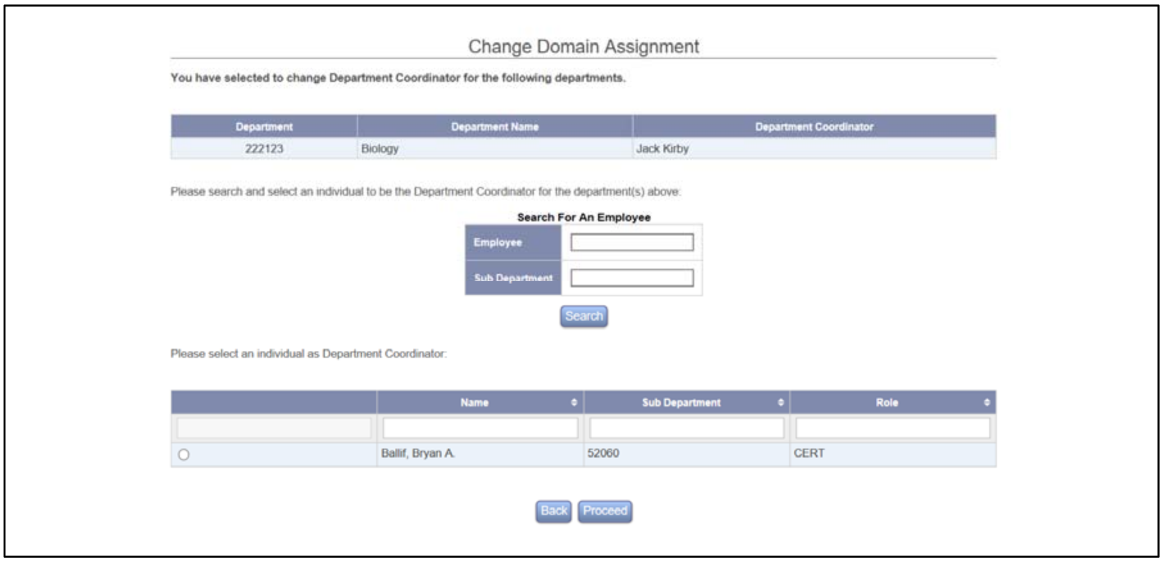
- Employee ID or Name
- Sub Department Code or Name

Note: Complete or Partial information in any of the fields can be keyed in.

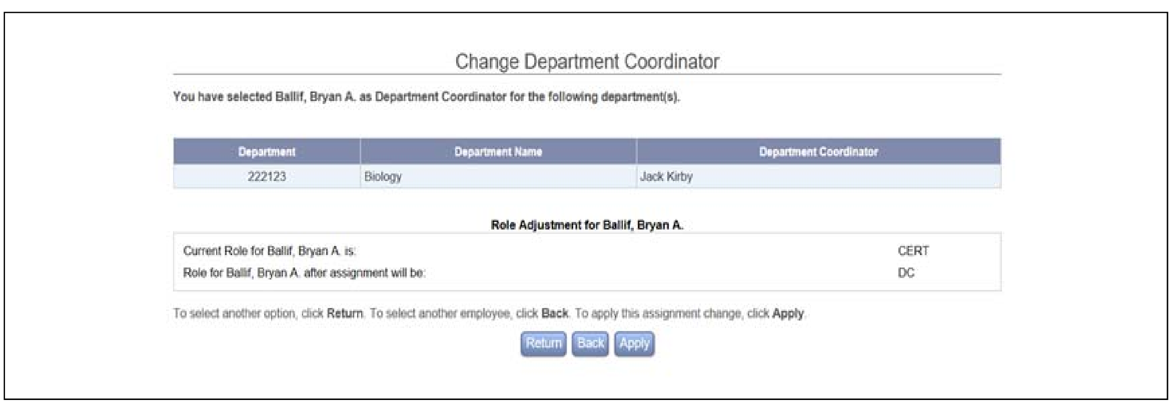


Search Employee Results:

- ➢ The search will generate the results based on the following criteria:
    - Employee is Active
    - Employee does not have a role of CA, AUDITCA or CTAP (Cost Transfer Approver)
- ➢ The search result returns records in the format: *Employee Name, Sub Department, Role* and is sorted by Employee Name as the default.



On selecting the individual, the user is presented with the Summary page that lists the selected individual's *Current* Role and the individual's *New* Role after the assignment takes place.

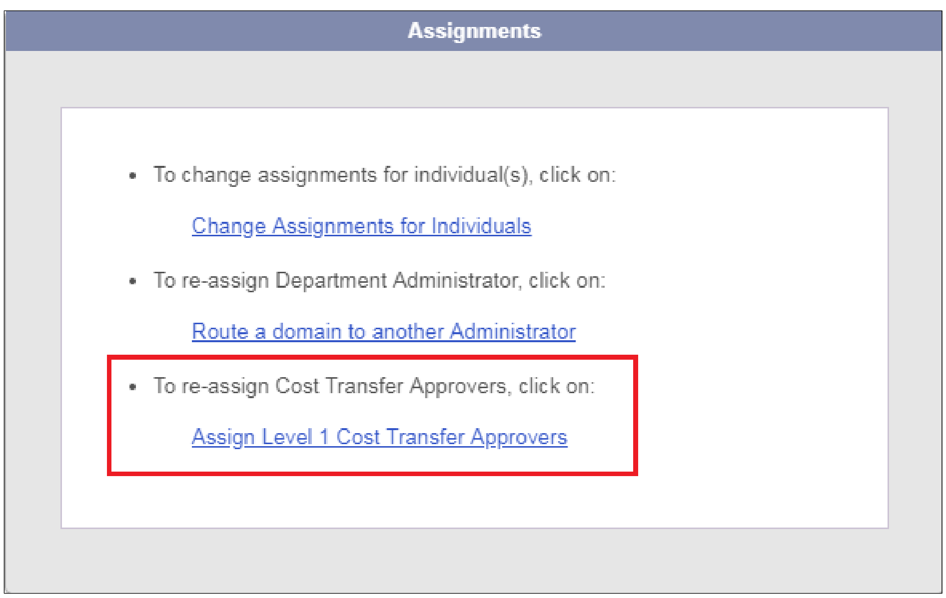


If the assignments are applied using the button *Apply* the following Confirmation Page is displayed.

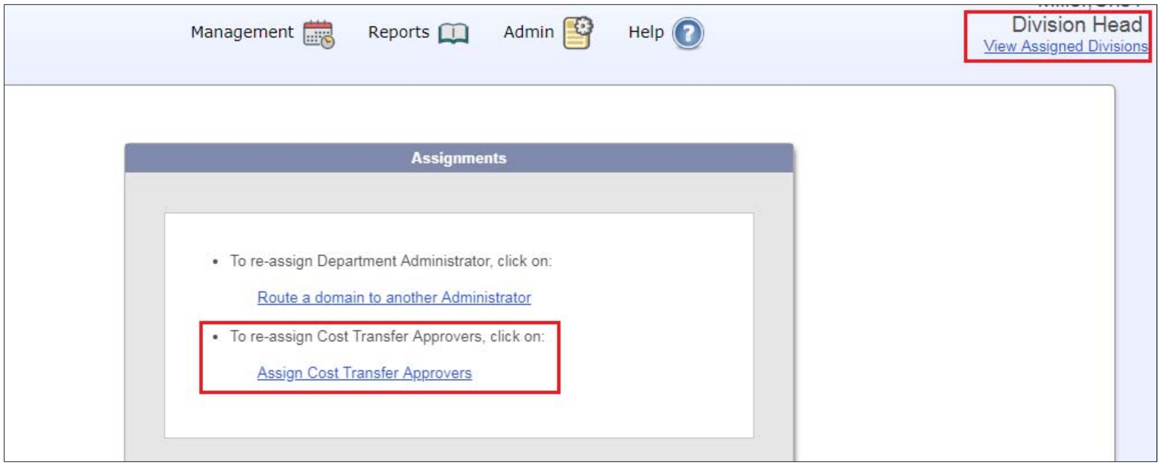
6.1.3 Assign Cost Transfer Approvers

Depending on how Cost Transfer Approval process is defined in Cost Transfer configuration, the Central Administrator and/or other domain roles have the ability to assign the role of Cost Transfer Approver to an individual at different levels. This option should only be used if Cost Transfers are made in ERS.

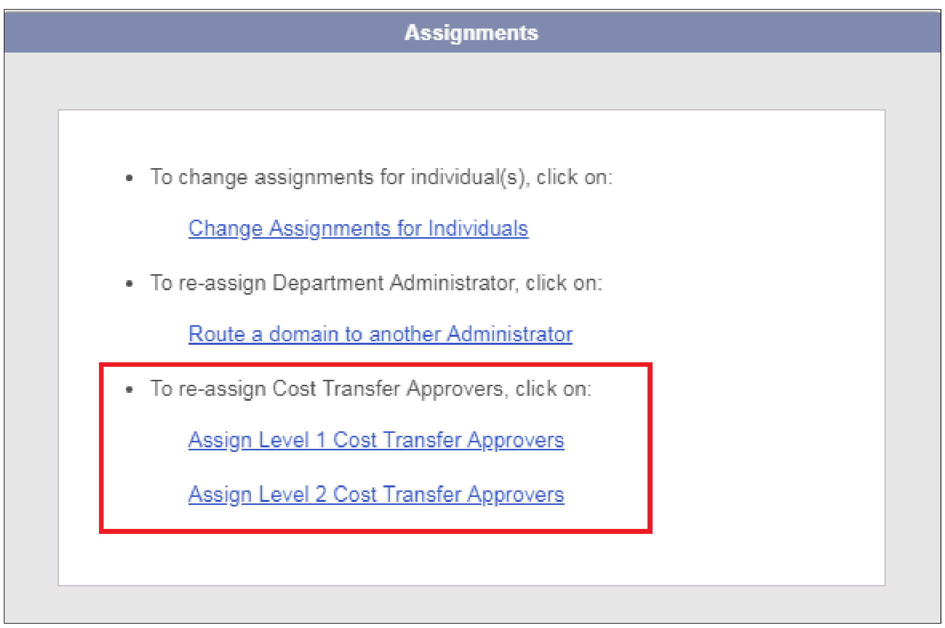
- When ERS is setup to do **cost transfer approval at division level** – Cost Transfer needs to be approved first by account owning division, then by effort form's home division. In such case the CA assignment for Cost Transfer Approval will have one option as shown below:



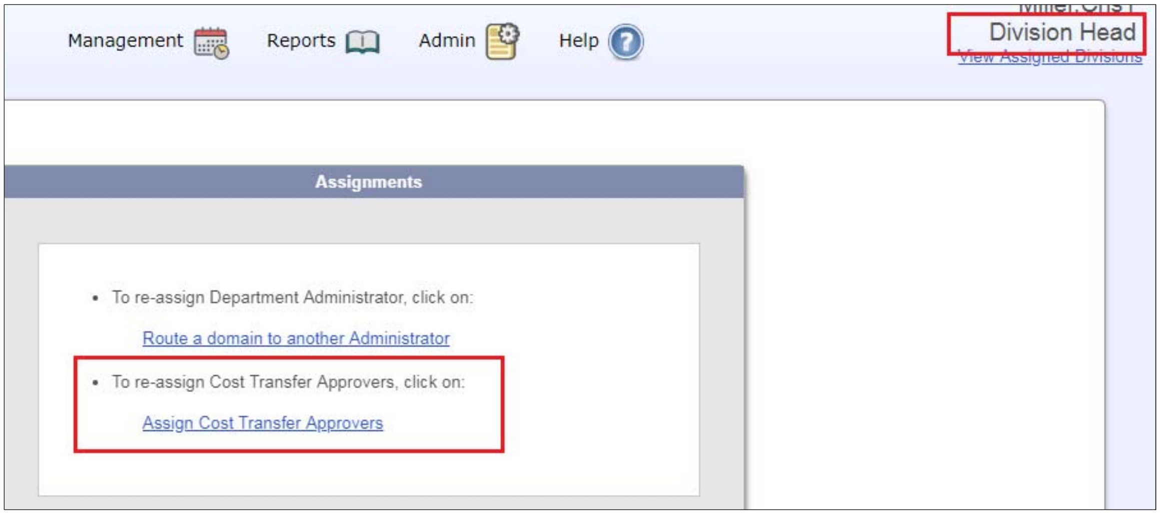
The Division Head can also make CT Approver assignment within assigned divisions:



- ERS can also be setup to do cost transfer approval at two levels – Cost Transfer needs to be approved first at department level, then at the institutional level. In such case the Central Administrator will have two links for Cost Transfer Approvers assignment.

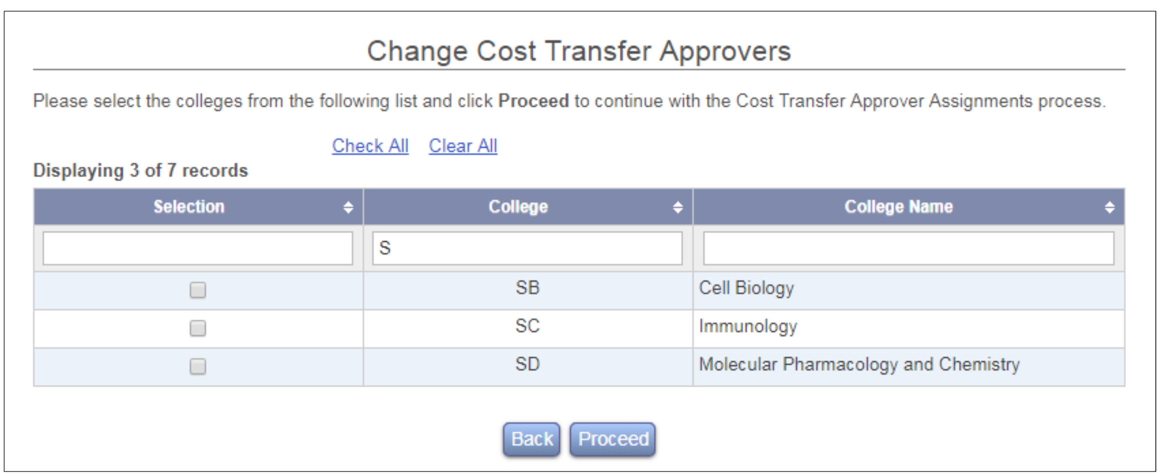


The Division Head will have option to change Cost Transfer Approver at department level:



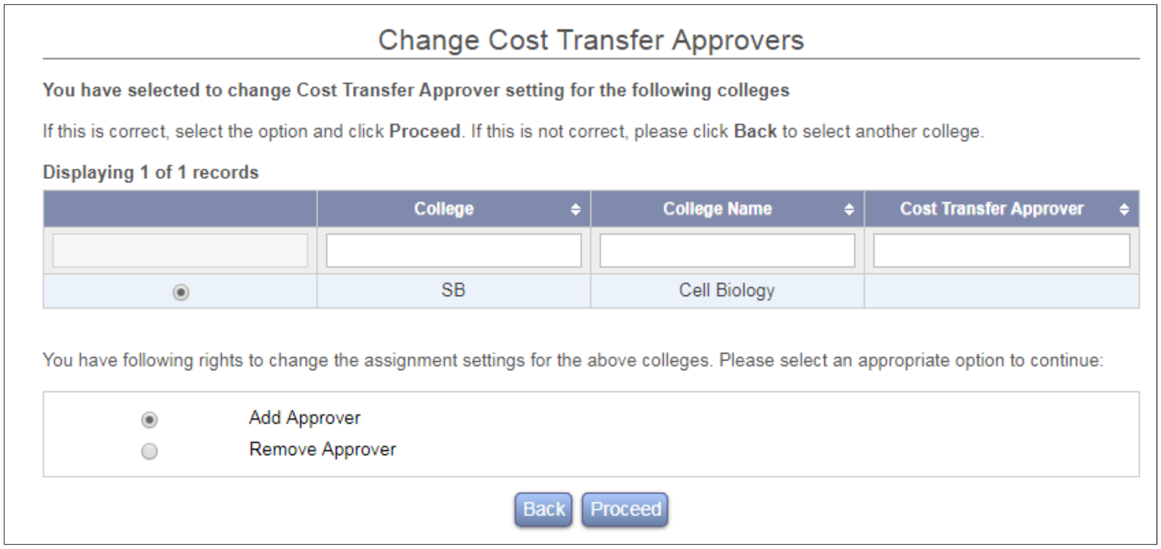
Note: ERS can also be configured with customized rule in terms of routing the cost transfer approval process, and define which roles have the ability to change cost transfer approver. If the two standard approval processes can not satisfy your needs, please contact MAXIMUS to setup the rule based approval.

The CA is presented with a list of all the divisions or departments on selecting the link – *Assign Cost Transfer Approvers.*



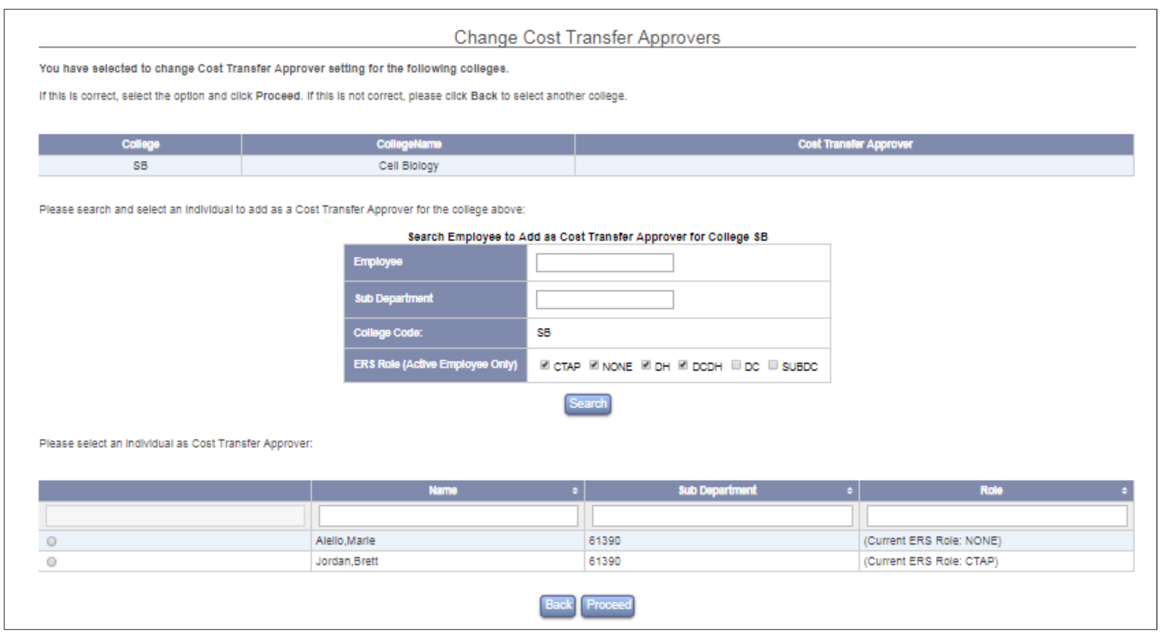
On selecting the College or Department, the user is presented with an option to *Add* or *Remove* Cost Transfer Approvers.

To Add Approver > Select a College; Select option of Add Approver (*default selection*);



Use the following Criteria to search for the individual that will be assigned as the *Cost Transfer Approver* for the selected division:

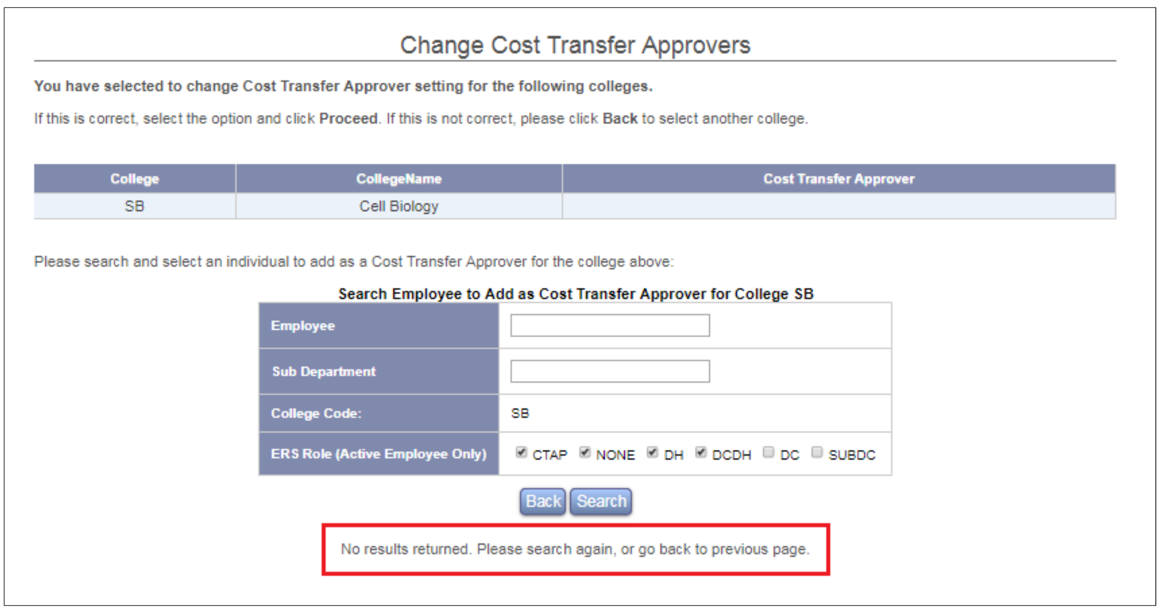
- Employee ID
- Employee Name
- Sub Department Code



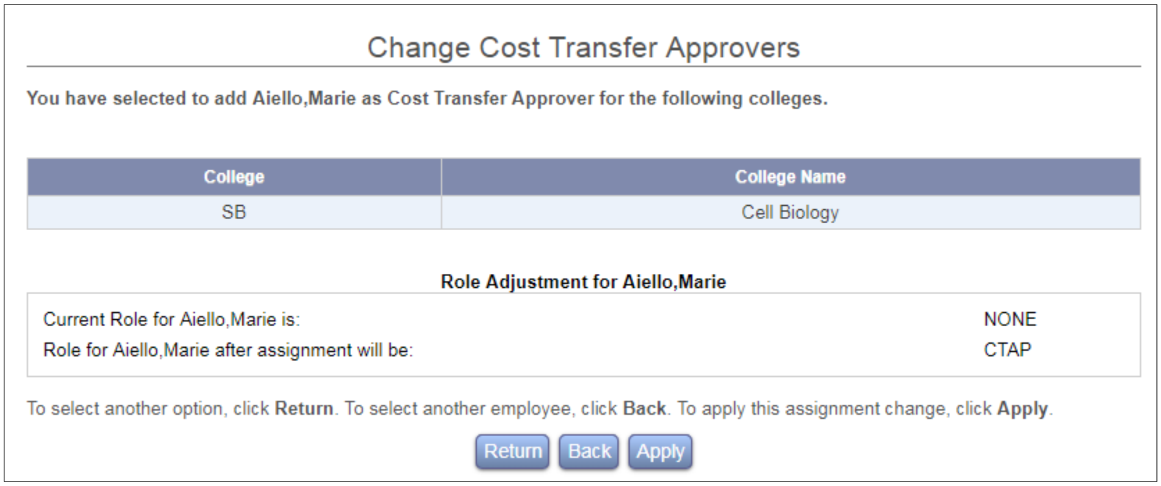
- Complete or Partial information in any of the fields can be keyed in.
- The user can also click on *Search* button without entering any search criteria and it will list all the individuals eligible for *Cost Transfer Approver* Assignment.

- The search will result in individuals that meet all of the following criteria:
  - Employee is Active (ERSUSERS.EmpStatus = A)
  - When there is only one level of CT approval (at Divisional level):
    - Employee has an ERS role of NONE (ERSUSERS.ROLE=NONE)
    - Employee belongs to the same division for which Cost Transfer Approver is being assigned.
  - For Departmental Level:
    - Employee who is not currently assigned as CT approval for the department
    - Employee has an ERS role of NONE, or the Divisional Head
  - For Institutional Level:
    - Employee has an ERS role of NONE

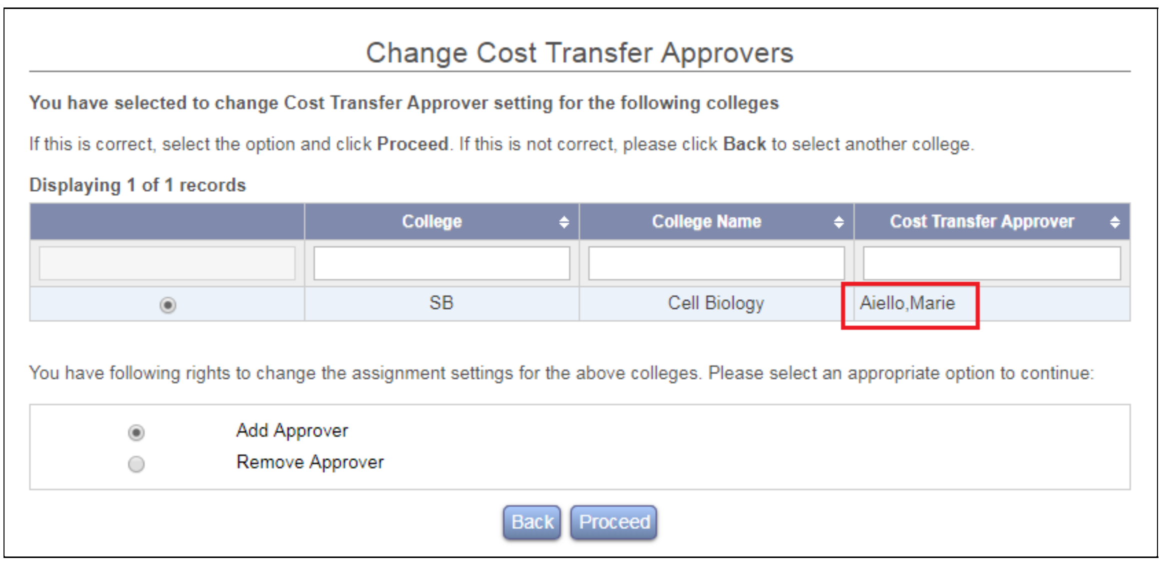
- If no result found then the following message is displayed.



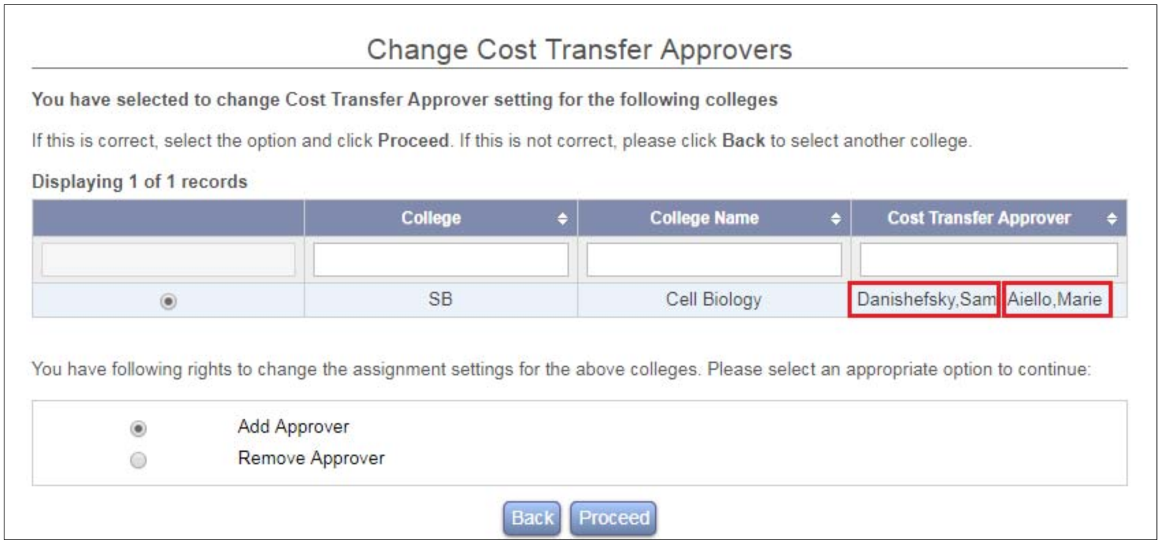
On selecting the individual the user is presented with the Summary page that lists the selected individual's *Current Role* and the individual's *New Role* after the assignment takes place.



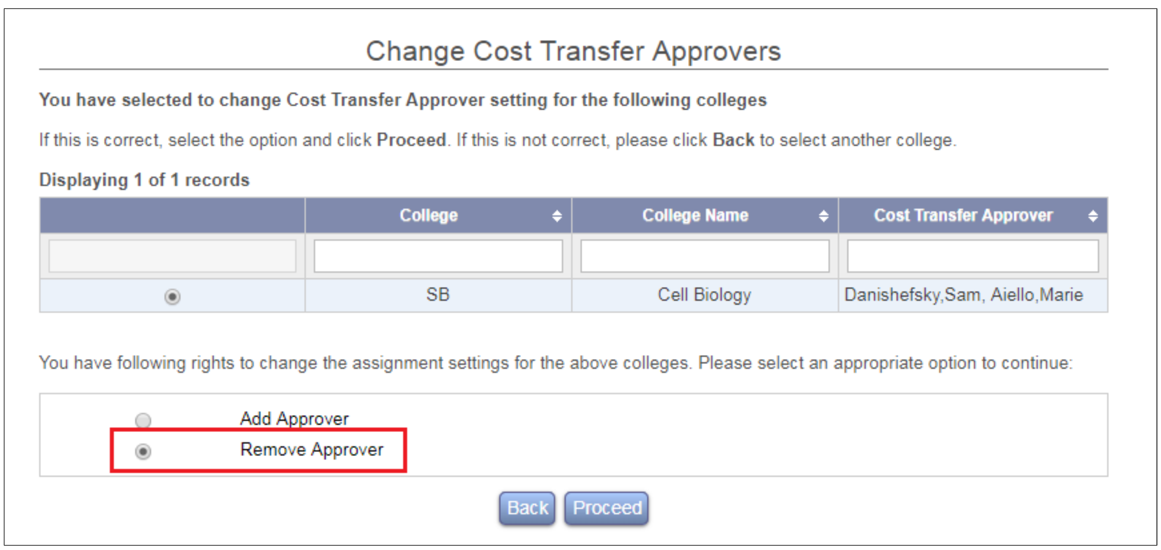
The option of Apply will update the role of the individual from NONE to CTAP and send an e-mail notification informing the user of the newly assigned role of CTAP.



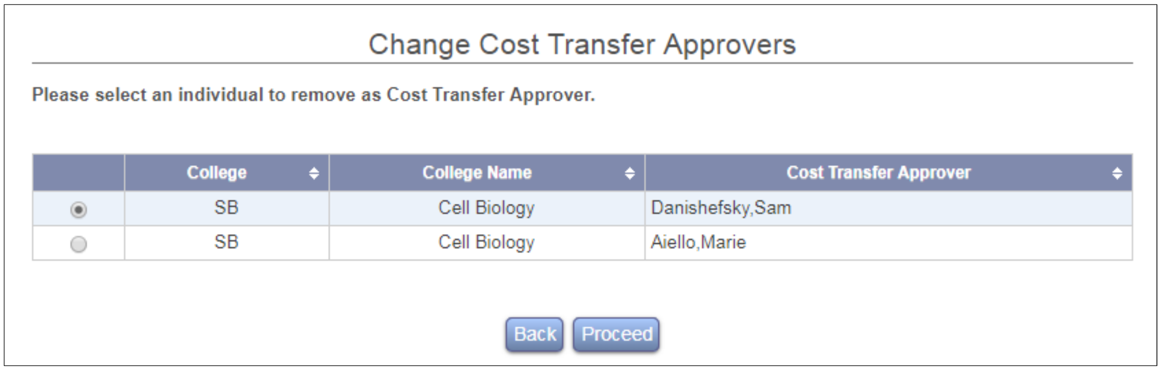
Note: More than one *Cost Transfer Approver* can be assigned for a division or department. There is no limit on the number of *Cost Transfer Approvers* that can be assigned.



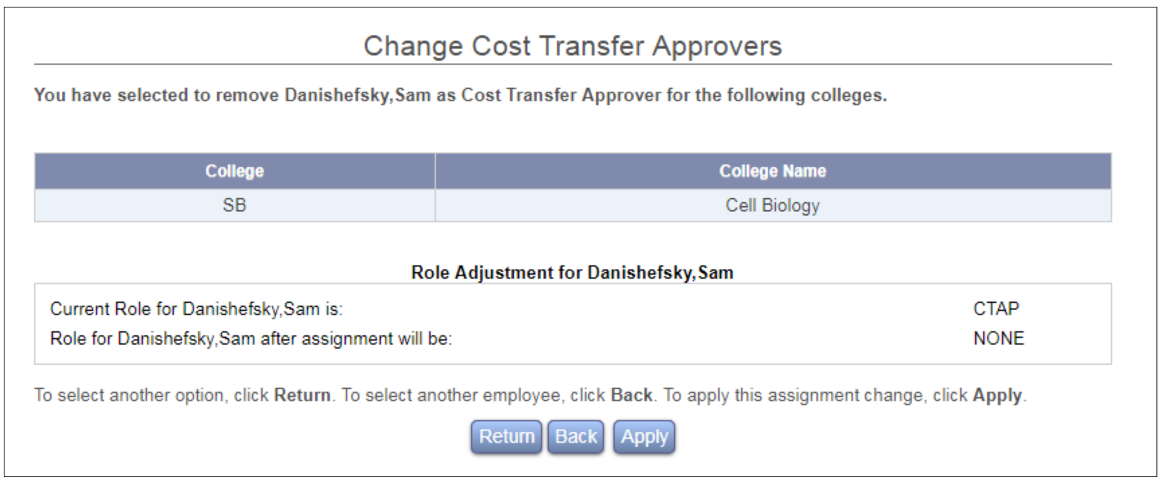
Similarly, the assigned *Cost Transfer Approvers* can be removed by using the option Remove Approver; Select a College; Select option of Remove Approver;



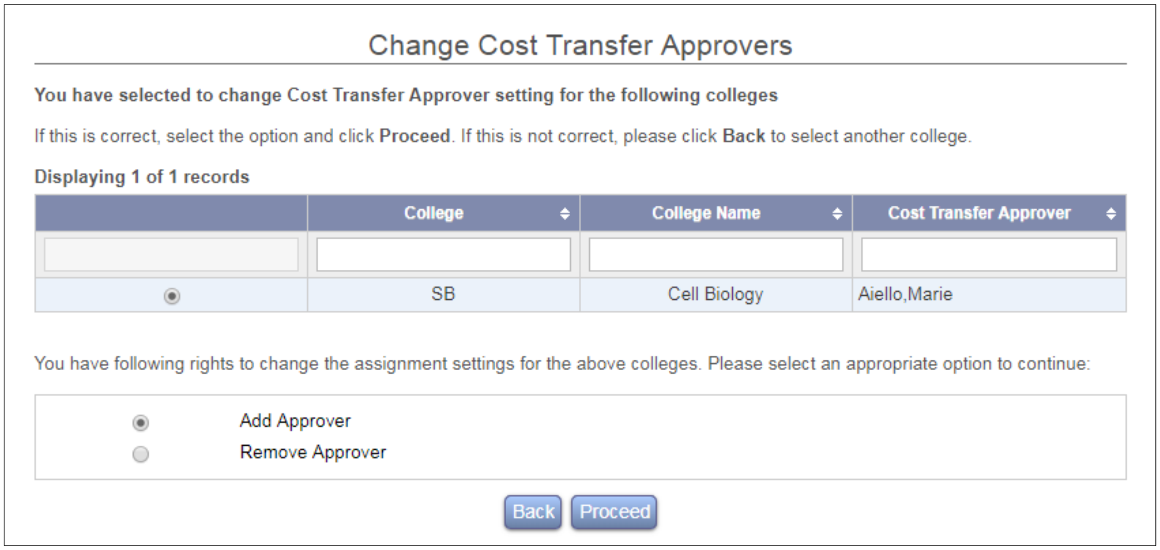
Select the individual that needs to be removed as the *Cost Transfer Approver:*



The user will be presented with a confirmation page listing the name of the individual and the current and new role of this individual, if changes are applied.



The option of Apply will update the role of the individual to NONE from CTAP and send an e-mail notification informing the individual(s) of the update in their role assignment.



Note: When an employee is assigned as Cost Transfer Approver or removed as Cost Transfer Approver from a division/department, an email notification will be sent to the employee notifying him/her of the change of responsibility.

Chapter 7

Notification

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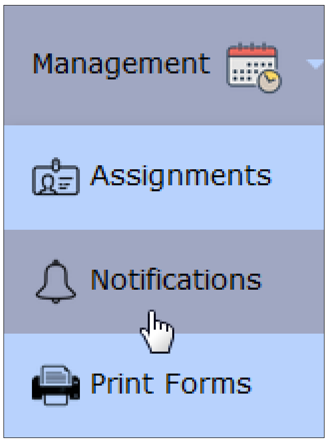
7.3 General E-mail......8

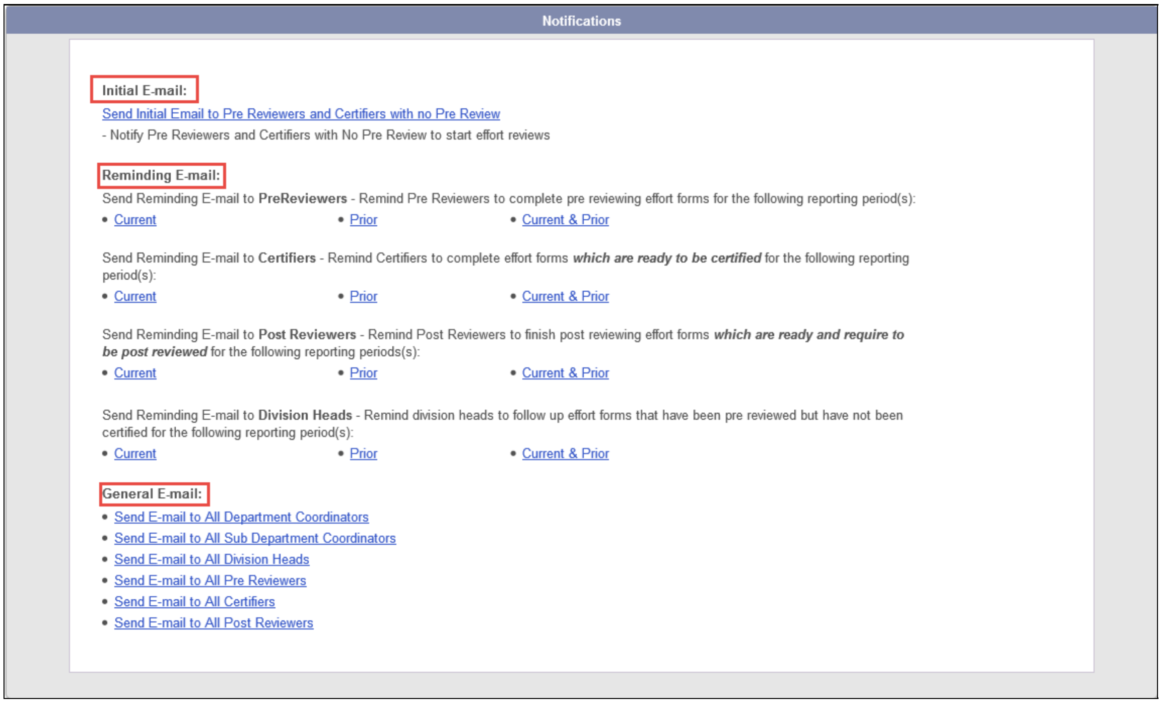
7 Notification

The *Notification* option is an important process in the Effort Reporting System (ERS) that assists in securing timely certifications. This option is available to the Central Administrator under the Management menu option.



After selecting the **Notification** menu option, the system provides the following three categories:

1. Initial E-mail
2. Reminding E-mail
3. General E-mail



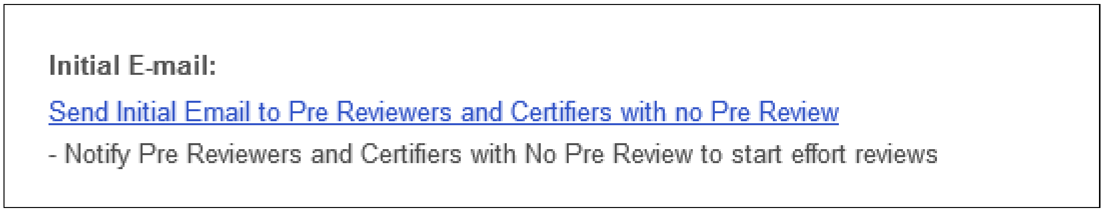
The "*Initial E-mail*" option allows the user to send initial e-mail notifying Pre Reviewers and Certifiers whose forms do not require Pre Review that the current period effort forms are ready for their attention.

The "*Reminding E-mail*" option allows the user to send periodic reminders concerning the Certify process for either the current, prior or both current and prior Reporting Periods. This type of e-mail is sent based upon the certification status selected within the "*Reminding E-Mail*" option.

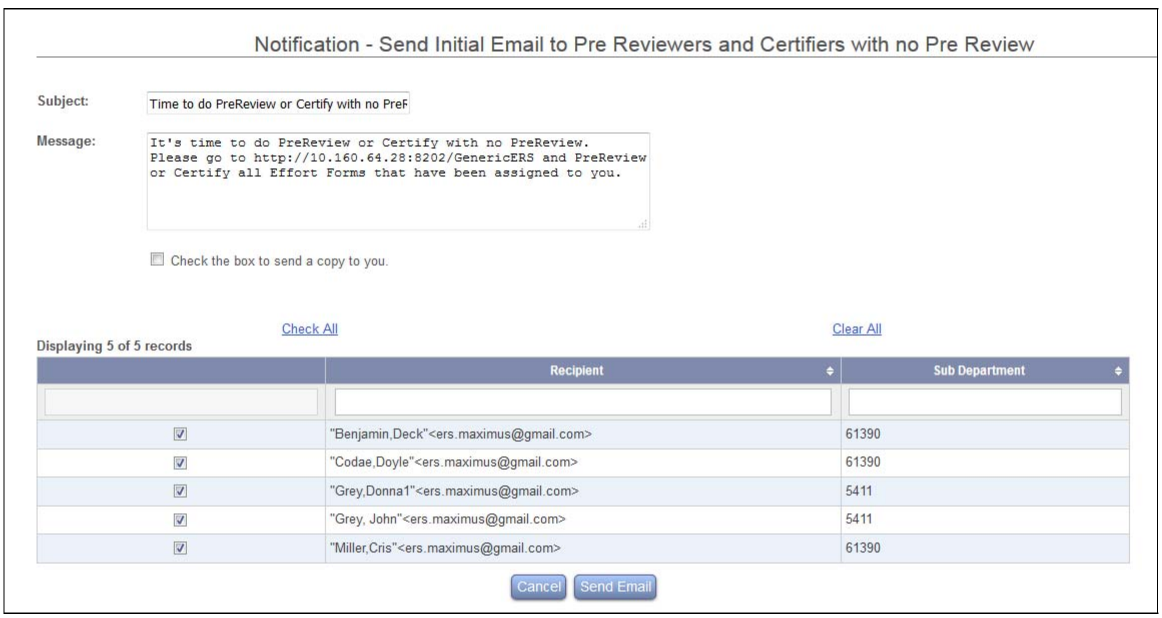
The "*General E-mail*" option allows the user to send a group e-mail to all of the Department Coordinators, Sub Department Coordinators, Division Heads, Pre Reviewers, Certifiers, or Post Reviewers within the Effort Reporting System.

Note: ERS does not track or store notification e-mail that is generated using any of the options available on the Notification menu.

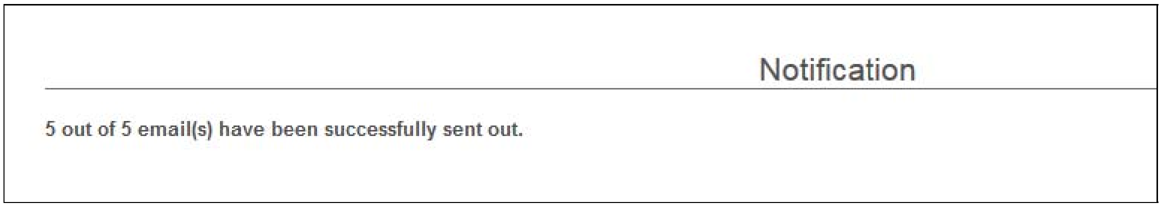
7.1 Initial E-mail



The "Initial E-mail" option allows the user to generate e-mail notification for Pre Reviewers and Certifiers with no pre review to begin their effort review. "Initial E-mail" is used at the start of a current reporting period once initiation has been completed. Once the user selects the "Initial E-mail" category, ERS will display an e-mail template. The listserv of individual e-mail addresses will be presented on the template with a check box next to each address. The user has the option of excluding an individual from receiving the e-mail by deselecting the check box next to their name. The Subject and the Body are pre-populated; however, the e-mail message can be customized. The sender also has the option of sending a copy of the e-mail to his or her own e-mail account by selecting the "Check the box to send a copy to me" option on the template.

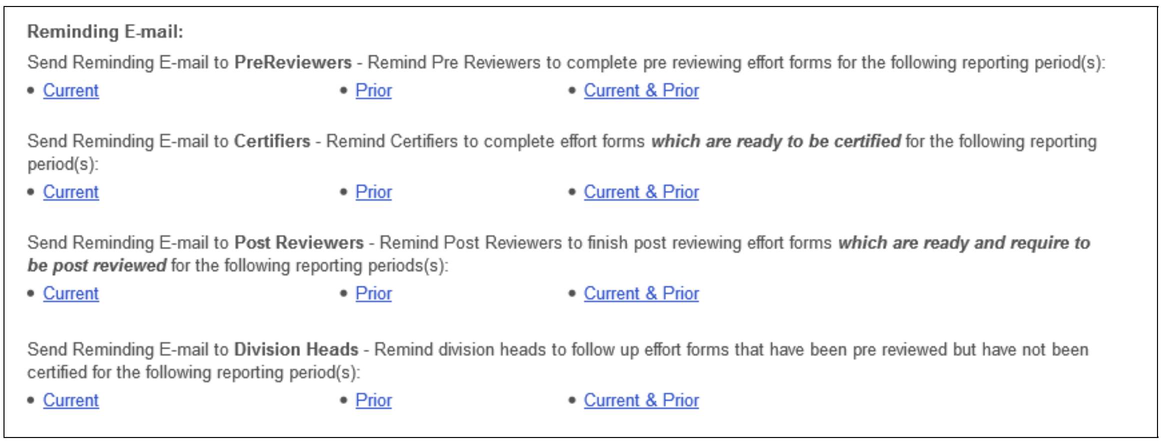


Once the user selects the "Send E-mail" option, a confirmation screen will be displayed listing the total number of emails sent.



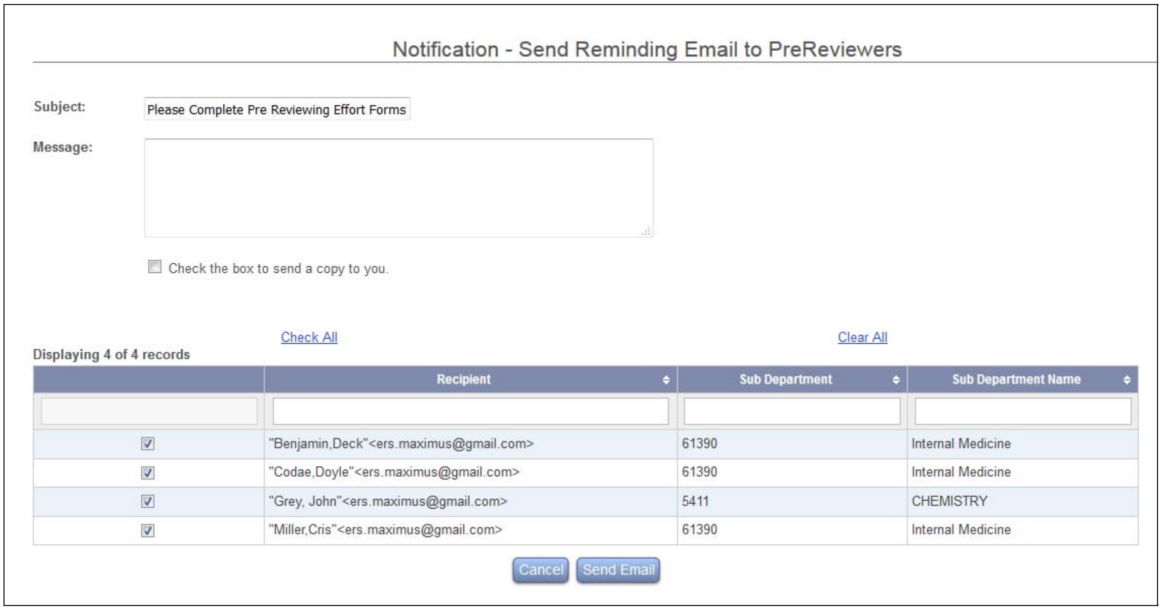
If the e-mail was not successfully sent, ERS will display an error message.

7.2 Reminding E-mail



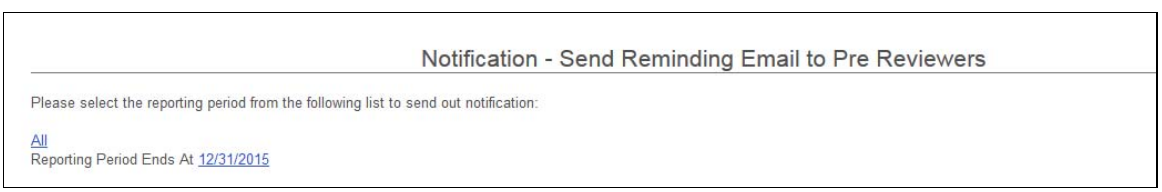
The “Reminding E-mail” option allows the user to send e-mail concerning the status of the effort reports. Current Reminding E-mail can be used to notify the Pre Reviewer, Certifier or Post Reviewer that their Effort Forms for the current reporting period are ready to be processed, whereas Prior Reminding E-mail can be used to notify these same groups of delinquent Effort Forms from past reporting periods. Both can be achieved through the selection of Current & Prior Reminding E-mail. Notification to Division Heads who monitor Effort Reporting may be generated with this tool as well. If the user selects a “Current” reporting period from the “Reminding E-mail” category options, ERS will display an e-mail template. The listserv of individual e-mail addresses will be presented on the template with a check box next to each address. The user has the option of excluding the individual from receiving the e-mail by deselecting the check box next to their name. The Subject and the Body are pre-populated; however, the e-mail can be customized. The sender also has the option of sending a copy of the e-mail to his or her own e-mail account by selecting the “Check the box to send a copy to me” option on the template. Once the user selects the “Send E-mail” option, the user will be presented with a confirmation screen. If the e-mail was not successfully sent, ERS will display an error message.

Current Report Period Example:



If the user selects from the "Reminding E-mail" category "Prior" or "Current & Prior" reporting periods, the user will be presented with a screen to select the report period(s) which require notification. Once the user selects the desired report period(s), the listserv of individual e-mail addresses will be presented on the template with a check box next to each address. The user has the option of excluding the individual from receiving the e-mail by deselecting the check box next to their name. The Subject and the Body may be pre-populated; however, the email can be customized. The sender is also presented with the option of sending a copy of the e-mail to his or her own e-mail account by selecting the "Check the box to send a copy to me" option on the template.

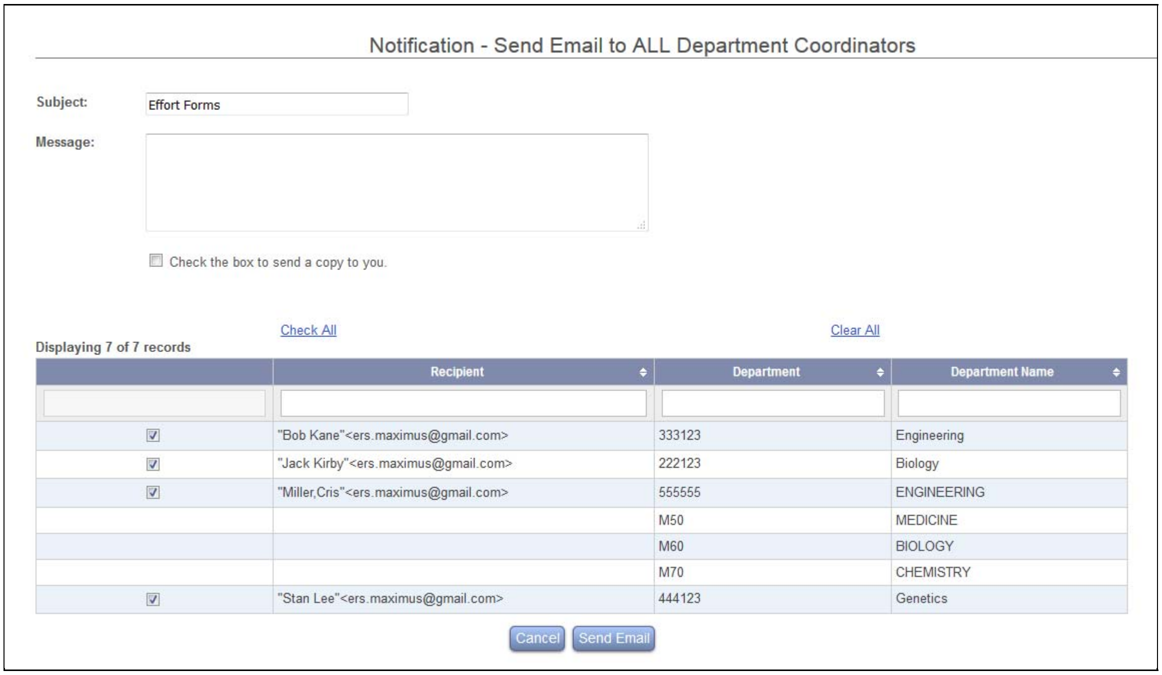
Prior Report Period Example:



7.3 General E-mail

The "General E-mail" option allows the user to send group e-mail to all of the Sub Department Coordinators, Pre Reviewers, Certifiers, Post Reviewers or Department Coordinators within the system. Once the user selects an option from the "General E-mail" category, ERS will generate an e-mail template. The listserv of individual e-mail addresses will be presented on the template listed by alphabetical order, with a check box next to each address. The addresses listed are based on the current assignment in ERS. The user has the option of excluding the individual from receiving the e-mail by deselecting the check box next to their name. The Subject and the Body are pre-populated, but ERS allows the sender to further customize the e-mail. The sender also has the option of sending a copy of the e-mail to his or her own e-mail account by selecting the "Check the box to send a copy to me" option on the template. Once the user selects the "Send E-mail" option, the user will be presented with a confirmation screen. If the e-mail was not successfully sent, ERS will display an error message.

General Notification to all Department Coordinators Example:


Notification - Send Email to ALL Department Coordinators

Subject: Effort Forms

Message:

Check the box to send a copy to you.

Check All Clear All

Displaying 7 of 7 records

	Recipient	Department	Department Name
☑	"Bob Kane"<ers.maximus@gmail.com>	333123	Engineering
☑	"Jack Kirby"<ers.maximus@gmail.com>	222123	Biology
☑	"Miller,Cris"<ers.maximus@gmail.com>	555555	ENGINEERING
		M50	MEDICINE
		M60	BIOLOGY
		M70	CHEMISTRY
☑	"Stan Lee"<ers.maximus@gmail.com>	444123	Genetics

Cancel Send Email

Chapter 8

Reports

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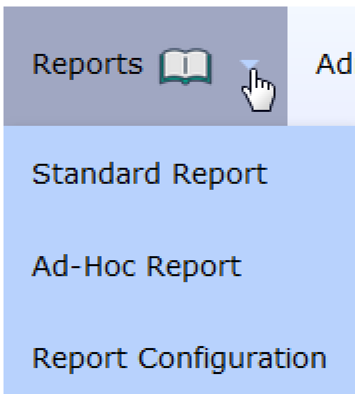
8 Reports

Generating and reviewing reports is an essential task for the Central Administrator and ERS has more than one option available to the user.

The "*Reports*" option is available to the Central Administrator on the top menu bar from the home page.

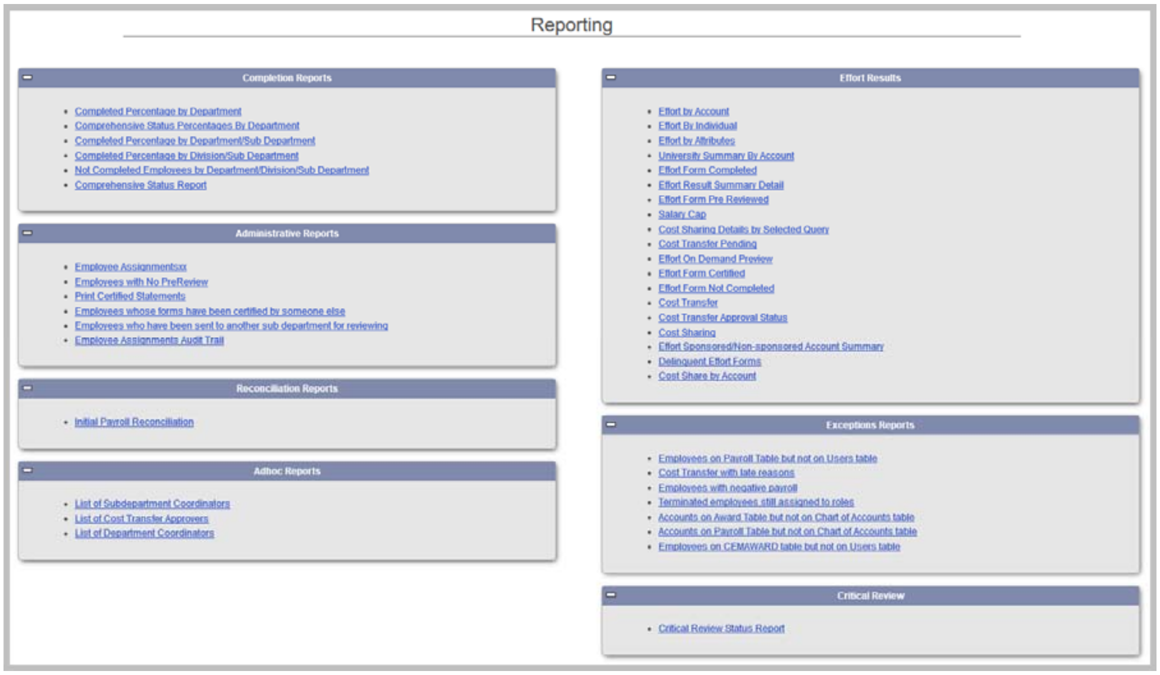


The *Reports* provide following three options:

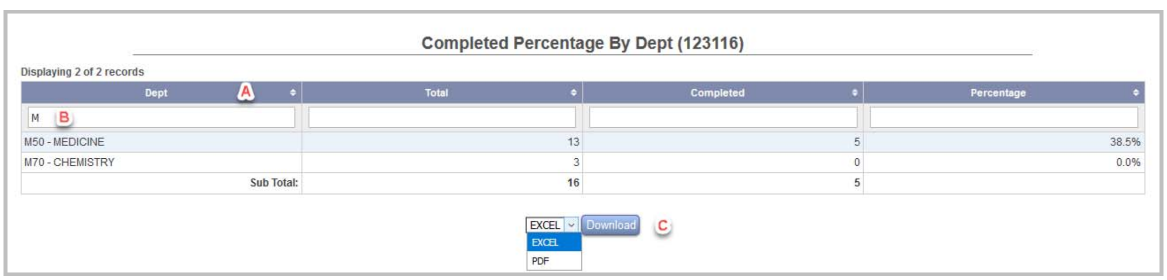
1. Standard Report
2. Ad-Hoc Report
3. Report Configuration

8.1 Standard Report

The first option **Standard Report** lists the predefined reports supplied with the standard ERS version.



Select any of the report titles listed and follow the selection prompts of reporting period and organization unit (division, dept or sub department) to generate a report.



A. Sorting – All the columns in the report can be sorted.

- Click any column header to sort in ascending order
- Click column header again to sort in descending order
- Hold “Shift” and click multiple column headers to sort by multiple columns
- Hold “Ctrl” and click a column header to reset sorting

B. Filtering – All the columns in the report can be filtered.

- Match exact text in the column
- Support for additional operators

<table>
<tr><th>Operator</th><th>Description</th><th>Example</th></tr>
<tr><td><
>
>=
<=</td><td>Less than
Greater than
Greater than or Equal to
Less than or Equal to</td><td>< 10 Returns all values less than 10
>10 Returns all values greater than 10
>= 10 Values less than or equal to 10
<=10 Values greater than or equal to 10</td></tr>
<tr><td>!</td><td>Not Equal to</td><td>!10 Returns all values that are not 10</td></tr>
<tr><td>|
OR</td><td>Logical “or” operator</td><td>John|Jim
John OR Jim</td></tr>
<tr><td>&&
AND</td><td>Logical “and” operator</td><td>Smith && John
Smith AND John</td></tr>
<tr><td>*</td><td>Wildcard, zero or more characters</td><td>*ING Matches all values ending in ‘ING’</td></tr>
<tr><td>?</td><td>Wildcard, any single character</td><td>J?b Matches “Job” and “Jab”</td></tr>
<tr><td>-
To</td><td>Range operator</td><td>5 – 10 Matches all numbers from 5 to 10
5 to 10</td></tr>
</table>

C. Download

The reports are downloadable in excel (.xls) and pdf format.

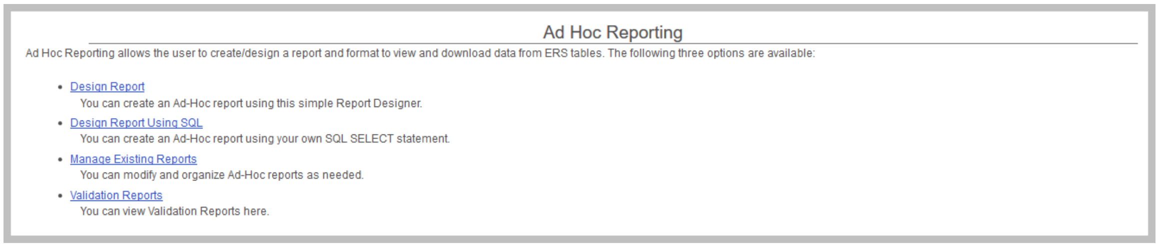
Refer section “*List of Standard Reports*” for the format and details on each standard report.

8.2 Ad Hoc Report

The *Ad Hoc Report* option allows the Central Administrator to generate a custom report.

The **Ad-Hoc Report** includes the following options:

- Design Report
- Design Report Using SQL
- Manage Existing Reports
- Validation Reports



8.2.1 Design Report

The *Design Report* link allows the Central Administrator to manually generate a report using the *Create/Modify Report* interface. This graphical interface greatly assists in the generation of a report and does not require the CA to have any knowledge of the Structured Query Language (SQL) to write queries.

The following lists the data elements available on the "*Design Report*" page:

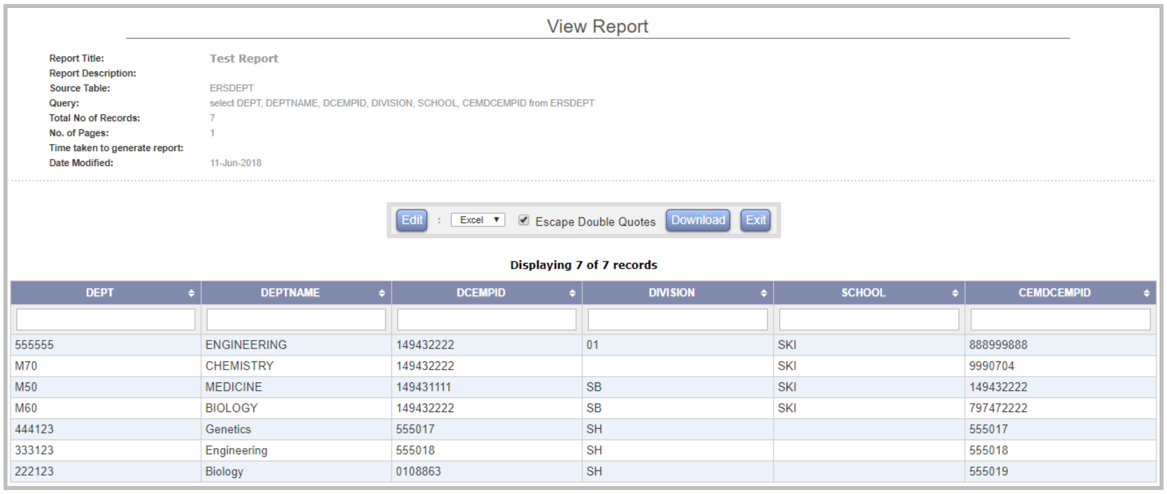
- **Report Title** (*Required*): Input the name of the report. This is a required field.
- **Report Description** (*Optional*): Provide a description of the report
- **Table(s)** (*Required*): Select the tables involved in querying the required data.

- **Join** (*Optional*): This provides an option to join another table to the current table selection.
- **Data Column(s)** (*Required*): This section is automatically populated upon selection of the table with the appropriate columns. If the table is joined, both table columns will appear and each column will be prefixed with the table name. The Central Administrator can select the columns to be included in the report and also define the column headings for display.
- **Filter** *(Optional):* This option allows the Central Administrator to filter the report based on any selected table column.
- **Sort** *(Optional):* This option allows sorting the report by any column of the selected table.
- **Access** *(Optional):* This option establishes rights for viewing the report to Central Auditor, Division Head, Departmental Coordinator and Sub Department Coordinator. By default the report is only available to the role of *Central Administrator*.
- **CERT or CEM:** *(Required):* This option tells if the report should show up in CERT or CEM section. Default selection is on CERT.
- **Sections:** This option allows organizing ad-hoc reports in its own section that appears under Standard Reports tab.

Clicking the "*View Report*" button will generate the report. If the selection results in the incorrect formation of the SQL, the system gives the SQL error message.

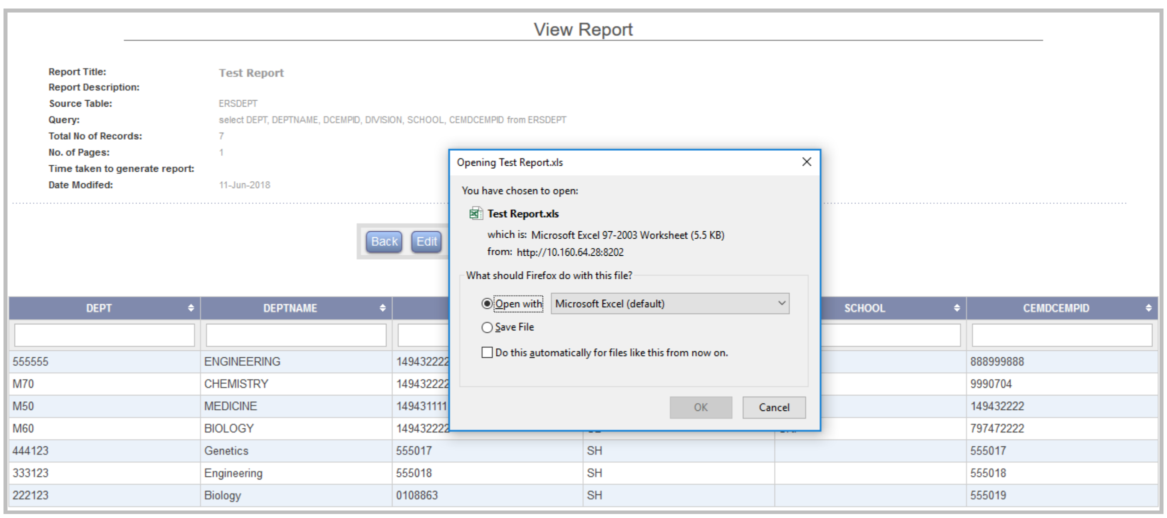
The report generated contains a summary that provides the following information:

- Report Title
- Report Description
- Source Table
- Query
- Total No. of Records
- No. of Pages
- Time taken to generate report
- Date Modified



The report generated can be downloaded into one of the following formats:

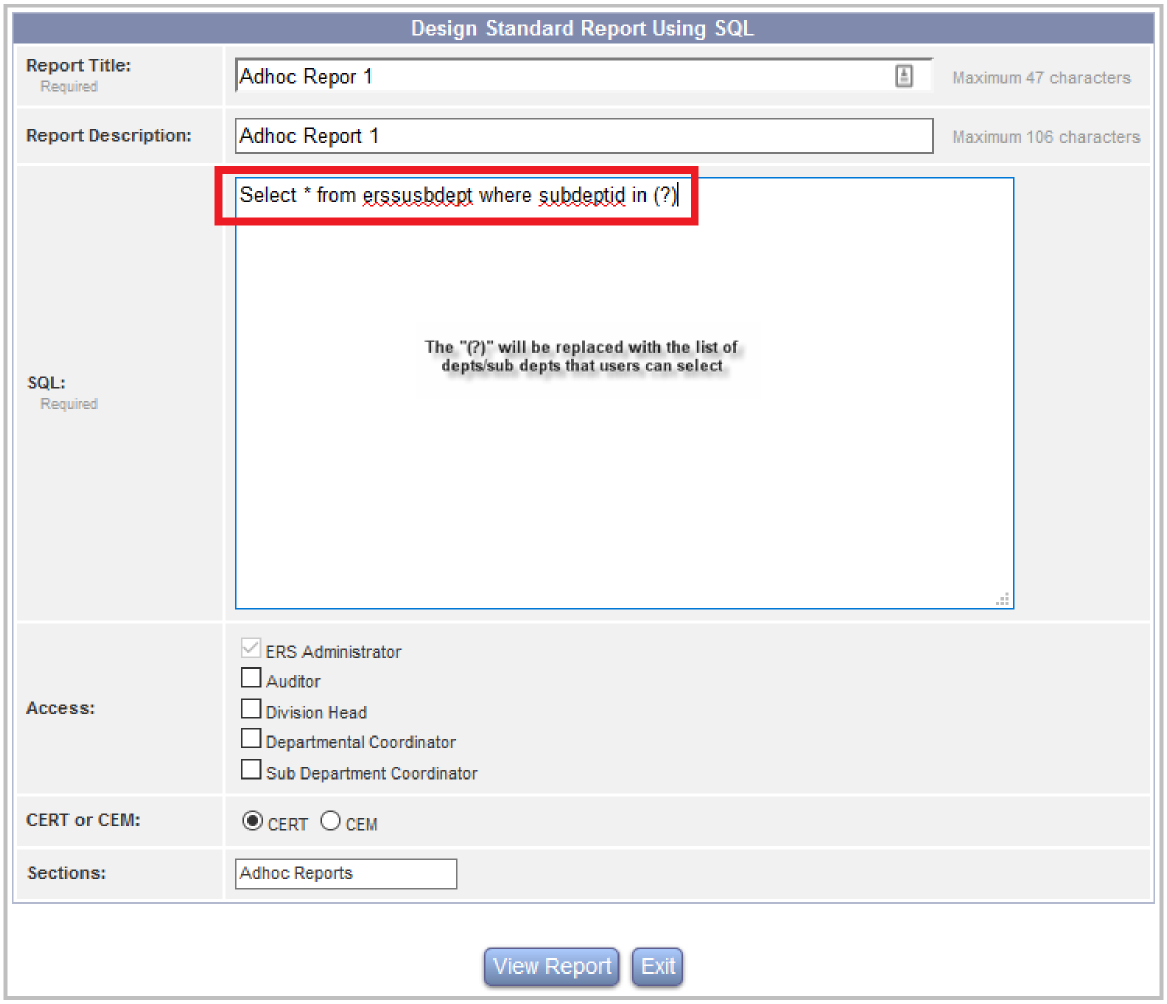
- Excel
- PDF
- RTF (Word accessible)
- Text (Tab Delimited)



8.2.2 Design Report Using SQL

This option is geared more towards the *technically SQL proficient* Central Administrators or for complex reports that cannot be generated using the simple interface. It allows the CA to generate a report by simply typing the SQL.

Design report Using SQL Interface:



- **Report Title** *(Required):* Input the name of the report up to 60 characters which is a required field.
- **Report Description** *(Optional):* Input a brief description up to 120 characters.
- **SQL** *(Required):* Type the SQL statement to generate the ad hoc report.
- **Access** *(Optional):* Select appropriate access levels. By default all the ad hoc reports are available to CA. Any ad hoc report that needs to be released to a specific role should be modified to be able to support department selection.

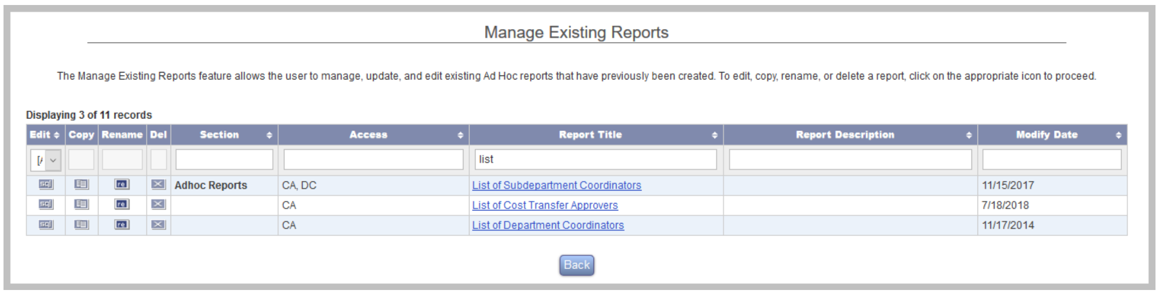
  Note: When using SQL to create a report to be made available to a role other than CA ensure the SQL clause contains "subdept in (?)". The "(?)" will be replaced with the list of departments/sub departments that the user selects. See the example in the screenshot above.
- **Cert or CEM** *(Required)***:** Select to show the Adhoc report in CERT or CEM section.

- **Sections**: This option allows storing ad-hoc reports in its own section that appears under Standard Reports page.

Recommendation! Please contact ERSHelpDesk@maximus.com for any possible ad hoc report that is not available under the *Standard Reports*.

8.2.3 Manage Existing Reports

This "*Manage Existing Reports*" interface allows the Central Administrator to review the list of all ad hoc reports generated and provides various options to manage them.



Use the *Edit* icon  to edit the ad hoc report using *Design Report* wizard interface.
Use the *SQL* icon  to edit the ad hoc report using the *SQL* interface.
Use the *Copy* icon  to create a copy of the ad hoc report.
Use the *Rename* icon  to rename the ad hoc report.
Use the *Delete* icon  to delete the ad hoc report.

The ad hoc report can be viewed by clicking on the *Report Title* link. The reports can be sorted in ascending or descending order.

The *Modify Date* column displays the date when the ad hoc report was created. By default the most recently created ad hoc report is placed first in the report list.

The reports can be filtered and sorted on all the available columns.

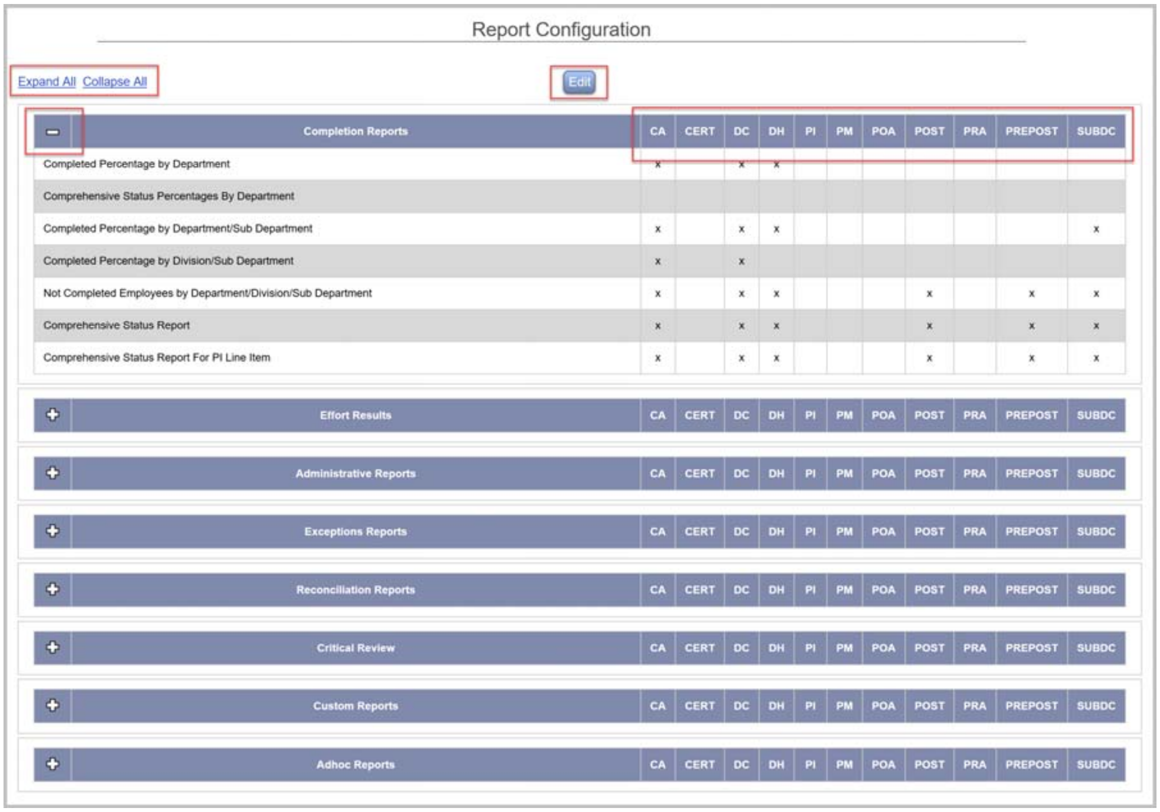
8.2.4 Validation Reports

Validation reports come prepackaged with the application. After a reporting period has been initiated CA can view these reports to correct any potential errors or warnings in data.

Table Name	Report Title	Report Description	Count
ERSCHARTACCTS	Check for blank or null ACCT_ATTR2	ACCT_ATTR2 MUST be provided	213
	Check for blank or null ACCT_ATTR1	ACCT_ATTR1 MUST be provided	165
	Check for blank or null STATUS	STATUS MUST be provided.	70
	Check for Foreign Key for COMPANY	This column specifies the Sub Department the Account belongs to	27
	Check for invalid Account	ACCTTYPE MUST be provided. Valid ACCTTYPE values are 'S','N','E','C','K','Y','Z','O'	5
	Check for Foreign Key for PARENT_ACCT	Account ID of PARENT ACCOUNT	1
	Check for invalid STATUS	STATUS MUST be provided. Valid STATUS values are: 'A','I'	1
	Check for blank or null ACCOUNT	ACCOUNT MUST be provided.	0
	Check for blank or null ACCTTYPE	ACCTTYPE MUST be provided.	0
	Check for blank or null DESCR	DESCR MUST be provided	0
	Check for blank or null DESCRSHORT	DESCRSHORT MUST be provided	0
ERSDEPT	Check for blank or null DIVISION	DIVISION MUST be provided.	2
	Check for invalid DIVISION	Valid DIVISION MUST be provided.Resolve the data error by adding details for DCEMPID in table ERSDIVISION	1
	Check for blank or null DCEMPID	DCEMPID MUST be provided. If this information is not available, populate with a dummy EMPID. Ensure the dummy EMPID record exists in table ERSUSERS.	0
	Check for blank or null DEPT	DEPT MUST be provided	0
	Check for blank or null DEPTNAME	If DEPTNAME is missing, it will not be displayed wherever applicable.	0
	Check for invalid DCEMPID	Valid DCEMPID must be provided. Resolve the data error by adding details for DCEMPID in table ERSUSERS.	0
ERSDEPTTEMP	Check for blank or null DCEMPID	DCEMPID MUST be provided. If this information is not available, populate with a dummy EMPID. Ensure the dummy EMPID record exists in table ERSUSERS.	0
	Check for blank or null DEPT	DEPT MUST be provided	0
	Check for blank or null DEPTNAME	DEPTNAME MUST be provided	0
	Check for invalid DCEMPID	Valid DCEMPID must be provided. Resolve the data error by adding details for DCEMPID in table ERSUSERS.	0
	Check for invalid DIVISION	Valid DIVISION MUST be provided.Resolve the data error by adding details for DCEMPID in table ERSDIVISION	0
ERSDIVISION	Check for blank or null DHEMPID	DHEMPID MUST be provided	1

8.3 Report Configuration

The *Report Configuration* option allows the Central Administrator to configure the reports for various roles in the system.



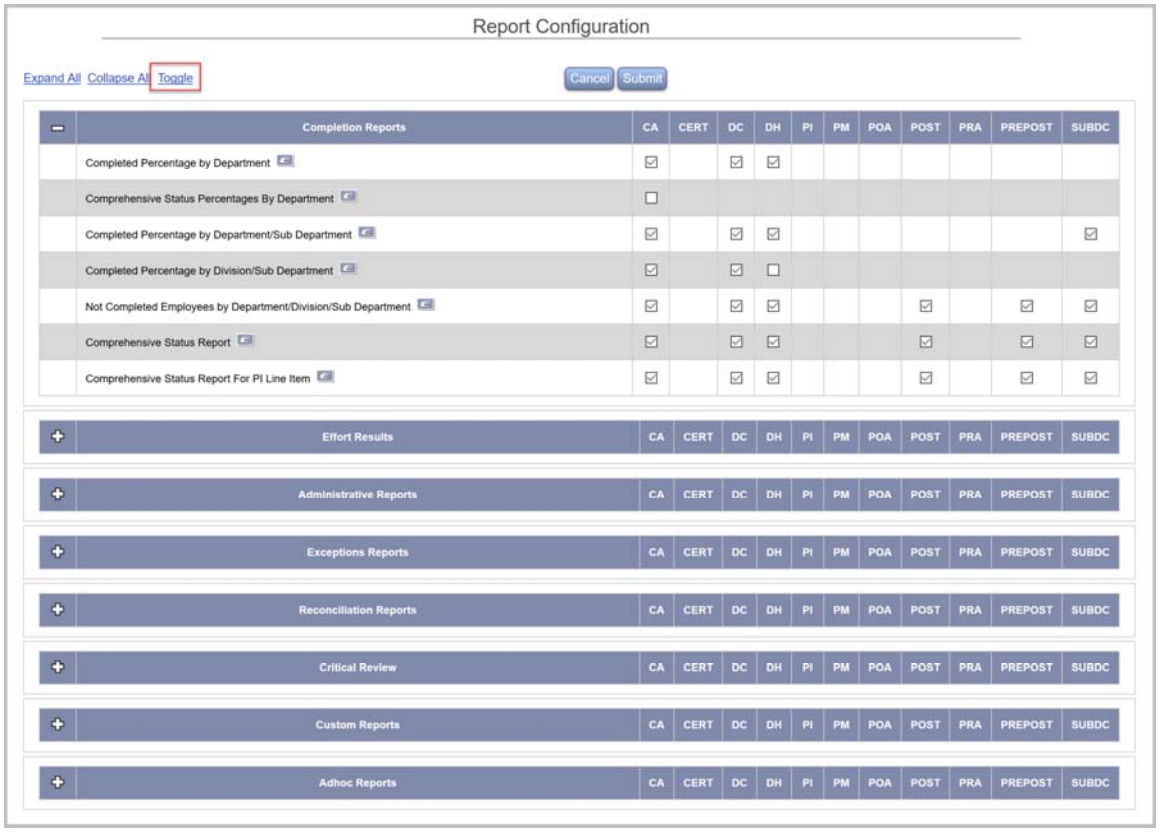
The *Reports* are divided into the same sections as listed under the *Standard Reports* page. The following roles are listed horizontally for each section:

- AUDITCA – Auditor Central Administrator
- CA – Central Administrator
- CERT – Certifier
- CTAP – Cost Transfer Approver
- DC – Department Coordinator
- DH – Division Head
- POST – Post Reviewer
- PRE – Pre Reviewer
- PREPOST – Pre and Post Reviewer
- SUBDC – Sub Department Coordinator

The icon  will expand or collapse each section. To configure a report for any role use the *Edit* button located at the top and bottom of the page.

Click the **Edit** button to make the check boxes for each report and role available. Only the reports that are selected are made accessible to the respective role.

The *Toggle* link allows the Central Administrator to select or deselect all the reports per section.



The Edit icon available next to each report is used to rename the reports.

Important Note: The report name change is only applicable to the report list, not on further drilldown to the report title.

The icon is available when cursor is placed on the report title. This allows the Central Administrator to sort the reports, within each reporting section.

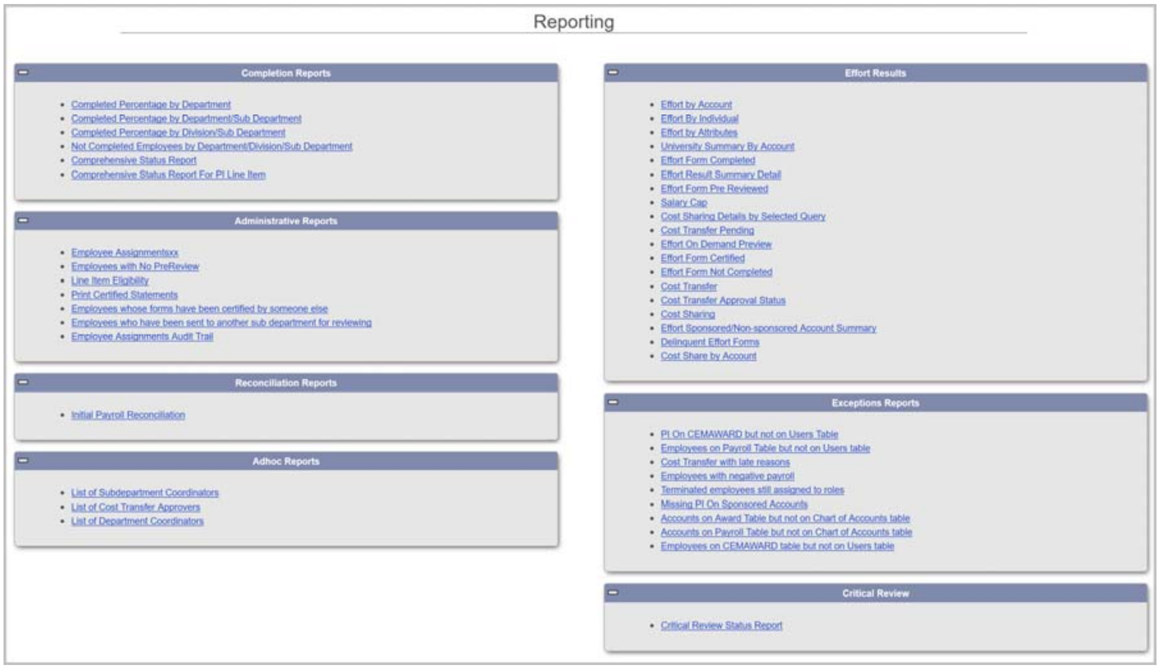
The reporting sections can be sorted by using the drag and drop of the section title to the desired spot within the list of reporting sections.

Click on the **Submit** button for the changes/ edits to take place.

Click on the **Cancel** button to cancel any configuration updates.

8.4 List of Standard Reports

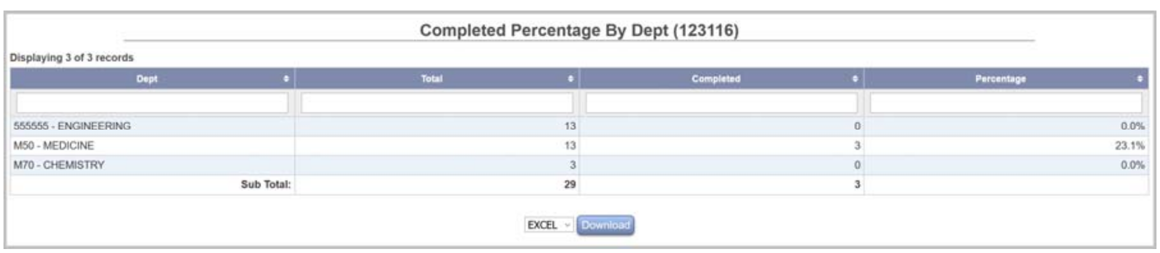
This section provides detail of all the available standard reports.



8.4.1 Completion Reports

8.4.1.1 Completed Percentage by Department

This report displays the percentage of completed effort forms by Department for a selected reporting period.


Completed Percentage By Dept (123116)

Displaying 3 of 3 records

Dept	Total	Completed	Percentage
555555 - ENGINEERING	13	0	0.0%
M50 - MEDICINE	13	3	23.1%
M70 - CHEMISTRY	3	0	0.0%
Sub Total:	29	3	

8.4.1.2 Comprehensive Status Percentages By Department

This report displays percentage completion breakdown of effort forms in a department for the selected reporting period. The information is presented for the following four types of statuses.

- Total vs. Pending Pre Review

- Total vs. Pending Certification
- Total vs. Pending Post Review
- Total vs. Completed

Comprehensive Status Percentages By Department (123116)

Total vs. Pending Pre Review

Displaying 3 of 3 records

Dept	Total	Pending Pre Review	Percentage
555555 - ENGINEERING	13	9	69.2%
M50 - MEDICINE	13	7	53.8%
M70 - CHEMISTRY	3	1	33.3%
Sub Total:	**29**	**17**	**58.6%**

Total vs. Pending Certification

Displaying 3 of 3 records

Dept	Total	Pending Certification	Percentage
555555 - ENGINEERING	13	4	30.8%
M50 - MEDICINE	13	3	23.1%
M70 - CHEMISTRY	3	2	66.7%
Sub Total:	**29**	**9**	**31.0%**

Total vs. Pending Post Review

Displaying 3 of 3 records

Dept	Total	Pending Post Review	Percentage
555555 - ENGINEERING	13	0	0.0%
M50 - MEDICINE	13	0	0.0%
M70 - CHEMISTRY	3	0	0.0%
Sub Total:	**29**	**0**	**0.0%**

Total vs. Completed

Displaying 3 of 3 records

Dept	Total	Completed	Percentage
555555 - ENGINEERING	13	0	0.0%
M50 - MEDICINE	13	3	23.1%
M70 - CHEMISTRY	3	0	0.0%
Sub Total:	**29**	**3**	**10.3%**

EXCEL Download

8.4.1.3 Completed Percentage by Division/ Sub Department

This report displays the percentage of completed effort forms by Division/ Sub Department for a selected reporting period.

Completed Percentage By Division/Sub Dept (123116)

Displaying 6 of 6 records

Division	Sub Dept	Total	Completed	Percentage
01	52060	11	0	0.0%
	55524	2	0	0.0%
SC	61390	7	1	14.3%
	61570	5	2	40.0%
SD	5411	3	0	0.0%
	54240	1	0	0.0%
	Sub Total:	**29**	**3**	

EXCEL Download

8.4.1.4 Completed Percentage by Department/Sub Department

This report displays the percentage of completed effort forms by Department/ Sub Department for a selected reporting period.

Completed Percentage By Sub Dept (123116)

Displaying 6 of 6 records

Dept	Sub Dept	Total	Completed	Percentage
555555	52060	11	0	0.0%
	55524	2	0	0.0%
M50	54240	1	0	0.0%
	61390	7	1	14.3%
	61570	5	2	40.0%
M70	5411	3	0	0.0%
	Sub Total:	29	3	

EXCEL Download

8.4.1.5 Not Completed Employees by Department/Division/Sub Department

This report displays the list of employees whose effort forms are not completed by Sub Department for a selected reporting period.

Effort Form Not Completed - Employee Names (123116)

Displaying 12 of 12 records

Sub Dept	Employee ID	Employee Name	Title Code
5411	888777002	Friedman,Mary	Employee
	8887770061	Grey,Donna1	Employee
	8887770062	Grey,Donna2	Employee
54240	674532222	Liu,Herminine	01
61390	117222222	Friedman,Mary	01
	691762222	Jungbluth,John	01
	800101040	Munn, Kelly41	9
	137452222	Reilley,Jill	04
	129332222	Ruan,Student	01
61570	101032222	Ferguson,Ter	04
	167984444	Maximus,Demo61570	01
	124552222	Williams,Carter	04

EXCEL Download

8.4.1.6 Comprehensive Status Report

This report displays the names and review status of employees required to certify effort forms for a selected reporting period. – *Pending Pre Review*, *Pending Certification*, *Pending Post Review, and Form Completed.*

Comprehensive Status Report (123116)

Form Pending Pre Review Top

Displaying 17 of 17 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Status	RCT Date	Amount
0055825	Bouchard,Beth Ann	52060	555555	Miller,Cris			$23,125.11
0056582	Cushman,Mary	52060	555555	Miller,Cris	Saved	2017-12-20	$44,892.08
0067245	Tracy,Russell P.	52060	555555	Miller,Cris			$42,767.09
0030926	VERMONT1	52060	555555	Miller,Cris			$5,048.68
0061681	VERMONT3	52060	555555	Miller,Cris			$3,166.70
0088650	VERMONT4	52060	555555	Miller,Cris			$1,560.00
0099147	VERMONT5	52060	555555	Miller,Cris			$28,329.23
0040415	VERMONT2	55524	555555	Miller,Cris	Saved		$1,889.77
0102693	VERMONT8	55524	555555	Miller,Cris			$10,604.88
691762222	Jungbluth,John	61390	M50	Benjamin,Deck			$4,063.47
800101040	Munn, Kelly41	61390	M50	Benjamin,Deck			$13,871.24
137452222	Reilley,Jill	61390	M50	Benjamin,Deck			$6,618.04
129332222	Ruan,Student	61390	M50	Benjamin,Deck			$12,348.00
167984444	Maximus,Demo61570	61570	M50	Miller,Cris	Y (CT Approval Pending)		$31,003.20
124552222	Williams,Carter	61570	M50	Benjamin,Deck			$9,648.15
674532222	Liu,Herminine	54240	M50	Benjamin,Deck			$6,634.61
8887770062	Grey,Donna2	5411	M70	Grey, John	Saved	2017-12-26	$1,333.33
						Sub Total:	**$246,903.58**

Form Pending Certification Top

Displaying 9 of 9 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Status	RCT Date	Amount
0108863	Ballif, Bryan A.	52060	555555	Miller,Cris	26-Sep-17	Ballif, Bryan A.			$21,210.36
0045571	Darby,Heather Marie	52060	555555	Miller,Cris	24-Oct-17	Darby,Heather Marie			$37,973.53
0056132	McMaster,William Joseph	52060	555555	Miller,Cris	12-Oct-17	McMaster,William Joseph			$30,034.80
0085512	Ross,Donald Savage	52060	555555	Miller,Cris	26-Sep-17	Ross,Donald Savage			$16,727.28
167982222	Codae,Doyle	61390	M50	Benjamin,Deck	21-Jun-18	Grey, John	Saved		$88,641.13
117222222	Friedman,Mary	61390	M50	Miller,Cris	26-Sep-17	Friedman,Mary			$14,314.29
101032222	Ferguson,Ter	61570	M50	Miller,Cris	30-Aug-17	Ferguson,Ter			$19,396.11
888777002	Friedman,Mary	5411	M70	Miller,Cris	20-Jun-18	Grey, John			$2,400.00
8887770061	Grey,Donna1	5411	M70			Grey, John			$2,000.00
								Sub Total:	**$232,697.50**

Form Pending Post Review Top

Displaying 0 of 0 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Status	RCT Date	Amount

Form Completed Top

Displaying 3 of 3 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Date Post Reviewed	RCT Date
126032222	Burrows,Kim	61390	M50	Miller,Cris	08-Jun-18	Grey, John	20-Jun-18	Not Required		
182702222	Barnett,LN	61570	M50	Miller,Cris	04-Jun-18	Codae,Doyle	20-Jun-18	Not Required		2018-05-15
711032222	Codae,Kathy	61570	M50	Miller,Cris	14-Jun-17	Power, Max	30-Aug-17	Not Required		

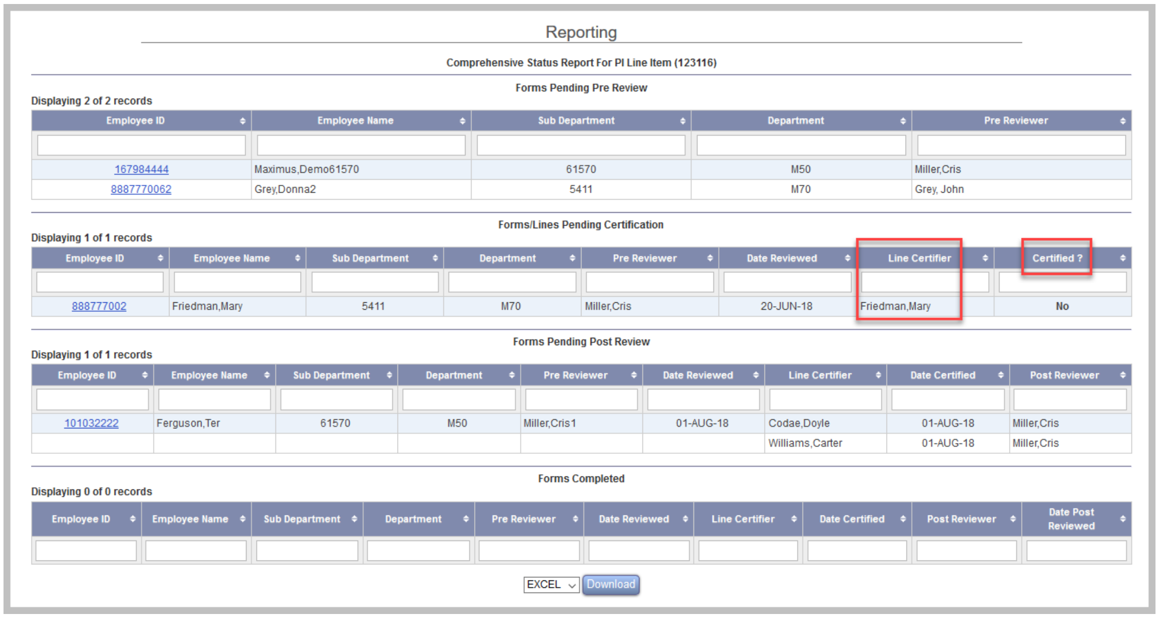
EXCEL Download

The **Amount** column represents the total sponsored payroll amount for the individual and is displayed for sections ***Form Pending Pre Review***, ***Form Pending Certification***, and ***Form Pending Post Review***

Important Note: The sponsored amount does not reflect any cost sharing or pending cost transfers. It includes RCT amounts, if applicable.

8.4.1.7 Comprehensive Status Report for PI Line Item

This report displays the names and review status of employees required to certify line item enabled effort forms for a selected reporting period. – *Pending Pre Review*, *Forms/lines Pending Certification*, *Pending Post Review, and Form Completed.*



Reporting

Comprehensive Status Report For PI Line Item (123116)

Forms Pending Pre Review

Displaying 2 of 2 records

Employee ID	Employee Name	Sub Department	Department	Pre Reviewer
167984444	Maximus,Demo61570	61570	M50	Miller,Cris
8887770062	Grey,Donna2	5411	M70	Grey, John

Forms/Lines Pending Certification

Displaying 1 of 1 records

Employee ID	Employee Name	Sub Department	Department	Pre Reviewer	Date Reviewed	Line Certifier	Certified ?
888777002	Friedman,Mary	5411	M70	Miller,Cris	20-JUN-18	Friedman,Mary	No

Forms Pending Post Review

Displaying 1 of 1 records

Employee ID	Employee Name	Sub Department	Department	Pre Reviewer	Date Reviewed	Line Certifier	Date Certified	Post Reviewer
101032222	Ferguson,Ter	61570	M50	Miller,Cris1	01-AUG-18	Codae,Doyle	01-AUG-18	Miller,Cris
						Williams,Carter	01-AUG-18	Miller,Cris

Forms Completed

Displaying 0 of 0 records

Employee ID	Employee Name	Sub Department	Department	Pre Reviewer	Date Reviewed	Line Certifier	Date Certified	Post Reviewer	Date Post Reviewed

EXCEL Download

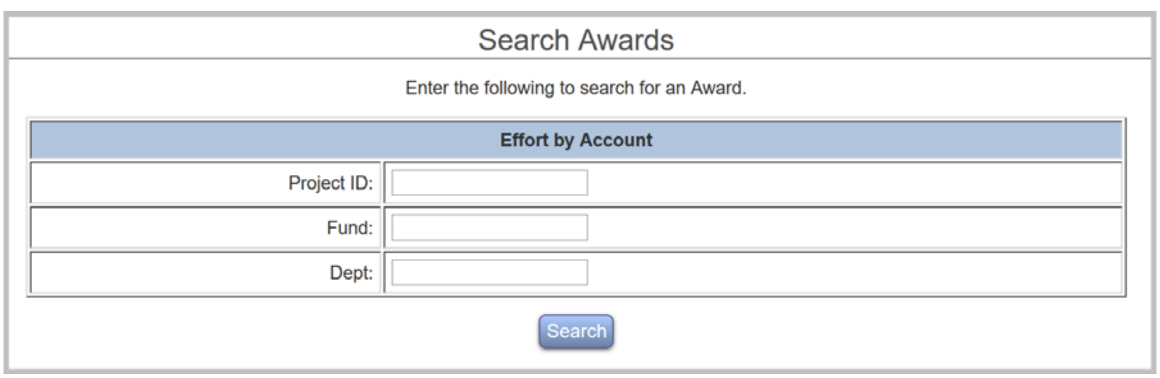
Note the Line Certifier field lists all account certifiers of an effort form and the status of certification is displayed in the "Certified?" column of *Forms/ Line Pending Certification* section.

8.4.2 Effort Results

8.4.2.1 Effort by Account

The **Effort by Account** allows the user to view this report for any type of account - *sponsored, non-sponsored, control salary,* etc, except *excluded* account. This report displays the individuals paid from a particular account as well as their effort percentages.

On clicking the **Effort by Account** link, ERS displays a search screen.



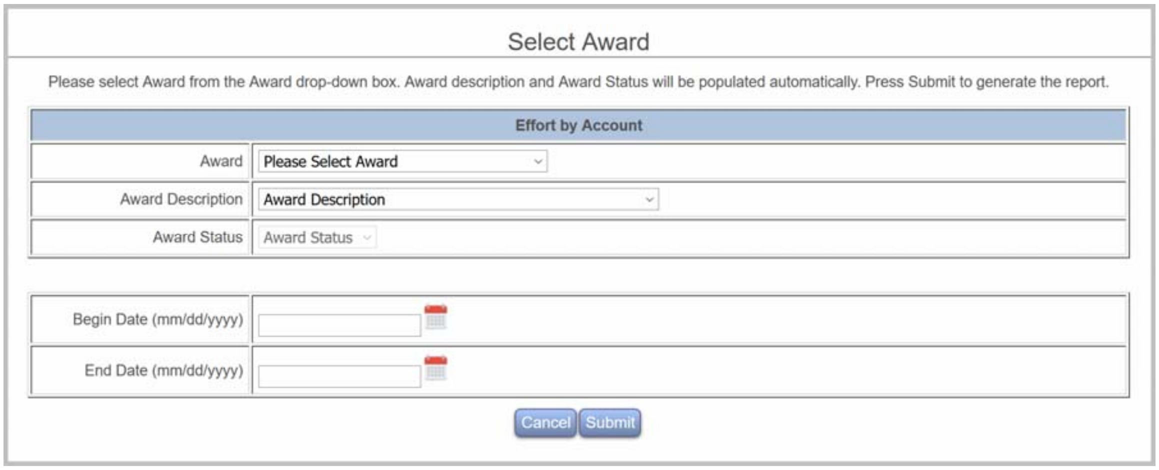
Search Awards

Enter the following to search for an Award.

Effort by Account	
Project ID:	
Fund:	
Dept:	

Search

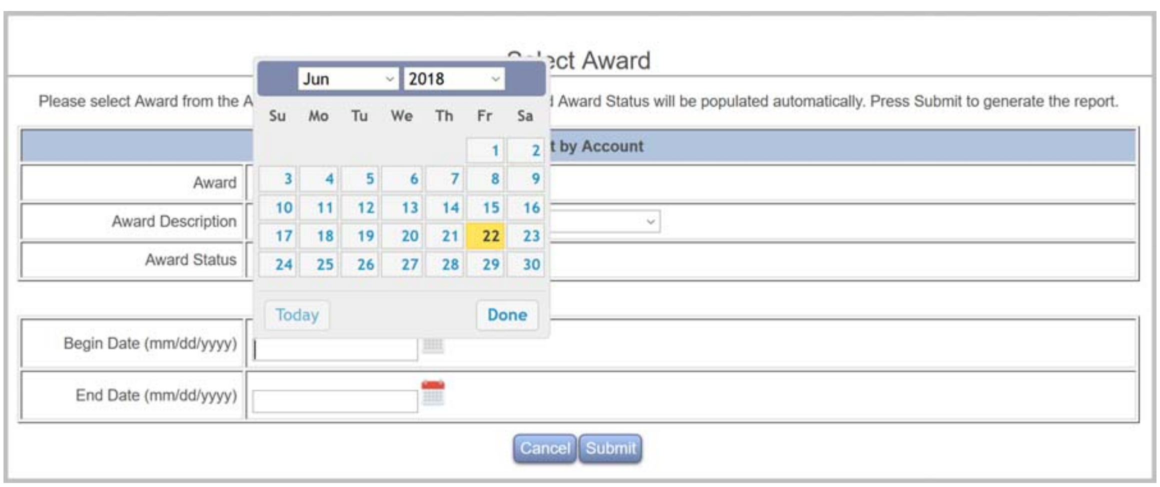
If any account matches the criteria entered in the three fields, the user is presented with the following screen.

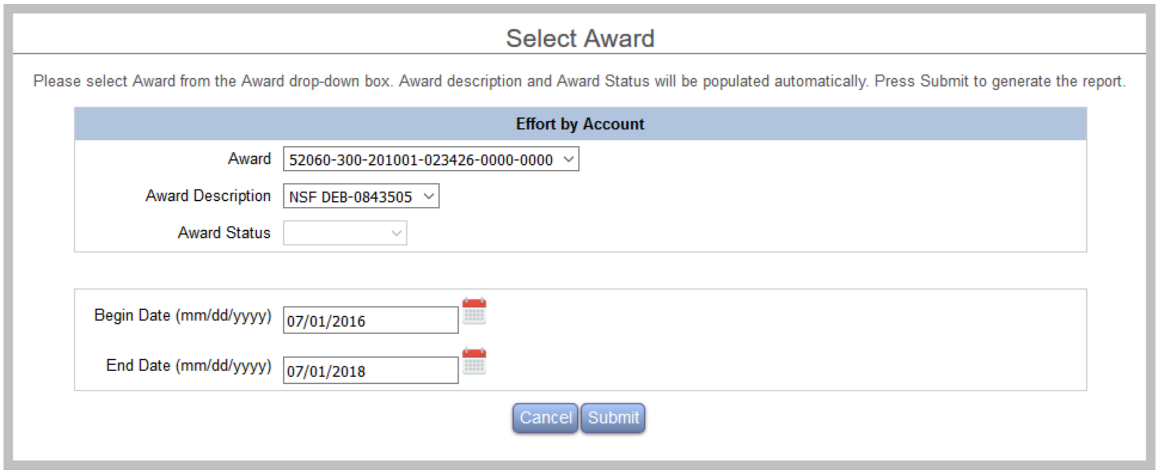


The user must select an account from the **Account** drop-down box, and enter the **Begin Date** and **End Date**. Once an **Account** is selected, **Account Description** and **Account Status** will be populated automatically. **(Begin Date** must be set before **End Date**.)

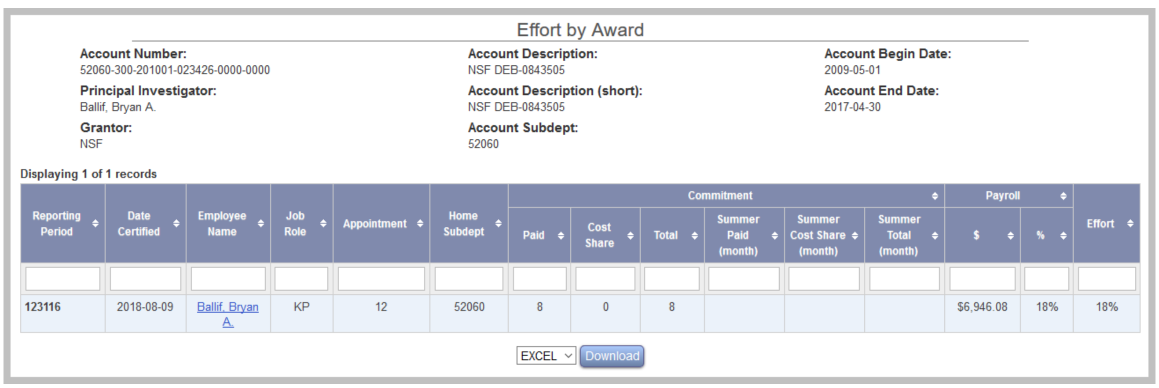
Important Note: The period between the two dates cannot be more than three years.

Both dates can be entered either directly in mm/dd/yyyy format or though the date picker by clicking the icon .





Upon selecting an account from the drop-down box, inputting one valid **Begin Date** and one valid **End Date**, and clicking the **Submit** button, the user is presented with either an empty list or a list sorted by **Reporting Period**.



Effort by Award

Account Number: 52060-300-201001-023426-0000-0000
Principal Investigator: Ballif, Bryan A.
Grantor: NSF
Account Description: NSF DEB-0843505
Account Description (short): NSF DEB-0843505
Account Subdept: 52060
Account Begin Date: 2009-05-01
Account End Date: 2017-04-30

Displaying 1 of 1 records

Reporting Period	Date Certified	Employee Name	Job Role	Appointment	Home Subdept	Commitment						Payroll		Effort
						Paid	Cost Share	Total	Summer Paid (month)	Summer Cost Share (month)	Summer Total (month)	$	%	
123116	2018-08-09	Ballif, Bryan A.	KP	12	52060	8	0	8				$6,946.08	18%	18%

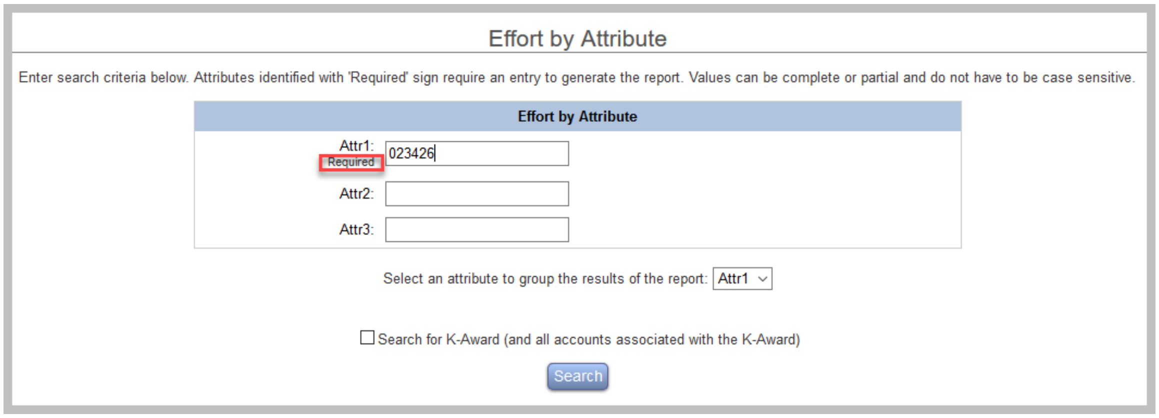
EXCEL Download

The K-Award and sub-K accounts are marked with ***K* and *sub-k***, respectively. If the effort forms are certified, the certified date will be listed in the **Date Certified** column. The employee name under **Employee Name** column is a link to the employee's effort form. If it has been certified, the certified form will be displayed. If it hasn't been certified, the effort form will be displayed as is.

8.4.2.2 Effort by Attribute

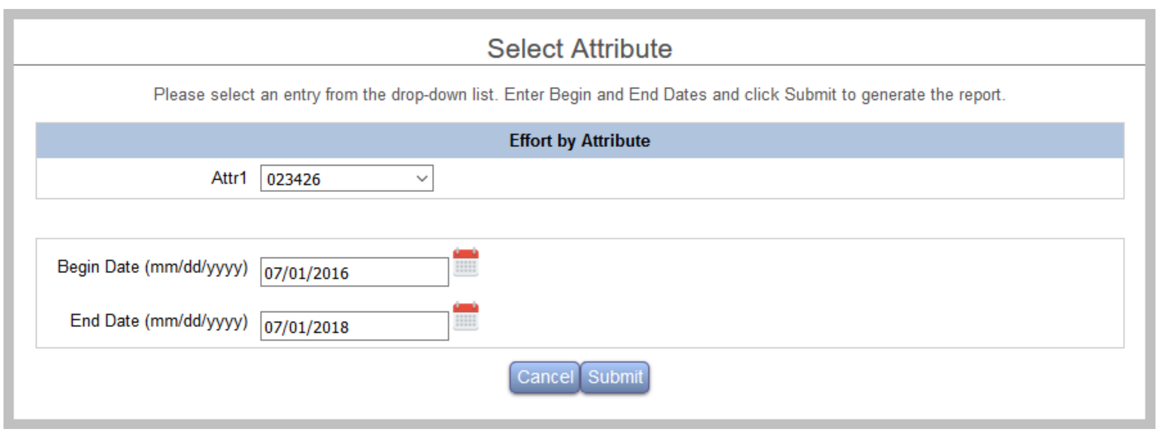
The **Effort by Attribute** allows the user to view more than one account matching specific criteria as well as effort percentages devoted by individuals.

On clicking the **Effort by Attribute** link, the user is presented with a search screen.



Configuration Note: The Search screen is established by a back-end configuration. Please contact ERSHelpDesk@maximus.com for details.

The **Group by** drop-down box on the screen determines by which attribute the search results are grouped together. Any of the three attributes can be selected. The default grouping attribute is Attr1. The check box **Search for K-Award (and all accounts associated with the K-Award)** can be checked by the user if he/she is only interested in K-Award related accounts.



The user needs to select one **Attr#** value from the top drop-down box and enter one **Begin Date** and one **End Date**.

Begin Date must be set before **End Date.** Also the period between the two dates cannot be more than three years. Both dates can be entered either directly in mm/dd/yyyy format or though the date picker by clicking the icon .

Upon selecting one **Attr#** value from the drop-down box, inputting one valid **Begin Date** and one valid **End Date**, and clicking the **Submit** button, the user is presented with either an empty list or a list sorted by **Reporting Period**.

Important Note: For the institutions that do not use commitment information in the **CEMAWARD** table, **Job Role**, **Appointment**, **Commitment** [including **Paid**, **Cost Share**, **Total**, **Summer Paid (month)**, **Summer Cost Share (month)**, **Summer Total (month)**] columns are not displayed.

Effort By Attribute

Displaying 1 of 1 records

Reporting Period	Date Certified	Account ID	Employee Name	Job Role	Appointment	Home Subdept	Commitment						Payroll		Effort
							Paid	Cost Share	Total	Summer Paid (month)	Summer Cost Share (month)	Summer Total (month)	$	%	
123116	2018-08-09	52060-300-201001-023426-0000-0000	Ballif, Bryan A.	KP	12	52060	8	0	8				$6,946.08	18%	18%

EXCEL Download

The K-Award and sub-K accounts are marked with ***K* and *sub-k***, respectively. If the effort forms are certified, the certified date will be listed in the **Date Certified** column. The employee name in the **Employee Name** column is a link to the employee's effort form. If it has been certified, the certified form will be displayed. If it hasn't been certified, the effort form will be displayed as is.

8.4.2.3 *Effort Form Pre Reviewed*

This report provides an overview of effort forms Pre Reviewed, listing the Pre Reviewer's name and date Pre Review occurred for the selected reporting period.

Effort Form Pre Reviewed (123116)

Displaying 8 of 8 records

Employee ID	Employee Name	Sub Dept	Division	Dept	Pre Reviewer	Date of Review
182702222	Barnett,LN	61570	SC	M50	Miller,Cris	04-JUN-18
126032222	Burrows,Kim	61390	SC	M50	Miller,Cris	08-JUN-18
167982222	Codae,Doyle	61390	SC	M50	Benjamin,Deck	21-JUN-18
711032222	Codae,Kathy	61570	SC	M50	Miller,Cris	14-JUN-17
101032222	Ferguson,Ter	61570	SC	M50	Miller,Cris	30-AUG-17
117222222	Friedman,Mary	61390	SC	M50	Global Release	26-SEP-17
888777002	Friedman,Mary	5411	SD	M70	Miller,Cris	20-JUN-18
800101040	Munn, Kelly41	61390	SC	M50	Miller,Cris1	28-JUN-18

EXCEL Download

8.4.2.4 *Effort Form Certified*

This report provides an overview of effort forms completed through the Pre Review and Certification phase, listing the Pre Reviewer's name and date Pre Review occurred and Certifier's name and date Certification occurred by selected reporting period.

Effort Form Certified (123116)

Displaying 5 of 5 records

Employee ID	Employee Name	Sub Dept	Division	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified
124552222	Williams,Carter	61570	SC	M50			Paper Certification	29-JUN-18
126032222	Burrows,Kim	61390	SC	M50	Miller,Cris	08-JUN-18	Grey, John	20-JUN-18
167982222	Codae,Doyle	61390	SC	M50	Benjamin,Deck	21-JUN-18	Stan Lee	27-JUN-18
182702222	Barnett,LN	61570	SC	M50	Miller,Cris	04-JUN-18	Codae,Doyle	20-JUN-18
711032222	Codae,Kathy	61570	SC	M50	Miller,Cris	14-JUN-17	Power, Max	30-AUG-17

EXCEL Download

8.4.2.5 *Effort Form Completed*

This report provides an overview of effort forms completed through the Pre Review, Certification and Post Review phase, listing the Pre Reviewer's name and date Pre Review occurred, Certifier's name and date Certification occurred and Post Reviewer's name and date Post review occurred by the selected reporting period.

Effort Form Completed (123116)

Displaying 5 of 5 records

Employee ID	Employee Name	Sub Dept	Division	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Date Post Reviewed
126032222	Burrows,Kim	61390	SC	M50	Miller,Cris	08-JUN-18	Grey, John	20-JUN-18	Not Required	
167982222	Codae,Doyle	61390	SC	M50	Benjamin,Deck	21-JUN-18	Stan Lee	27-JUN-18	Not Required	
182702222	Barnett,LN	61570	SC	M50	Miller,Cris	04-JUN-18	Codae,Doyle	20-JUN-18	Not Required	
711032222	Codae,Kathy	61570	SC	M50	Miller,Cris	14-JUN-17	Power, Max	30-AUG-17	Not Required	
124552222	Williams,Carter	61570	SC	M50			Paper Certification	29-JUN-18	Miller,Cris1	

EXCEL Download

8.4.2.6 *Effort Form Not Completed*

This report provides an overview of effort forms which are not completed. This report can be filtered to show all forms with status of - Pending Pre Review, Pending Certification, Pending Post Review, or Pending CT Approval by selected reporting period.

Effort Form Not Completed (123116)

Displaying 11 of 11 records

Division	Sub Dept	Employee ID	Employee Name	Title Code	Assigned Certifier	Form Status
SC	61570	101032222	Ferguson,Ter	04	Ferguson,Ter	Pending Certification
SC	61390	117222222	Friedman,Mary	01	Friedman,Mary	Pending Certification
SD	5411	888777002	Friedman,Mary	Employee	Grey, John	Pending Certification
SD	5411	8887770061	Grey,Donna1	Employee	Grey, John	Pending Certification
SD	5411	8887770062	Grey,Donna2	Employee	Grey, John	Pending PreReview
SC	61390	691762222	Jungbluth,John	01	Jungbluth,John	Pending PreReview
SD	54240	674532222	Liu,Herminine	01	Paper Certification	Pending PreReview
SC	61570	167984444	Maximus,Demo61570	01		Pending CT Approval
SC	61390	800101040	Munn, Kelly41	9	Paper Certification	Pending Certification
SC	61390	137452222	Reilley,Jill	04	Codae,Doyle	Pending PreReview
SC	61390	129332222	Ruan,Student	01	Codae,Doyle	Pending PreReview

EXCEL Download

8.4.2.7 University Summary by Account

This report summarizes the dollar value and corresponding percentage for each category listed in the University (or Institutional) Summary by employee.

Institutional Summary Account Report
Reporting Period: 123116

Displaying 2 records.

				Non-Sponsored						Sponsored		Net	
				Instruction		Other Activities		Total					
Employee	Dept	Account / Project		$$	%	$$	%	$$	%	$$	%	$$	%
Darby,Heather Marie	555555	00001-100-000100-0000-0121	GOF-General Operating	19.34	1%	0.00	0%	19.34	1%				
Subtotal for Darby,Heather Marie				**19.34**	**1%**	**0.00**	**0%**	**19.34**	**56%**	**16,727.28**	**44%**	**16,746.62**	**100%**
Ross,Donald Savage	555555	00001-100-000100-0000-0121	GOF-General Operating	0.00	0%	0.00	0%	0.00	0%				
		51000-100-100001-0430-0000	GOF-General Operatin	1,027.76	3%	1,027.76	3%	2,055.52	6%				
		51070-100-100001-0000-0000	GOF-General Operatin	9,319.55	25%	9,319.55	25%	18,639.10	50%				
Subtotal for Ross,Donald Savage				**10,347.31**	**28%**	**10,347.31**	**28%**	**20,694.62**	**56%**	**16,727.28**	**44%**	**37,421.90**	**100%**
Grand Total for Report				**10,366.65**	**19%**	**10,347.31**	**19%**	**20,713.96**	**38%**	**33,454.56**	**62%**	**54,168.52**	**100%**

EXCEL Download

Note: This report is only applicable and will generate results if University Summary is used.

8.4.2.8 Effort Result Summary Detail

This report provides an overall view of the individuals that are required to document effort on predefined non-sponsored categories. It provides names and the dollar amount/corresponding percentage for each category for which effort was certified.

Effort Result Summary Detail (123116)

Displaying 3 of 3 records

Dept	Employee Name	Sponsored		Category 1		Category 2		Category 3		Category 4		Category 5		Category 6		Category 7		Total	
		%	$	%	$	%	$	%	$	%	$	%	$	%	$	%	$	%	$
61390	Burrows,Kim	100	26,430.60	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00	100	26,430.60
61390	Codae,Doyle	65	88,641.13	0	0.00	0	0.00	0	0.00	35	47,458.25	0	0.00	0	0.00	0	0.00	100	135,594.99
61570	Barnett,LN	96	16,499.25	4	685.50	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00	100	17,137.46
	Sub Total:	**73**	**131,570.98**	**0**	**685.50**	**0**	**0.00**	**0**	**0.00**	**26**	**47,458.25**	**0**	**0.00**	**0**	**0.00**	**0**	**0.00**	**100**	**179,163.05**

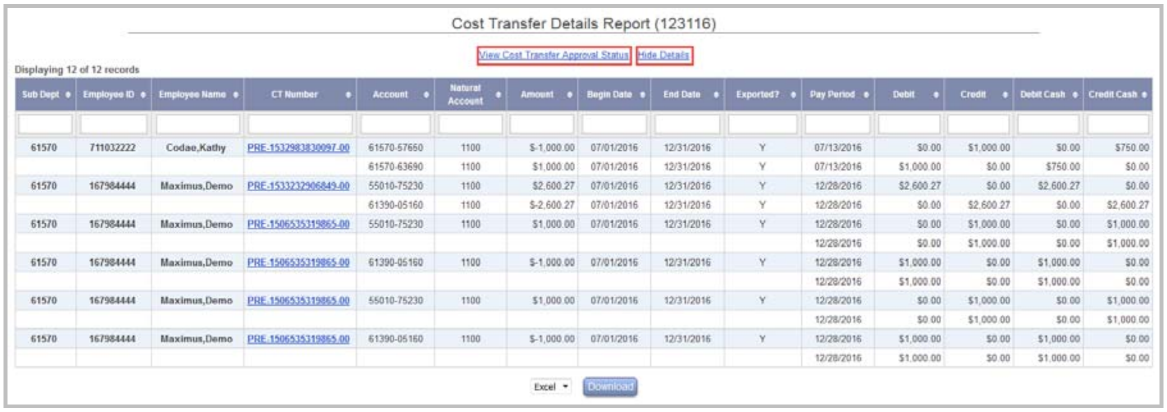
Category 1: Instruction
Category 2: Departmental Research
Category 3: Administration
Category 4: Other Institutional Activity
Category 5: University-funded Consulting Activity
Category 6: University Medical Faculty Foundation Activity
Category 7: Industry-Sponsored Clinical Trials

EXCEL Download

Note: This report is only applicable and will generate results if University Summary is used.

8.4.2.9 Cost Transfers

This report displays all cost transfers processed in ERS as well as their export status (Y = Yes, N= No). The report displays Cost Transfer Details by pay period with the ability to hide or display cash columns (Debit Cash and Credit Cash) if 9 over 12 feature is enabled.



Cost Transfer Details Report (123116)

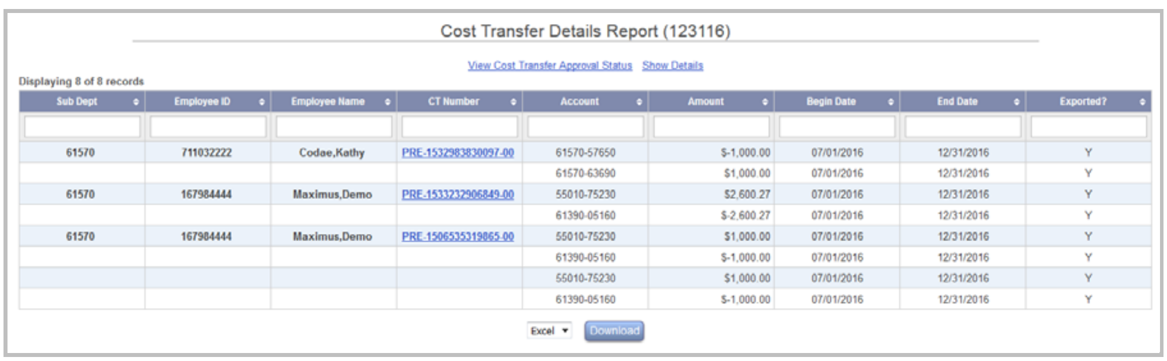
View Cost Transfer Approval Status Hide Details

Displaying 12 of 12 records

Sub Dept	Employee ID	Employee Name	CT Number	Account	Natural Account	Amount	Begin Date	End Date	Exported?	Pay Period	Debit	Credit	Debit Cash	Credit Cash
61570	711032222	Codae,Kathy	PRE-1532983830097-00	61570-57650	1100	$-1,000.00	07/01/2016	12/31/2016	Y	07/13/2016	$0.00	$1,000.00	$0.00	$750.00
				61570-63690	1100	$1,000.00	07/01/2016	12/31/2016	Y	07/13/2016	$1,000.00	$0.00	$750.00	$0.00
61570	167984444	Maximus,Demo	PRE-1533232906849-00	55010-75230	1100	$2,600.27	07/01/2016	12/31/2016	Y	12/28/2016	$2,600.27	$0.00	$2,600.27	$0.00
				61390-05160	1100	$-2,600.27	07/01/2016	12/31/2016	Y	12/28/2016	$0.00	$2,600.27	$0.00	$2,600.27
61570	167984444	Maximus,Demo	PRE-1506535319865-00	55010-75230	1100	$1,000.00	07/01/2016	12/31/2016	Y	12/28/2016	$0.00	$1,000.00	$0.00	$1,000.00
										12/28/2016	$0.00	$1,000.00	$0.00	$1,000.00
61570	167984444	Maximus,Demo	PRE-1506535319865-00	61390-05160	1100	$-1,000.00	07/01/2016	12/31/2016	Y	12/28/2016	$1,000.00	$0.00	$1,000.00	$0.00
										12/28/2016	$1,000.00	$0.00	$1,000.00	$0.00
61570	167984444	Maximus,Demo	PRE-1506535319865-00	55010-75230	1100	$1,000.00	07/01/2016	12/31/2016	Y	12/28/2016	$0.00	$1,000.00	$0.00	$1,000.00
										12/28/2016	$0.00	$1,000.00	$0.00	$1,000.00
61570	167984444	Maximus,Demo	PRE-1506535319865-00	61390-05160	1100	$-1,000.00	07/01/2016	12/31/2016	Y	12/28/2016	$1,000.00	$0.00	$1,000.00	$0.00
										12/28/2016	$1,000.00	$0.00	$1,000.00	$0.00

Excel Download

On clicking the *Hide Details* link ERS hides the debit and credit details by pay period, as shown below.



Cost Transfer Details Report (123116)

View Cost Transfer Approval Status Show Details

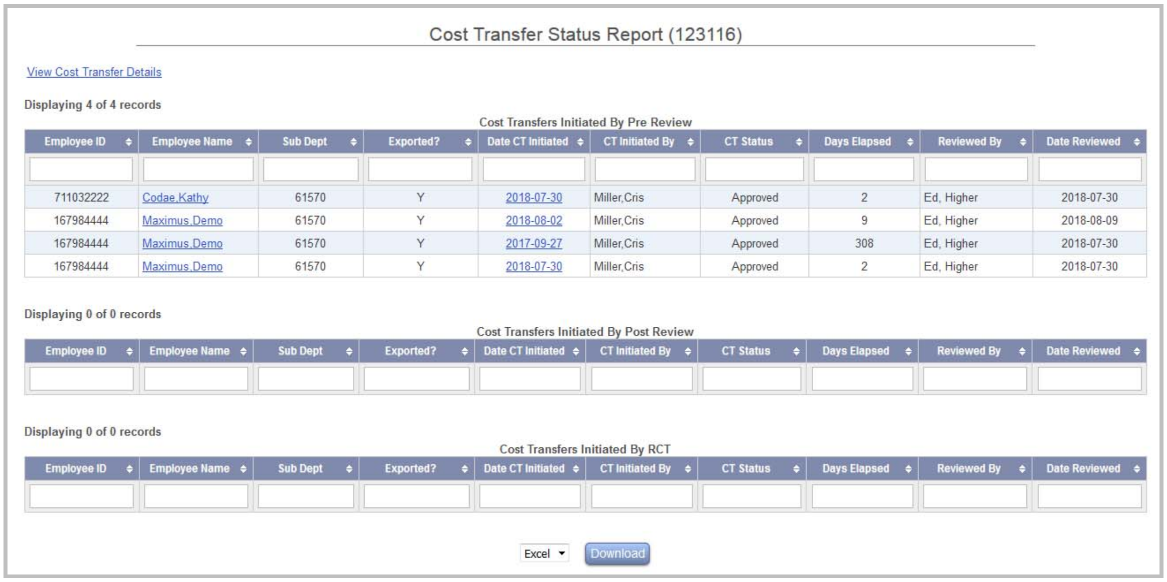
Displaying 8 of 8 records

Sub Dept	Employee ID	Employee Name	CT Number	Account	Amount	Begin Date	End Date	Exported?
61570	711032222	Codae,Kathy	PRE-1532983830097-00	61570-57650	$-1,000.00	07/01/2016	12/31/2016	Y
				61570-63690	$1,000.00	07/01/2016	12/31/2016	Y
61570	167984444	Maximus,Demo	PRE-1533232906849-00	55010-75230	$2,600.27	07/01/2016	12/31/2016	Y
				61390-05160	$-2,600.27	07/01/2016	12/31/2016	Y
61570	167984444	Maximus,Demo	PRE-1506535319865-00	55010-75230	$1,000.00	07/01/2016	12/31/2016	Y
				61390-05160	$-1,000.00	07/01/2016	12/31/2016	Y
				55010-75230	$1,000.00	07/01/2016	12/31/2016	Y
				61390-05160	$-1,000.00	07/01/2016	12/31/2016	Y

Excel Download

All fields in the report are sortable.

A hyperlink "View Cost Transfer Approval Status" is also available that links Cost Transfer report to Cost Transfer Approval Status report.



Cost Transfer Status Report (123116)

View Cost Transfer Details

Displaying 4 of 4 records

Cost Transfers Initiated By Pre Review

Employee ID	Employee Name	Sub Dept	Exported?	Date CT Initiated	CT Initiated By	CT Status	Days Elapsed	Reviewed By	Date Reviewed
711032222	Codae,Kathy	61570	Y	2018-07-30	Miller,Cris	Approved	2	Ed, Higher	2018-07-30
167984444	Maximus,Demo	61570	Y	2018-08-02	Miller,Cris	Approved	9	Ed, Higher	2018-08-09
167984444	Maximus,Demo	61570	Y	2017-09-27	Miller,Cris	Approved	308	Ed, Higher	2018-07-30
167984444	Maximus,Demo	61570	Y	2018-07-30	Miller,Cris	Approved	2	Ed, Higher	2018-07-30

Displaying 0 of 0 records

Cost Transfers Initiated By Post Review

Employee ID	Employee Name	Sub Dept	Exported?	Date CT Initiated	CT Initiated By	CT Status	Days Elapsed	Reviewed By	Date Reviewed

Displaying 0 of 0 records

Cost Transfers Initiated By RCT

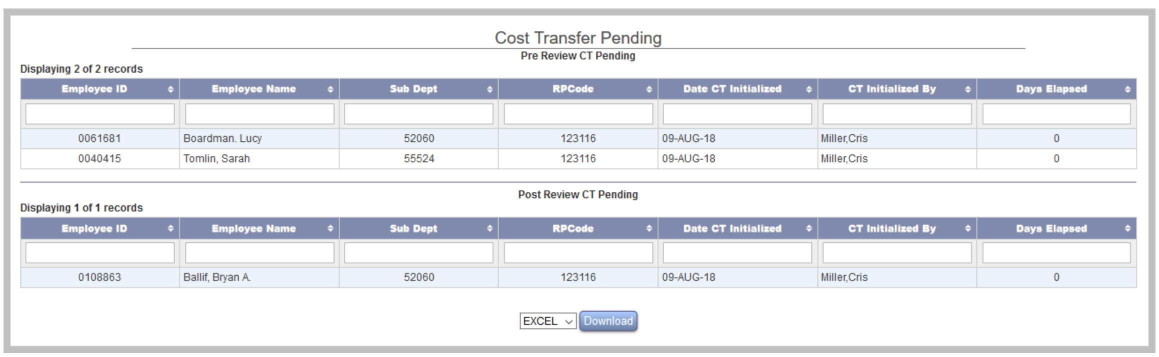
Employee ID	Employee Name	Sub Dept	Exported?	Date CT Initiated	CT Initiated By	CT Status	Days Elapsed	Reviewed By	Date Reviewed

Excel Download

Note: This report is only applicable and will generate results if the Cost Transfer feature in ERS is used.

8.4.2.10 Cost Transfer Pending

This report lists the employees whose effort forms have CT pending status (N (CT Pending) in Pre Review or Post Review.



Cost Transfer Pending

Pre Review CT Pending

Displaying 2 of 2 records

Employee ID	Employee Name	Sub Dept	RPCode	Date CT Initialized	CT Initialized By	Days Elapsed
0061681	Boardman. Lucy	52060	123116	09-AUG-18	Miller,Cris	0
0040415	Tomlin, Sarah	55524	123116	09-AUG-18	Miller,Cris	0

Post Review CT Pending

Displaying 1 of 1 records

Employee ID	Employee Name	Sub Dept	RPCode	Date CT Initialized	CT Initialized By	Days Elapsed
0108863	Ballif, Bryan A.	52060	123116	09-AUG-18	Miller,Cris	0

EXCEL Download

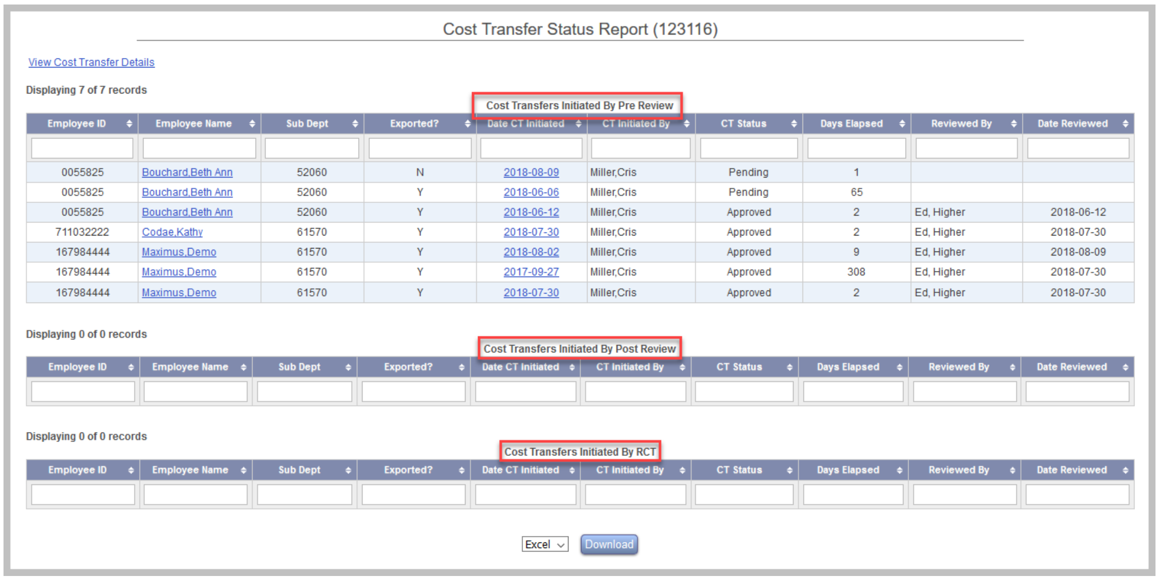
The report is divided into two sections “Pre Review CT Pending” and “Post Review CT Pending”.

Note: This report is applicable for institutions that use the “Initiate CT” process in Pre Review or Post Review or both.

8.4.2.11 Cost Transfer Approval Status

The report displays the cost transfer approval status of effort forms i.e. if cost transfer is *Pending*, *Approved* or *Rejected.* The report is available for Cost Transfer Approvers such as CA, CTAP or DH under Reporting menu option.
The report has been divided into following three sections to distinguish if the cost transfer was initiated in Pre Review, Post Review or RCT:

- Cost Transfers Initiated by Pre Review
- Cost Transfers Initiated by Post Review
- Cost Transfers Initiated by RCT



Cost Transfer Status Report (123116)

View Cost Transfer Details

Displaying 7 of 7 records

Cost Transfers Initiated By Pre Review

Employee ID	Employee Name	Sub Dept	Exported?	Date CT Initiated	CT Initiated By	CT Status	Days Elapsed	Reviewed By	Date Reviewed
0055825	Bouchard,Beth Ann	52060	N	2018-08-09	Miller,Cris	Pending	1		
0055825	Bouchard,Beth Ann	52060	Y	2018-06-06	Miller,Cris	Pending	65		
0055825	Bouchard,Beth Ann	52060	Y	2018-06-12	Miller,Cris	Approved	2	Ed, Higher	2018-06-12
711032222	Codae,Kathy	61570	Y	2018-07-30	Miller,Cris	Approved	2	Ed, Higher	2018-07-30
167984444	Maximus,Demo	61570	Y	2018-08-02	Miller,Cris	Approved	9	Ed, Higher	2018-08-09
167984444	Maximus,Demo	61570	Y	2017-09-27	Miller,Cris	Approved	308	Ed, Higher	2018-07-30
167984444	Maximus,Demo	61570	Y	2018-07-30	Miller,Cris	Approved	2	Ed, Higher	2018-07-30

Displaying 0 of 0 records

Cost Transfers Initiated By Post Review

Employee ID	Employee Name	Sub Dept	Exported?	Date CT Initiated	CT Initiated By	CT Status	Days Elapsed	Reviewed By	Date Reviewed

Displaying 0 of 0 records

Cost Transfers Initiated By RCT

Employee ID	Employee Name	Sub Dept	Exported?	Date CT Initiated	CT Initiated By	CT Status	Days Elapsed	Reviewed By	Date Reviewed

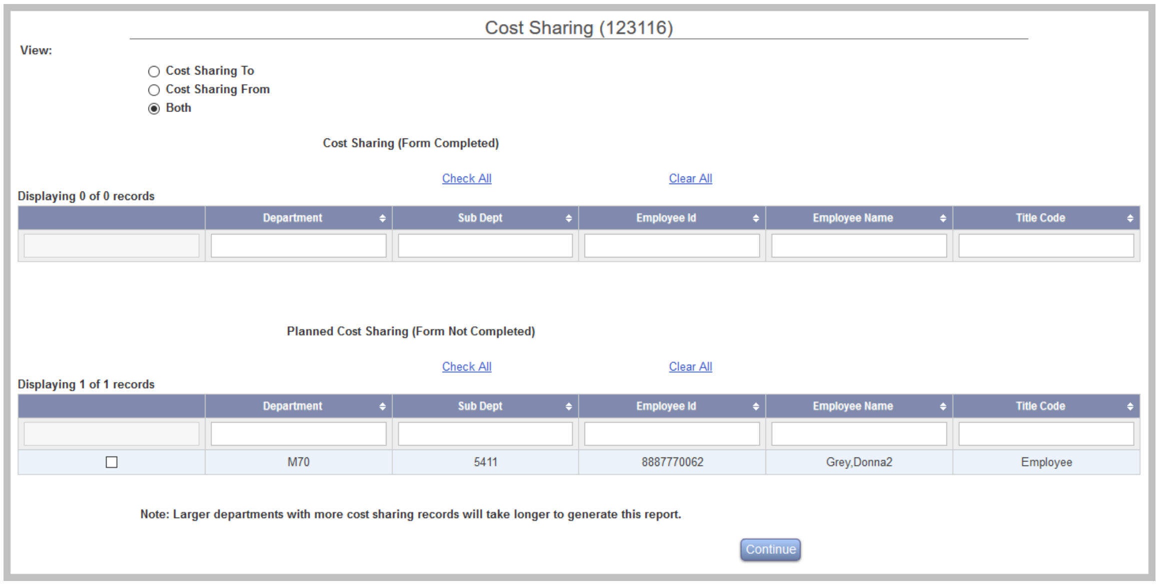
Excel Download

The report provides the following information:

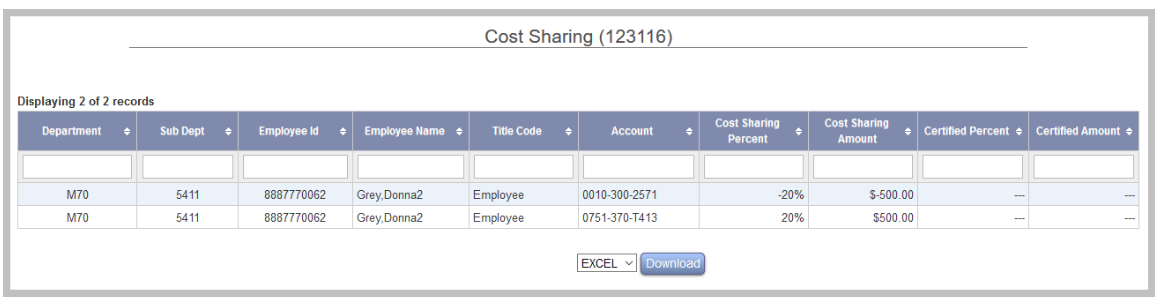
- **Employee ID**
- **Employee Name** – The name serves as a link to the effort form view.
- **Sub Dept** – Home Sub dept of the employee
- **Exported?** – Possible values: Y or N; Y indicates the cost transfer was exported from ERS; N indicates the cost transfer was not exported
- **CT Initiated by** - The name of the individual who transacted the cost transfer on the effort form.
- **CT Status** – Status of the cost transfer. Possible values – Rejected, Approved, Pending
- **Days Elapsed** – Represents the difference in days between the date CT was initiated and the date when CT was reviewed.
- **Reviewed by** - Displays the name of the Cost Transfer Approvers such as CA, Level 1 or Level 2 approver
- **Date Reviewed** – The date when the cost transfer was reviewed.

8.4.2.12 Cost Sharing

This report displays all cost sharing - reported on an effort report or via cost sharing commitment (this data must be pre-populated to have access to this information). The report will display Cost Sharing To accounts, Cost Sharing From accounts or both.



By selecting individuals and clicking button *Continue*, a detailed report is provided.



Note: This report is only applicable and will generate results if the Cost Share feature in ERS is used.

8.4.2.13 Cost Sharing Details by Selected Query

This report is used to review and analyze the reported cost sharing information by employee(s).

Cost Sharing By Employee (123116)

Report 1A - View Detail By Employee ☑Include K-Awards ☑Non-Sponsored Accounts ☑Include Sub Totals

Refresh Report

Cost Sharing Report 1A - View Detail By Employee

Displaying 7 of 7 records

SubDept	EmpID	EmpName	Account	Title Code	Account Desc	Account Type	Cost Share To Amount	Cost Share From Amount	Comp Cost Share	Cost Share Percent	Total Certified
61570	711032222	Codae,Kathy	61570-57650	01	THE AUBREY	N		-1,161.81		-3%	13,637.56
61570	711032222	Codae,Kathy	61570-63690	01	BONE MARRO	S	1,161.81			3%	25,098.55
61390	137452222	Reilley,Jill	23304W402000027B03S71050101900000	04	ACS/IRG-93-033-11/Cantor	S	1,000.00			8%	4,309.02
61390	137452222	Reilley,Jill	23304W833500050B03S76050087900000	04	AAP	S		-1,000.00		-8%	2,309.02
61390	167982222	Codae,Doyle	50350-10280 CS	02	CELL BASIS COST SHAR	S			3,390.55	3%	3,390.55
61390	167982222	Codae,Doyle	61390-05160	02	MED GENERA	N		-2,711.90		-2%	36,607.85
61390	167982222	Codae,Doyle	61570-63690 SC	02	BONE MARRO	S	2,711.90			2%	41,000.19
						Sub Total:	4,873.71	4,873.71	3,390.55		

Excel Download

Note: This report is only applicable and will generate results if the Cost Share feature in ERS is used.

8.4.2.14 *Effort on Demand Preview*

This report allows the institution to view how the current payroll is being accumulated and allows its users to preview what the effort form would look like after each payroll update. After the Current Reporting Period is initiated, institutions can start accumulating payroll for the next reporting period and allow the users to view the details of the accumulated payroll. This will help Department Administrators in monitoring charges accumulated on a grant; determine if any adjustments need to be made in the source system before this "future" reporting period can be initiated. The payroll drilldown will display all payroll entries collected so far.

Effort On Demand Preview

Displaying 13 of 13 records

Employee ID	Employee Name	Title Code	Title	Subdept	Reporting Period
182702222	Barnett,LN	04	Research Asst	61570	063017
555009	Batman	23	Professor	333123-1	063017
167982222	Codae,Doyle	02	PI	61390	063017
8887770062	Grey,Donna2	Employee	Employee	5411	063017
267982222	Power, Max	04	PI	35208	063017
555004	Professor Hulk	23	Professor	444123-1	063017
555006	Professor Spiderman	23	Professor	444123-1	063017
555005	Professor Thor	23	Professor	444123-1	063017
555007	Professor Torch	23	Professor	444123-1	063017
555001	Professor Xavier	23	Professor	444123-1	063017
555003	Storm	27	Super Hero	444123-1	063017
555008	The Riddler	23	Professor	333123-1	063017
555002	Wolverine	27	Super Hero	444123-1	063017

EXCEL Download

8.4.2.15 Salary Cap

This report is used to review and analyze the information of those effort forms that may be affected by the Salary Cap. The report is broken down into two sections:

- Certified Forms
- Forms pending Certification

The employee name serves as a link to the view of the effort form. The payroll details are available to view by clicking on the *Payroll Charged $* amount.

Salary Cap Report

Part I - Forms have not been certified
Reporting Period - 123116 (07/01/2016 - 12/31/2016)

Displaying 7 of 7 records

Name	Title	Sub Dept	Account	Agency	Payroll Charged $	Payroll Charged %	CAP Amount applicable to the Reporting Period	Maximum Allowed to charge	Difference	Cost Transfer Identified	Cost Sharing Identified
Cushman,Mary	Professor	52060	55538-300-201003-022399-0000-0000 - UCSD 10284122	NIH	$4,040.20	4%	$92,550.00	$3,702.00	$338.20	0%	0%
Cushman,Mary	Professor	52060	55538-300-201003-023293-0000-0000 - UAB 004	NIH	$12,127.17	13%	$92,550.00	$12,031.50	$95.67	0%	0%
Cushman,Mary	Professor	52060	55538-300-201007-024224-0000-0000 - ARRA RC1HL099460	NIH	$0.00	0%	$92,550.00	$0.00	$0.00	0%	0%
Cushman,Mary	Professor	52060	55650-300-201001-010015-0000-0000 - Subclinical Cardiov	NIH	$8,086.92	8%	$92,550.00	$7,404.00	$682.92	0%	0%
Cushman,Mary	Professor	52060	55650-300-201003-011045-0000-0000 - UNIV PITT 109452-5	NIH	$1,070.37	1%	$92,550.00	$925.50	$144.87	0%	0%
Cushman,Mary	Professor	52060	55520-300-201001-010372-0000-0000 - PHS R01HL083926/1-3	NIH	$7,440.20	8%	$92,550.00	$7,404.00	$36.20	9%	0%
Cushman,Mary	Professor	52060	55538-300-201003-022269-0000-0000 - University of Calif	NIH	$12,127.22	13%	$92,550.00	$12,031.50	$95.72	0%	0%

Part II - Forms have been certified
Reporting Period - 123116 (07/01/2016 - 12/31/2016)

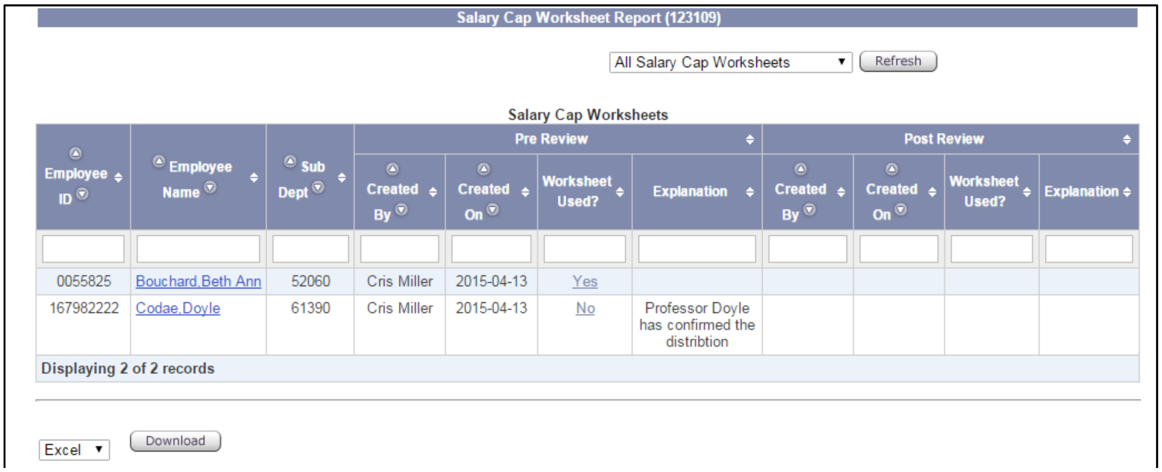
Displaying 1 of 1 records

Name	Title	Sub Dept	Account	Agency	Certified Effort %	Payroll Charged $	Payroll Charged %	CAP Amount applicable to the Reporting Period	Maximum Allowed to charge	Difference	Cost Transfer Identified	Cost Sharing Identified
Codae,Doyle	PI	61390	61390-63690 - GENE PROJ	NIH	18%	$24,819.88	18%	$92,550.00	$16,659.00	$8,160.88	0%	0%

EXCEL Download

8.4.2.16 Salary Cap Worksheet

This report generates a list of effort forms that are over the salary cap and indicates whether a Salary CAP worksheet was used in PreReview and/or PostReview.



Salary Cap Worksheet Report (123109)

All Salary Cap Worksheets ▾ Refresh

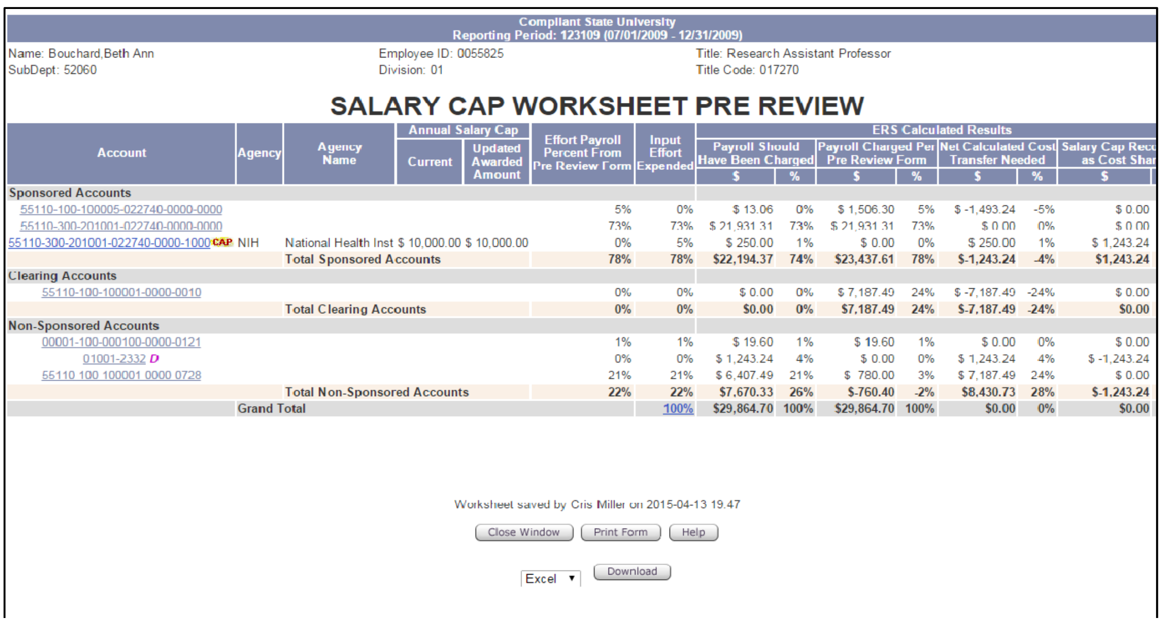
Salary Cap Worksheets

Employee ID	Employee Name	Sub Dept	Pre Review: Created By	Pre Review: Created On	Pre Review: Worksheet Used?	Pre Review: Explanation	Post Review: Created By	Post Review: Created On	Post Review: Worksheet Used?	Post Review: Explanation
0055825	Bouchard,Beth Ann	52060	Cris Miller	2015-04-13	Yes					
167982222	Codae,Doyle	61390	Cris Miller	2015-04-13	No	Professor Doyle has confirmed the distribtion				

Displaying 2 of 2 records

Excel ▾ Download

If the worksheet was used, it will allow the user to see the calculation details on the worksheet.



Compliant State University
Reporting Period: 123109 (07/01/2009 - 12/31/2009)

Name: Bouchard,Beth Ann
SubDept: 52060
Employee ID: 0055825
Division: 01
Title: Research Assistant Professor
Title Code: 017270

SALARY CAP WORKSHEET PRE REVIEW

Account	Agency	Agency Name	Annual Salary Cap: Current	Annual Salary Cap: Updated Awarded Amount	Effort Payroll Percent From Pre Review Form	Input Effort Expended	Payroll Should Have Been Charged $	Payroll Should Have Been Charged %	Payroll Charged Per Pre Review Form $	Payroll Charged Per Pre Review Form %	Net Calculated Cost Transfer Needed $	Net Calculated Cost Transfer Needed %	Salary Cap Recc as Cost Shar $
Sponsored Accounts													
55110-100-100005-022740-0000-0000					5%	0%	$ 13.06	0%	$ 1,506.30	5%	$ -1,493.24	-5%	$ 0.00
55110-300-201001-022740-0000-0000					73%	73%	$ 21,931.31	73%	$ 21,931.31	73%	$ 0.00	0%	$ 0.00
55110-300-201001-022740-0000-1000 CAP	NIH	National Health Inst	$ 10,000.00	$ 10,000.00	0%	5%	$ 250.00	1%	$ 0.00	0%	$ 250.00	1%	$ 1,243.24
		Total Sponsored Accounts			78%	78%	$22,194.37	74%	$23,437.61	78%	$-1,243.24	-4%	$1,243.24
Clearing Accounts													
55110-100-100001-0000-0010					0%	0%	$ 0.00	0%	$ 7,187.49	24%	$ -7,187.49	-24%	$ 0.00
		Total Clearing Accounts			0%	0%	$0.00	0%	$7,187.49	24%	$-7,187.49	-24%	$0.00
Non-Sponsored Accounts													
00001-100-000100-0000-0121					1%	1%	$ 19.60	1%	$ 19.60	1%	$ 0.00	0%	$ 0.00
01001-2332 D					0%	0%	$ 1,243.24	4%	$ 0.00	0%	$ 1,243.24	4%	$ -1,243.24
55110 100 100001 0000 0728					21%	21%	$ 6,407.49	21%	$ 780.00	3%	$ 7,187.49	24%	$ 0.00
		Total Non-Sponsored Accounts			22%	22%	$7,670.33	26%	$-760.40	-2%	$8,430.73	28%	$-1,243.24
	Grand Total					100%	$29,864.70	100%	$29,864.70	100%	$0.00	0%	$0.00

Worksheet saved by Cris Miller on 2015-04-13 19.47

Close Window Print Form Help

Excel ▾ Download

If the worksheet was not used, it will allow the user to see the calculation based on the current Cost Transfer and Cost Sharing on the effort form.

Compliant State University
Reporting Period: 123109 (07/01/2009 - 12/31/2009)

Name: Codae,Doyle Employee ID: 167982222 Title: PI
SubDept: 61390 Division: SC Title Code: 02

A Department Cost Share Account is required to be added to the Effort Form to perform Salary Cap calculations.

SALARY CAP WORKSHEET PRE REVIEW(NOT USED)

Account	Agency	Agency Name	Annual Salary Cap: Current	Annual Salary Cap: Updated Awarded Amount	Effort Payroll Percent From Pre Review Form	Input Effort Expended	ERS Calculated Results: Payroll Should Have Been Charged $	%	Payroll Charged Per Pre Review Form $	%	Net Calculated Cost Transfer Needed $	%	Salary Cap Recorded as Cost Share $	%
Sponsored Accounts														
61390-63690	NSF	NIH			14%	14%	$ 13,626.60	14%	$ 13,626.60	14%	$ 0.00	0%	$ 0.00	0%
61570-63690 CAP	NIH	NIH	$ 10,000.00	$ 10,000.00	39%	39%	$ 990.60	2%	$ 38,459.72	38%	$ -37,469.12	-36%	$ 37,416.50	37%
61570-67930					0%	0%	$ 0.00	0%	$ 0.00	0%	$ 0.00	0%	$ 0.00	0%
62050-10280	NSF	NIH			15%	15%	$ 14,850.00	15%	$ 14,850.00	15%	$ 0.00	0%	$ 0.00	0%
50350-10280					2%	2%	$ 2,018.80	2%	$ 2,018.80	2%	$ 0.00	0%	$ 0.00	0%
		Total Sponsored Accounts			**70%**	**70%**	**$31,486.00**	**33%**	**$68,955.12**	**69%**	**$-37,469.12**	**-36%**	**$37,416.50**	**37%**
Non-Sponsored Accounts														
21150-2332					2%	2%	$ 40,946.09	40%	$ 3,476.97	3%	$ 37,469.12	37%	$ 0.00	0%
61390-05160					28%	28%	$ 28,507.66	28%	$ 28,507.66	28%	$ 0.00	0%	$ 0.00	0%
		Total Non-Sponsored Accounts			**30%**	**30%**	**$69,453.75**	**68%**	**$31,984.63**	**31%**	**$37,469.12**	**37%**	**$0.00**	**0%**
	Grand Total					100%	**$100,939.75**	**101%**	**$100,939.75**	**100%**	**$0.00**	**1%**	**$37,416.50**	**37%**

Explanation for not using the Worksheet: Professor Doyle has confirmed the distribtion

Worksheet saved by Cris Miller on 2015-04-13 20:38

Close Window | Print Form | Help

Excel ▼ Download

Note: This report is only applicable and will generate results if *Inline Salary Cap Worksheet* configuration available under *Admin*→ *System Settings*→ *Effort Form Setup* →*Salary Cap Management* is enabled.

8.4.2.17 Effort Sponsored/Non-sponsored Account Summary

This report generates a list of individuals working on sponsored projects with a total effort certified exceeding certain threshold.

Effort Sponsored/Non-sponsored Account Summary

Select Title(s)

Check All Clear All

Displaying 16 of 16 records

Selection	Title	Title Name
☑	**001001**	PROF ORAL & MAXFCL PATH RAD & MEDI
☑	**001002**	PROFESSOR
☑	**003261**	Extension Assoc. Professor
☑	**003888**	Professor
☑	**004806**	Extension Assistant Professor
☑	**005106**	Research Associate Professor
☑	**006020**	MASTER TEACHER IN TEACHING & L EARNING
☑	**006621**	Professor
☑	**01**	Associate Lab Member
☑	**010038**	JUNIOR RESEARCH SCIENTIST
☑	**017270**	Research Assistant Professor
☑	**019420**	Assistant Professor
☑	**02**	PI
☑	**04**	Research Technician, Sr
☑	**9**	ASSOCIATE PROFESSOR
☑	**Employee**	Employee

Back Proceed

View Employees with

◉ Sponsored

○ Sponsored and Non-Sponsored

GREATER THAN OR EQUAL TO 50 %

Submit

Effort Sponsored/Non-sponsored Account Summary (123116)

Displaying 5 of 5 records

Employees with effort of 50% (or more) on Sponsored Accounts

Sub Dept	Employee Name	Title Code	Sponsored	Sponsored %	Non-Sponsored	Non-Sponsored %	Total	Total %
61570	Codae,Kathy	01	$22,936.74	59%	$15,799.37	41%	$38,736.11	100%
61390	Codae,Doyle	02	$88,641.13	65%	$46,953.86	35%	$135,594.99	100%
61390	Burrows,Kim	04	$26,430.60	100%	$0.00	0%	$26,430.60	100%
61570	Barnett,LN	04	$16,499.25	96%	$638.21	4%	$17,137.46	100%
61570	Williams,Carter	04	$9,648.15	86%	$1,516.46	14%	$11,164.61	100%

EXCEL Download

8.4.2.18 *Cost Share by Account*

This report allows the user to view the cost share amount and percentage as documented in Pre and Post Review per reporting period including total cost share amount.

Cost Share By Account

Awards Number: 61570-63690
Principal Investigator: Codae,Doyle
Grantor: NIH
Awards Description: BONE MARROW
Awards Description (short): BONE MARROW
Awards Subdept: 61390
Awards Begin Date: 01/01/2003
Awards End Date: 12/30/2017

Displaying 2 of 2 records

Reporting Period	Sub Department	Employee ID	Employee Name	Form Certified?	Cost Share				
					Pre Review Amount	Pre Review Percent	Post Review Amount	Post Review Percent	Total Amount
123116	61390	167982222	Codae,Doyle	Y	$2,711.90	2%	$0.00	0%	$2,711.90
123116	61570	711032222	Codae,Kathy	Y	$0.00	0%	$1,161.81	3%	$1,161.81
								Sub Total:	3,873.71

Excel Download

8.4.2.19 *Delinquent Effort Forms*

This report lists all the delinquent effort forms from prior periods. The default sorting of the report is by Reviewer, Subdept, Dept followed by RPCode.

Delinquent Forms

Displaying 20 of 20 records

Employee ID	Employee Name	RPCode	End Date	Dept	Dept Name	SubDept	SubDept Name	Title	Flag	Pending Status	Reviewer	Pending Sponsored Amount
0055825	Bouchard,Beth Ann	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	Research Assistant Professor	BAS	Pending PreReview	Miller,Cris	$30,420.93
0099147	VERMONT5	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	MASTER TEACHER IN TEACHING & L EARNING	JHU	Pending PreReview	Miller,Cris	$28,542.73
0067245	Tracy,Russell P.	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	Professor	BAS	Pending PreReview	Miller,Cris	$43,066.89
0040415	VERMONT2	123115	2015-12-31	555555	ENGINEERING	55524	ENGINEERING	JUNIOR RESEARCH SCIENTIST	JHU	Pending PreReview	Miller,Cris	$1,900.38
0088650	VERMONT4	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	MASTER TEACHER IN TEACHING & L EARNING	JHU	Pending PreReview	Miller,Cris	$1,560.00
117222222	Friedman,Mary	123115	2015-12-31	M50	MEDICINE	61390	Internal Medicine	Associate Lab Member	JHU	Pending PreReview	Miller,Cris	$14,400.00
126032222	Burrows,Kim	123115	2015-12-31	M50	MEDICINE	61390	Internal Medicine	Research Technician	JHU	Pending PreReview	Miller,Cris	$26,430.60
0045571	Darby,Heather Marie	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	Extension Assistant Professor	BAS	Pending PreReview	Miller,Cris	$38,230.13
0056582	Cushman,Mary	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	Professor	BAS	Pending PreReview	Miller,Cris	$41,803.42
0085512	Ross,Donald Savage	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	Research Associate Professor	BAS	Pending PreReview	Miller,Cris	$18,822.86
0102693	VERMONT8	123115	2015-12-31	555555	ENGINEERING	55524	ENGINEERING	MASTER TEACHER IN TEACHING & L EARNING	JHU	Pending PreReview	Miller,Cris	$10,664.45
167984444	Maximus,Demo61570	123115	2015-12-31	M50	MEDICINE	61570	Infectious Disease	P1	PIL	Pending PreReview	Miller,Cris	$33,303.20
137452222	Reilley,Jill	123115	2015-12-31	M50	MEDICINE	61390	Internal Medicine	Research Asst	JHU	Pending PreReview	Benjamin,Deck	$6,618.04
0056132	McMaster,William Joseph	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	Extension Assoc. Professor	BAS	Pending PreReview	Miller,Cris	$30,224.38
129332222	Ruan,Student	123115	2015-12-31	M50	MEDICINE	61390	Internal Medicine	Research Associate	JHU	Pending PreReview	Benjamin,Deck	$12,348.00
101032222	Ferguson,Ter	123115	2015-12-31	M50	MEDICINE	61570	Infectious Disease	Research Technician, Sr	PIL	Pending PreReview	Miller,Cris	$19,513.80
674532222	Liu,Herminine	123115	2015-12-31	M50	MEDICINE	54240	Emergency Medicine	Research Associate	JHU	Pending PreReview	Benjamin,Deck	$6,634.61
0030926	VERMONT1	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	PROFESSOR	JHU	Pending PreReview	Miller,Cris	$5,048.68
0061681	VERMONT3	123115	2015-12-31	555555	ENGINEERING	52060	ENGINEERING	PROF ORAL & MAXFCL PATH RAD & MEDI	JHU	Pending PreReview	Miller,Cris	$3,166.70
711032222	Codae,Kathy	123115	2015-12-31	M50	MEDICINE	61570	Infectious Disease	Research Associate	BAS	Pending PreReview	Miller,Cris	$23,076.85

Excel Download

8.4.3 Administrative Reports

8.4.3.1 Line Item Eligibility

The report displays list of employees whose effort forms are either enabled for line item certification or are eligible for line item certification.

Line Item Eligibility Report (123116)

Displaying 29 of 29 records

Employee ID	Employee Name	Title	Eligibility For Line Item Certification?	Line Item Certification Enabled?
182702222	Barnett,LN	04	N	N
124552222	Williams,Carter	04	N	N
101032222	Ferguson,Ter	04	Y	Y
129332222	Ruan,Student	01	N	N
117222222	Friedman,Mary	01	N	N
674532222	Liu,Herminine	01	N	N
691762222	Jungbluth,John	01	N	N
711032222	Codae,Kathy	01	N	N
800101040	Munn, Kelly41	9	N	N
167982222	Codae,Doyle	02	N	N
0030926	Pickle, Scott	001002	N	N
0040415	Tomlin, Sarah	010038	N	N
0061681	Boardman. Lucy	001001	N	N
0088650	Fancy, Alfred	006020	N	N
0099147	Marin, Penelope	006020	N	N
0108863	Ballif, Bryan A.	019420	N	N
0102693	O'Shaughnessy, Pat	006020	N	N
0056132	McMaster,William Joseph	003261	N	N
0056582	Cushman,Mary	006621	N	N
0085512	Ross,Donald Savage	005106	N	N
0045571	Darby,Heather Marie	004806	N	N
0055825	Bouchard,Beth Ann	017270	N	N
0067245	Tracy,Russell P.	003888	N	N
888777002	Friedman,Mary	Employee	Y	Y
8887770061	Grey,Donna1	Employee	Y	Y
8887770062	Grey,Donna2	Employee	Y	Y
126032222	Burrows,Kim	04	N	N
137452222	Reilley,Jill	04	N	N
167984444	Maximus,Demo61570	01	Y	Y

EXCEL Download

The report provides following information:

- **Employee ID**
- **Employee Name**
- **Title**
- **Eligibility For Line Item Certification? –** Possible values are "Y" or "N". Y indicates that the effort form is eligible for line item certification.
- **Line Item Certification Enabled –** Possible values are "Y" or "N". Y indicates that line item certification has been enabled for an effort form.

8.4.3.2 Employees whose Forms Have Been Certified by Someone Else

This report provides a list of the effort forms that have been certified by someone other than the covered employee. The report provides Certifier ID, Certifier name and Title code as shown below.

Employees whose forms have been certified by someone else (123116)

Displaying 4 of 4 records

Division	Sub Dept	Dept	Employee ID	Employee Name	Title Code	Certified By		
						Certifier ID	Certifier Name	Certifier Title Code
SC	61390	M50	126032222	Burrows,Kim	04	9990704	Grey, John	100009
SC	61390	M50	167982222	Codae,Doyle	02	555017	Stan Lee	77
SC	61570	M50	182702222	Barnett,LN	04	167982222	Codae,Doyle	02
SC	61570	M50	711032222	Codae,Kathy	01	267982222	Power, Max	04

EXCEL Download

8.4.3.3 Employees Who Have Been Sent to another Sub Dept. for Reviewing

This report allows viewing a list of individuals who have been assigned to an alternate Sub Department.

Employees who have been sent to another Sub Dept for reviewing (123116)

Displaying 1 of 1 records

Division	Sub Dept	Dept	Employee Name	Alternate Sub Dept
SC	61570	M50	Williams,Carter	61390

EXCEL Download

8.4.3.4 Print Certified Statements

The ***Print Certified Statement*** report allows the user to generate a list of all the certified effort reports for an individual.

On clicking the **Print Certified Statements** link, the user is given the following two options:

Print Certified Statements

Select an Action

Action	Description
Search by Department	Select certified forms by Department and Sub Department.
Search by Employee	Search for certified effort forms by Employee Name or ID.

- **Search by Department**
  This option is used to go through the department /sub department selection interface (displayed when there are more than 10 department or sub departments) to select specific employees, and print certified statements for them for selected reporting period.

  On clicking the **Search by Department** link, the user is prompted to select either a Department or Sub Department.

***NOTE**: The role of SUBDC only has an option to select Sub Department.*

After selecting a Department or Sub Department, a list of applicable reporting periods will become available. After selecting a reporting period, a list of employees will be displayed. By selecting more than one employee, the user has the option to print multiple certified statements at the same time. This also gives the user the option to download multiple certified statements in a PDF file.


Print Certified Statements

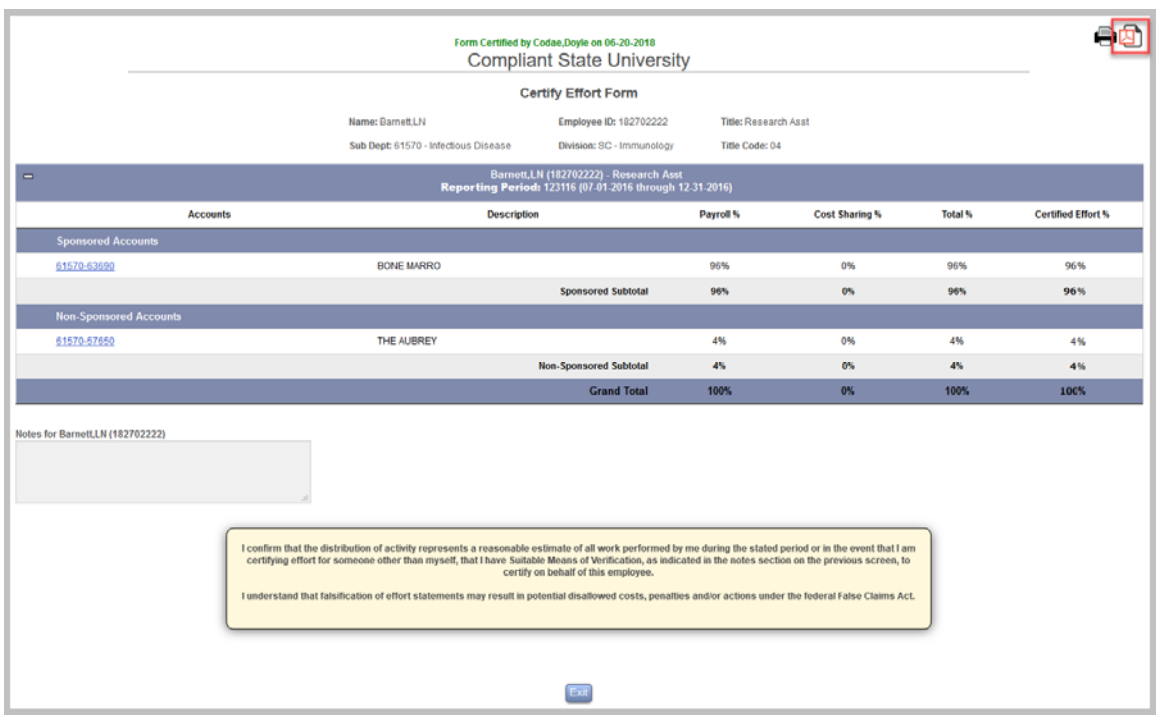
Check All Clear All

Displaying 5 of 5 records

Selection	Employee ID	Employee Name	Sub Department
	182702222	Barnett,LN	61570
	711032222	Codae,Kathy	61570
	137452222	Reilley,Jill	61390
	124552222	Williams,Carter	61570
	126032222	Burrows,Kim	61390

Proceed

Select an employee and click Proceed to view the Certified Statement.


Form Certified by Codae,Doyle on 06-20-2018

Compliant State University

Certify Effort Form

Name: Barnett,LN Employee ID: 182702222 Title: Research Asst

Sub Dept: 61570 - Infectious Disease Division: SC - Immunology Title Code: 04

Barnett,LN (182702222) - Research Asst
Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts					
61570-63690	BONE MARRO	96%	0%	96%	96%
	Sponsored Subtotal	96%	0%	96%	96%
Non-Sponsored Accounts					
61570-57650	THE AUBREY	4%	0%	4%	4%
	Non-Sponsored Subtotal	4%	0%	4%	4%
	Grand Total	100%	0%	100%	100%

Notes for Barnett,LN (182702222)

I confirm that the distribution of activity represents a reasonable estimate of all work performed by me during the stated period or in the event that I am certifying effort for someone other than myself, that I have Suitable Means of Verification, as indicated in the notes section on the previous screen, to certify on behalf of this employee.

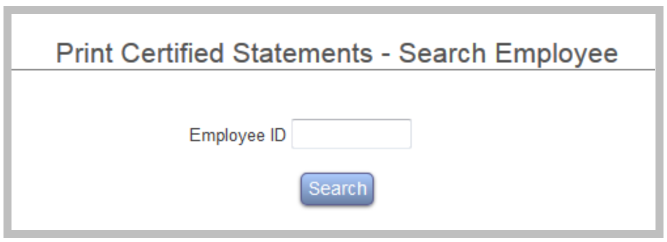
I understand that falsification of effort statements may result in potential disallowed costs, penalties and/or actions under the federal False Claims Act.

Exit

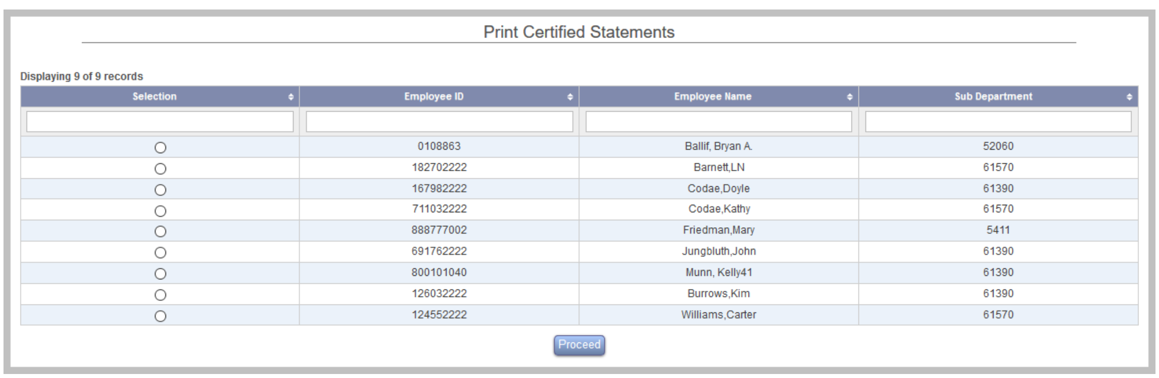
- **Search by Employee**

This option allows the user to search for an individual either by employee id or employee name, select one or more reporting periods, and print certified effort statements.

On clicking the **Search by Employee** link, the user is prompted to enter partial or complete employee id or name. (Entries provided for the Employee ID or Employee Name does not need to be case-specific.) If no input is entered and the **Search** button is clicked, ERS will display all individuals for which an effort form was certified.



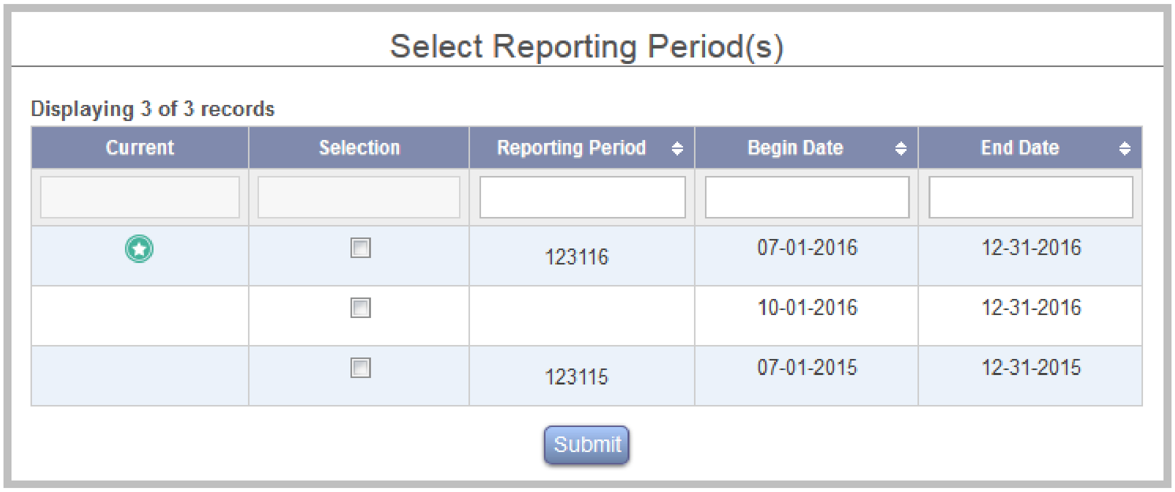
If more than one employee resulted from a search, a list of employees will be returned. Otherwise, the system will provide the reporting period selection screen.


Print Certified Statements

Displaying 9 of 9 records

Selection	Employee ID	Employee Name	Sub Department
○	0108863	Ballif, Bryan A.	52060
○	182702222	Barnett,LN	61570
○	167982222	Codae,Doyle	61390
○	711032222	Codae,Kathy	61570
○	888777002	Friedman,Mary	5411
○	691762222	Jungbluth,John	61390
○	800101040	Munn, Kelly41	61390
○	126032222	Burrows,Kim	61390
○	124552222	Williams,Carter	61570

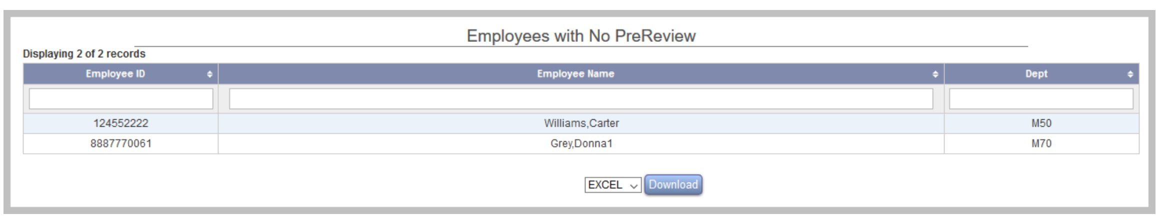
Proceed



Upon selecting one or more reporting periods and clicking the **Submit** button, the user is presented with certified statements of the selected individual with an option to download the results to a PDF file or print it to a printer.

8.4.3.5 Employees with No Pre Review

This report displays a list of individuals who can certify their effort forms without a Pre Review requirement.



8.4.3.6 Employee Assignments

This report displays the *Pre Reviewer*, *Certifier* and *Post Revi*ewer of individuals by Sub Department. The report includes individuals assigned to an alternate Sub Department. If the system is configured to use Line Item, the Employee Assignment information is presented in a separate section, *Employee Assignments – Line Items* as shown in the screenshot.

Employee Assignments

Displaying 10 of 10 records

Employee Name	Sub Dept	Title Code	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
Barnett,LN	61570	04	Miller,Cris	Codae,Doyle	Miller,Cris	
Burrows,Kim	61390	04	Miller,Cris	Grey, John	Miller,Cris	61390
Codae,Doyle	61390	02	Benjamin,Deck	Codae,Doyle	Miller,Cris	
Codae,Kathy	61570	01	Miller,Cris	Power, Max	Miller,Cris	
Friedman,Mary	61390	01	Miller,Cris	Friedman,Mary	Miller,Cris	
Jungbluth,John	61390	01	Benjamin,Deck	Jungbluth,John	Miller,Cris	
Munn, Kelly41	61390	9	Benjamin,Deck	Miller,Cris1	Miller,Cris	
Reilley,Jill	61390	04	Benjamin,Deck	Codae,Doyle	Miller,Cris	
Ruan,Student	61390	01	Benjamin,Deck	Codae,Doyle	Miller,Cris	61390
Williams,Carter	61570	04		Miller,Cris1	Miller,Cris	61390

Displaying 2 of 2 records

Employee Assignments - Line Items

Employee Name	Sub Dept	Title Code	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
Ferguson,Ter	61570	04	Miller,Cris	Codae,Doyle	Miller,Cris	
				Williams,Carter	Miller,Cris	
Maximus,Demo	61570	01	Miller,Cris	Codae,Doyle	Miller,Cris	

EXCEL Download

8.4.3.7 *Employee Assignments Audit Trail*

This report provides history of individual assignment changes done using following features:

- Initiation
- Data Refresh
- Assignments
- Manual database update

Assignment Audit Trail

Displaying 16 of 16 records

Employee Id	Employee Name	PreReview Id	PreReview Name	Certifier Id	Certifier Name	PostReviewer Id	PostReviewer Name	Modifier	Reason	Date Updated
131132222	Resh,Kim	149432222	Miller,Cris	167982222	Codae,Doyle	149432222	Miller,Cris		OrgRefresh	2009-07-23 19:30:59.093
				131132222	Resh,Kim					
137452222	Reilley,Jill	114132222	Benjamin,Deck	167982222	Codae,Doyle	149432222	Miller,Cris	864322222	DataRefresh	2008-10-07 13:43:41.093
		149432222	Miller,Cris	167982222	Codae,Doyle	149432222	Miller,Cris			
167982222	Codae,Doyle	114132222	Benjamin,Deck	167982222	Codae,Doyle	149432222	Miller,Cris		OrgRefresh	2009-07-23 19:30:59.078
		149432222	Miller,Cris	167982222	Codae,Doyle	149432222	Miller,Cris			
674532222	Liu,Herminine	114132222	Benjamin,Deck	149431111	Miller,Cris1	801572222	Hanashima,China		OrgRefresh	2009-07-23 19:30:59.109
		114132222	Benjamin,Deck	149432222	Miller,Cris	149432222	Miller,Cris			
698052222	Chao,Luz			698052222	Chao,Luz				OrgRefresh	2009-07-23 19:30:59.093
				698052222	Chao,Luz					
798642222	Liang,Jine	304012222	Admin,Fran12	167985555	Maximus,Demo53030				OrgRefresh	2009-07-23 19:30:59.093
		304012222	Admin,Fran12	167985555	Maximus,Demo53030					
801572222	Hanashima,China			704882222	Koritchneva,Harry	149432222	Miller,Cris		OrgRefresh	2009-07-23 19:30:59.093
				704882222	Koritchneva,Harry	149432222	Miller,Cris			
987654321	Jordan,Brett	114132222	Benjamin,Deck	987654321	Jordan, Brett	149432222	Miller,Cris		OrgRefresh	2009-07-23 19:30:59.093
		149432222	Miller,Cris	987654321	Jordan, Brett	149432222	Miller,Cris			

EXCEL Download

The report contains following columns:

- Employee ID and Employee Name
- Pre Reviewer ID and Pre Reviewer Name (if applicable)
- Certifier ID and Certifier Name
- Post Reviewer ID and Post Reviewer Name (if applicable)
- **Modifier**: ID of an individual who made the assignment change.
- **Reason**: The column displays the module used to make the assignment change
- **Date Updated**: The date when assignment change occurred.

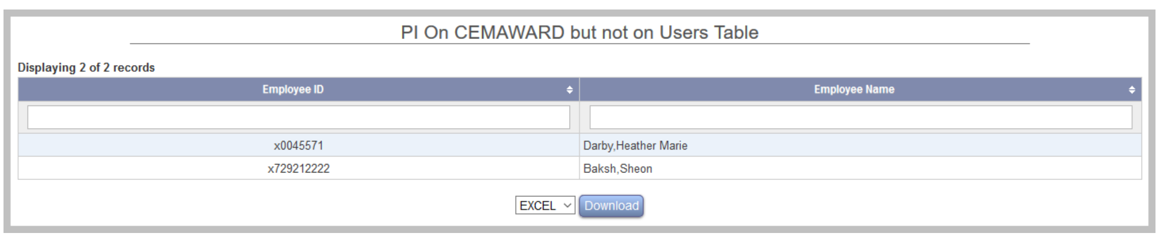
The first record of an individual (highlighted) represents the most current change.

8.4.4 Exception Reports

The reports listed under the section *Exception Reports* are available only to the role of Central Administrator and are useful for monitoring any data related issues.

8.4.4.1 PI on CEMAWARD but not on USERS table

This is an exception report that lists employee(s) whose job role is PI in CEMAWARD table but who is missing in ERSUSERS table.


PI On CEMAWARD but not on Users Table

Displaying 2 of 2 records

Employee ID	Employee Name
x0045571	Darby,Heather Marie
x729212222	Baksh,Sheon

EXCEL Download

8.4.4.2 Accounts on Award Table but not on Chart of Accounts table

This is an exception report that lists accounts that in CEMAWARD table but are missing in the ERSCHARTACCTS table.

Account on Award Table but not on Chart of Accounts table (123116)

Displaying 5 of 5 records

Account ID
x444123-500-12001-201-4531330
x444123-500-12002-201-4541010
x444123-500-12000-201-4401120
x444123-510-31010-201-5121096
x444123-510-31020-201-5121095

EXCEL Download

8.4.4.3 Accounts on Payroll Table but not on Chart of Accounts Table

This report provides a list of all accounts that appear in the ***current*** reporting period ERSPAYROLLXXXXXX table but are not listed in the ERSCHARTACCTS table.

Account on Payroll Table but not on Chart of Accounts table (123116)

Displaying 1 of 1 records

Account ID
x46850-25650

EXCEL Download

8.4.4.4 Employees on Payroll Table but not on Users table

This report provides a list of all individuals that have payroll transactions in ERSPAYROLLxxxxxx for the current reporting period but are missing the user details in the table ERSUSERS.

Employees on Payroll Table but not on Users table (123116)

Displaying 2 of 2 records

Employee ID	Employee Name	Sub Dept
x674532222	Liu,Herminine	61390
x691762222	Jungbluth,John	61390,

EXCEL Download

8.4.4.5 Cost Transfers with Late reasons

This report provides a list of all *cost transfers* done in the ***current*** reporting period and displays the reason given for the transfer.

Adjustment with late reasons (123116)

Displaying 6 of 6 records

CT Number	Employee ID	Employee Name	Account	Amount	Begin Date	End Date	Reason
PRE-1528308694824-00	0055825	Bouchard,Beth Ann	55110-100-100001-0000-0010	$-7,091.66	01-JUL-16	31-DEC-16	test
PRE-1528308694824-00	0055825	Bouchard,Beth Ann	55110-300-201001-022740-0000-0000	$-7,091.66	01-JUL-16	31-DEC-16	Reversed by ERS on 12-JUN-18 for CTNum: PRE-1528308694824-00
PRE-1528308694824-00	0055825	Bouchard,Beth Ann	55110-300-201001-022740-0000-0000	$7,091.66	01-JUL-16	31-DEC-16	test
PRE-1528308694824-00	0055825	Bouchard,Beth Ann	55110-100-100001-0000-0010	$7,091.66	01-JUL-16	31-DEC-16	Reversed by ERS on 12-JUN-18 for CTNum: PRE-1528308694824-00
PRE-1506535319865-00	167984444	Maximus,Demo61570	55010-75230	$1,000.00	01-JUL-16	31-DEC-16	tetssgs
PRE-1506535319865-00	167984444	Maximus,Demo61570	61390-05160	$-1,000.00	01-JUL-16	31-DEC-16	tetssgs

EXCEL Download

8.4.4.6 Employees with Negative Payroll

This report provides a list of all payroll entries for an employee by account in the current reporting period with negative dollar amounts.

Payroll with Negative Amount (123116)

Displaying 1 of 1 records

Employee ID	Employee Name	Account ID	Amount
8887770061	Grey,Donna1	0010-300-2571	-3,000.00

EXCEL Download

8.4.4.7 Terminated Employees Still Assigned to Roles

This report provides a list of all terminated employees in ERS that have some role assigned to them.

Terminated Employees Assigned as Pre Reviewers

Displaying 0 of 0 records

Employee ID	Employee Name	SubDept

Terminated Employees Assigned as Certifiers

Displaying 2 of 2 records

Employee ID	Employee Name	SubDept
8887770061	Grey,Donna1	5411
8887770062	Grey,Donna2	5411

Terminated Employees Assigned as Post Reviewers

Displaying 0 of 0 records

Employee ID	Employee Name	SubDept

Terminated Employees Assigned as DH's

Displaying 1 of 1 records

Employee ID	Employee Name	SubDept
108112222	Diaz,Dazzy	54240

Terminated Employees Assigned as DC's

Displaying 0 of 0 records

Employee ID	Employee Name	SubDept

Terminated Employees Assigned as SubDC's

Displaying 0 of 0 records

Employee ID	Employee Name	SubDept

Terminated Employees Assigned as CemDC's

Displaying 0 of 0 records

Employee ID	Employee Name	SubDept

Terminated Employees Assigned as CemSubDC's

Displaying 0 of 0 records

Employee ID	Employee Name	SubDept

Terminated Employees Assigned as PM's

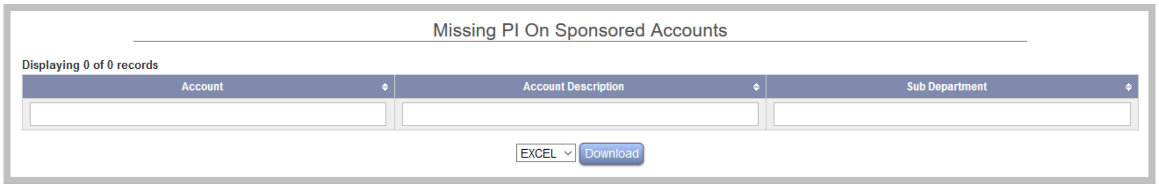
Displaying 0 of 0 records

Employee ID	Employee Name	SubDept

EXCEL Download

8.4.4.8 Missing PI on Sponsored Accounts

This report generates a list of the accounts that are missing a Principal Investigator assignment.



Missing PI On Sponsored Accounts

Displaying 0 of 0 records

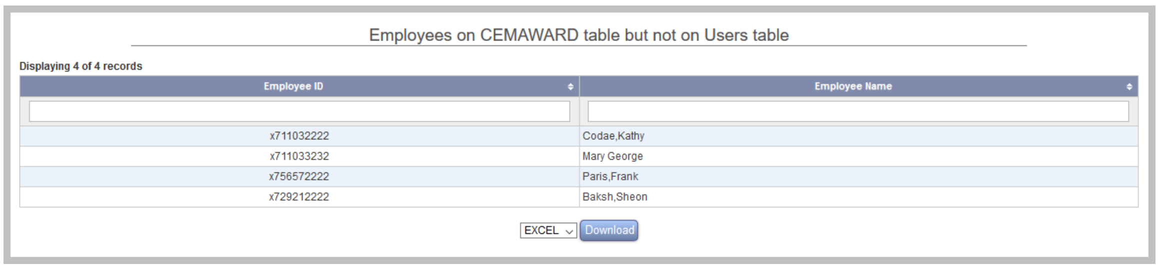
Account	Account Description	Sub Department

EXCEL Download

Note: This report is only applicable if the Line Item feature is used.

8.4.4.9 Employees on CEMAWARD table but not on Users table

This report provides a list of employees whose detail records are missing from ERSUSERS table but exist in CEMAWARD table.



Employees on CEMAWARD table but not on Users table

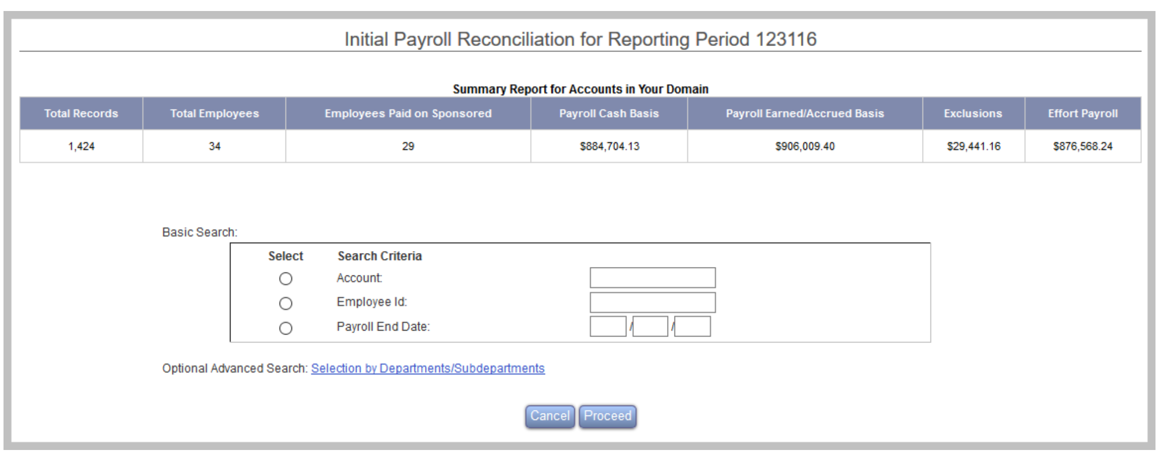
Displaying 4 of 4 records

Employee ID	Employee Name
x711032222	Codae,Kathy
x711033232	Mary George
x756572222	Paris,Frank
x729212222	Baksh,Sheon

EXCEL Download

8.4.5 Initial Payroll Reconciliation

This report is used to perform a *Payroll Reconciliation* for any selected reporting period. The total payroll for that report period is displayed with the option to review information by the *Account*, *Employee* or *Payroll End Date*. An *Advance Search* is also available to select by Department/Sub Department.



Initial Payroll Reconciliation for Reporting Period 123116

Summary Report for Accounts in Your Domain

Total Records	Total Employees	Employees Paid on Sponsored	Payroll Cash Basis	Payroll Earned/Accrued Basis	Exclusions	Effort Payroll
1,424	34	29	$884,704.13	$906,009.40	$29,441.16	$876,568.24

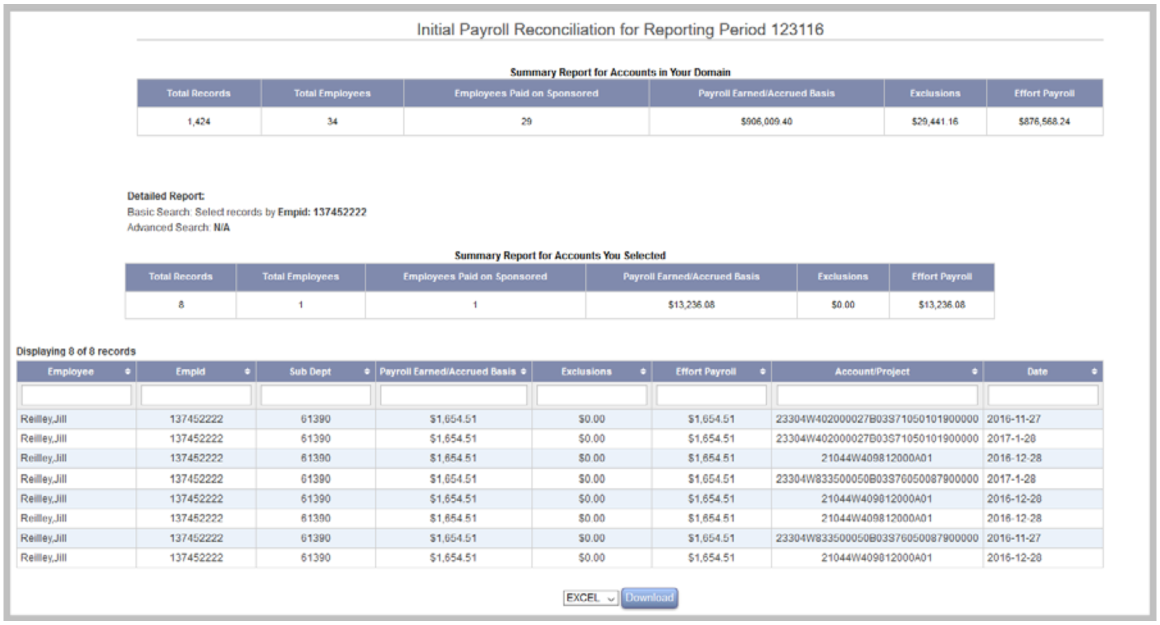
Basic Search:

Select	Search Criteria
○	Account:
○	Employee Id:
○	Payroll End Date: / /

Optional Advanced Search: Selection by Departments/Subdepartments

Cancel Proceed

Results when entering an individual's Employee ID:



Initial Payroll Reconciliation for Reporting Period 123116

Summary Report for Accounts in Your Domain

Total Records	Total Employees	Employees Paid on Sponsored	Payroll Earned/Accrued Basis	Exclusions	Effort Payroll
1,424	34	29	$906,009.40	$29,441.16	$876,568.24

Detailed Report:
Basic Search: Select records by **Empid: 137452222**
Advanced Search: **N/A**

Summary Report for Accounts You Selected

Total Records	Total Employees	Employees Paid on Sponsored	Payroll Earned/Accrued Basis	Exclusions	Effort Payroll
8	1	1	$13,236.08	$0.00	$13,236.08

Displaying 8 of 8 records

Employee	Empid	Sub Dept	Payroll Earned/Accrued Basis	Exclusions	Effort Payroll	Account/Project	Date
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	23304W402000027B03S71050101900000	2016-11-27
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	23304W402000027B03S71050101900000	2017-1-28
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	21044W409812000A01	2016-12-28
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	23304W833500050B03S76050087900000	2017-1-28
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	21044W409812000A01	2016-12-28
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	21044W409812000A01	2016-12-28
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	23304W833500050B03S76050087900000	2016-11-27
Reilley,Jill	137452222	61390	$1,654.51	$0.00	$1,654.51	21044W409812000A01	2016-12-28

EXCEL Download

8.4.6 Critical Review

8.4.6.1 Critical Review Status Report

This report allows reviewing the completion status of effort forms that were identified with critical issues. By clicking on the hyperlink, the user can review the effort form to verify that the critical issues have been addressed.

Critical Review Status (123116)

Form Pending Pre Review — Top

Displaying 3 of 3 records

Critical Review List										
Employee ID	Employee Name	Sub Dept	Dept	K-Award	Commitment	Salary Cap	Clearing Accounts	Pre Reviewer	Status	RCT Date
0055825	Bouchard,Beth Ann	52060	555555	X	X		X	Miller,Cris		
0056582	Cushman,Mary	52060	555555		X	X		Miller,Cris	Saved	2017-12-20
0067245	Tracy,Russell P.	52060	555555		X		X	Miller,Cris		

Form Pending Certification — Top

Displaying 3 of 3 records

Critical Review List												
Employee ID	Employee Name	Sub Dept	Dept	K-Award	Commitment	Salary Cap	Clearing Accounts	Pre Reviewer	Date Reviewed	Certifier	Status	RCT Date
0108863	Ballif, Bryan A.	52060	555555		X			Miller,Cris	26-Sep-17	Ballif, Bryan A.		
0045571	Darby,Heather Marie	52060	555555		X			Miller,Cris	24-Oct-17	Darby,Heather Marie		
800101040	Munn, Kelly41	61390	M50		X			Miller,Cris1	28-Jun-18	Paper Certification		

Form Pending Post Review — Top

Displaying 0 of 0 records

Critical Review List														
Employee ID	Employee Name	Sub Dept	Dept	K-Award	Commitment	Salary Cap	Clearing Accounts	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Status	RCT Date

Form Completed — Top

Displaying 1 of 1 records

Critical Review List														
Employee ID	Employee Name	Sub Dept	Dept	K-Award	Commitment	Salary Cap	Clearing Accounts	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Date Post Reviewed	RCT Date
167982222	Codae,Doyle	61390	M50			X		Benjamin,Deck	21-Jun-18	Stan Lee	27-Jun-18	Not Required		

EXCEL Download

Chapter 9

Print Forms

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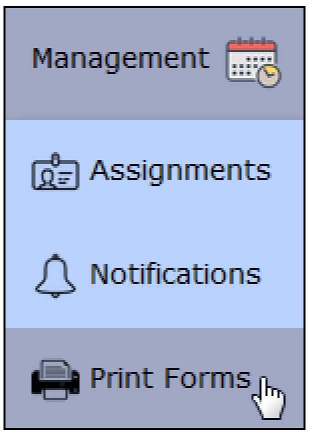
9 Print Forms

9.1 Print Paper Forms

The *Effort Reporting System* provides an option to print a hard copy of un-accessed effort forms for a desired reporting period. The option to print hard copies of effort forms is available by selecting **Print Forms** option under Management.



By default this option is available to the role of Central Administrator (CA), Central Administrator Auditor (AUDITCA), Division Head (DH) and Department Coordinator (DC). The CA can remove or reassign this menu option to the following roles via the *Role Management* module.

- Central Administrator Auditor
- Division Head (DH)
- Department Coordinator (DC)

After selecting **Print Forms**, the applicable reporting period for the desired effort form must be selected by clicking on the descriptive link. The start and end dates are listed next to each specific Reporting Period.

Print Forms

Select Reporting Period

Displaying 3 of 3 records

Current	Reporting Period	Begin Date	End Date
✪	123116	07-01-2016	12-31-2016
		10-01-2016	12-31-2016
	123115	07-01-2015	12-31-2015

After selecting the reporting period, the user must select the related department and sub department.

Print Forms

Select Department(s)

Check All Clear All

Displaying 7 of 7 records

Selection	Department	Department Name
☐	222123	Biology
☐	333123	Engineering
☐	444123	Genetics
☐	555555	ENGINEERING
☐	M50	MEDICINE
☐	M60	BIOLOGY
☐	M70	CHEMISTRY

Proceed

Print Forms

Select Sub Department(s)

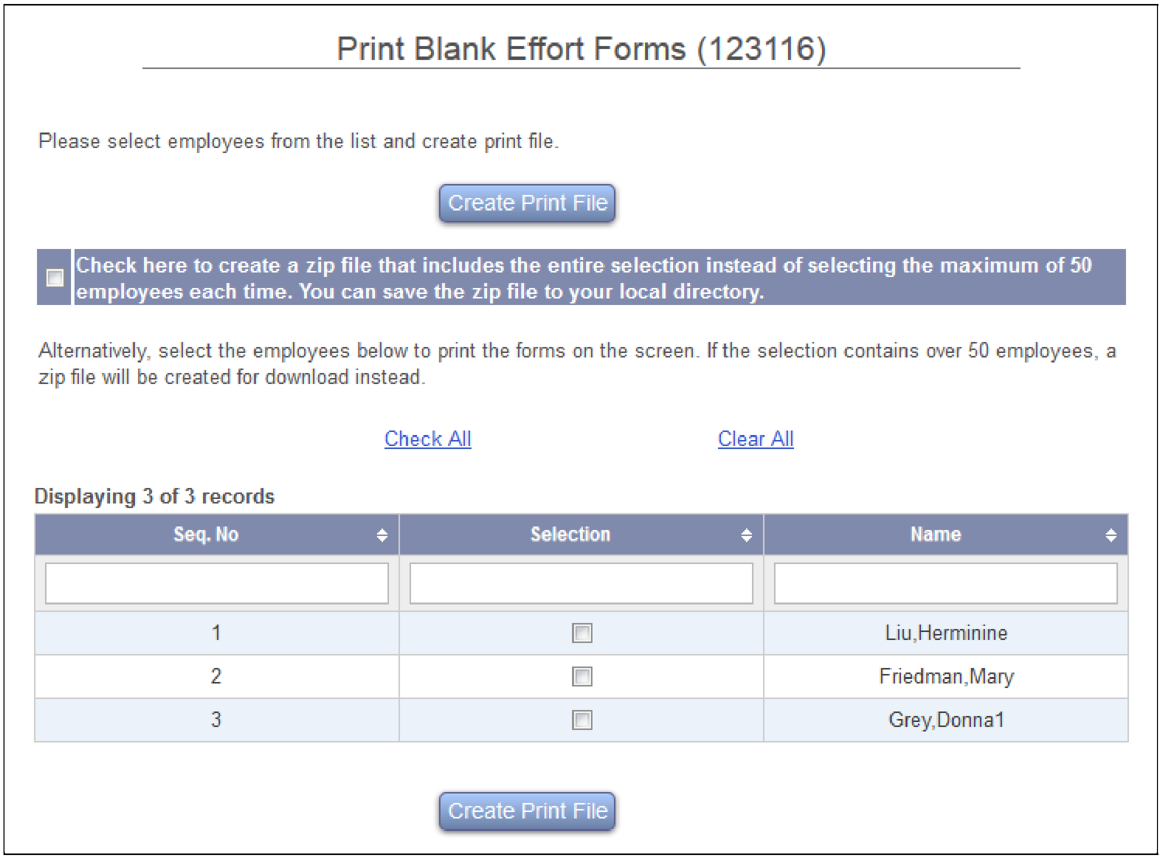
Check All Clear All

Displaying 15 of 15 records

Selection	Sub Department	Sub Department Name
☐	222123-1	Biology
☐	333123-1	Engineering
☐	35208	Surgery
☐	444123-1	Genetics
☐	52060	ENGINEERING
☐	53030	BIOCHEMICAL & MOLECULAR VIROLOGY
☐	53050	MOLECULAR DEVELOPMENTAL BIOLOGY
☐	5411	CHEMISTRY
☐	54240	Emergency Medicine
☐	54243	Pharmacy
☐	55524	ENGINEERING
☐	56210	BIO ORGANIC CHEMISTRY
☐	61390	Internal Medicine
☐	61570	Infectious Disease
☐	999070	Medicine Prac

Back Proceed

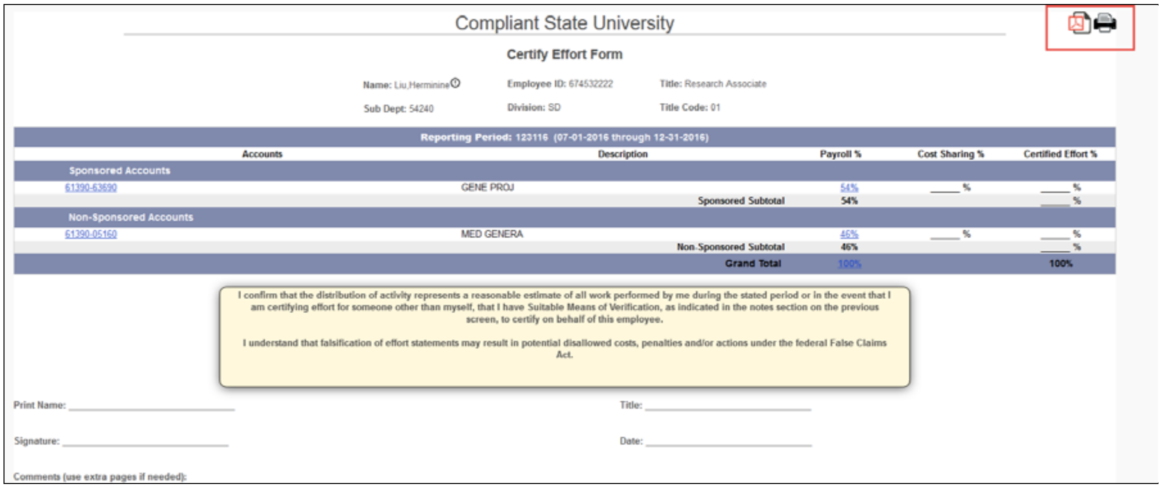
ERS will then generate a list of the effort forms available for printing.



Note: The effort forms that have been accessed or completed will not be available to print.

Select effort forms by clicking on the check box next to the employee name or use the link "*Check All*" to select all the listed individuals. If the list of employees is longer than fifty names, you can scroll through the employees fifty rows at a time by selecting ranges of sequence numbers (1-50, 51-100, etc.) from the seq. no. dropdown. If you are viewing a range of employees in this way, the "Check All" and "Clear All" options apply only to the currently selected range of employees. To return to viewing the complete list of employees again, select "[All]" from the seq. no. dropdown.

Clicking on the button "*Create Print File*" will generate the effort forms of the selected individuals in one page (HTML format) in a separate browser window.



Compliant State University

Certify Effort Form

Name: Liu,Herminine Employee ID: 674532222 Title: Research Associate

Sub Dept: 54240 Division: SD Title Code: 01

Accounts	Description	Payroll %	Cost Sharing %	Certified Effort %
Reporting Period: 123116 (07-01-2016 through 12-31-2016)				
Sponsored Accounts				
61390-63690	GENE PROJ	54%	____ %	____ %
	Sponsored Subtotal	54%		____ %
Non-Sponsored Accounts				
61390-05160	MED GENERA	46%	____ %	____ %
	Non-Sponsored Subtotal	46%		____ %
	Grand Total	100%		100%

I confirm that the distribution of activity represents a reasonable estimate of all work performed by me during the stated period or in the event that I am certifying effort for someone other than myself, that I have Suitable Means of Verification, as indicated in the notes section on the previous screen, to certify on behalf of this employee.

I understand that falsification of effort statements may result in potential disallowed costs, penalties and/or actions under the federal False Claims Act.

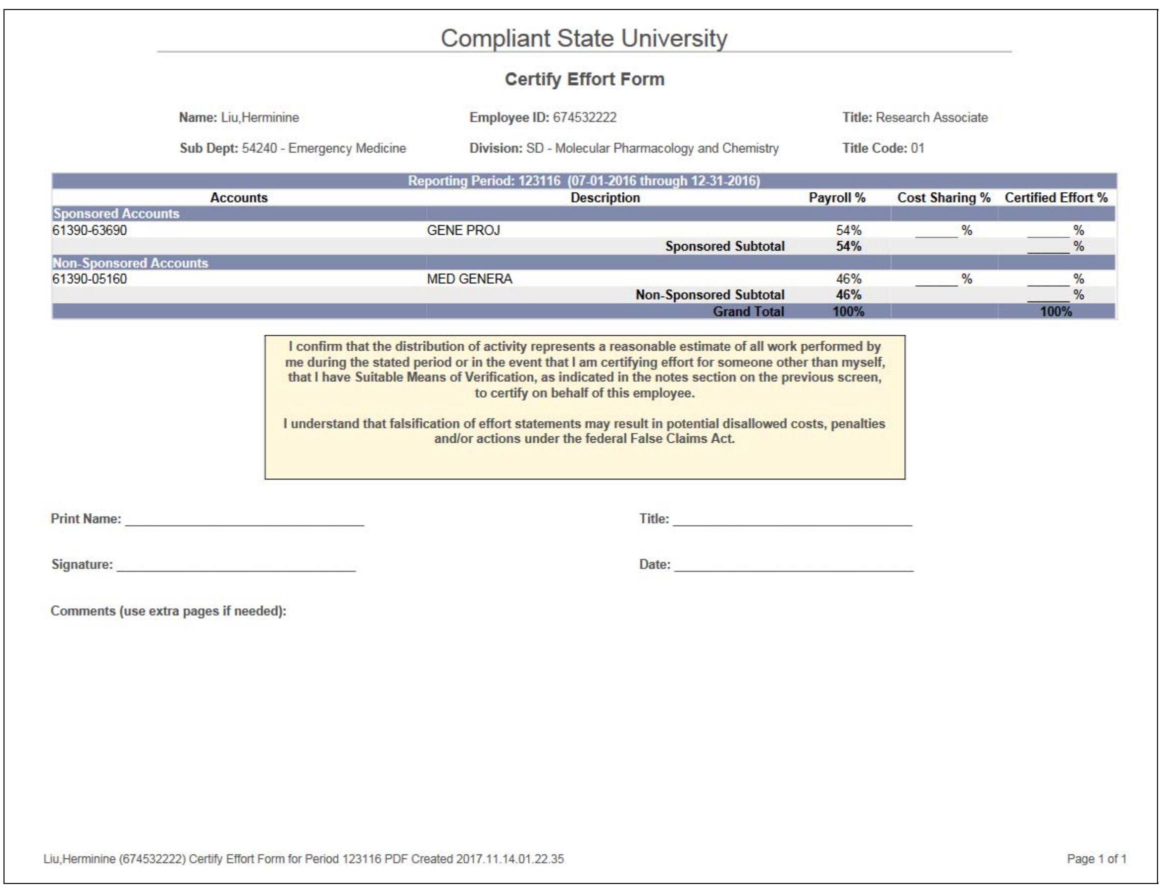
Print Name: ____________ Title: ____________

Signature: ____________ Date: ____________

Comments (use extra pages if needed):

On the top right corner use the icon to print the effort forms or icon to generate a PDF file of all the effort forms. Each effort form will be printed on a separate page.

Example screenshot of pdf version of the selected effort form:



Compliant State University

Certify Effort Form

Name: Liu,Herminine Employee ID: 674532222 Title: Research Associate

Sub Dept: 54240 - Emergency Medicine Division: SD - Molecular Pharmacology and Chemistry Title Code: 01

Accounts	Description	Payroll %	Cost Sharing %	Certified Effort %
Reporting Period: 123116 (07-01-2016 through 12-31-2016)				
Sponsored Accounts				
61390-63690	GENE PROJ	54%	____ %	____ %
	Sponsored Subtotal	54%		____ %
Non-Sponsored Accounts				
61390-05160	MED GENERA	46%	____ %	____ %
	Non-Sponsored Subtotal	46%		____ %
	Grand Total	100%		100%

I confirm that the distribution of activity represents a reasonable estimate of all work performed by me during the stated period or in the event that I am certifying effort for someone other than myself, that I have Suitable Means of Verification, as indicated in the notes section on the previous screen, to certify on behalf of this employee.

I understand that falsification of effort statements may result in potential disallowed costs, penalties and/or actions under the federal False Claims Act.

Print Name: ____________ Title: ____________

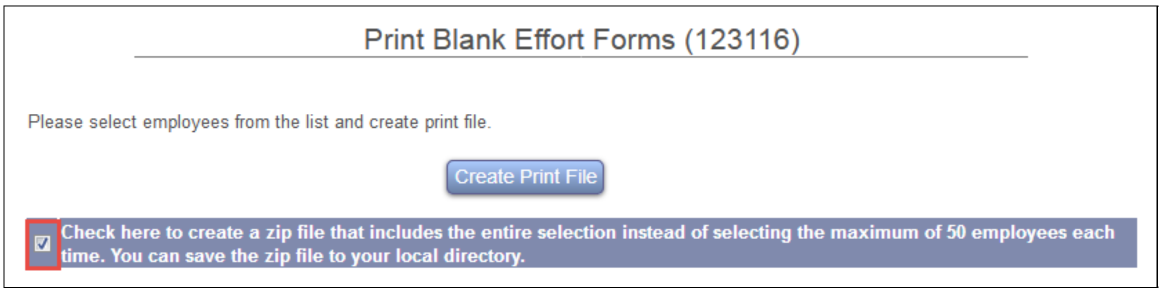
Signature: ____________ Date: ____________

Comments (use extra pages if needed):

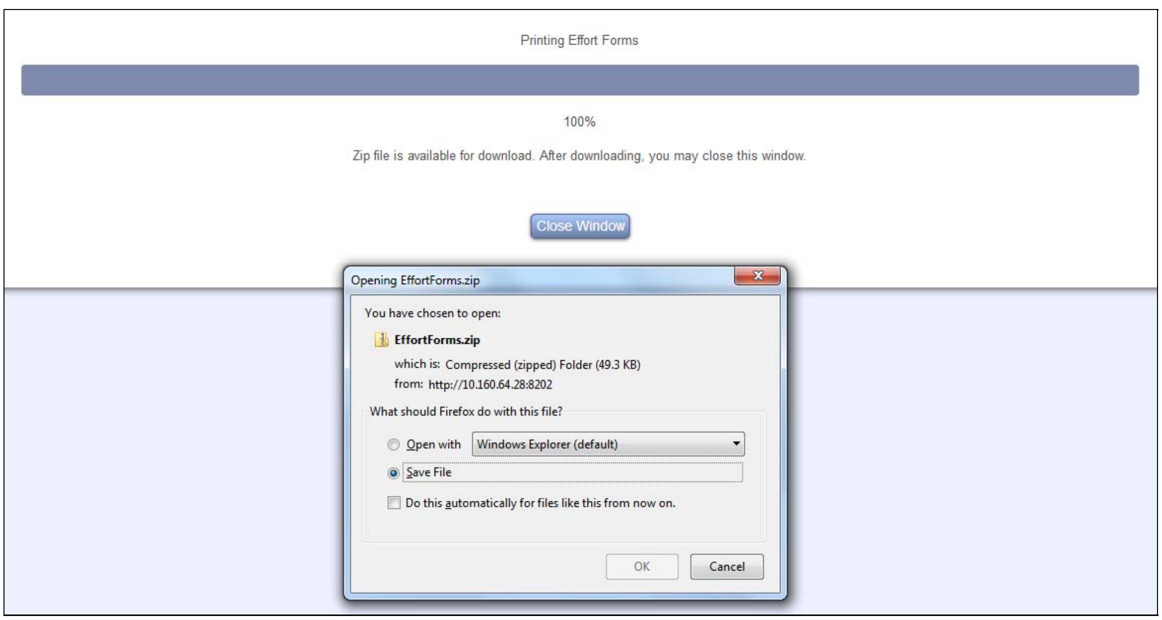
Liu,Herminine (674532222) Certify Effort Form for Period 123116 PDF Created 2017.11.14.01.22.35 Page 1 of 1

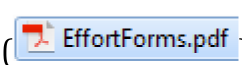
Note: If the selection is over 50 effort forms then the system will generate a zip file containing a pdf of each of the selected effort forms instead of rendering an html page.

There is also an option to create a zip file for all the effort forms identified by the system.



On clicking button "*Create Print File*" the system will create a zip file named "*EffortForms.zip*"



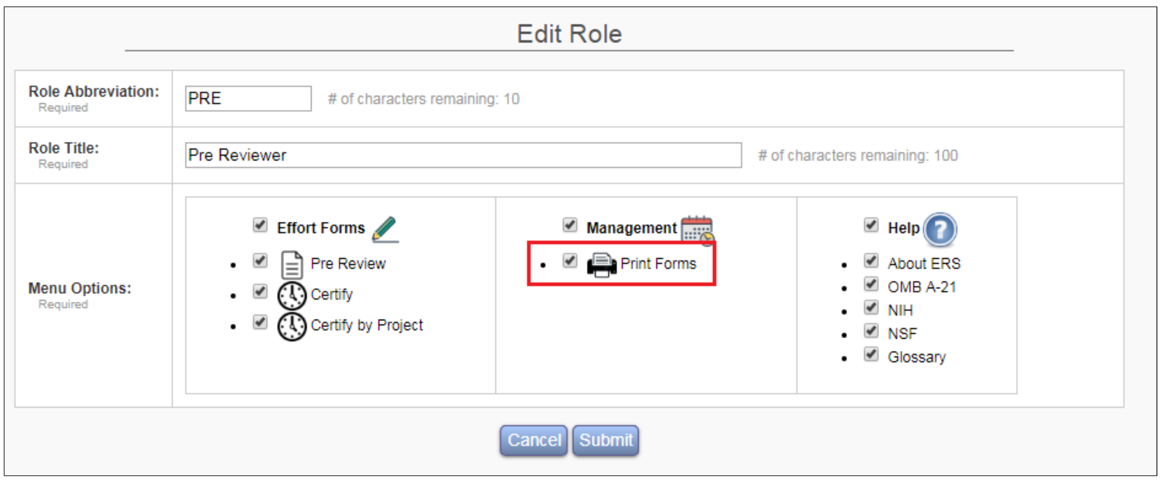
The zip file will contain a pdf file (

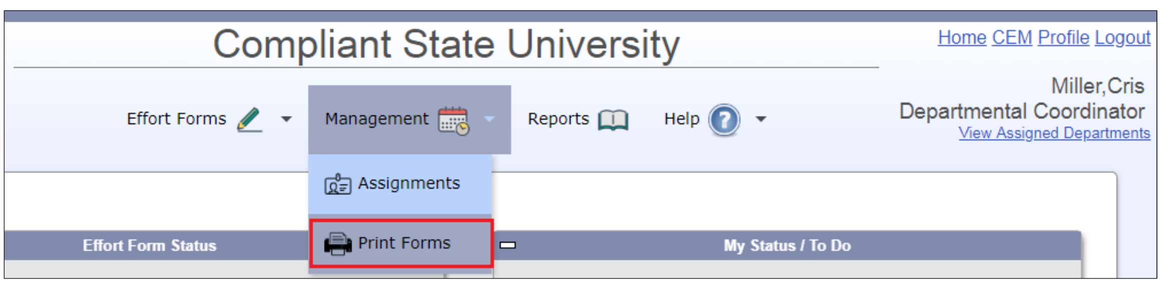
) of all the identified effort forms.

9.2 Paper Certification

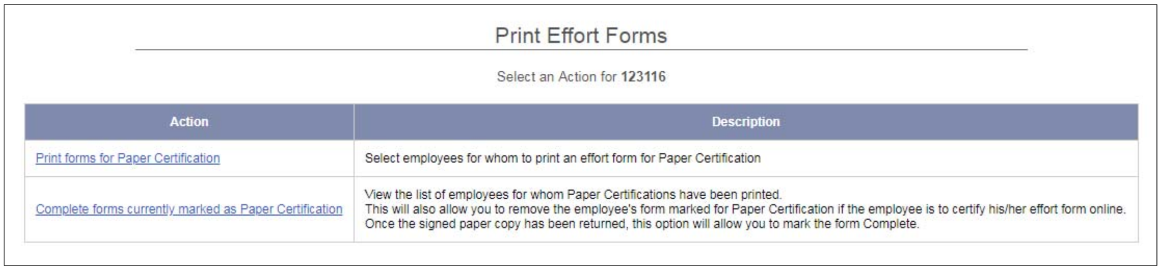
When Paper Certification feature is turned on, CA should make the **Print Forms** menu option available to the following ERS Roles:

- Central Administrator (CA)
- Central Administrator Auditor (AUDITCA)
- Division Head (DH)
- Department Coordinator (DC)
- Sub Department Coordinator (SUBDC)
- Pre Reviewer (PRE)
- Pre and Post Reviewer (PREPOST)





On clicking the **Print Forms** menu option, the user is presented with the reporting period selection screen. Upon selection of reporting period, the user is given the following two options:



Print Effort Forms

Select an Action for **123116**

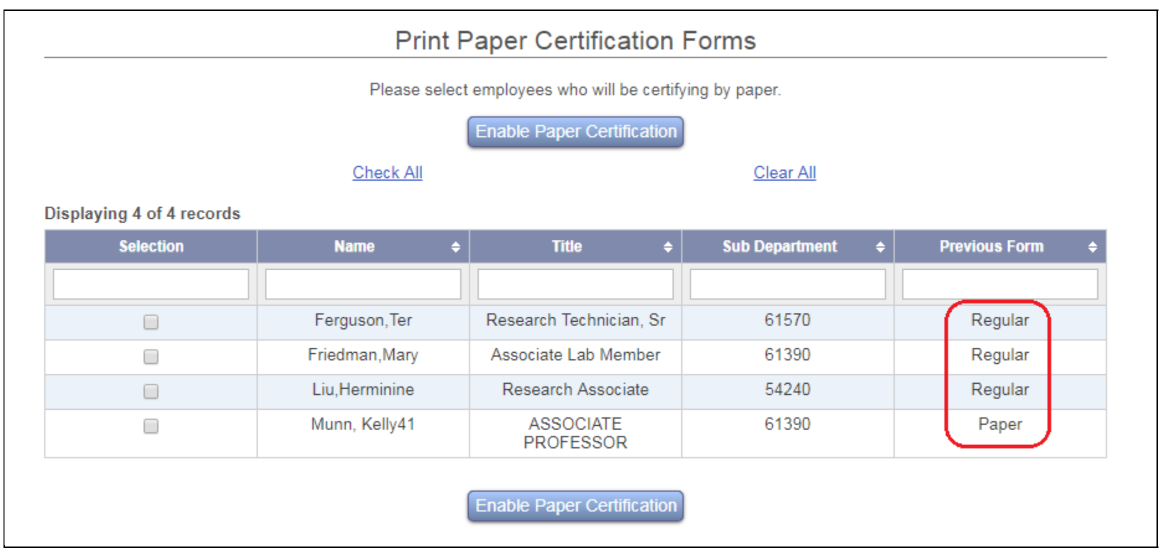
Action	Description
Print forms for Paper Certification	Select employees for whom to print an effort form for Paper Certification
Complete forms currently marked as Paper Certification	View the list of employees for whom Paper Certifications have been printed. This will also allow you to remove the employee's form marked for Paper Certification if the employee is to certify his/her effort form online. Once the signed paper copy has been returned, this option will allow you to mark the form Complete.

9.2.1 Print Forms for Paper Certification

This option allows the user to select an employee, enable Paper Certification, and print an effort form for Paper Certification.

On clicking the link, the user is prompted to select either a Department or Sub Department. Note, the role of SUBDC and PRE only get an option to select Sub Department.

On selection of Department or Sub Department, a list of employees will be available. This list can be sorted and filtered by **Name**, **Title**, **Sub Department**, or **Previous Form**. The last column **Previous Form** tells the user whether effort form was paper certified or not in the previous reporting period.



Print Paper Certification Forms

Please select employees who will be certifying by paper.

Enable Paper Certification

Check All Clear All

Displaying 4 of 4 records

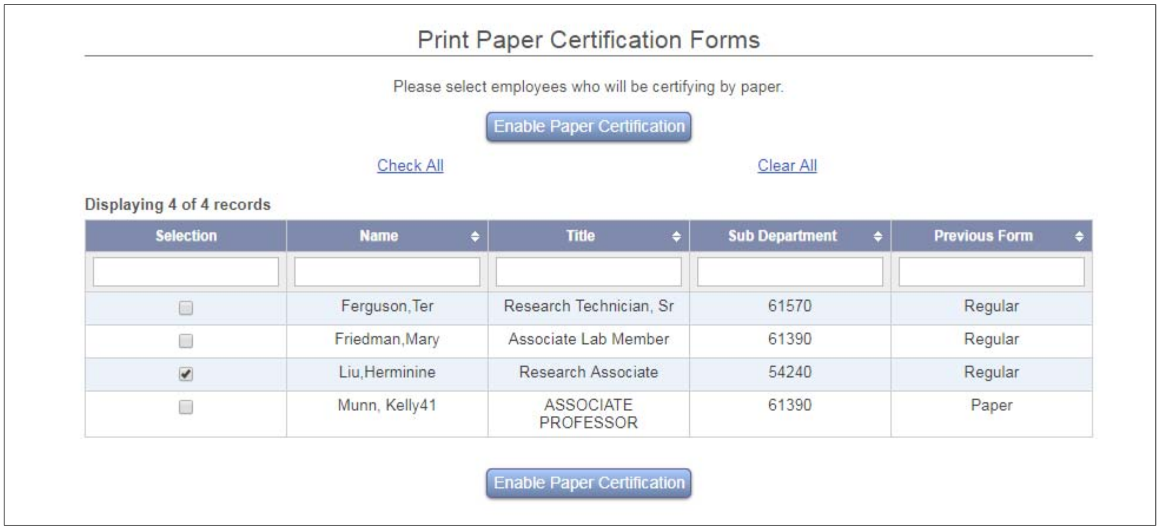
Selection	Name	Title	Sub Department	Previous Form
	Ferguson,Ter	Research Technician, Sr	61570	Regular
	Friedman,Mary	Associate Lab Member	61390	Regular
	Liu,Herminine	Research Associate	54240	Regular
	Munn, Kelly41	ASSOCIATE PROFESSOR	61390	Paper

Enable Paper Certification

Only forms pending Certification and have not been accessed by certifier online can be enabled for Paper Certification. That includes:

- The effort form is pre reviewed

- The effort form does not require pre review i.e. no pre reviewer is assigned for the individual
- The effort form was released globally



Print Paper Certification Forms

Please select employees who will be certifying by paper.

Enable Paper Certification

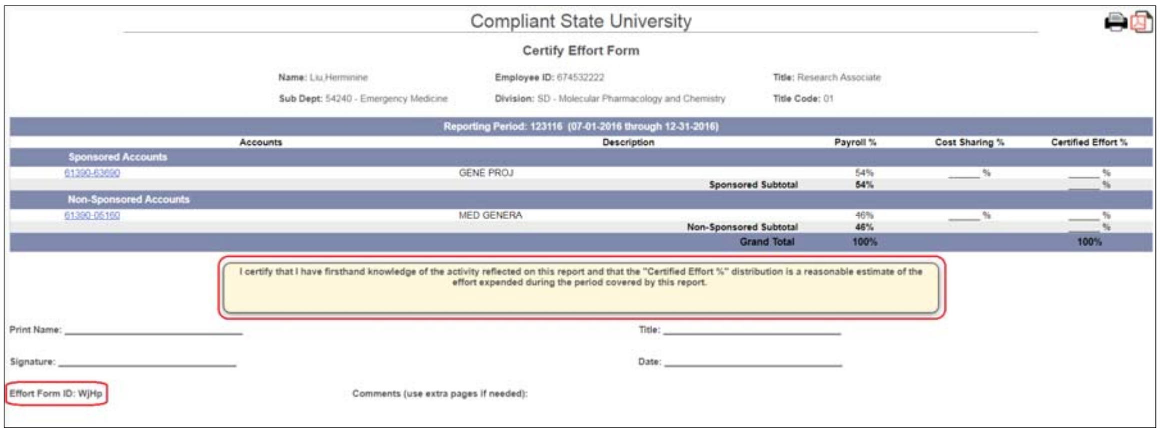
Check All Clear All

Displaying 4 of 4 records

Selection	Name	Title	Sub Department	Previous Form
☐	Ferguson,Ter	Research Technician, Sr	61570	Regular
☐	Friedman,Mary	Associate Lab Member	61390	Regular
☑	Liu,Herminine	Research Associate	54240	Regular
☐	Munn, Kelly41	ASSOCIATE PROFESSOR	61390	Paper

Enable Paper Certification

Upon selecting an employee and clicking button ‘*Enable Paper Certification*’, a page with the selected individual’s effort form is displayed for printing.



Compliant State University

Certify Effort Form

Name: Liu,Herminine Employee ID: 674532222 Title: Research Associate

Sub Dept: 54240 - Emergency Medicine Division: SD - Molecular Pharmacology and Chemistry Title Code: 01

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Accounts	Description		Payroll %	Cost Sharing %	Certified Effort %
Sponsored Accounts					
61390-63690	GENE PROJ		54%	____ %	____ %
		Sponsored Subtotal	54%		____ %
Non-Sponsored Accounts					
61390-05160	MED GENERA		46%	____ %	____ %
		Non-Sponsored Subtotal	46%		____ %
		Grand Total	100%		100%

I certify that I have firsthand knowledge of the activity reflected on this report and that the "Certified Effort %" distribution is a reasonable estimate of the effort expended during the period covered by this report.

Print Name: ______________ Title: ______________

Signature: ______________ Date: ______________

Effort Form ID: WjHp Comments (use extra pages if needed):

Paper Form Attributes

<u>Includes</u>

- Account section divided into two sections
    - Sponsored Accounts
    - Non- Sponsored Accounts
- *Paper Attestation Statement* – I certify that I have firsthand knowledge of the activity reflected on this report and that the “Certified Effort %” distribution

is a reasonable estimate of the effort expended during the period covered by this report.

Note: The Paper Attestation statement is different than online Certification statement. This statement is configurable via back-end (server configuration)

- The *Certified Effort %* is same as *Total %* on the pre reviewed form i.e. includes the adjusted cost transfer and cost share amount.
- The *Paper Forms* will include Effort Form ID for the forms that were pre reviewed. This effort form ID is required to be keyed in at the time of marking the effort form with the status of Complete Paper Certification.

Does not include

- Cost Share column
- Commitment information
- CAP icon or CAP related message
- K-Award related message or sub-K icon
- Clearing Account
- Notes from Pre Reviewer, if entered

Effort Form ID

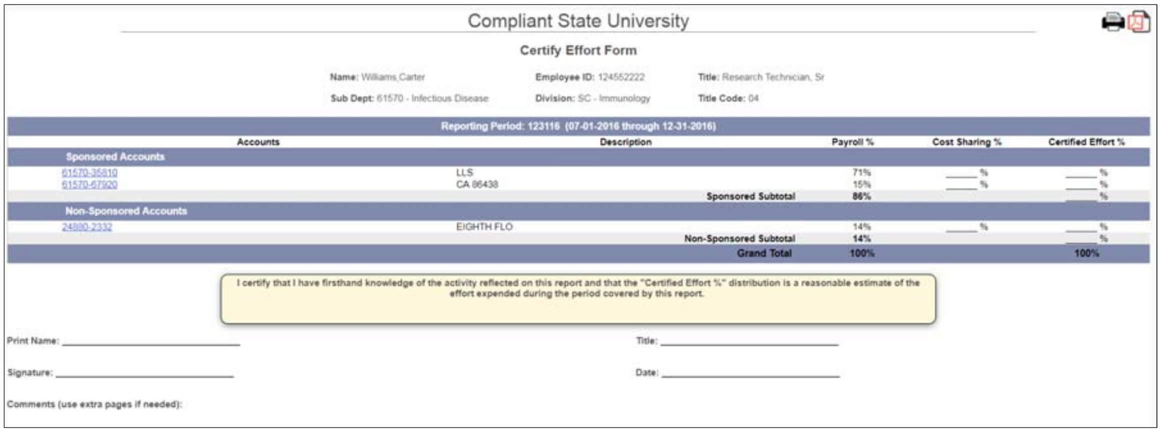
The reason to have an effort form ID on the Paper Form is to ensure that the correct pre reviewed version of the effort form is being printed and certified.

- ***Pre Reviewed Effort Forms:***
  The system uses the time when the form was pre reviewed which is stored in column ERSEFFHEADER.PRETIME, applies a complex function to generate a four digit effort form ID.

- ***Effort Forms with No Pre Reviewer:***
  The forms that do not require Pre Review and are enabled for paper certification will not have any *Effort Form ID* printed.

- ***Globally Released Effort Forms:***
  It is not necessary that these effort forms have a unique form ID. It's quite possible to have the same effort form ID for the effort forms released globally since the pre review timestamp will be equal to the time when the effort forms were released.

  Example screen for form with No Pre Review



Compliant State University

Certify Effort Form

Name: Williams,Carter **Employee ID:** 124552222 **Title:** Research Technician, Sr

Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology **Title Code:** 04

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Accounts	Description		Payroll %	Cost Sharing %	Certified Effort %
Sponsored Accounts					
61570-35810	LLS		71%	____ %	____ %
61570-67920	CA 86438		15%	____ %	____ %
		Sponsored Subtotal	**86%**		____ %
Non-Sponsored Accounts					
24880-2332	EIGHTH FLO		14%	____ %	____ %
		Non-Sponsored Subtotal	**14%**		____ %
		Grand Total	**100%**		**100%**

I certify that I have firsthand knowledge of the activity reflected on this report and that the "Certified Effort %" distribution is a reasonable estimate of the effort expended during the period covered by this report.

Print Name: ____________ Title: ____________

Signature: ____________ Date: ____________

Comments (use extra pages if needed):

9.2.2 Complete forms currently marked as Paper Certification

This option allows the user to

- **View** the list of employees for whom *Paper Form* have been printed.
- **Print** *Paper Form* enabled for Paper Certification either individually or in batch
- **Remove** the employee's form marked for Paper Certification if the employee is to certify his/ her effort form online.

On clicking the link, the user is prompted to select either a Department or Sub Department. Note, the role of SUBDC and PRE only get an option to select Sub Department.

On selection of Department or Sub Department, a list of employees for whom *Paper Form* have been printed will be available.

Employees Certifying by Paper

To remove employees from certifying by paper, select the names and click on **Remove from Paper Certification**.
To complete Paper Certification, select the names and click **Complete Paper Certification**.
To print paper forms, select the names and click **Print Forms**.

Check All Clear All

Displaying 5 of 5 records

Selection	Name	Title	Date Paper Form Pre Reviewed	Status
☐	Ferguson,Ter	Research Technician, Sr	2017-08-30	Paper Certification Pending
☐	Friedman,Mary	Associate Lab Member	2017-09-26	Paper Certification Pending
☐	Liu,Herminine	Research Associate	2018-06-28	Paper Certification Pending
☐	Munn, Kelly41	ASSOCIATE PROFESSOR	2018-06-28	Paper Certification Pending
☐	Williams,Carter	Research Technician, Sr	Pre Review Not Required	Paper Certification Pending

Remove from Paper Certification | Complete Paper Certification | Print Forms

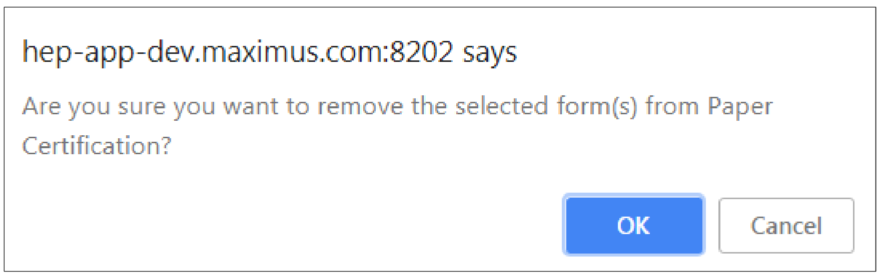
<u>*Name*</u> - The *Employee Name* link allows the user to print the *Paper Form* individually.

<u>*Date Paper Form Pre Reviewed*</u> – This displays the date when the effort form was pre reviewed. The effort forms that have no Pre Reviewer assigned and was marked for *Paper Form* will display '*Pre Review Not Required'*

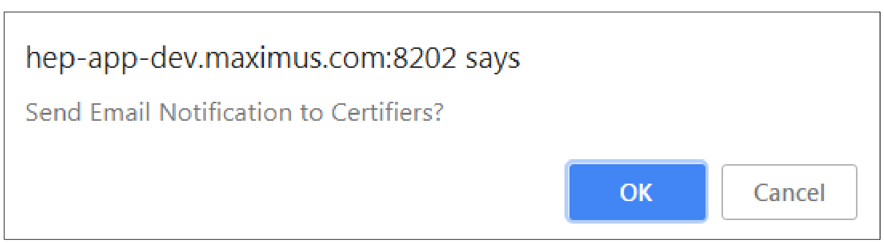
There are three buttons at the bottom the screen:

9.2.2.1 Remove From Paper Certification

Use this option to remove the effort form from paper certification. The user is prompted to confirm the removal of the selected form(s).



If the selected reporting period has been released globally, the system will provide an option to send an email notification to the Certifiers on confirmation of removing the effort form from paper certification.



Error Check - If *Remove From Paper Certification* button is used without selecting an effort form the following message is displayed.

9.2.2.2 Complete Paper Certification

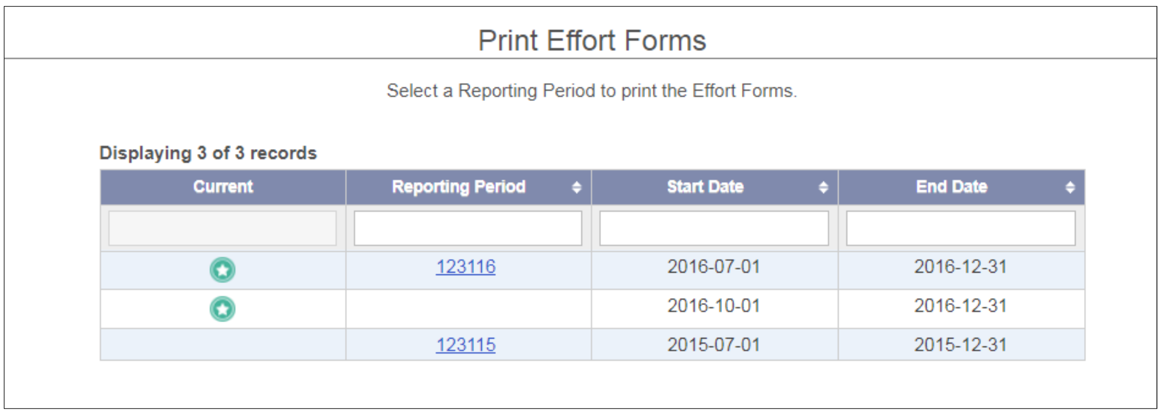
This option presents the following screen where the user is prompted to key in the *Effort Form ID* for forms that were paper certified.

The Effort Form ID is not required for Paper Form that has a status of '*Pre Review Not Required*', the input box for Effort Form ID is disabled in this case.

Error Check 1 - As the effort form ID is keyed in, a dynamic check is made where the text appears in red until it finds the correct ID match. A red text indicates that the effort form ID is not a match.

Error Check 2 - If the user clicks on Confirm Paper Certification page without entering an Effort Form ID or wrong Effort Form ID, the following message is displayed.

The user is returned to *Reporting Period* selection page, if the confirmation Effort Form ID code is correct.

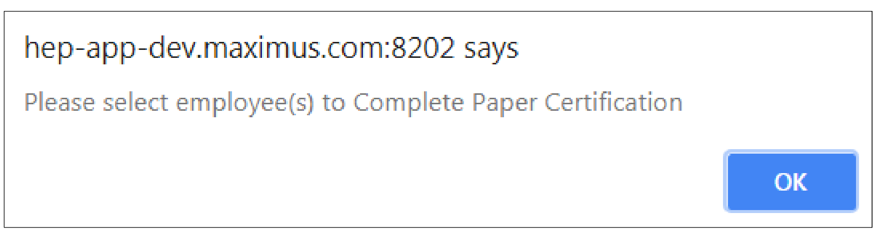

Print Effort Forms

Select a Reporting Period to print the Effort Forms.

Displaying 3 of 3 records

Current	Reporting Period	Start Date	End Date
✪	123116	2016-07-01	2016-12-31
✪		2016-10-01	2016-12-31
	123115	2015-07-01	2015-12-31

If *Complete Paper Certification* button is used without selecting an effort form the following message is displayed.



9.2.2.3 Print Form

This option allows the user to print multiple effort forms at the same time. The selected effort forms are available for printing in a separate window (html format). The user can print the forms using the **Print** option of the browser.

Error Check - If Print Form button is used without selecting an effort form the following message is displayed.

hep-app-dev.maximus.com:8202 says

Please select employee(s) to Print Paper Certification

OK

9.2.3 Review Status of Paper Forms

9.2.3.1 Pre Review Name Pick List

The *Certifier Name* for forms **marked** for **completed** '*Paper Form'* displays '*Paper Certification'*. The Form Status display as "Paper Certified" or "Pending Paper Certification".

Pre Review Effort Forms

Reporting Period 123116

Displaying 10 of 10 records

Pre Review	Employee Name	Title	Sub Department	Sub Department Name	Form Status	Pre Reviewed By	Certified By	Post Reviewed By	RCT	Assigned Certifier
[All]			[All]		[All]				[/	
	Ferguson,Ter	Research Technician, Sr	61570	Infectious Disease	Pending Certification	Miller,Cris				Multiple
	Friedman,Mary	Associate Lab Member	61390	Internal Medicine	Pending Certification	Global Release				Friedman,Mary
	Jungbluth,John	Visiting Investigator	61390	Internal Medicine	Pre Review (Saved)	Miller,Cris1				Jungbluth,John
	Maximus,Demo61570	P1	61570	Infectious Disease	Pre Review (CT Approval Pending)	Miller,Cris				Multiple
	Reilley,Jill	Research Asst	61390	Internal Medicine	Pending Pre Review					Codae,Doyle
	Ruan,Student	Research Associate	61390	Internal Medicine	Pending Pre Review					Codae,Doyle
	Codae,Doyle	PI	61390	Internal Medicine	Certified	Benjamin,Deck	Stan Lee			Codae,Doyle
	Liu,Herminine	Research Associate	54240	Emergency Medicine	Paper Certified	Miller,Cris1	Paper Certification	Miller,Cris1		Miller,Cris1
	Munn, Kelly41	ASSOCIATE PROFESSOR	61390	Internal Medicine	Pending Paper Certification	Miller,Cris1				Miller,Cris1
	Williams,Carter	Research Technician, Sr	61570	Infectious Disease	Paper Certified		Paper Certification	Miller,Cris1		Miller,Cris1

9.2.3.2 Certify Name Pick List

The *Certifier Name* for forms **marked** for **completed** '*Paper Form'* displays '*Paper Certification'*. The Form Status display as "Paper Certified" or "Pending Paper Certification".

Certify Effort Forms

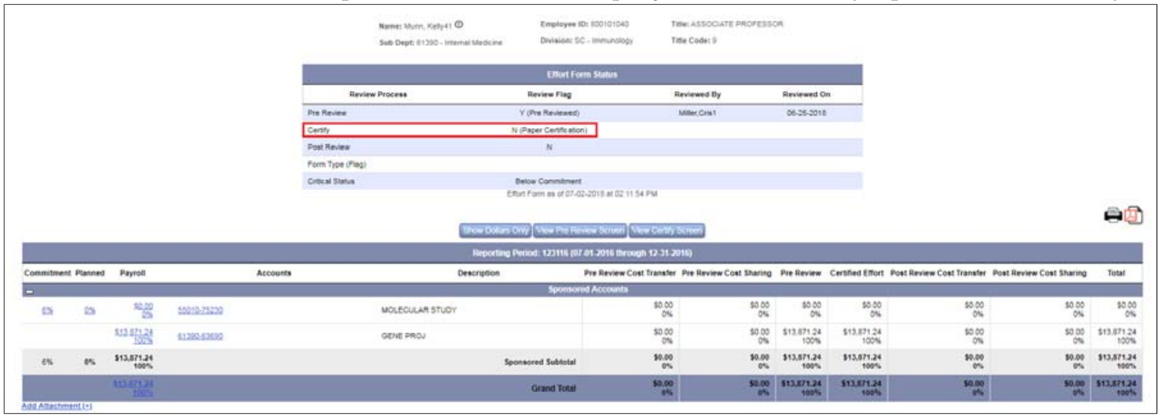
Reporting Period 123116

Displaying 3 of 3 records

Certify	Employee Name	Title	Sub Department	Sub Department Name	Form Status	Pre Reviewed By	Certified By	Post Reviewed By	RCT	Assigned Certifier
[All]			[All]		[All]				[/	
	Liu,Herminine	Research Associate	54240	Emergency Medicine	Paper Certified	Miller,Cris1	Paper Certification	Miller,Cris1		Miller,Cris1
	Williams,Carter	Research Technician, Sr	61570	Infectious Disease	Paper Certified		Paper Certification	Miller,Cris1		Miller,Cris1
	Munn, Kelly41	ASSOCIATE PROFESSOR	61390	Internal Medicine	Pending Paper Certification	Miller,Cris1				Miller,Cris1

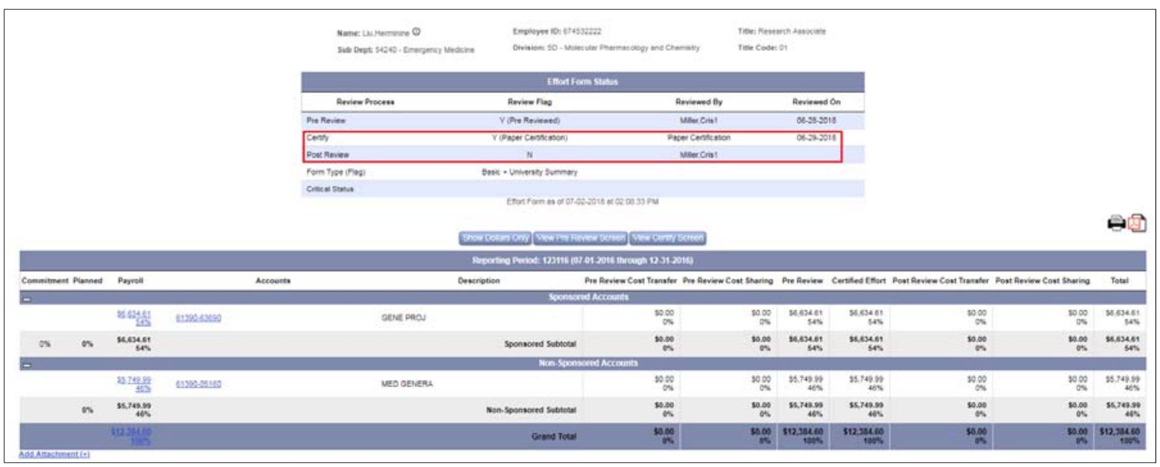
9.2.3.3 Central Administrator's view of the Effort Form

The forms marked for Paper Certification display a status of N(Paper Certification)



The forms marked as completed '*Paper Certification'*

- Display status of Certify *Y (Paper Certification).*
- Display name that marked the form as Paper Form completed under *Post Review Reviewed By* column
- Display the date when the form was marked for Paper Completion under *Certify Reviewed At*



If the effort form marked or completed as Paper Certification is dropped, the *Drop Form* will not drop the Paper Form enable status.

Name: Liu,Herminine | Employee ID: 674532222 | Title: Research Associate
Sub Dept: 54240 - Emergency Medicine | Division: 5D - Molecular Pharmacology and Chemistry | Title Code: 01

Effort Form Status			
Review Process	Review Flag	Reviewed By	Reviewed On
Pre Review	N		
Certify	N (Paper Certification)		
Post Review	N		
Form Type (Flag)	Basic + University Summary		
Critical Status			

Effort Form as of 07-02-2018 at 02:15:48 PM

Show Dollars Only | View Pre Review Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
		$6,634.61 54%	61390-63650	GENE PROJ	$0.00 0%	$0.00 0%	$6,634.61 54%	$6,634.61 54%	$0.00 0%	$0.00 0%	$6,634.61 54%
0%	0%	$6,634.61 54%		Sponsored Subtotal	$0.00 0%	$0.00 0%	$6,634.61 54%	$6,634.61 54%	$0.00 0%	$0.00 0%	$6,634.61 54%
Non-Sponsored Accounts											
		$5,749.99 46%	61390-05160	MED GENERA	$0.00 0%	$0.00 0%	$5,749.99 46%	$5,749.99 46%	$0.00 0%	$0.00 0%	$5,749.99 46%
	0%	$5,749.99 46%		Non-Sponsored Subtotal	$0.00 0%	$0.00 0%	$5,749.99 46%	$5,749.99 46%	$0.00 0%	$0.00 0%	$5,749.99 46%
		$12,384.60 100%		Grand Total	$0.00 0%	$0.00 0%	$12,384.60 100%	$12,384.60 100%	$0.00 0%	$0.00 0%	$12,384.60 100%

Add Attachment (+)

If the form is pre reviewed again this form will be available under list – *Complete Forms currently marked as Paper Certification*. In this case the user does not need to enable the form for Paper Certification.

Important Note: In this case the user will need to print the form again as the *Effort Form ID* will be different than what was printed the first time.

9.2.4 Reporting

9.2.4.1 Comprehensive Status Report

The forms marked for paper certification will appear in the section – *Forms Pending Certification.* The status of the Certifier displays '*Paper Certification*'

Form Pending Certification — Top

Displaying 3 of 3 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Status	RCT Date	Amount
117222222	Friedman,Mary	61390	M50	Global Release	26-Sep-17	Friedman,Mary			$14,314.29
800101040	Munn, Kelly41	61390	M50	Miller,Cris1	28-Jun-18	Paper Certification			$13,871.24
101032222	Ferguson,Ter	61570	M50	Miller,Cris	30-Aug-17	Ferguson,Ter			$19,396.11
								Sub Total:	$47,581.64

The form with *Paper Certification* complete is listed under the section – *Forms Completed.*

- The status of the Certifier displays '*Paper Certification*'
- The status of the Post Reviewer displays name of the individual who marked the form as complete '*Paper Certification*'.

Form Completed — Top

Displaying 5 of 5 records

Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Date Post Reviewed	RCT Date
126032222	Burrows,Kim	61390	M50	Miller,Cris	08-Jun-18	Grey, John	20-Jun-18	Not Required		
167982222	Codae,Doyle	61390	M50	Benjamin,Deck	21-Jun-18	Stan Lee	27-Jun-18	Not Required		
182702222	Barnett,LN	61570	M50	Miller,Cris	04-Jun-18	Codae,Doyle	20-Jun-18	Not Required		2018-05-15
711032222	Codae,Kathy	61570	M50	Miller,Cris	14-Jun-17	Power, Max	30-Aug-17	Not Required		
124552222	Williams,Carter	61570	M50			Paper Certification	29-Jun-18	Miller,Cris1		

9.2.4.2 Effort Form Certified

The status of the Certifier displays ‘*Paper Certification*’ for the completed *Paper Forms*.


Effort Form Certified (123116)

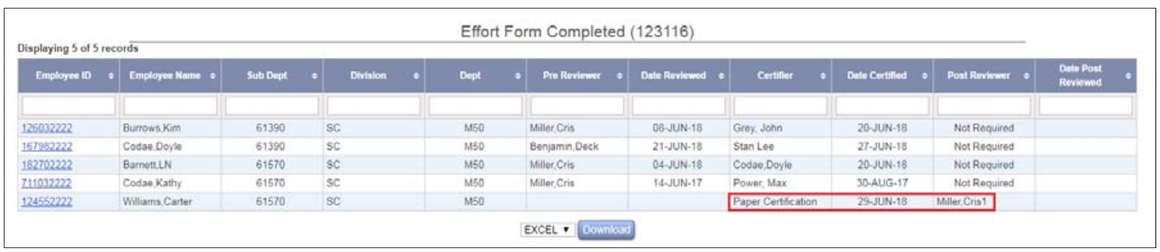
Displaying 5 of 5 records

Employee ID	Employee Name	Sub Dept	Division	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified
124552222	Williams,Carter	61570	SC	M50			Paper Certification	29-JUN-18
126032222	Burrows,Kim	61390	SC	M50	Miller,Cris	08-JUN-18	Grey, John	20-JUN-18
167982222	Codae,Doyle	61390	SC	M50	Benjamin,Deck	21-JUN-18	Stan Lee	27-JUN-18
182702222	Barnett,LN	61570	SC	M50	Miller,Cris	04-JUN-18	Codae,Doyle	20-JUN-18
711032222	Codae,Kathy	61570	SC	M50	Miller,Cris	14-JUN-17	Power, Max	30-AUG-17

EXCEL Download

9.2.4.3 Effort Form Completed

The status of the Certifier displays ‘*Paper Certification*’ for the completed *Paper Forms*.


Effort Form Completed (123116)

Displaying 5 of 5 records

Employee ID	Employee Name	Sub Dept	Division	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Date Post Reviewed
126032222	Burrows,Kim	61390	SC	M50	Miller,Cris	08-JUN-18	Grey, John	20-JUN-18	Not Required	
167982222	Codae,Doyle	61390	SC	M50	Benjamin,Deck	21-JUN-18	Stan Lee	27-JUN-18	Not Required	
182702222	Barnett,LN	61570	SC	M50	Miller,Cris	04-JUN-18	Codae,Doyle	20-JUN-18	Not Required	
711032222	Codae,Kathy	61570	SC	M50	Miller,Cris	14-JUN-17	Power, Max	30-AUG-17	Not Required	
124552222	Williams,Carter	61570	SC	M50			Paper Certification	29-JUN-18	Miller,Cris1	

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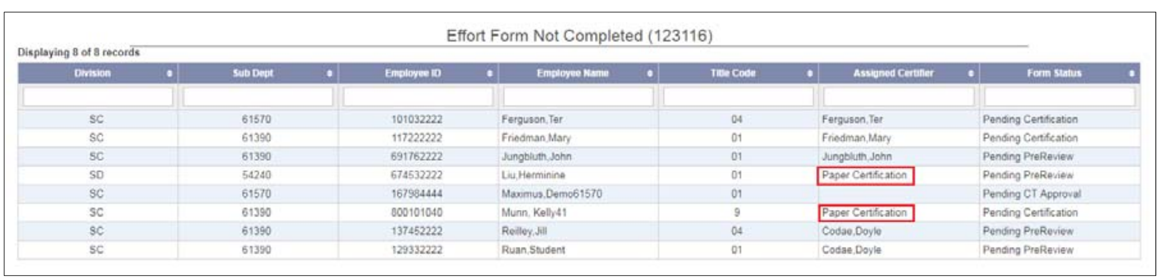
9.2.4.4 Effort Form Not Completed

The status of the Certifier displays ‘*Paper Certification*’ for the completed *Paper Certified* form.


Effort Form Not Completed (123116)

Displaying 8 of 8 records

Division	Sub Dept	Employee ID	Employee Name	Title Code	Assigned Certifier	Form Status
SC	61570	101032222	Ferguson,Ter	04	Ferguson,Ter	Pending Certification
SC	61390	117222222	Friedman,Mary	01	Friedman,Mary	Pending Certification
SC	61390	691762222	Jungbluth,John	01	Jungbluth,John	Pending PreReview
SD	54240	674532222	Liu,Herminine	01	Paper Certification	Pending PreReview
SC	61570	167984444	Maximus,Demo61570	01		Pending CT Approval
SC	61390	800101040	Munn, Kelly41	9	Paper Certification	Pending Certification
SC	61390	137452222	Reilley,Jill	04	Codae,Doyle	Pending PreReview
SC	61390	129332222	Ruan,Student	01	Codae,Doyle	Pending PreReview

9.2.4.5 Employees whose forms have been certified by someone else

The forms certified by paper are not listed in this report. Only the forms that were certified online are displayed.

Employees whose forms have been certified by someone else (123116)

Displaying 4 of 4 records

Division	Sub Dept	Dept	Employee ID	Employee Name	Title Code	Certified By		
						Certifier ID	Certifier Name	Certifier Title Code
SC	61390	M50	126032222	Burrows,Kim	04	9990704	Grey, John	100009
SC	61390	M50	167982222	Codae,Doyle	02	555017	Stan Lee	77
SC	61570	M50	182702222	Barnett,LN	04	167982222	Codae,Doyle	02
SC	61570	M50	711032222	Codae,Kathy	01	267982222	Power, Max	04

EXCEL ▾ Download

9.2.5 RCT

The following items address Retroactive Cost Transfers and Paper Certified forms:

- ➢ If the RCT impacts an effort form that was certified by paper or pending paper certification, the system will alert the Central Administrator for the status of the form as "Form Paper Certified" or "Form Pending Paper Certification" respectively.
- ➢ "Drop Form" is the only option for forms that are marked for "Paper Certification" in both Manual and Auto process. An e-mail notification is sent to the Pre Reviewer notifying them to print an updated paper certification form.

Retroactive Cost Transfers (RCT)

0 out of 2 forms identified with RCT have been processed.

Displaying 2 of 2 records

RCT Forms

Lock	Emp ID	Name	Sub Dept	RP Code	Pre Reviewed?	Certified?	Post Reviewed?	RCT Impact	Case	Compare	Actions
[/ ▾					[All] ▾	[All] ▾	[All] ▾	[Al ▾	[All] ▾		
Locked	0056582	Cushman,Mary	52060	123116	N (Saved)	N	N	OK*	13	Original vs. Changes Committed	◉ On Hold ○ No Change Needed ○ Commit Change ○ Reverse Entries ○ Drop Form
Locked	124552222	Williams,Carter	61570	123116	N	Y	N	OK*	13 ****** Alert ****** • Form Paper Certified.	Original vs. Changes Committed	◉ On Hold ○ Drop Form

* - The RCT impact on this form is within tolerance.

9.2.6 Email

The Paper Certification assumes that the Auto Email feature is turned off i.e. **NO e-mail** notification is generated for:

- ➢ **Certifier** upon completion of pre review
- ➢ **Post Reviewer**, if certifier updates the effort form where the certified % is different than pre reviewed %

- **Department Coordinator** of alternate department, when an individual is assigned to the alternate department via Assignment module.

Important Note: The global release feature does not send an e-mail notification for the forms that were pre reviewed at the time of the scheduled release time.

The notification is sent out in the following situation:

1. After the forms are global released, if an effort form marked for Paper Certification is changed to online certification, an e-mail notification regarding effort form availability online is sent to the assigned certifier.

   The e-mail type PREREVIEW available under *Admin →System Settings→ Email Settings →ERS Auto Email* is used to send the e-mail notification.

	PREREVIEW	This email is used in the Pre Review module after the Pre Review has been completed. An auto email is sent to appropriate certifier immediately upon completion of the Pre Review.	Effort Form is ready to Certify	View

2. After the forms are global released, and if an effort form is marked for Paper Certification, an e-mail notification regarding effort form unavailability online is sent to the assigned certifier.

   The e-mail type PAPERON available under *Admin→ System Settings→ Email Settings →ERS Auto Email* is used to send the e-mail notification.

	PAPERON	The notification to the Certifier of paper form after the form was released globally.	Please certify the form in paper	View

3. When a paper certification form is dropped due to RCT impact, a notification will be sent to Pre Reviewer asking to re-pre review the form and print out an updated paper certification form.

   The e-mail type RCTPAPERD available under *Admin→ System Settings→ Email Settings →ERS Auto Email* is used to send the e-mail notification.

	RCTPAPERD	the notification to pre reviewer for paper certification forms	Please Pre Review the RCT Impacted Form	View

Chapter 10

Archive Data

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10 Archive Data

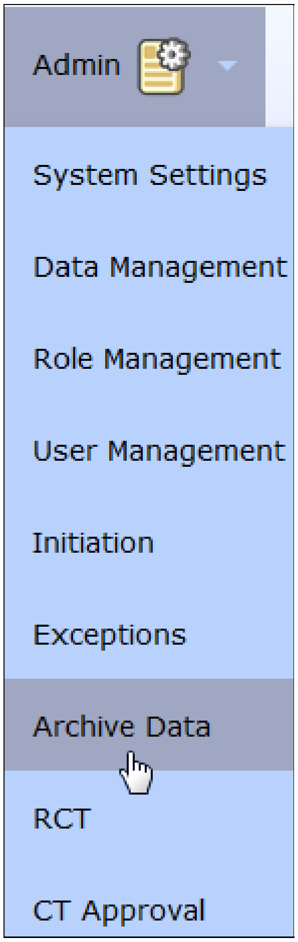
10.1 What is Archiving?

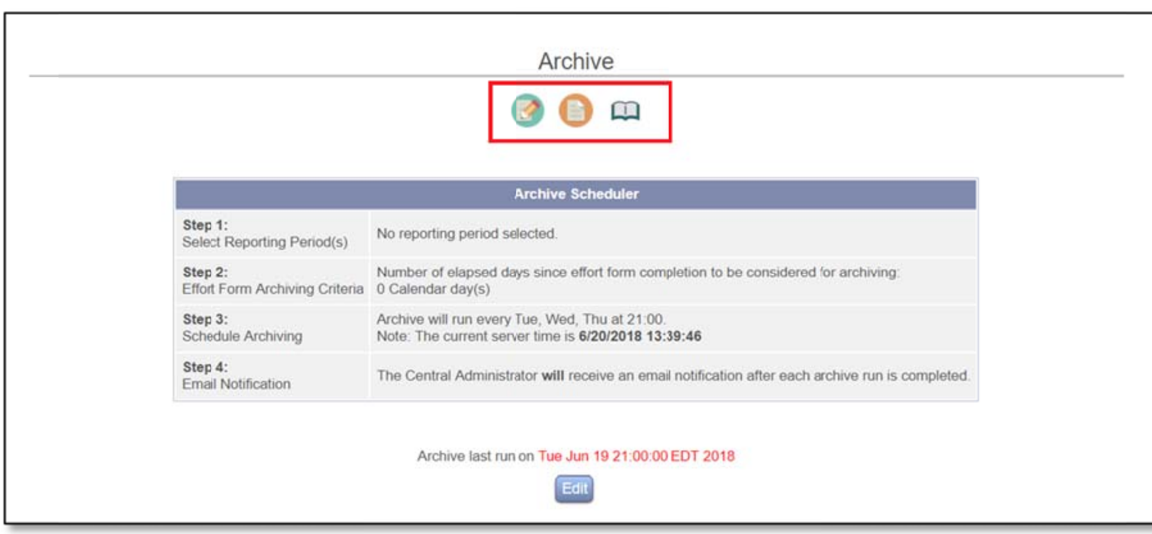
An effort form is considered complete when it has been certified and post reviewed (if required). The system allows these completed effort forms to be archived. Upon completion of archiving, these effort forms are no longer available for modification on the Reviewers and Certifiers list.

The archived effort forms are available for review under *Reports* and can be viewed from the *View Previously Certified Form* link in Pre Review, Certification and Post Review.

Recommendation: Based on institutional business practices and procedures, develop a timeline for archiving effort forms as it will prevent re-certification of effort forms without prior approval from the Central Administrator.

The Archive Data module is available as a menu option under Admin dropdown for the Central Administrator role only.


Admin
System Settings
Data Management
Role Management
User Management
Initiation
Exceptions
Archive Data
RCT
CT Approval


Archive
Archive Scheduler
Step 1:
Select Reporting Period(s)
No reporting period selected.
Step 2:
Effort Form Archiving Criteria
Number of elapsed days since effort form completion to be considered for archiving:
0 Calendar day(s)
Step 3:
Schedule Archiving
Archive will run every Tue, Wed, Thu at 21:00.
Note: The current server time is 6/20/2018 13:39:46
Step 4:
Email Notification
The Central Administrator will receive an email notification after each archive run is completed.
Archive last run on Tue Jun 19 21:00:00 EDT 2018
Edit

The following 3 options are available in the Archiving module:

Configuration

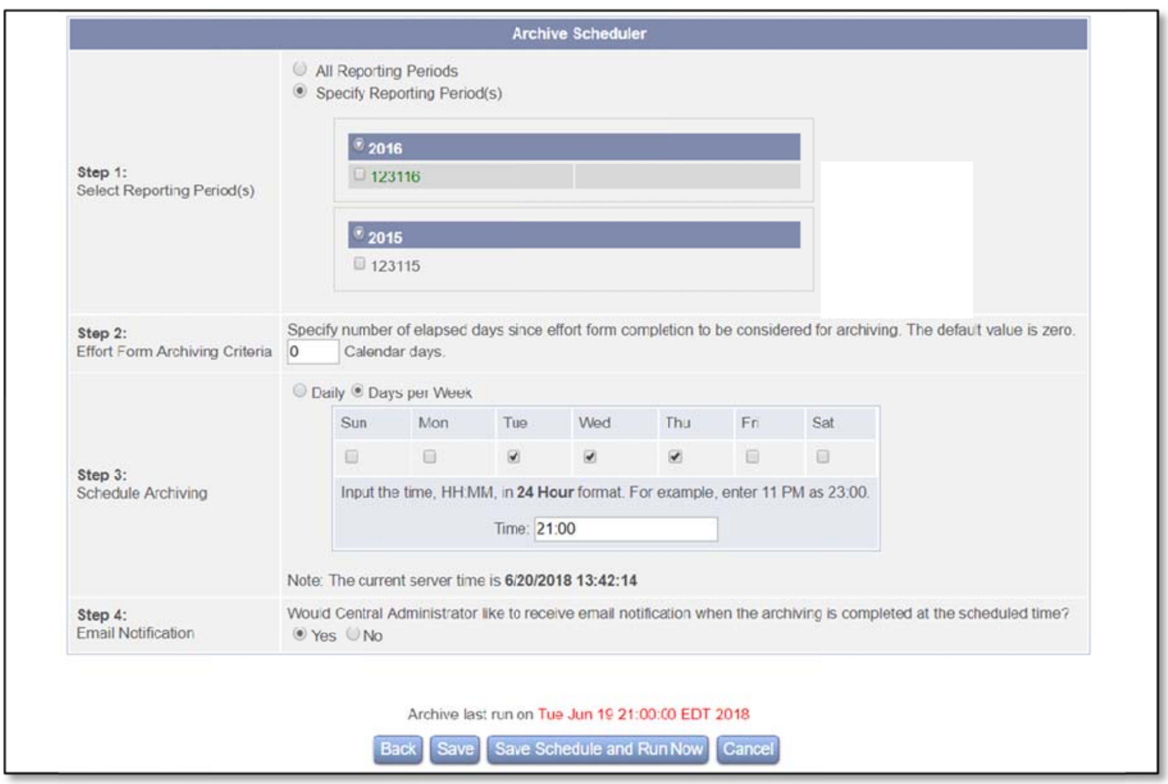
Logs

Reporting

10.2 Configuration

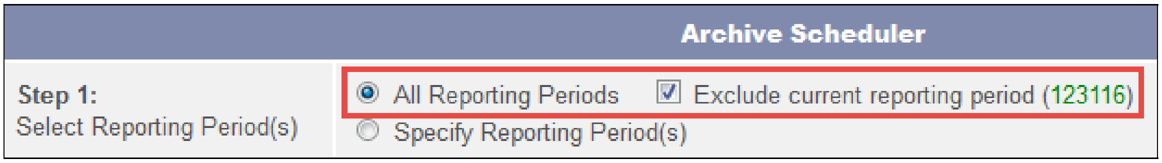
This option allows the Central Administrator to define the archiving configuration and schedule archiving of completed effort forms.

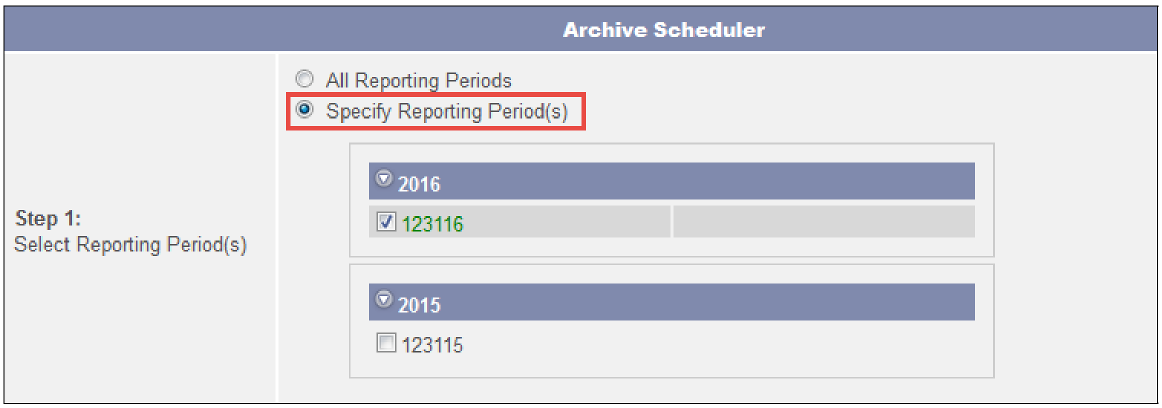
There are four steps that must be completed in order to schedule the archiving of effort forms:



10.2.1 Step 1 – Select Reporting Period

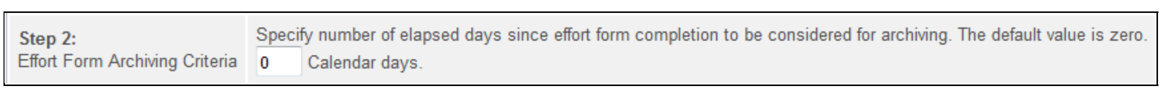
The first step in the archiving process is selecting a reporting period. The Central Administrator can either select *All Reporting Periods* with an option to include or exclude current reporting period listed in green or *Specify Reporting Period(s)*.





10.2.2 Step 2 - Effort form Archiving Criteria

The user can enter the number of days elapsed since effort form completion to be considered for archiving. The default value is zero.

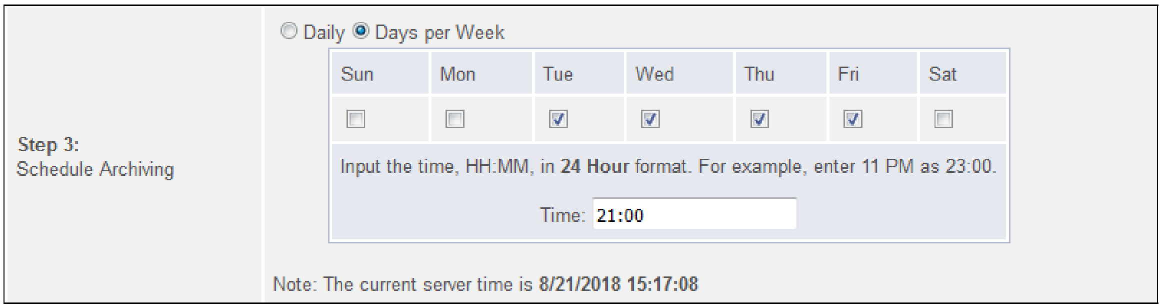


Notes:

- The Calendar days input box cannot be left blank and only positive numbers are accepted.
- If the user selects all reporting periods and enters '0' as archiving criteria, the system will archive all effort forms that are currently marked as Completed. If the archiving criteria are 50 days, the system will archive only those forms that were completed 50 days before the archiving process is run.

10.2.3 Step 3 - Schedule Archiving

The Central Administrator has an option to schedule archiving to run daily or on specific days of a week at a specified time.



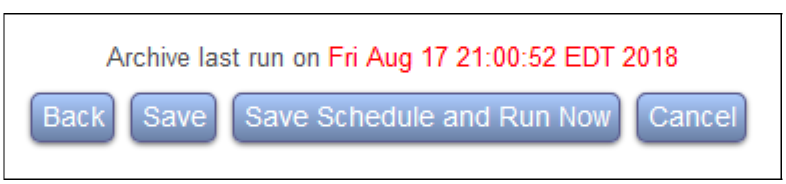
Check! Ensure to input the time in 24 hour format (HH:MM) otherwise, the system will not accept the configuration.

10.2.4 Step 4 – Email Notification

In the last step the Central Administrator can select “Yes” or “No” to receive an email notification after archiving is complete.

The email message is configurable via *Admin* → *System Settings* → *Email Settings* → *ERS Auto Email* → *ARCHIVE*

After all four steps have been completed the Central Administrator can click the *Save* button to save the defined configuration.



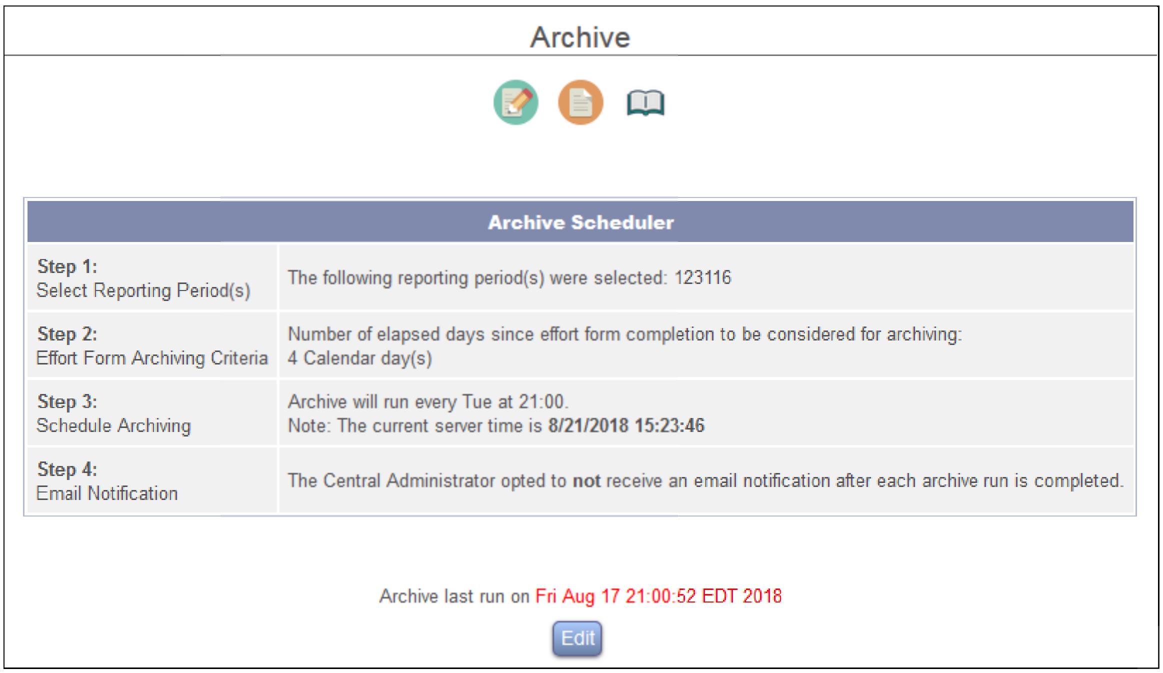
To run the archiving immediately and save the defined configuration use button *Save Schedule and Run Now*.

Note: The system will not save the configuration if no Schedule (Step 3) has been defined.

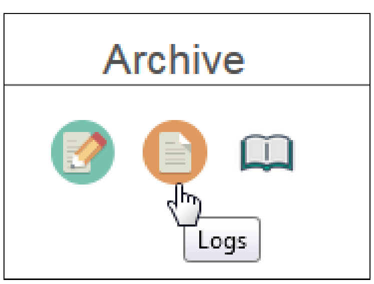
The Archive Schedule can be cancelled at any time by using the button *Cancel*.

The *Back* button takes the Central Administrator to the previous page which displays the defined configurations.

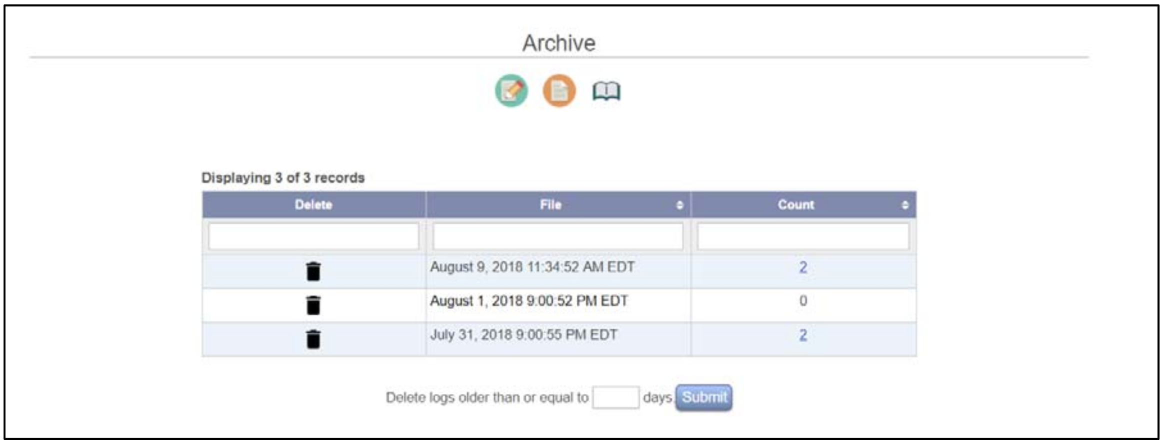
Once archiving has been scheduled the system will display the defined configuration with an option to edit the configuration by selecting *Edit* button.



10.3 Logs

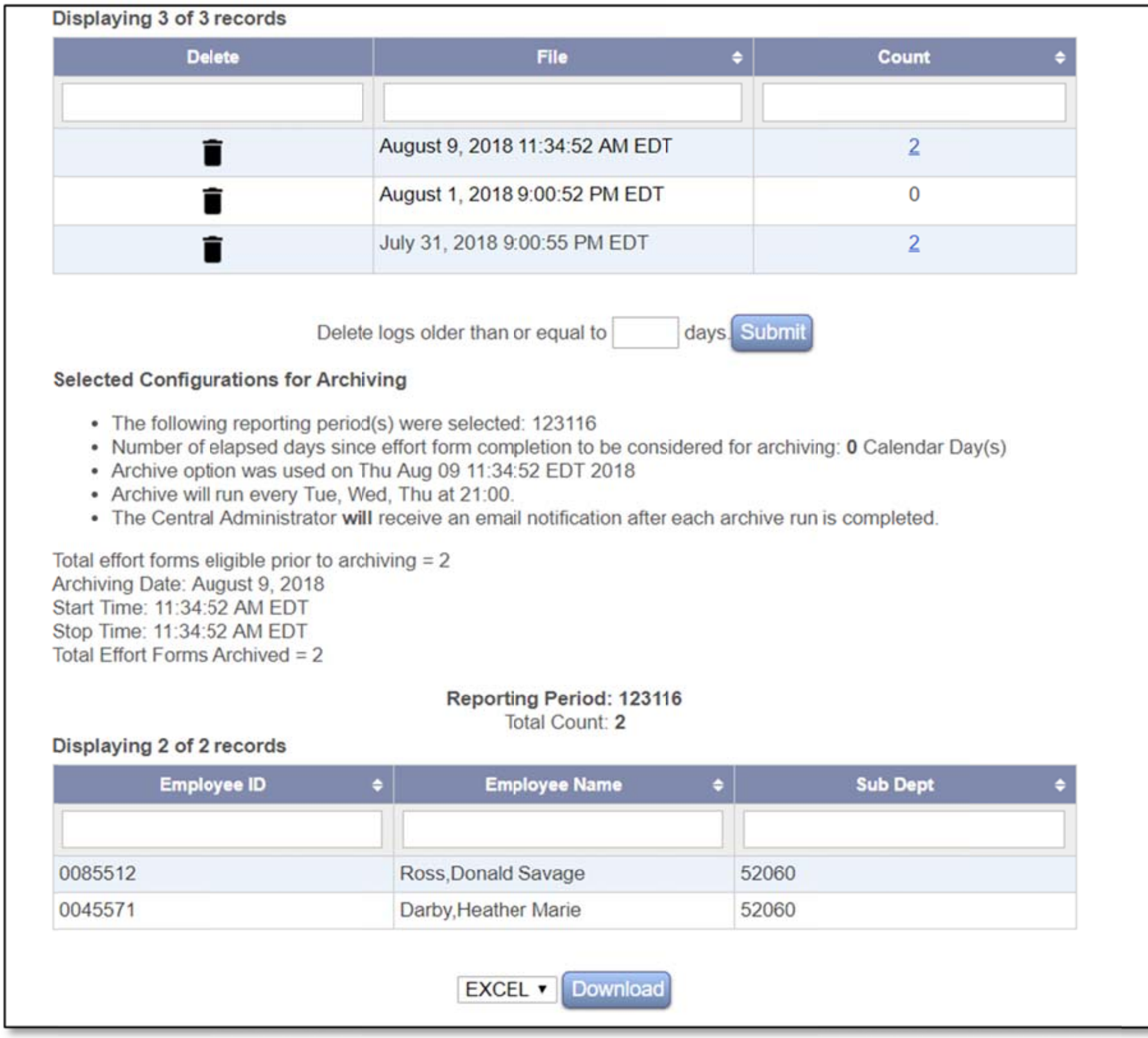


The Logs option allows viewing the log file created after each *Archive* run.



The Central Administrator can:

- **Delete** a log file by clicking the delete icon next to each log file.
- **View** the details of the archive log by clicking on the file name which consists of the date and time of the archive run. The log file can be downloaded in excel or PDF format.


Displaying 3 of 3 records

Delete	File	Count
	August 9, 2018 11:34:52 AM EDT	2
	August 1, 2018 9:00:52 PM EDT	0
	July 31, 2018 9:00:55 PM EDT	2

Delete logs older than or equal to days Submit

Selected Configurations for Archiving

- The following reporting period(s) were selected: 123116
- Number of elapsed days since effort form completion to be considered for archiving: **0** Calendar Day(s)
- Archive option was used on Thu Aug 09 11:34:52 EDT 2018
- Archive will run every Tue, Wed, Thu at 21:00.
- The Central Administrator **will** receive an email notification after each archive run is completed.

Total effort forms eligible prior to archiving = 2
Archiving Date: August 9, 2018
Start Time: 11:34:52 AM EDT
Stop Time: 11:34:52 AM EDT
Total Effort Forms Archived = 2

Reporting Period: 123116
Total Count: **2**

Displaying 2 of 2 records

Employee ID	Employee Name	Sub Dept
0085512	Ross,Donald Savage	52060
0045571	Darby,Heather Marie	52060

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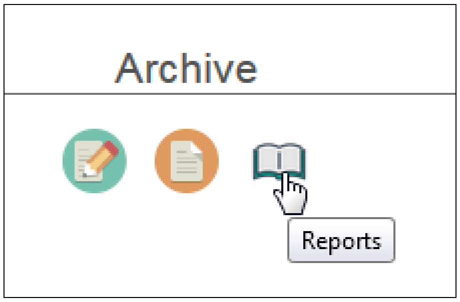
- View the number of effort forms archived per reporting period by moving the mouse over the *Count* link.

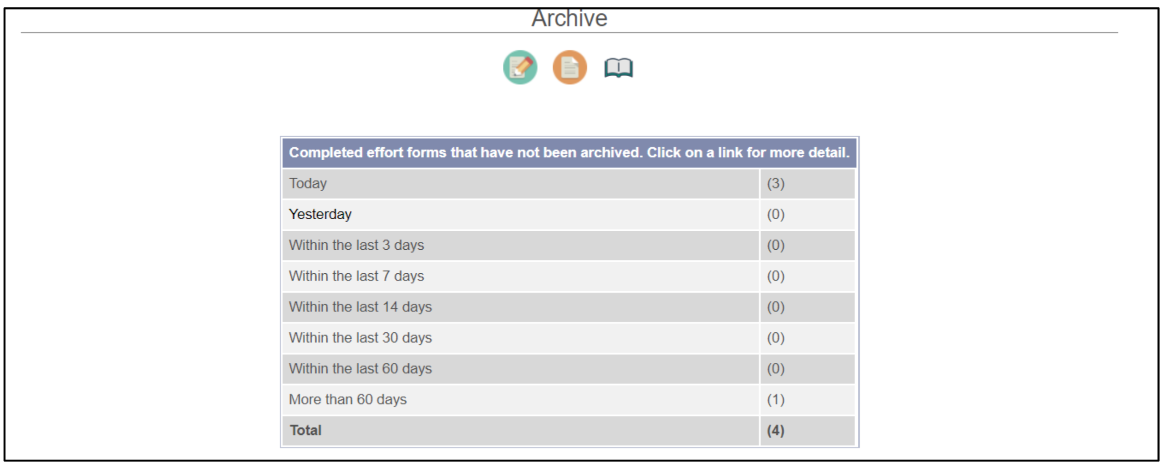
The Central Administrator can delete the logs manually or enter a retention period as the number of days before logs are automatically deleted from ERS.

Note: The system generates a log for each archive run.

10.4 Reports

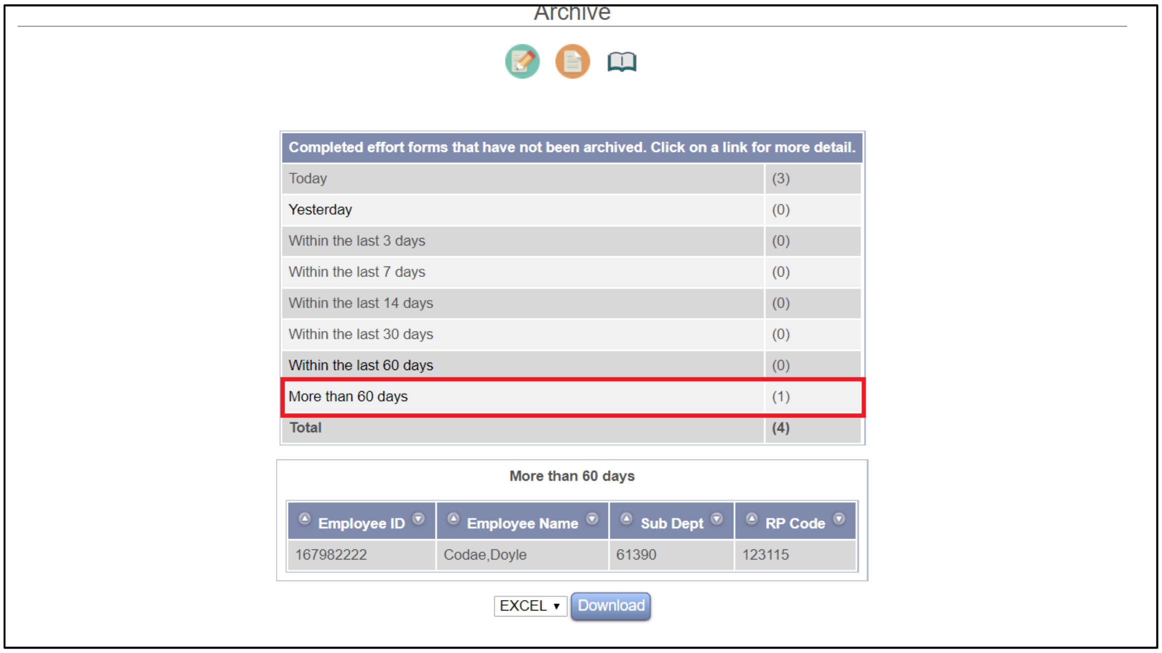


The Reports option provides information about completed effort forms that have not been archived.



Completed effort forms that have not been archived. Click on a link for more detail.	
Today	(3)
Yesterday	(0)
Within the last 3 days	(0)
Within the last 7 days	(0)
Within the last 14 days	(0)
Within the last 30 days	(0)
Within the last 60 days	(0)
More than 60 days	(1)
Total	**(4)**

The Central Administrator can click on the date range link to view the details. The report lists *Employee ID, Employee Name, Sub Dept* and *RP Code* of the employee's effort form that has not been archived. The report allows sorting on all the columns.


Archive

Completed effort forms that have not been archived. Click on a link for more detail.	
Today	(3)
Yesterday	(0)
Within the last 3 days	(0)
Within the last 7 days	(0)
Within the last 14 days	(0)
Within the last 30 days	(0)
Within the last 60 days	(0)
More than 60 days	(1)
Total	(4)

More than 60 days

Employee ID	Employee Name	Sub Dept	RP Code
167982222	Codae,Doyle	61390	123115

EXCEL Download

Configuration Note: The number of days in the report is configurable via the back-end. Please contact MAXIMUS for details.

The report can be downloaded in EXCEL and PDF format.

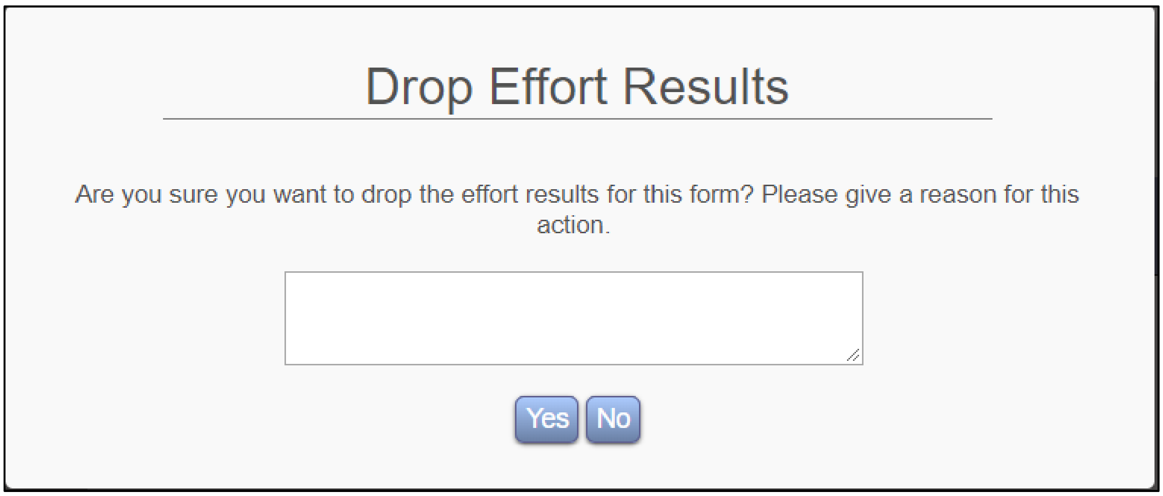
After each Archive run an announcement will be posted on the Messages panel of the Central Administrator home page alerting that the archive function is completed.

Note: The system only posts announcement if one or more effort forms were archived, otherwise no announcement is posted.

10.5 Archiving of Effort Forms Dropped by the Central Administrator

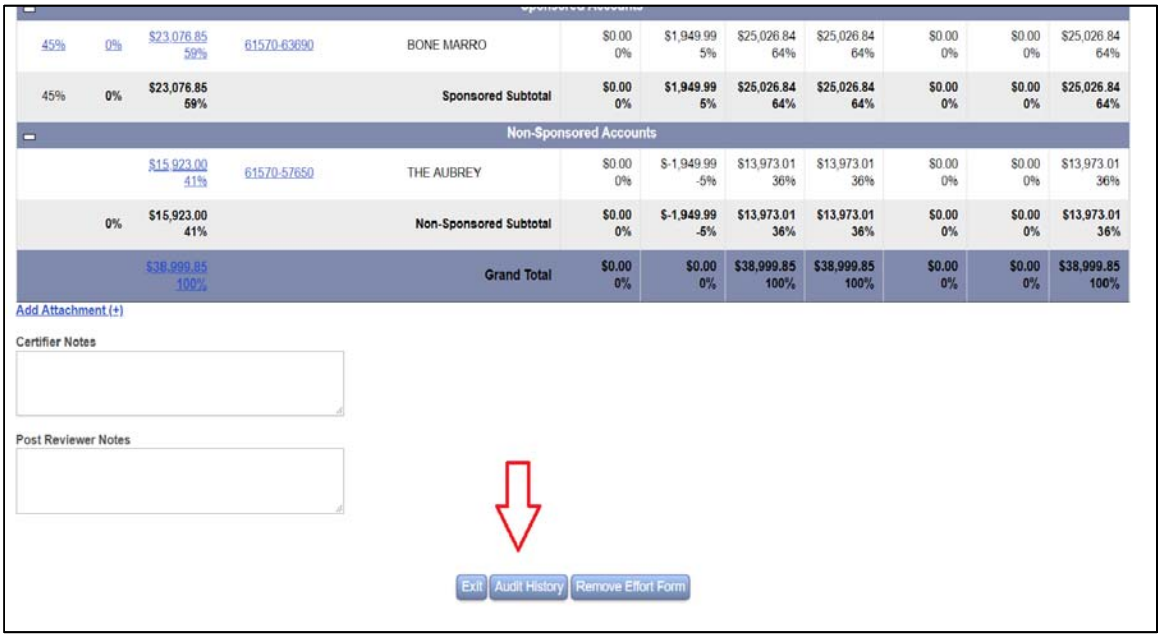
This option allows the Central Administrator to archive the effort forms that are dropped or when the post review status is reset. To enable this feature, use the *Archive Dropped Effort* configuration available under *Admin → System Settings → Quick Settings.*

If the *Archive Dropped Effort* configuration is set to ‘Enable’, the Central Administrator will be required to provide a reason when dropping the effort forms.

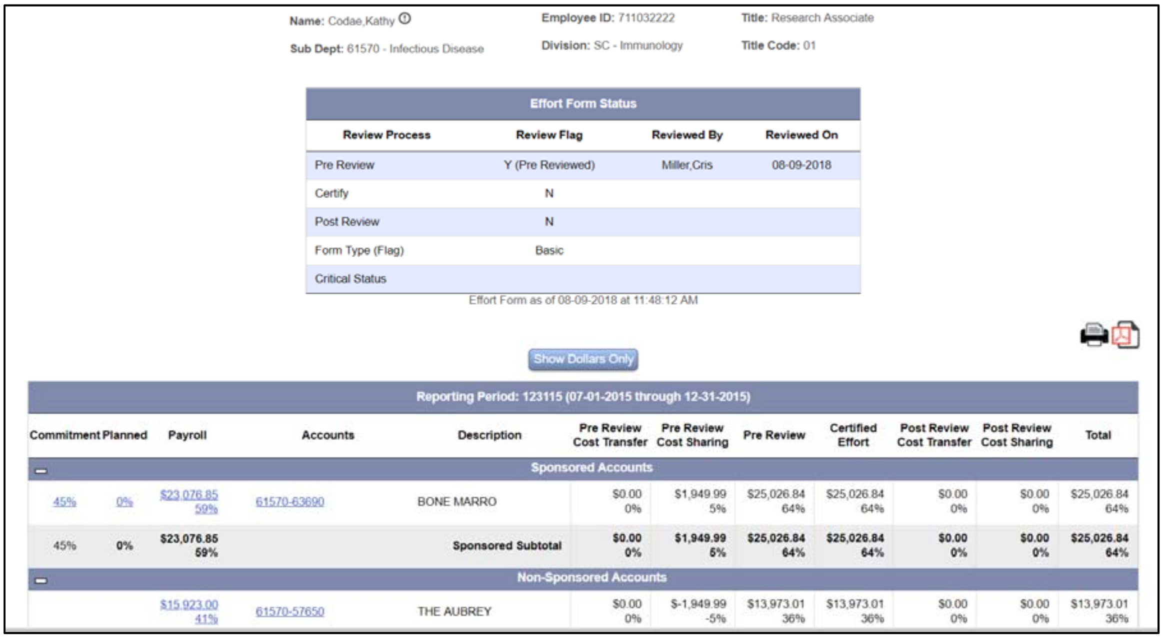


The dropped effort forms can be retrieved via *Search Employee Effort Forms* on the home page of the Central Administrator.

The link *Audit History* available on the Central Administrator’s view of the effort form allows the CA to retrieve and view previously archived effort form.

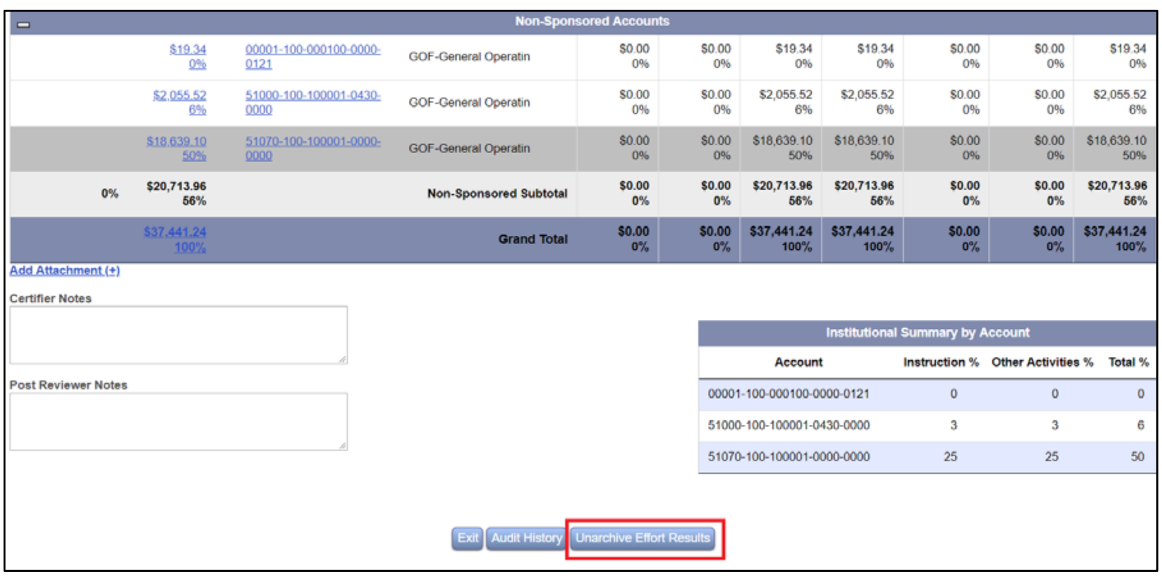


The *Effort Form Archived Date* link allows the CA to view the dropped effort form.



10.6 Unarchiving Effort Form

The system allows the Central Administrator to reverse the archive process, also referred to as *Unarchive*. The archived effort forms can be retrieved by using the interface *Search Employee Effort Forms.* The link *Unarchive Effort Results is* available on the Central Administrator's view of the archived effort form that allows unarchiving the effort form.



The button *Unarchive Effort Results* will only be available if the effort form was previously archived.

The unarchiving of the effort results will make the effort form accessible on the Reviewer and Certifiers list for modification.

Note: The system has the ability to unarchive only one effort form at a time. There is no batch process to unarchive multiple effort forms at the same time.

Chapter 10

Initiation

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10 Initiation Process

Initiation is the process used to generate effort forms for the current reporting period. The system is not operational until Initiation is complete.

This chapter is divided into three main sections.

- **Pre-Initiation Tasks**: This section outlines the tasks that should be completed before the actual initiation.

- **Initiation**: This section covers all the steps involved in completing Initiation (i.e. generating effort forms) and provides details of the back-end operation involved in each step.

- **Post-Initiation Tasks**: This section outlines the tasks that the Central Administrator should perform after Initiation is complete to rule out any data, configuration or system errors.

10.1 Pre-Initiation Tasks

The key to a smooth Initiation is to have all the required data in place as well as the necessary configurations set-up. The following lists provides the tasks that a Central Administrator should complete before the actual initiation to ensure error-free execution of various steps involved in Initiation.

10.1.1 LOAD DATA

10.1.1.1 Payroll

Load new payroll data in table ERSPAYROLLxxxxxx, where xxxxxx represents 6-digit reporting period code.

Refer *Appendix – Payroll Refresh Process* for an alternative to loading payroll data in the respective source table.

10.1.1.2 Users

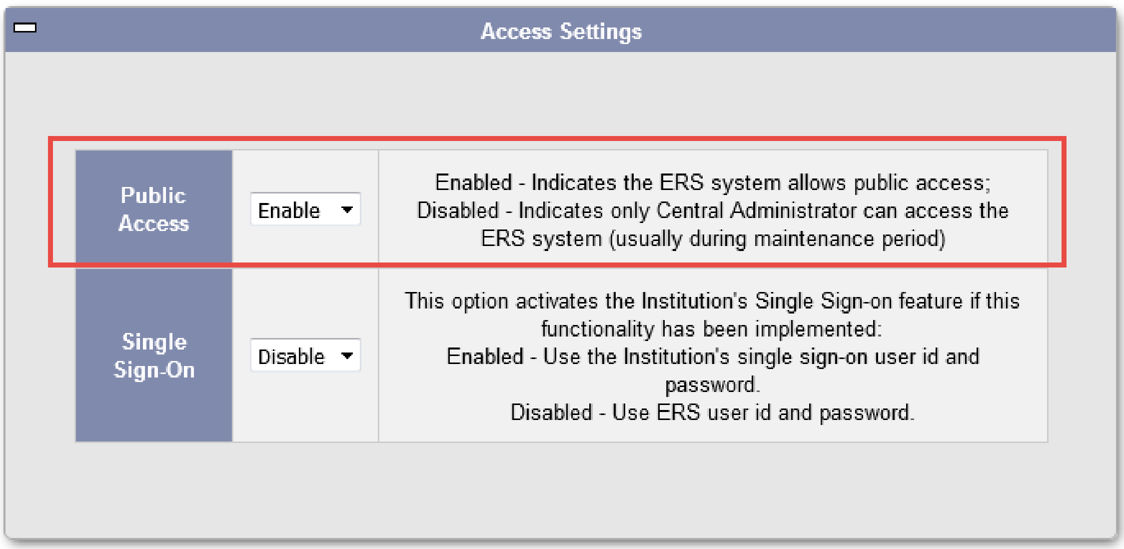
Load table ERSUSERSTEMP with new user information and updated records of the existing users.

10.1.1.3 Organization Units (DIVISION, DEPT, SUBDEPT)

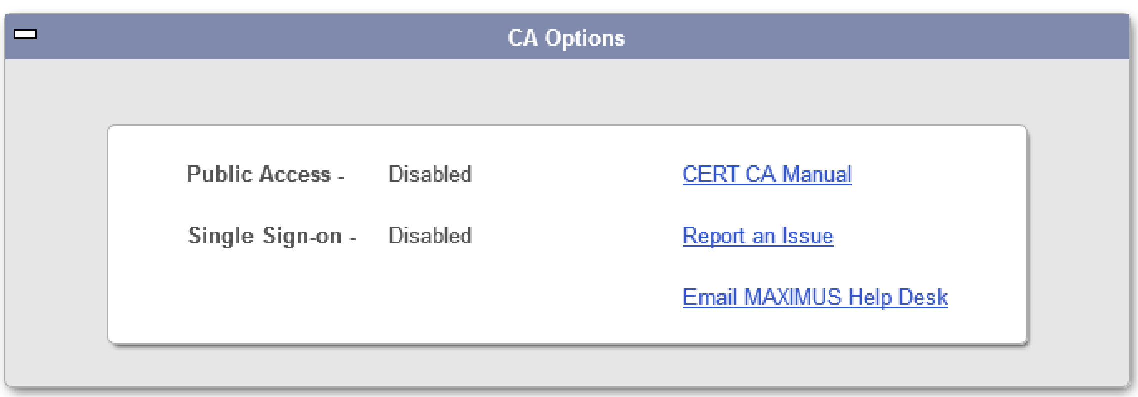
Load data in ERSDIVISIONTEMP, ERSDEPTEMP and ERSSUBDEPTEMP to add new units or update the records of existing units.

10.1.2 LOCK ERS

Lock ERS to prevent the users from accessing the system via *Admin* → *System Settings* → *Access Settings* → *Public Access.* Set Public Access to 'Disable'.



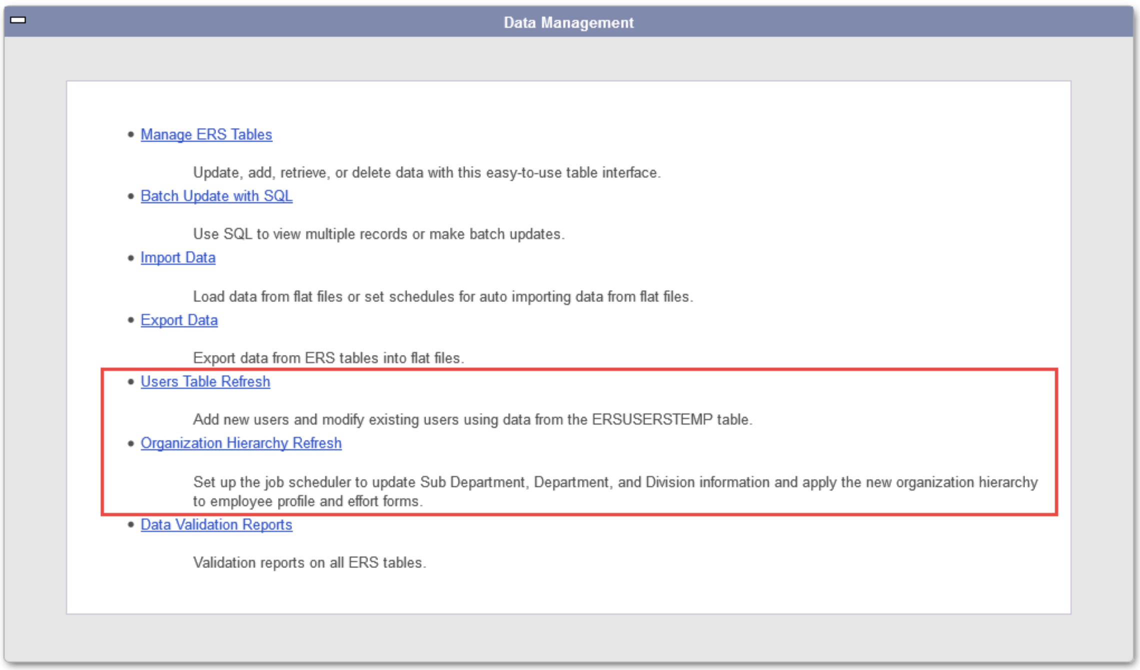
Once the Public Access has been set to "Disabled" the CA Options section in Central Administrator home page will update to display Public Access as "Disabled".



10.1.3 REFRESH DATA

10.1.3.1 Users and Organization Unit

Use the following Data Refresh functions available under *Admin →Data Management* menu option for Users and Organization data refresh.



For more details refer these sections under *Data Management* chapter.

10.1.3.2 Accounts

The table ERSCHARTACCTS contains information for all the accounts and CEMAWARD (if used) contains information for the Sponsored accounts only. These tables are refreshed based on the Institution's refresh procedure. The entire data in the tables can be deleted and imported using the ERS import data feature or through back-end. Alternatively, new accounts can be appended to these tables.

Check!
Ensure all the accounts listed in CEMAWARD are also listed in the ERSCHARTACCTS table.
SQL: SELECT DISTINCT MACCOUNT FROM CEMAWARD MINUS SELECT ACCOUNT FROM ERSCHARTACCTS

The CEMAWARD table should only house data for the sponsored accounts.

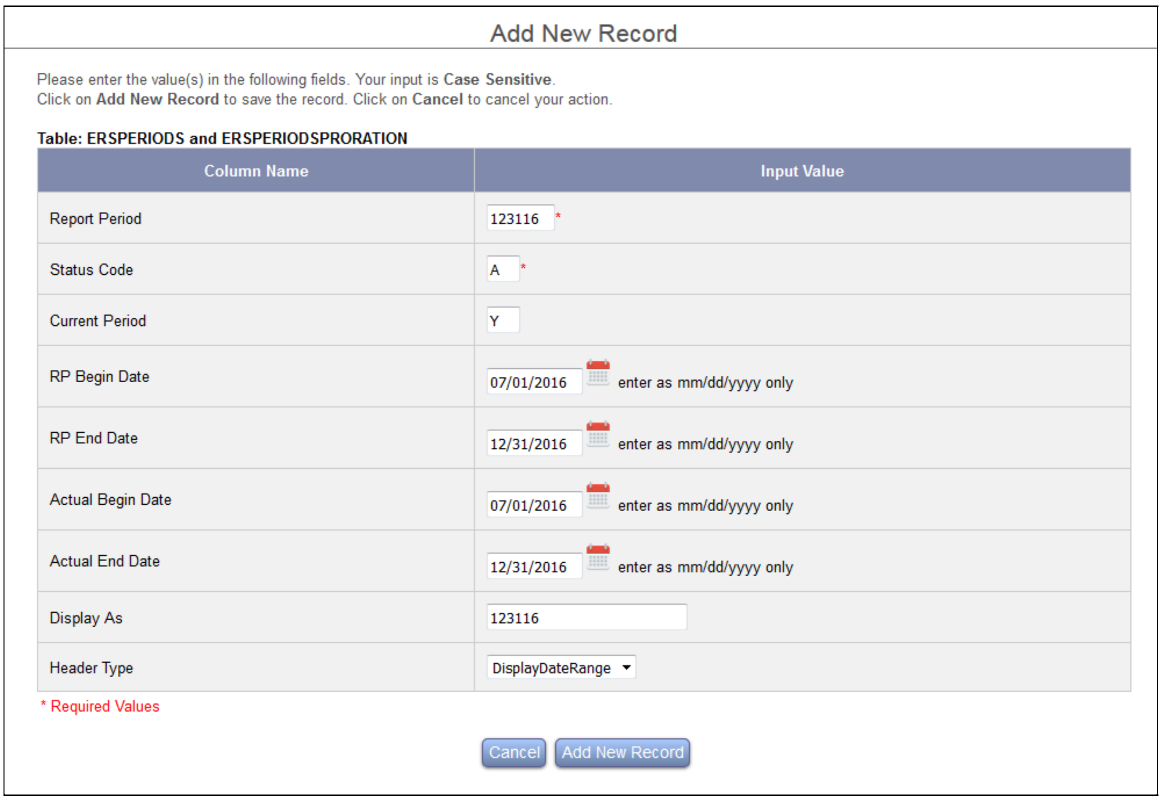
SQL: SELECT DISTINCT MACCOUNT FROM CEMAWARD WHERE MACCOUNT IN (SELECT DISTINCT ACCOUNT FROM ERSCHARTACCTS WHERE ACCTYPE IN ('N','C'))

10.1.4 CONFIGURATIONS

10.1.4.1 Define Reporting Period

10.1.4.1.1 Single Status Code

The new reporting period is defined in table ERSPERIODS via interface *Admin→ Data Management→ Manage ERS Tables→ Reporting Periods/ Salary Cap.*



Add New Record

Please enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Add New Record** to save the record. Click on **Cancel** to cancel your action.

Table: ERSPERIODS and ERSPERIODSPRORATION

Column Name	Input Value
Report Period	123116 *
Status Code	A *
Current Period	Y
RP Begin Date	07/01/2016 enter as mm/dd/yyyy only
RP End Date	12/31/2016 enter as mm/dd/yyyy only
Actual Begin Date	07/01/2016 enter as mm/dd/yyyy only
Actual End Date	12/31/2016 enter as mm/dd/yyyy only
Display As	123116
Header Type	DisplayDateRange

* Required Values

Cancel Add New Record

Note:
If the institution uses RCT module then reporting period data is also required in table ERSPERIODSPRORATION and in this case the above interface will be displayed to the CA. Since most columns are common in table ERSPERIODS and ERSPERIODSPRORATION, these two tables are combined in one interface to avoid having the CA re-key the same information.

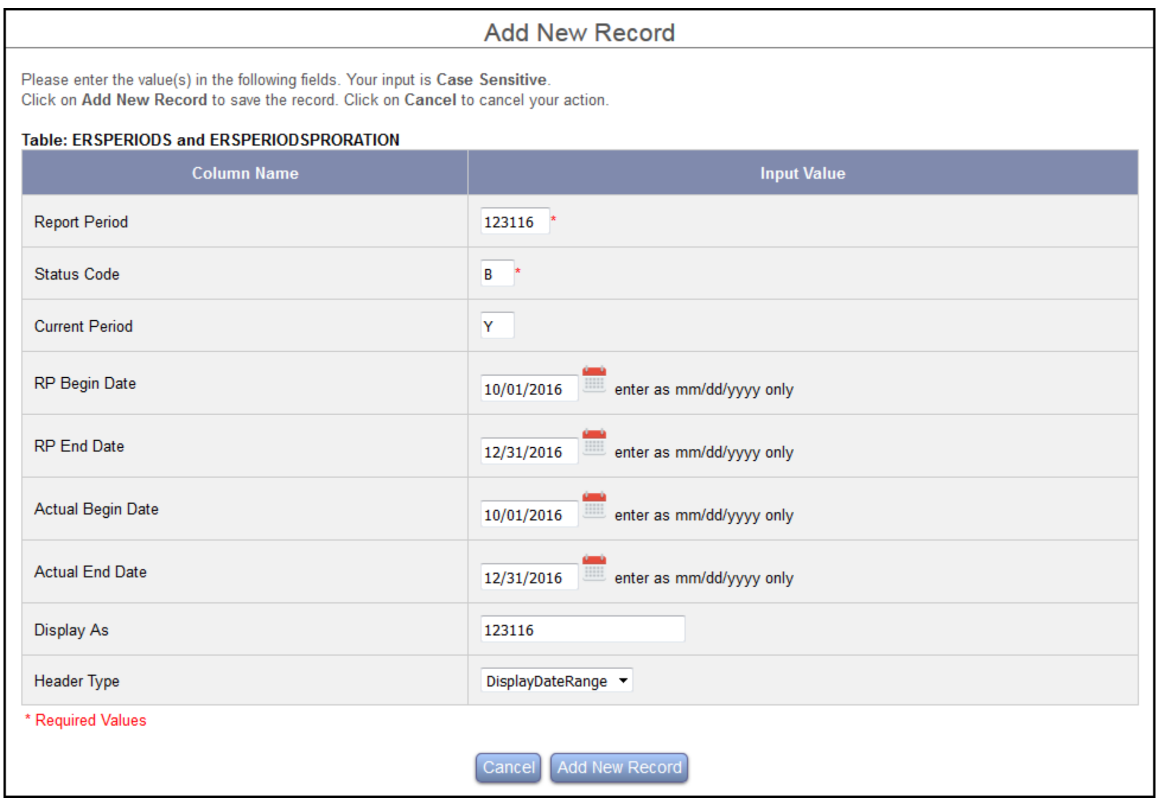
If no prorating of the effort amount is required then the value in Actual Begin Date and Actual End Date should correspond to RP Begin Date and RP End Date, respectively.

The Current Period value for the period to be initiated should be set to Y.

Note:
If the institution is using Effort On Demand (EOD) feature, the current period will already be defined in the system. It should now be set to the current period and then the next reporting period (the period with payroll currently accumulating) should be defined.

10.1.4.1.2 Multiple Status Codes for 1 Report Period

In the event that your institution requires two or more different frequencies of reporting (i.e. monthly & quarterly), ERS is designed to handle multiple status codes in a single reporting period. The CA should replicate the above process, adding a Status Code with different begin and/or end dates.



Add New Record

Please enter the value(s) in the following fields. Your input is **Case Sensitive**.
Click on **Add New Record** to save the record. Click on **Cancel** to cancel your action.

Table: ERSPERIODS and ERSPERIODSPRORATION

Column Name	Input Value
Report Period	123116 *
Status Code	B *
Current Period	Y
RP Begin Date	10/01/2016 enter as mm/dd/yyyy only
RP End Date	12/31/2016 enter as mm/dd/yyyy only
Actual Begin Date	10/01/2016 enter as mm/dd/yyyy only
Actual End Date	12/31/2016 enter as mm/dd/yyyy only
Display As	123116
Header Type	DisplayDateRange

* Required Values

Cancel Add New Record

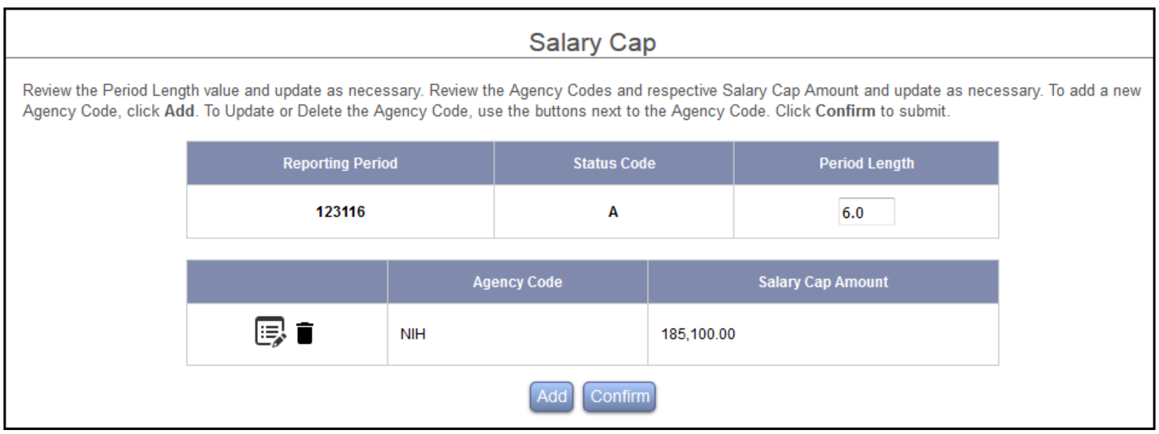
Important Note: The end date of a reporting period that consists of multiple status codes should be same.

The data in ERSPERIODS table for the reporting period to be initiated will look like the following:

RPCODE	ISCURRENT	BEGINDATE	ENDDATE	PERIODSTRING	STATUSCODE	HEADERTYPE
123116	Y	2016-07-01 00:00:00.0	2016-12-31 00:00:00.0	123116	A	DisplayDateRange
123116	Y	2016-10-01 00:00:00.0	2016-12-31 00:00:00.0	123116	B	DisplayDateRange

10.1.4.2 Define Salary Cap

The CA has an option to add or update salary cap when defining the reporting period via interface *Admin → Data Management → Manage ERS Tables → Reporting Periods/ Salary Cap* for each status code.



The number displayed under *Period Length* represents the number of months to be captured in the reporting period. By default, the system uses reporting period begin and end date to calculate the length of the reporting period and pre-populates this value in the Period Length column. This value will be rounded to the nearest hundredth. However, the Central Administrator can update this value, if necessary. Two decimals are allowed.

Note: The system will carry over all the previously defined agencies and cap when defining a new reporting period.

The icon allows the CA to edit information on the line such as updating the current salary cap. The icon allows the CA to delete the entire line of information.

By selecting the Add button, the CA may add other agencies with salary caps and the dollar amount. Clicking Confirm confirms any changes or exits the CA from this screen. Once confirmed, the CA is directed to a *Table Update Summary* of selected salary caps to be imposed during the report period.

Salary Cap Update Summary

The record below has been saved to the table. Click on the **Return** button to go back to the table selection. Click on the **Back** button to make more changes.

Table: ERSPeriod/ERSSalaryCap

Column Name	Input Value
Reporting Period	123116
Status Code	A
Current Period	Y
RP Begin Date	07/01/2016
RP End Date	12/31/2016
Actual Begin Date	07/01/2016
Actual End Date	12/31/2016
Displayed as	123116
Header Type	DisplayDateRange

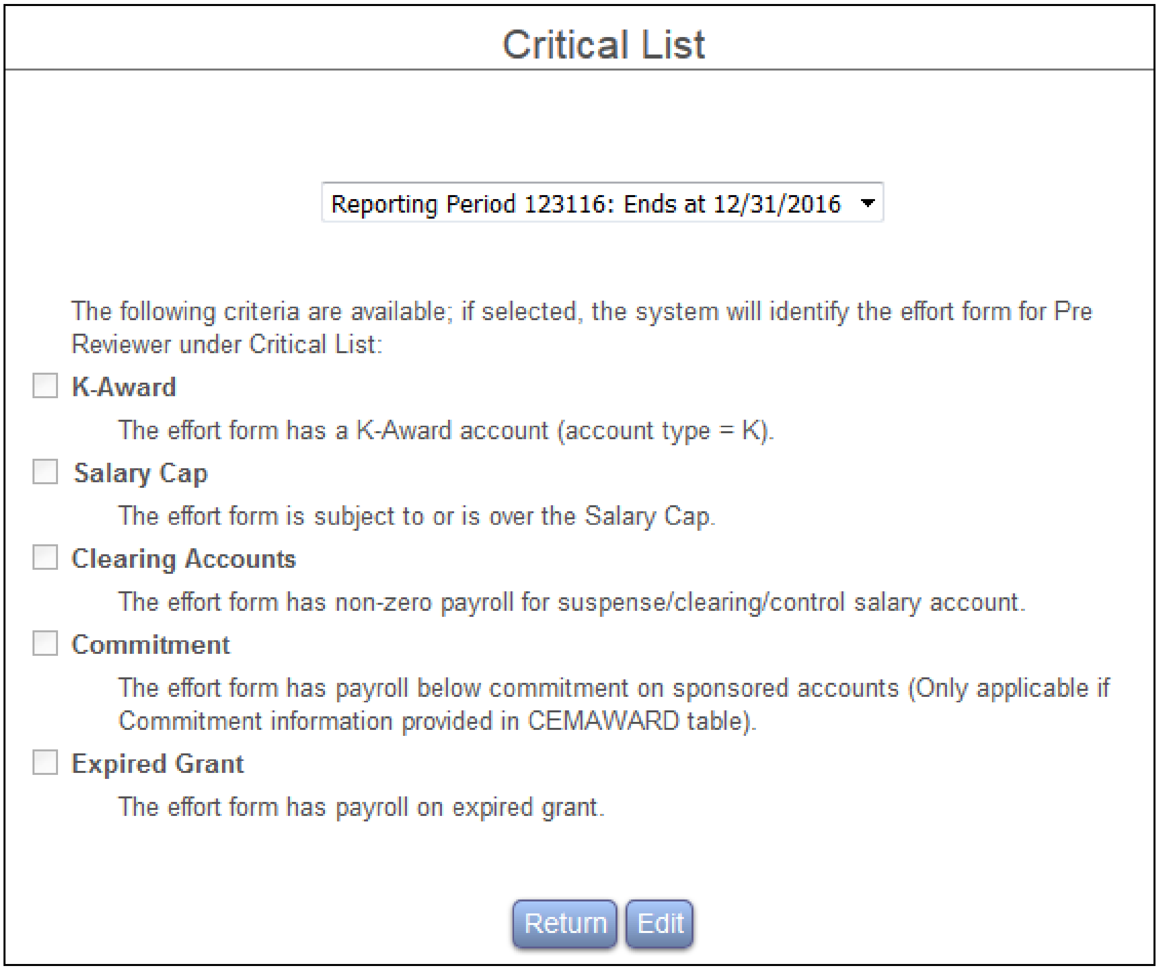
Agency Code	Salary Cap Amount	Months
NIH	$185,100.00	6

Return

Note: The agency code must correspond to the value entered in CEMAWARD.GRANTORCODE field in order for ERS to flag the form and applicable account as subject to the CAP.

10.1.4.3 Define Critical List (Optional)

The critical list is defined via *System Settings* → *Initiation Settings* → *Critical List and Global Release*. This step is optional. For details refer the *Initiation Settings* section available under chapter *System Settings*.

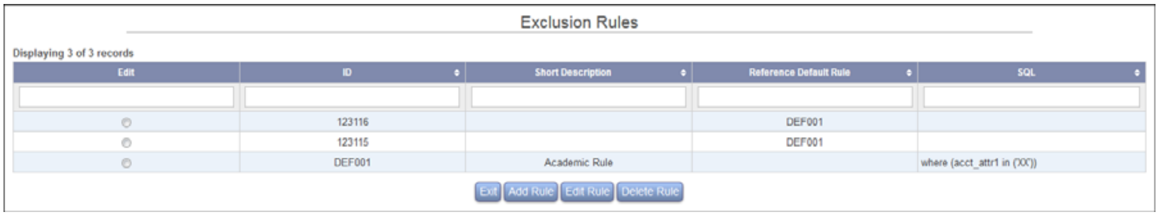


10.1.4.4 Define Exclusion Rules (Required)

The exclusion rules in the system allow excluding certain types of payroll transactions based on one or more of the attributes associated with it that should not be considered as certifiable payroll.

The exclusion rules are defined via *System Settings* → *Initiation Settings* → *Exclusion Rules Setup*

Important Note: The system requires an exclusion rule definition for every reporting period even if no exclusion criteria exist; define an empty exclusion rule for a reporting period.



Refer *System Settings* chapter; section *Initiation Settings* for details on defining the Exclusion Rules for each reporting period.

10.1.4.5 Define Overhead Account (Optional)

The Central Administrator can specify codes based on which an effort form will be generated for the individuals paid out of these codes (accounts) at the time of generating effort reports. The assumption is that this code is an attribute of the payroll transaction in ERSPAYROLLxxxxxx table.

Configuration Note:
There is no front-end interface for this configuration; it resides in a table ERSTRANSLATE.

In order to update the configuration with the overhead accounts, the following SQL can be used.

UPDATE ERSTRANSLATE SET ITEMXML = ' WHERE ACCT_ATTR2 IN (''XXXXX'', ''YYYYY'') GROUP BY EMPID HAVING COUNT (DISTINCT ACCOUNTID) > 1)' WHERE IDEN = ‘OVERHEADCLAUSE’

ACCT_ATTR2 refers a field in ERSPAYROLLXXXXXXX
Xxxxxx, yyyyyy refers the codes surrounded by the single quotes.

The above example SQL requires generating an effort form if an individual has more than one overhead accounts.

10.1.4.6 Review Data Exception Reports

Before starting the Initiation process, run the following exception reports located under *Reports* → *Standard Report* → *Exceptions Reports* section, for any data errors.

- Accounts on Payroll Table but not on Chart of Accounts table
- Employees on Payroll Table but not on Users table

If CEMAWARD table is used to display commitment information on the effort form, run the following reports for any data errors.

- Employees on CEMAWARD table but not on Users table
- Accounts on Award Table but not on Chart of Accounts table

These data errors need to be fixed in order for Initiation process to be completed successfully.

10.1.4.7 Archiving (Optional)

Use the Archiving feature to archive all the completed effort reports. This will prevent the user from making any modifications to the forms. For details refer *Archive Data* chapter.

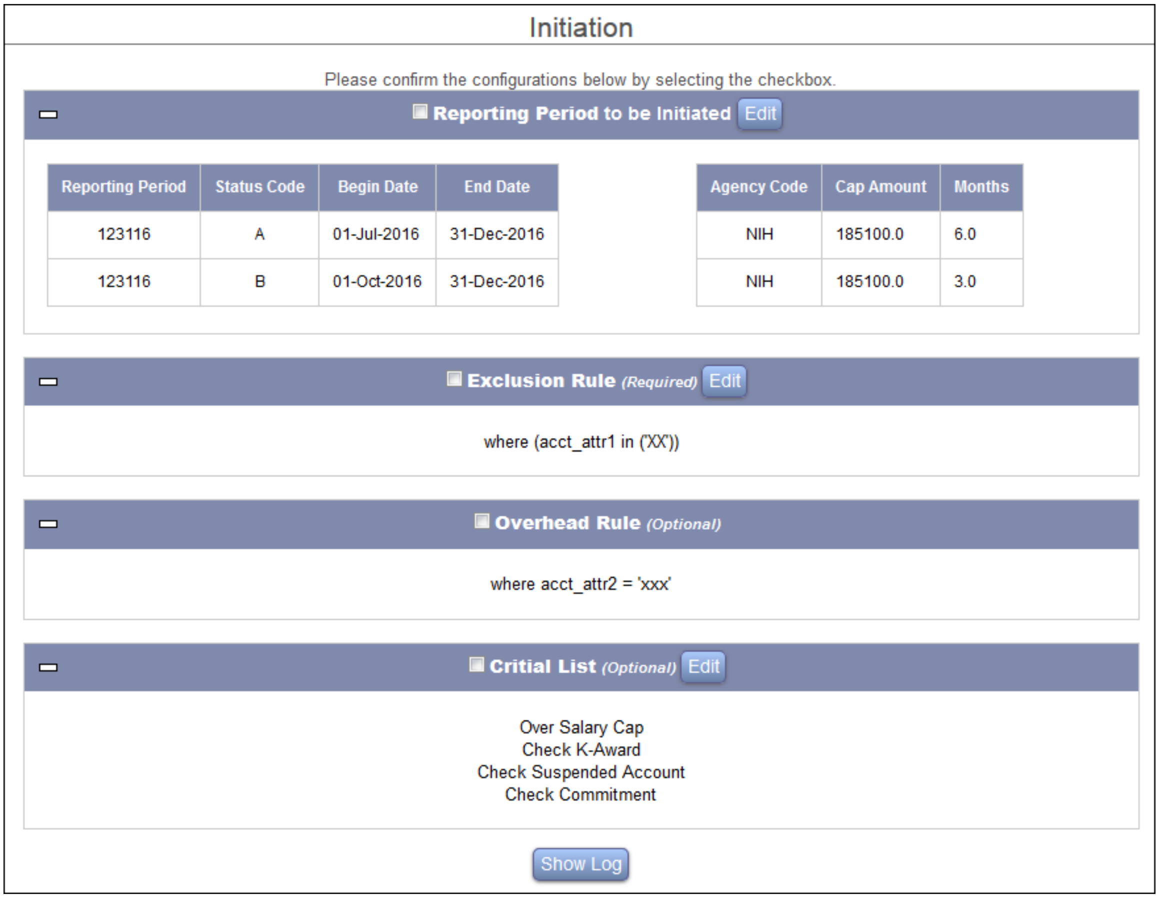
10.2 Initiation

Initiation process generates effort forms for a new reporting period. It is a sequential process where the option for working on the next step is available only when the prior steps have been successfully completed.

Start the Initiation process by clicking on *Admin* → *Initiation*

10.2.1 Confirm Configurations *(Reporting Period, Salary Cap, Critical List, Exclusion Rule)*

The first step requires the Central Administrator to review and confirm both required and optional configurations as shown in the screenshot below.



The Central Administrator confirms the configuration by selecting the checkbox against each configuration section.

The section collapses as the checkbox is selected. Click on the expand button or double-click on the section header to expand the respective section. Click the Edit button next to each section to add or update the configurations.

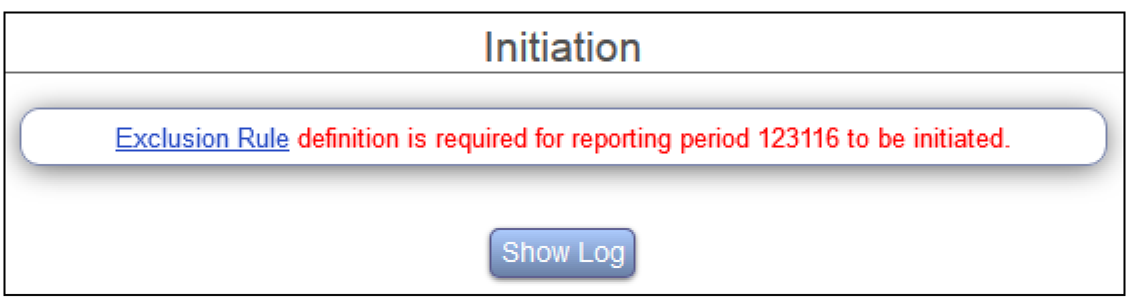
Note: The Overhead configuration is a back-end configuration and does not have the option to *Edit*.

Initiation records the results of data processing as they occur in a log file and is available to view by clicking the button Show Log

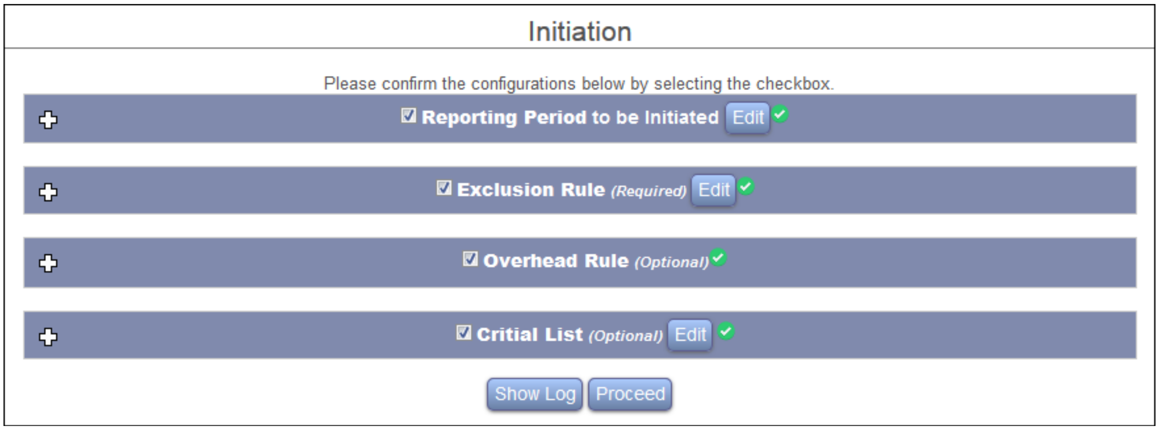
Method	Level	Message	Time Stamp
[All]	[All]		2017-05-10
Auto	INFO	Checking employees with invalid status code:	2017-05-10 11:53:19
Auto	INFO	Checking employees with subdept code:	2017-05-10 11:53:19
Auto	INFO	Checking missing accounts:	2017-05-10 11:53:19
Auto	SEVERE	ERSPAYROLL123116: 6000-5000-4000-3000-2000 is missing from erschartaccts table	2017-05-10 11:53:19
Auto	SEVERE	3 transactions without PreAmount info.	2017-05-10 11:53:19
Auto	SEVERE	2 transactions with invalid appt.	2017-05-10 11:53:19
Auto	WARNING	Invalid Account Subdept: 50040-100-100005-023060-0000-0000|4101	2017-05-10 11:53:19
Manual	INFO	Payroll Refresh: All transactions in ERSPAYROLLTEMP have been processed	2017-05-10 12:53:28
Auto	INFO	Starting Initiation for Period: 123116	2017-05-10 12:53:37
Auto	INFO	Checking employees in payroll but not in Users table:	2017-05-10 12:53:38
Auto	SEVERE	ERSPAYROLL123116: 123456789|Paul, Ryan|50040 is not in users table.	2017-05-10 12:53:38
Auto	INFO	Checking employees in cemaward but not in Users table:	2017-05-10 12:53:38
Auto	SEVERE	CEMAWARD: 998877660|Gosling, Ryan|null is not in users table.	2017-05-10 12:53:38
Auto	INFO	Checking employees with invalid status code:	2017-05-10 12:53:38
Auto	SEVERE	ERSUSERS: 0056582|Cushman,Mary|Z.	2017-05-10 12:53:38
Auto	SEVERE	ERSUSERS: 0056132|McMaster,William Joseph|null.	2017-05-10 12:53:38
Auto	INFO	Checking employees with subdept code:	2017-05-10 12:53:38
Auto	INFO	Checking missing accounts:	2017-05-10 12:53:38
Auto	SEVERE	ERSPAYROLL123116: 6000-5000-4000-3000-2000 is missing from erschartaccts table	2017-05-10 12:53:38
Auto	SEVERE	CEMAWARD: 99999-88888 is missing from erschartaccts table	2017-05-10 12:53:38
Auto	SEVERE	3 transactions without PreAmount info.	2017-05-10 12:53:38
Auto	SEVERE	2 transactions with invalid appt.	2017-05-10 12:53:38
Auto	WARNING	Invalid Account Subdept: 50040-100-100005-023060-0000-0000|4101	2017-05-10 12:53:38

The Show Log option will be available on all subsequent steps of Initiation process.

If any of the required configurations are missing the system will display a message with an option to drill down to the missing configuration interface. For example in the screenshot below clicking on *Exclusion Rule* link will take the Central Administrator to the exclusion rules interface.

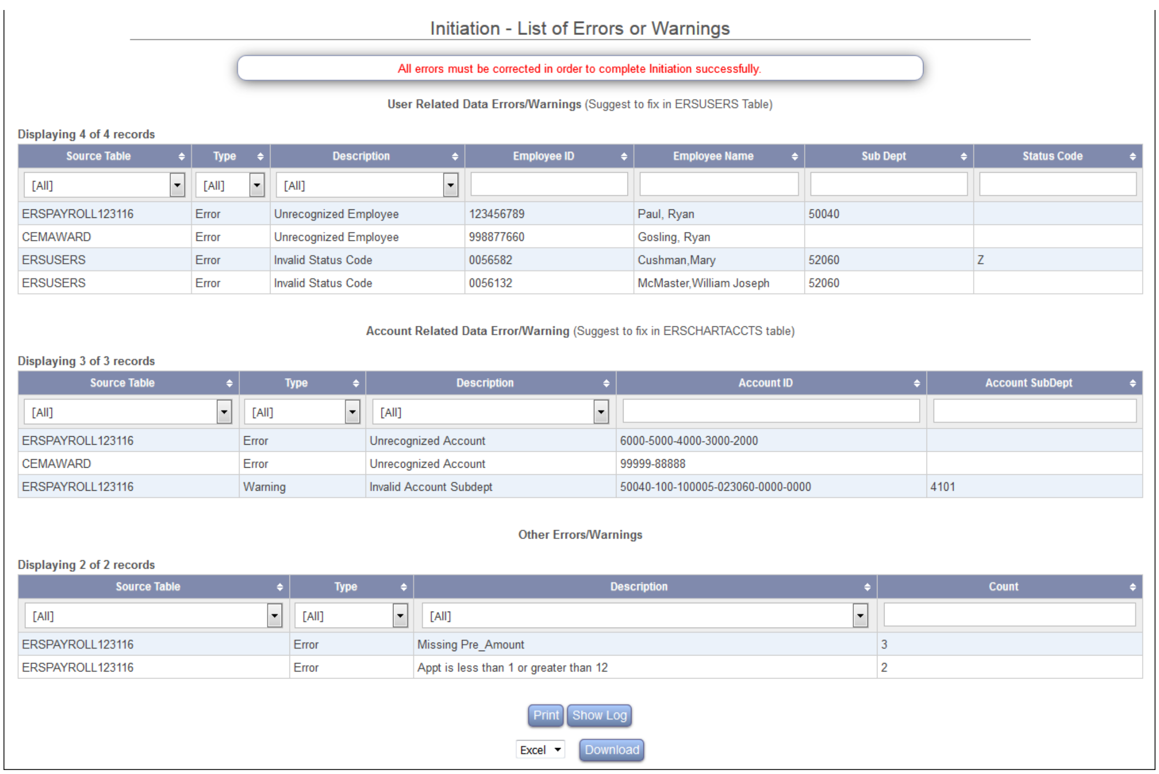


Once all the configurations are confirmed the Proceed button will be available for the Central Administrator to continue with the next step of Initiation.



10.2.2 Error and Warning Checks

After confirmation of the configurations, the system checks for missing or invalid data in various source tables. Any data issue is categorized either as an error or warning. If any error is found, it must be corrected in order to proceed with the next and final step of Initiation. Warnings can be ignored as they do not impact the generation of effort forms and can be corrected after completion of Initiation process also.



Initiation - List of Errors or Warnings

All errors must be corrected in order to complete Initiation successfully.

User Related Data Errors/Warnings (Suggest to fix in ERSUSERS Table)

Displaying 4 of 4 records

Source Table	Type	Description	Employee ID	Employee Name	Sub Dept	Status Code
[All]	[All]	[All]				
ERSPAYROLL123116	Error	Unrecognized Employee	123456789	Paul, Ryan	50040	
CEMAWARD	Error	Unrecognized Employee	998877660	Gosling, Ryan		
ERSUSERS	Error	Invalid Status Code	0056582	Cushman,Mary	52060	Z
ERSUSERS	Error	Invalid Status Code	0056132	McMaster,William Joseph	52060	

Account Related Data Error/Warning (Suggest to fix in ERSCHARTACCTS table)

Displaying 3 of 3 records

Source Table	Type	Description	Account ID	Account SubDept
[All]	[All]	[All]		
ERSPAYROLL123116	Error	Unrecognized Account	6000-5000-4000-3000-2000	
CEMAWARD	Error	Unrecognized Account	99999-88888	
ERSPAYROLL123116	Warning	Invalid Account Subdept	50040-100-100005-023060-0000-0000	4101

Other Errors/Warnings

Displaying 2 of 2 records

Source Table	Type	Description	Count
[All]	[All]	[All]	
ERSPAYROLL123116	Error	Missing Pre_Amount	3
ERSPAYROLL123116	Error	Appt is less than 1 or greater than 12	2

Print Show Log

Excel Download

- **Source Table** column lists the table where data issue was found.
- **Type** column categorizes the data issue as *Error* or *Warning*.
- **Description** column gives brief description of the data issue.
- Other columns provide specific information or count related to the data issue.

These errors or/ and warnings can either be printed using Print button or downloaded in excel (.xls) or pdf using Download button.

The errors and warnings are categorized into three sections based on the data checks performed on the various source tables.

10.2.2.1 User Related Data Errors or Warnings

This section lists any invalid or missing required user information in various source tables.

User Related Data Errors/Warnings (Suggest to fix in ERSUSERS Table)

Displaying 4 of 4 records

Source Table	Type	Description	Employee ID	Employee Name	Sub Dept	Status Code
[All]	[All]	[All]				
ERSPAYROLL123116	Error	Unrecognized Employee	123456789	Paul, Ryan	50040	
CEMAWARD	Error	Unrecognized Employee	998877660	Gosling, Ryan		
ERSUSERS	Error	Invalid Status Code	0056132	McMaster,William Joseph	52060	
ERSUSERS	Error	Invalid Status Code	0056582	Cushman,Mary	52060	Z

The following error checks take place in this step:

- The system identifies employees in the Payroll (ERSPAYROLLxxxxxx) table
  - Missing from the Users (ERSUSERS) table.
    Fix: *Add this employee detail in ERSUSERS table.*
  - Invalid or Missing Status Code from the Users (ERSUSERS) table.
    Fix: *Update or add valid status code for this user in ERSUSERS table.*
  - Invalid Subdept Code from the Users (ERSUSERS) table.
    Fix: *Edit this employee detail in ERSUSERS table by assigning a correct subdept code.*
- The system identifies users specified in Awards (CEMAWARD) table but missing information in the Users (ERSUSERS) table.
  Fix*: Add this employee detail in ERSUSERS table.*

  Note: This check is only performed if Commitment information is displayed on effort form OR CEM module is used.

10.2.2.2 Account Related Data Errors or Warnings

This section lists any invalid or missing required account related information in various source tables.

Account Related Data Error/Warning (Suggest to fix in ERSCHARTACCTS table)

Displaying 3 of 3 records

Source Table	Type	Description	Account ID	Account SubDept
[All]	[All]	[All]		
ERSPAYROLL123116	Error	Unrecognized Account	6000-5000-4000-3000-2000	
CEMAWARD	Error	Unrecognized Account	99999-88888	
ERSPAYROLL123116	Warning	Invalid Account Subdept	50040-100-100005-023060-0000-0000	4101

The following error checks take place in this step:

- Accounts in ERSPAYROLLxxxxxx but missing in ERSCHARTACCTS
  Fix: Add missing account information in ERSCHARTACCTS table.
- Accounts in CEMAWARD but missing in ERSCHARTACCTS.
  This checks if an account record in CEMAWARD has the details in ERSCHARTACCTS. It only checks the accounts for employees that have payroll in the reporting period that is being initiated.
  Fix: Add missing account information in ERSCHARTACCTS table.
  Note: This check is only performed if Commitment information is displayed on effort form OR CEM module is used.
- If Read Only feature is enabled, a warning is given if any subdept or dept in ERSPAYROLLxxxxxx is not found in ERSSUBDEPT or ERSDEPT.
  Fix: Ensure information provided in ERSCHARTACCTS.Company is a valid sub department/ department. If valid then ensure the sub department/ department detail exists in ERSSUBDEPT/ ERSDEPT table respectively.

10.2.2.3 Other Errors or Warnings

This section lists miscellaneous data issues in various source tables.

Other Errors/Warnings

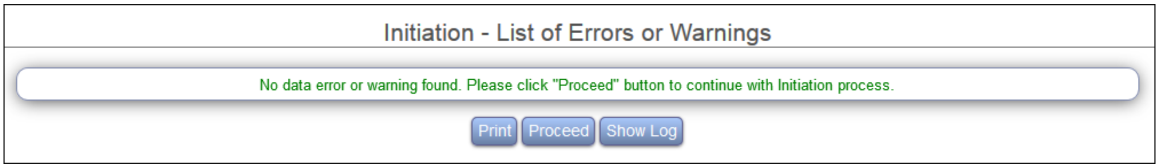
Displaying 2 of 2 records

Source Table	Type	Description	Count
[All]	[All]	[All]	
ERSPAYROLL123116	Error	Missing Pre_Amount	3
ERSPAYROLL123116	Error	Appt is less than 1 or greater than 12	2

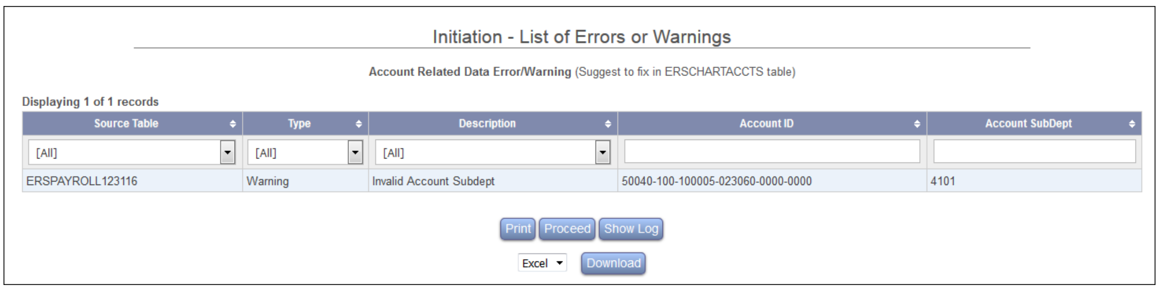
The following error checks take place in this step:

- No value provided in ERSPAYROLLxxxxxx.PRE_AMOUNT, if 9 over 12 conversion configuration is enabled.
  Fix: Re-import payroll data with required value in the missing field PRE_AMOUNT.
- Value in ERSPAYROLLxxxxxx.APPT is either less than 1 or greater than 12, if 9 over 12 conversion configuration is enabled.
  Fix: Re-import payroll data with correct value in the field APPT.

The system will allow the CA to Proceed to next and final step of Initiation if it identifies no data error issues.



The Central Administrator can also proceed to the final Initiation step if there are Warnings only.



Click Proceed to continue with final step of Initiation process i.e. generation of effort forms.

10.2.3 Summary

After ensuring the required source data elements are in place, ERS generates effort forms and presents the following Initiation process summary to the Central Administrator.

10.2.3.1 Effort Forms

The total number of effort forms generated for the initiated reporting period is provided.

The initiation for reporting period 123116 is completed and generated 27 effort forms. The public access to ERS may be enabled and Pre Reviewers and Certifiers notified to start reviewing Effort Form now.

The effort form is generated if any one of the following conditions applies -

- Employee has at least one non-zero sponsored payroll account.
- Employee belongs to a sub department that requires all employees to report effort regardless of the type of account (ERSSUBDEPT.GETPAR=Y)
- Employee with overhead account that is pre-defined in the system before initiation.
- Employees who have at least one non-zero payroll transaction and the **budget period** of the award overlaps with current reporting period.
  Note: This condition is applicable only if CEM module in ERS is used.
- Employees who have at least one non-zero payroll transaction and the **award period** overlaps with current reporting period.
  Note: This condition is applicable only if Commitment information is displayed on the effort form.

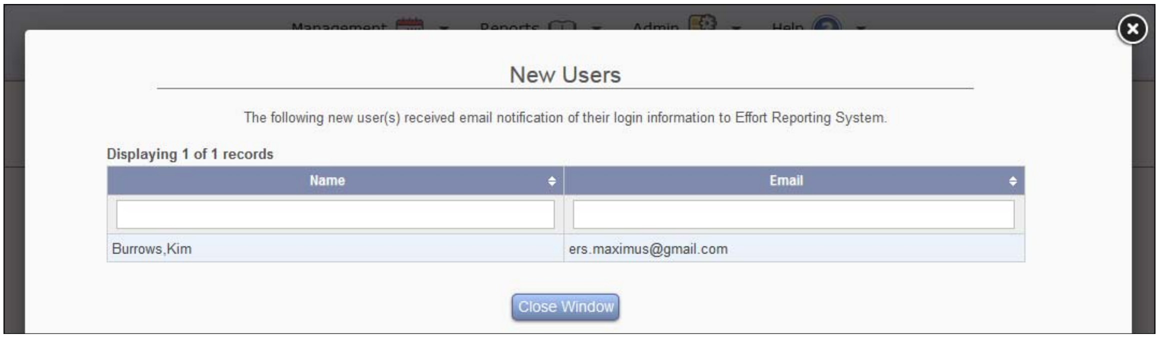
Note: The effort form is not generated if any of the above criteria is met but total of all the accounts results in $0 balance.

10.2.3.2 New Users

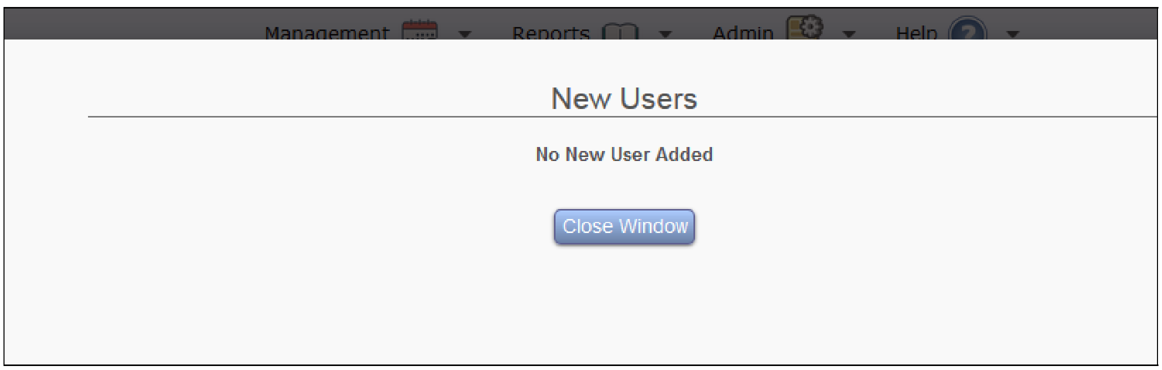
The system identifies if there is any new user for which an effort form was generated and provides the option to notify them with their login information to Effort Reporting System.

Click here to notify new users of their login information to Effort Reporting System.

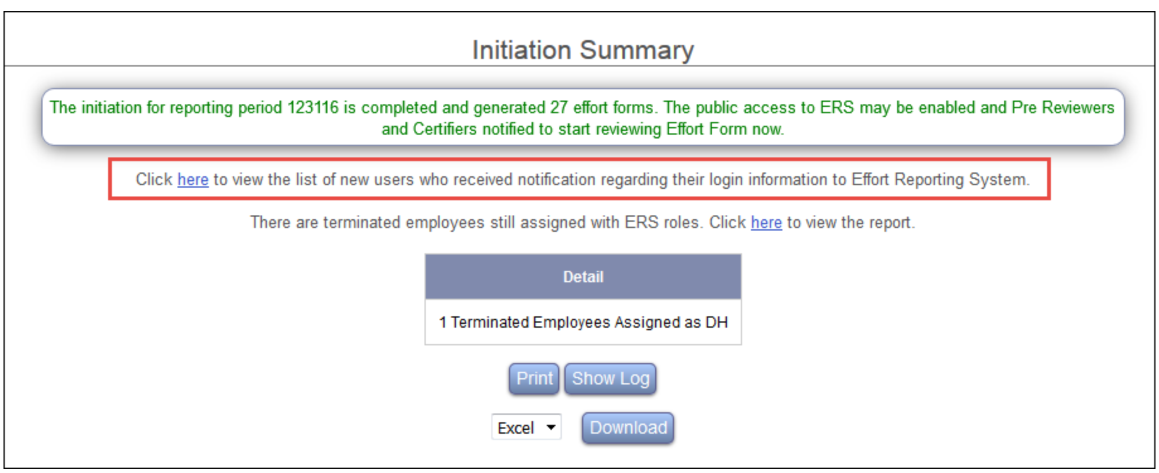
By clicking *here* ERS sends email notification with the login information followed by presenting a list of new users who received the email notification.



If no new user was identified the following page will be presented.

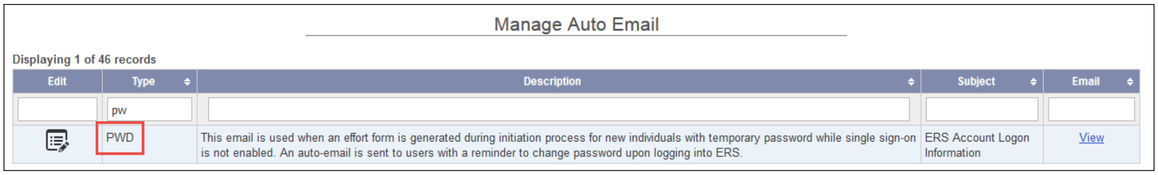


This list of new users is available for viewing after email notification is sent.



Important Note: This option is only available if Single Sign On feature is not used.

The following email type is used to generate notifications to the new user and can be configured via *Admin* → *System Settings* → *Email Settings* → *ERS Auto Email*.

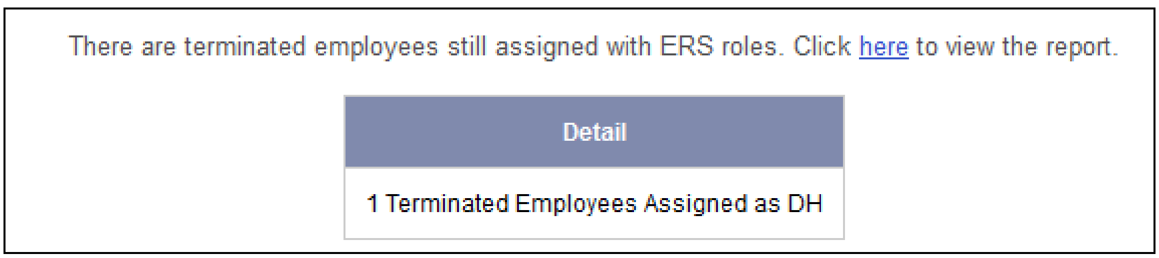


Refer chapter *System Settings*, section *Email Settings* for details related to configuration.

10.2.3.3 Terminated Employees with active role

During the Initiation process the roles for DC, SUBDC, DH, and DCDH are updated in ERSUSERS table based on the data in different source tables.

If ERS identifies any terminated employee with a role of PRE, CERT, POST, DC, SUBDC, DH, or DCDH, it provides this information for the Central Administrator to review and address.

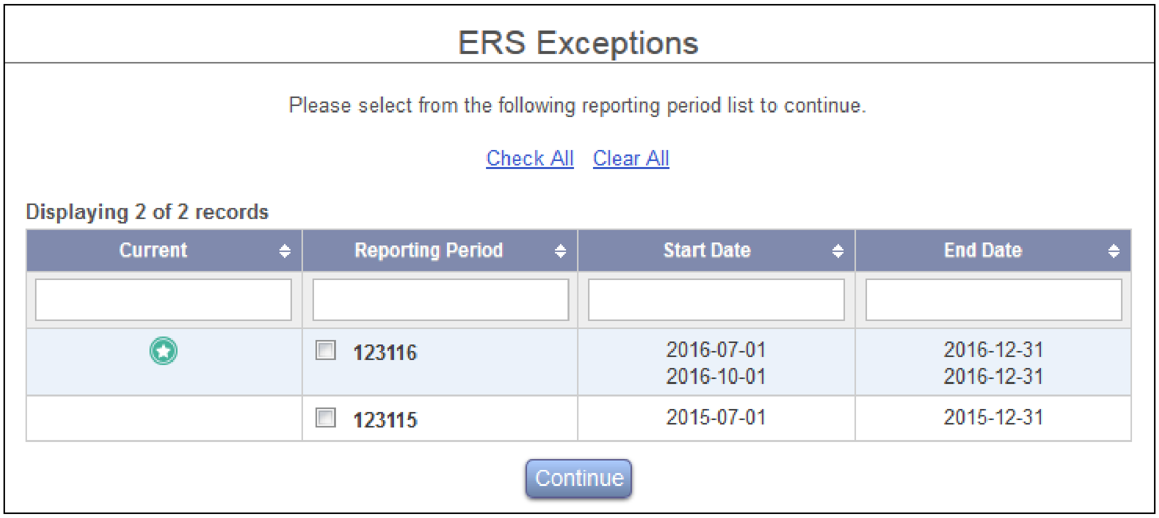


Click *here* link to view the exception report *Terminated Employees still assigned to roles* report.

10.3 Post-Initiation Tasks

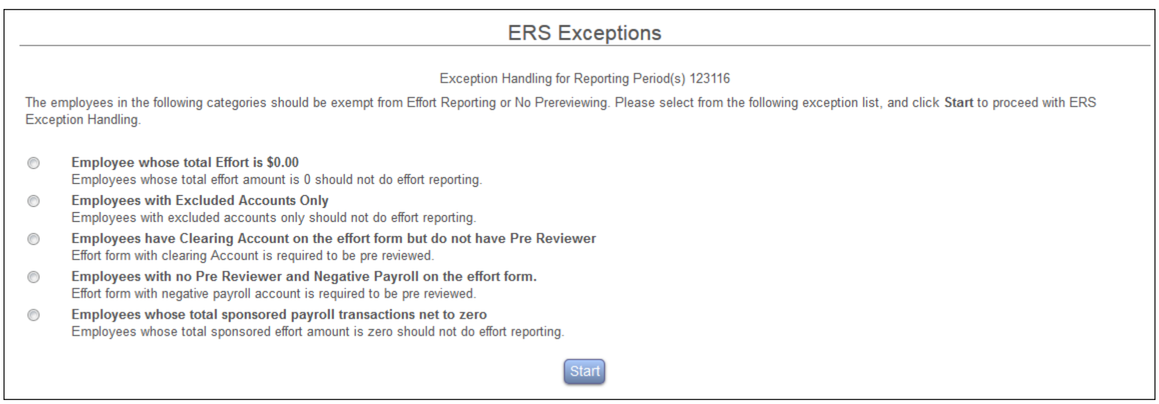
10.3.1 Review Exception Reports

Go to *Admin* →*Exceptions* listed under Initiation on the home page and select the current period to review exceptions.



Execute the following five exceptions and take action accordingly.

- Employee whose total effort amount is $0.00
- Employee with Excluded Accounts Only
- Employees have Clearing Account on the effort form but do not have Pre Reviewer
- Employees with no Pre Reviewer and Negative Payroll on the effort form
- Employees whose total sponsored payroll transactions net to zero



Refer chapter *Exceptions* for more details.

10.3.2 RCT – *Optional*

Depending on the institution's data load process it may be necessary to run RCT at this point. If there are cost transfers in the ERSPAYROLLRCT table that might apply to the period that was just initiated, RCTs will need to be run. This process can be safely run as it will perform updates only if needed.

10.3.3 Reports

Go to *Reports* → *Standard Reports* menu option and review the results from the following reports and make necessary corrections.

- Exception Reports → *Terminated Employees still assigned to roles*
- Reconciliation Reports → *Initial Payroll Reconciliation*

10.3.4 Review Effort Forms

View a few effort forms for accuracy via *Search Employee Forms by Employee Id or Account Id* available on the home page.

Ensure the following:

- The exclusions were applied correctly, if used.
- The 9 over 12 conversion rule(s) was applied correctly, if used.

10.3.5 Re-initiation

In the case any source data (users, payroll etc.) or configurations (exclusion rule etc.) are updated that requires to re-initiate in order for effort forms to reflect these changes, Central Administrator can initiate the reporting period again only if no effort form for that reporting period has been accessed.

If any effort form has been accessed, system does not allow initiating the same reporting again and will display the following message.

It provides an option to define a new reporting period in the case Central Administrator meant to initiate a new reporting period.

If re-initiation is still needed, the Central Administrator will need to drop all the accessed effort forms in order to initiate the current reporting period again.

10.3.6 Unlock ERS

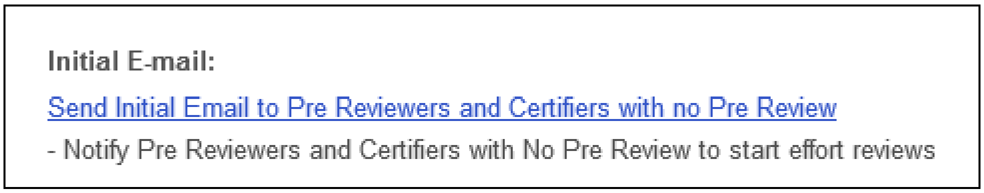
After each of the above steps is completed, unlock ERS by enabling Public Access to allow user access.

Admin → System Settings → Access Settings →Public Access

10.3.7 Notify

Notify users that effort forms are ready for access.

Management → Notifications → Initial Email



Important Note:
After Initiation is complete, no additional payroll data should be added manually to the payroll table. Use the RCT *(Refer RCT Chapter)* or Payroll Refresh *(Refer Appendix 4)* feature to add additional payroll data and update the effort form accordingly.

To generate effort forms which were not created at the time of Initiation, enter the Employee ID in the *Search Employee Effort Forms* box on the home page. If the user and payroll information exists in the appropriate user and payroll table, system will allow creating an effort form.

Chapter 11

Exceptions

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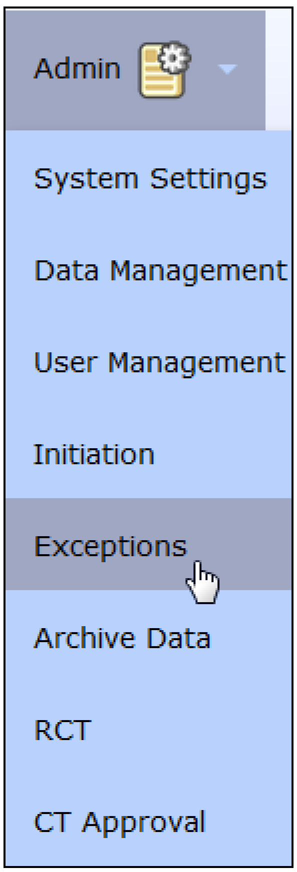
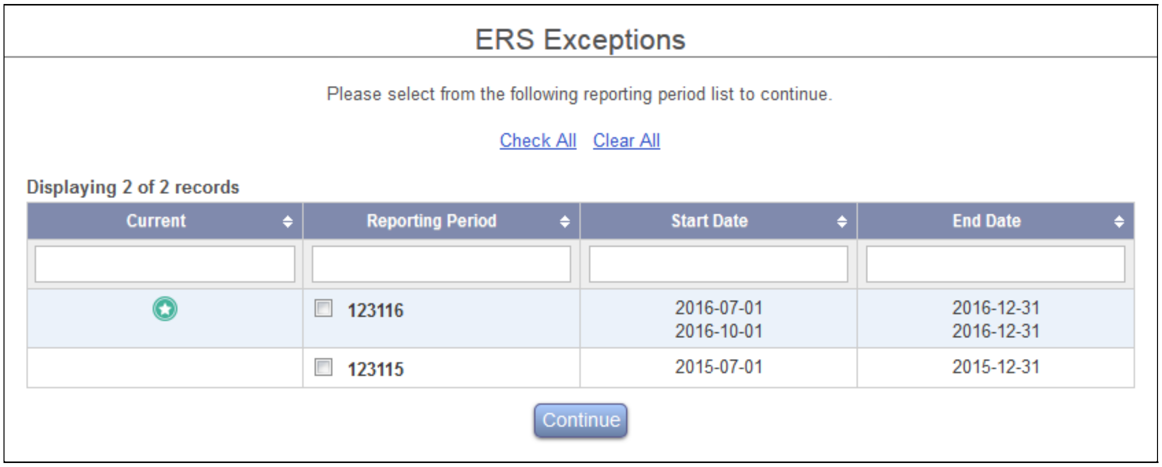
11 Exceptions

The Exceptions option allows the Central Administrator to review and address effort reports with exceptions, such as total negative payroll, total zero sponsored account, etc. This option is available to the Central Administrator under menu option *Admin*.

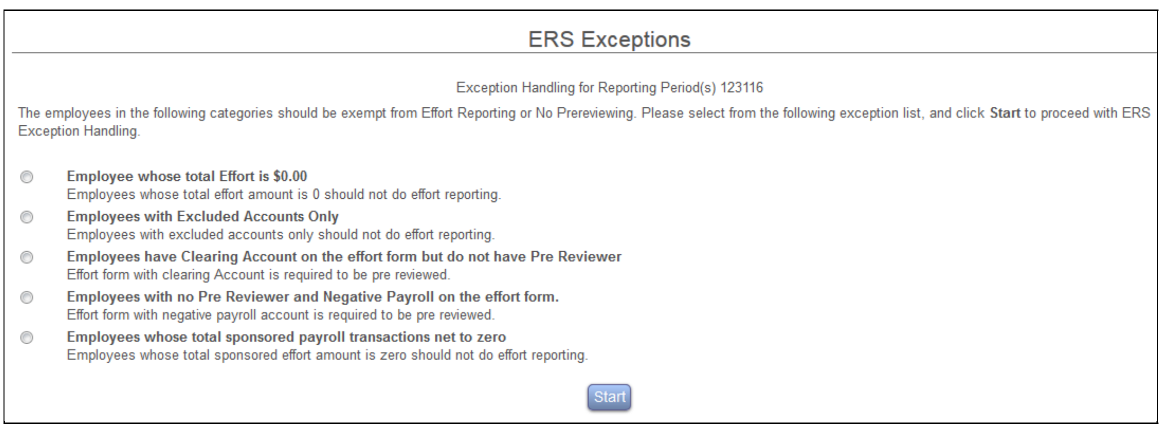


Upon selecting the Exceptions menu the Central Administrator will need to select one or multiple reporting periods.



After the selection of the reporting period(s) the following five exceptions are made available:

- Employee whose total Effort is $0.00
- Employees with Excluded Accounts Only
- Employees have Clearing Account on the effort form but do not have Pre Reviewer
- Employees with no Pre Reviewer and Negative Payroll on the effort form
- Employees whose total sponsored payroll transactions net to zero

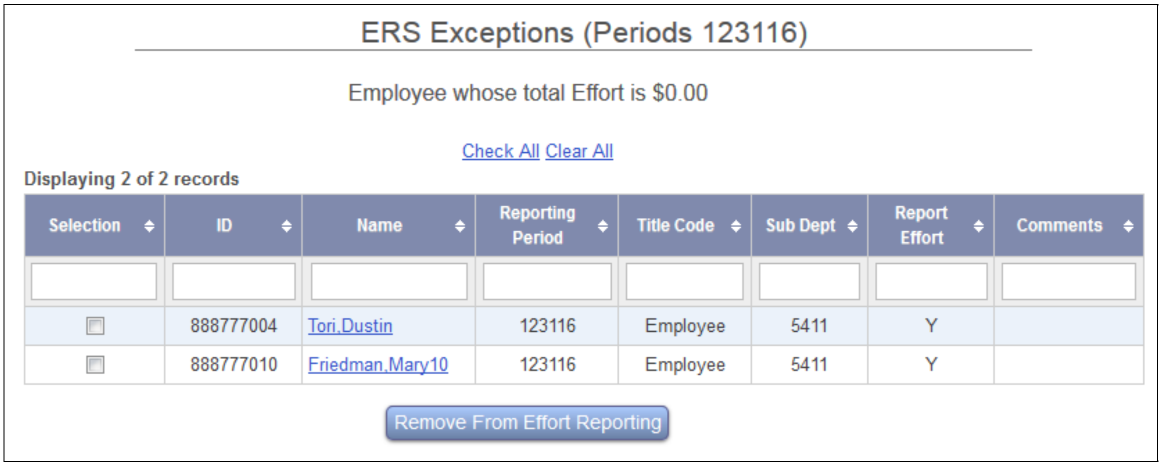


Note: There is a back-end configuration to add custom ERS. Please contact MAXIMUS if a custom exception is needed.

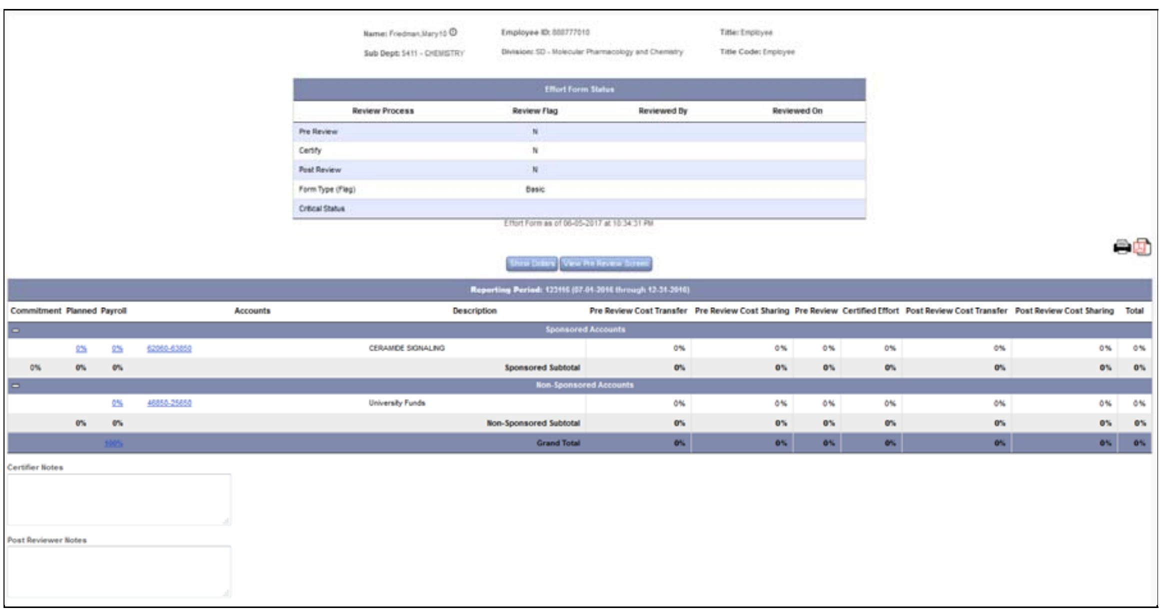
Upon selection of any exception option, the system generates a list of effort report(s) that meets the selected exception with an option to take an action of removing the effort form from the reporting list or assign a Pre Reviewer.

11.1 Employee whose total Effort is $0.00

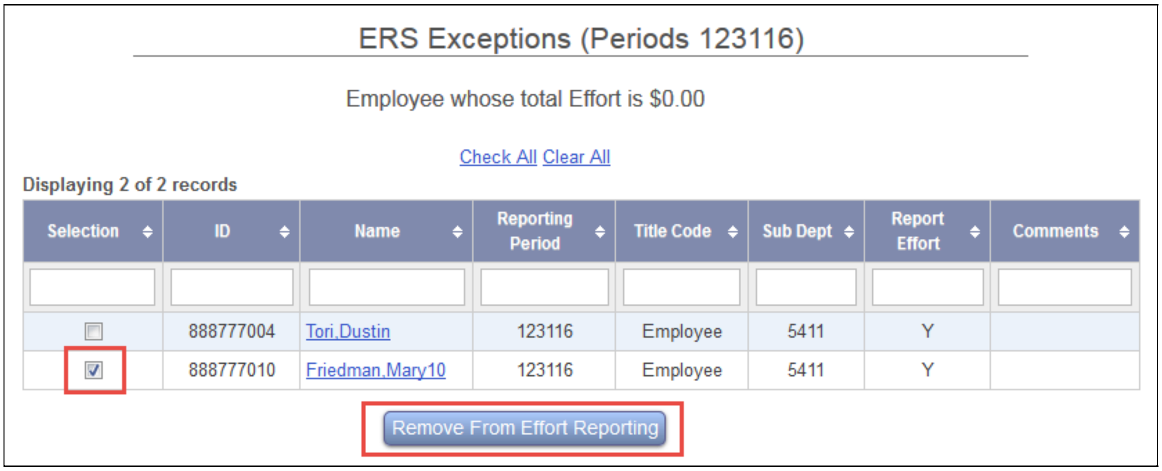
This exception lists the effort forms whose total effort amount nets to zero.



The name serves as a hyperlink to the effort form of the employee for the Central Administrator to review.



After reviewing the effort form the Central Administrator can remove the effort form(s) by selecting the effort form(s) followed by clicking on the button “Remove from Effort Reporting”.



ERS Exceptions (Periods 123116)

Employee whose total Effort is $0.00

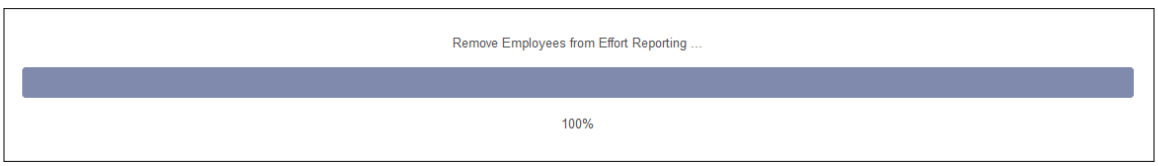
Check All Clear All

Displaying 2 of 2 records

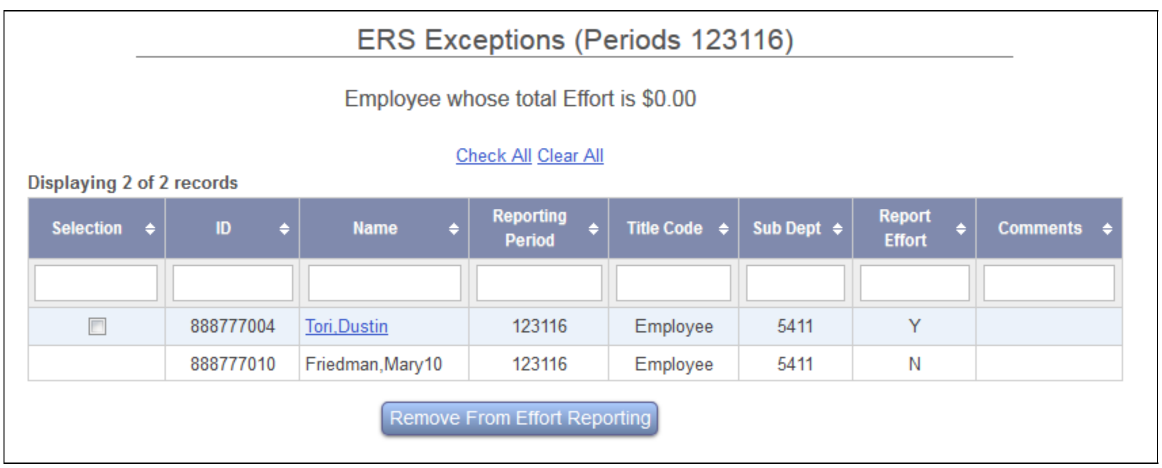
Selection	ID	Name	Reporting Period	Title Code	Sub Dept	Report Effort	Comments
☐	888777004	Tori,Dustin	123116	Employee	5411	Y	
☑	888777010	Friedman,Mary10	123116	Employee	5411	Y	

Remove From Effort Reporting

The Central Administrator will be presented with the progress bar as the selected effort forms are being removed.



At the end of the removal process the Central Administrator is presented with same list noting effort forms that were removed i.e. Report Effort = N and not removed i.e. Report Effort = Y.



ERS Exceptions (Periods 123116)

Employee whose total Effort is $0.00

Check All Clear All

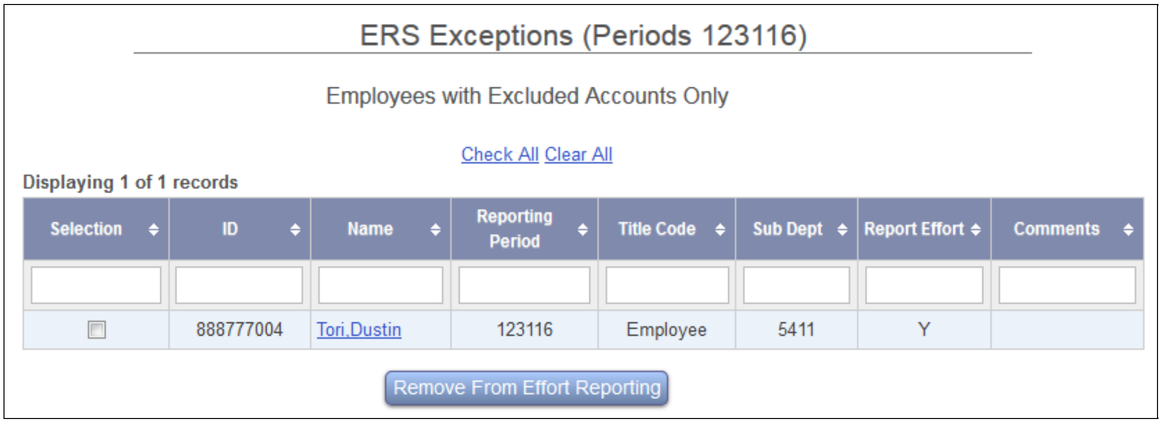
Displaying 2 of 2 records

Selection	ID	Name	Reporting Period	Title Code	Sub Dept	Report Effort	Comments
☐	888777004	Tori,Dustin	123116	Employee	5411	Y	
	888777010	Friedman,Mary10	123116	Employee	5411	N	

Remove From Effort Reporting

11.2 Employees with Excluded Accounts Only

This exception lists the effort forms that include excluded accounts only resulting in net effort amount of zero.



ERS Exceptions (Periods 123116)

Employees with Excluded Accounts Only

Check All Clear All

Displaying 1 of 1 records

Selection	ID	Name	Reporting Period	Title Code	Sub Dept	Report Effort	Comments
☐	888777004	Tori,Dustin	123116	Employee	5411	Y	

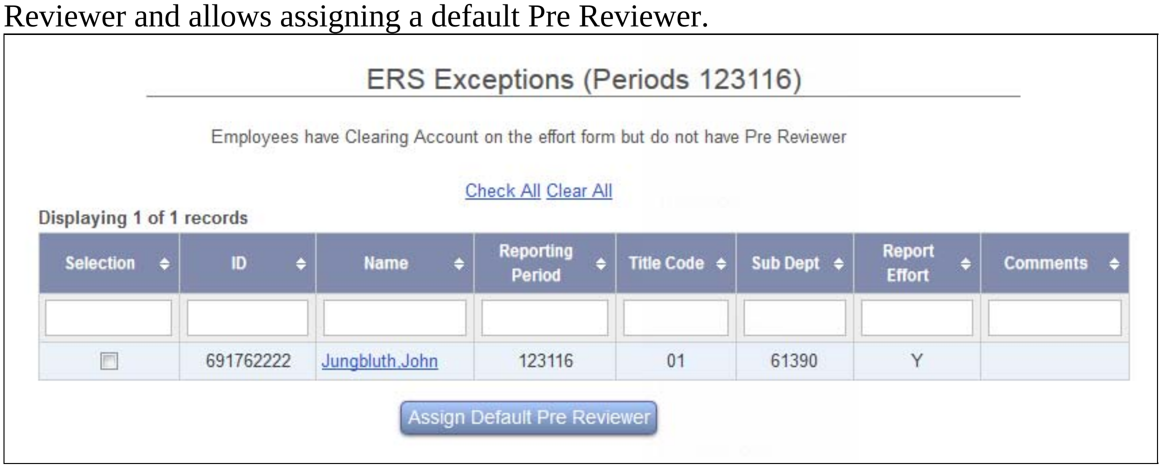
Remove From Effort Reporting

Similar to the exception of “Employees whose total effort is zero” the system allows removing the effort form from the reporting list.

Note: The exception of “Employees with Excluded Account” is one of the cases for “Employees whose total effort is zero” meaning that this same effort report will also be listed under the latter category when executed.

11.3 Employees have Clearing Account on the effort form but do not have Pre Reviewer

The effort forms with clearing accounts (suspense accounts) are required to be pre reviewed. This category lists the employees whose effort form(s) have no assigned Pre Reviewer and allows assigning a default Pre Reviewer.



ERS Exceptions (Periods 123116)

Employees have Clearing Account on the effort form but do not have Pre Reviewer

Check All Clear All

Displaying 1 of 1 records

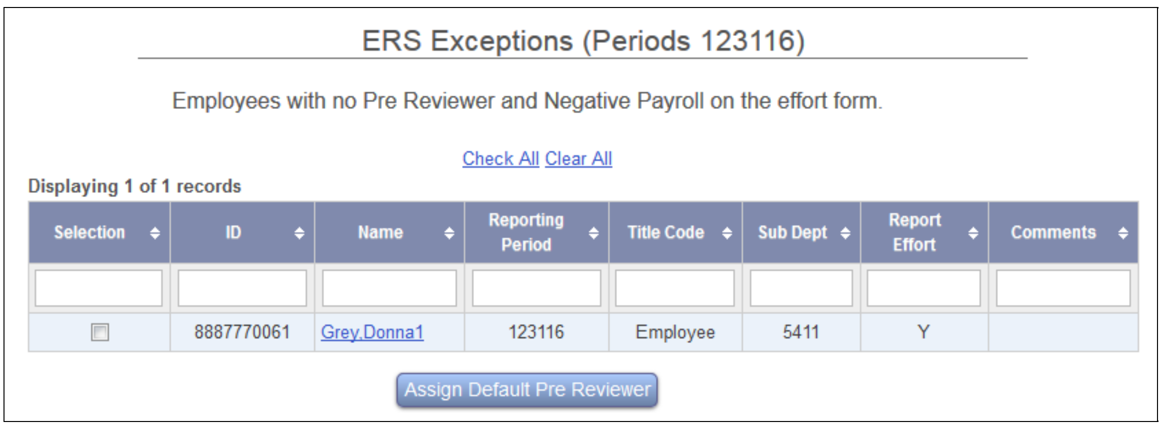
Selection	ID	Name	Reporting Period	Title Code	Sub Dept	Report Effort	Comments
☐	691762222	Jungbluth,John	123116	01	61390	Y	

Assign Default Pre Reviewer

Select the effort form(s) for which the default Pre Reviewer should be assigned and click on the "Assign Default Pre Reviewer" button.

11.4 Employees with No Pre Reviewer and Negative Payroll on the effort form

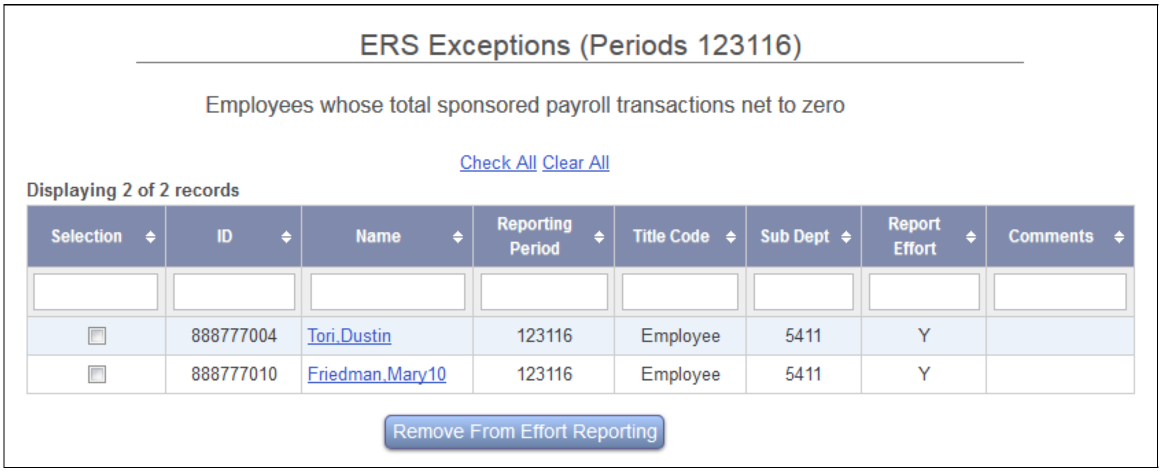
An effort form with a negative net payroll amount on the effort form should be Pre Reviewed. This category lists the effort report(s) that have negative payroll and no Pre Reviewer assigned. This option allows the Central Administrator to assign the default Pre Reviewer.



Select the effort form(s) for which the default Pre Reviewer should be assigned and click on the "Assign Default Pre Reviewer" button.

11.5 Employees whose total sponsored payroll transactions net to zero

This category lists the effort report(s) whose net sponsored effort amount is zero. Depending on the Institution's policy these effort report(s) may not need to be certified, and therefore, can be removed.


ERS Exceptions (Periods 123116)

Employees whose total sponsored payroll transactions net to zero

Check All Clear All

Displaying 2 of 2 records

Selection	ID	Name	Reporting Period	Title Code	Sub Dept	Report Effort	Comments
☐	888777004	Tori,Dustin	123116	Employee	5411	Y	
☐	888777010	Friedman,Mary10	123116	Employee	5411	Y	

Remove From Effort Reporting

After reviewing the effort form the Central Administrator can remove the effort form(s) for a particular period by selecting the effort form(s) followed by clicking on the "Remove from Effort Reporting" button.

11.6 General Notes

- The Central Administrator should use the Exception option after initiating a new reporting period or after every RCT run (auto or manual) to address the exceptions on the effort forms.
- If an action of either Remove effort reports or Assign Default Pre Reviewer is taken by the Central Administrator, a subsequent execution of the same exception will not list the same effort report again.

Chapter 13

Retroactive Cost Transfers (RCT)

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13 Retroactive Cost Transfers

13.1 Introduction

Retroactive Cost Transfers (RCTs) are defined as cost transfers executed outside of ERS that are applicable to current and/or prior effort reporting period(s). The Salary Reallocation Process or the RCT Process is used to apply those cost transfers that were posted outside of Effort Reporting System but relate to the current or prior reporting periods. These RCTs may potentially impact the forms that have been certified.

Important Note:
A cost transfer is considered a Retroactive Cost Transfer (RCT), if it meets **all** of the following conditions:
- It occurred outside of the Effort Reporting System.
- It was not part of the payroll table when the reporting period was initiated.
- It impacts current or prior effort forms.

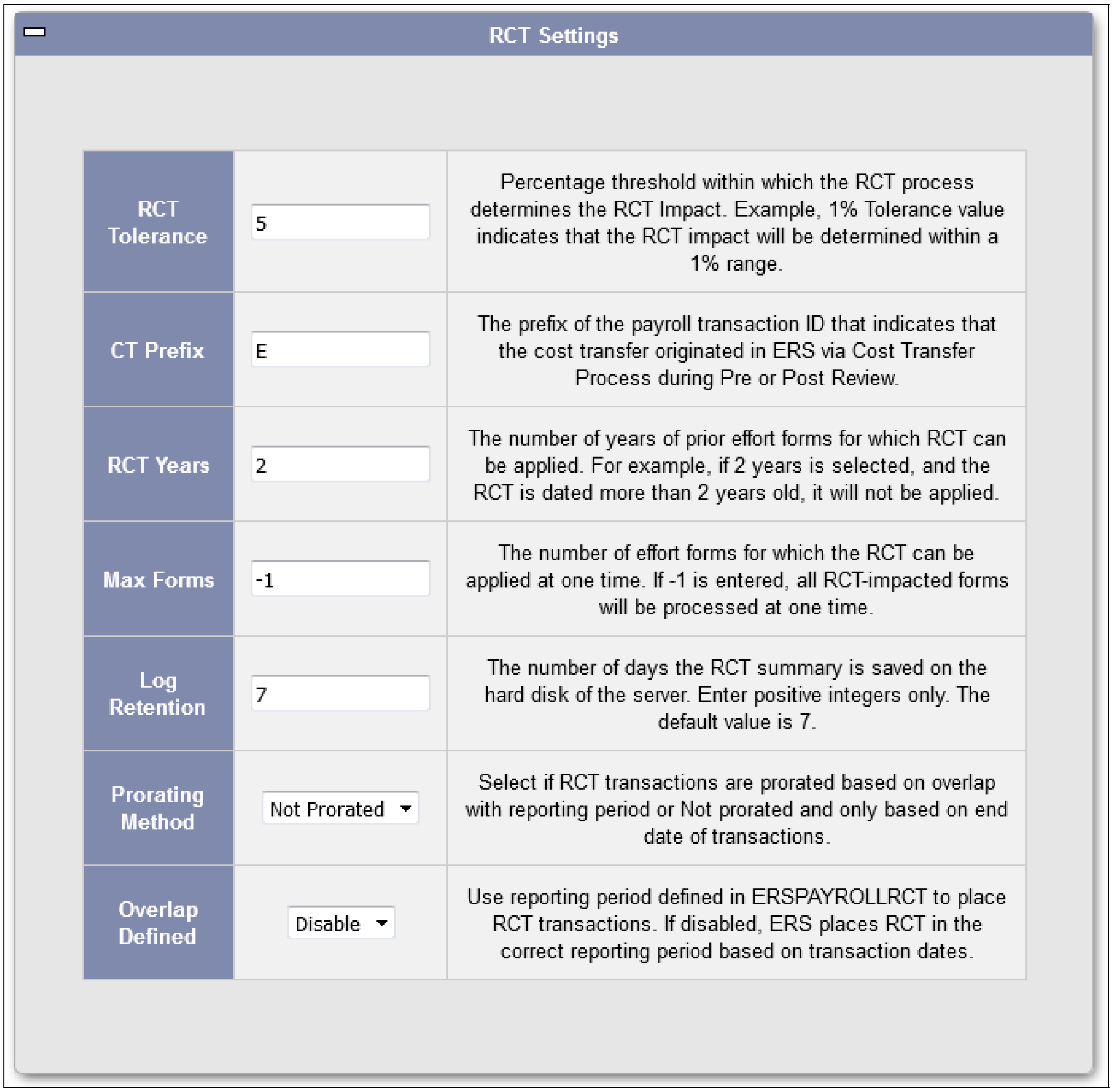
13.2 Source Data Setup

The Central Administrator loads cost transfer transactions (or payroll data that was not included for initiation) from the respective source system into the ERSPAYROLLRCT table on a pre-determined frequency. The following fields should be NULL or blank in the newly loaded data: PAYROLLID, EEFAMT, RPCODE, ACCTTYPE, ACCTCLASS, RCT, and RCTPROCESSED.

Note:
- The table structure of ERSPAYROLLRCT table should be exactly the same as ERSPAYROLLXXXXXX table.
- Data is always appended in this table.
- There is a combination of source and system data. The RCT process updates the identified records.

13.3 Configuration Setup

Before proceeding with the RCTs, CA needs to configure the RCT parameters via *CA log on → Admin → System Settings → RCT Settings*



RCT Settings

RCT Tolerance	5	Percentage threshold within which the RCT process determines the RCT Impact. Example, 1% Tolerance value indicates that the RCT impact will be determined within a 1% range.
CT Prefix	E	The prefix of the payroll transaction ID that indicates that the cost transfer originated in ERS via Cost Transfer Process during Pre or Post Review.
RCT Years	2	The number of years of prior effort forms for which RCT can be applied. For example, if 2 years is selected, and the RCT is dated more than 2 years old, it will not be applied.
Max Forms	-1	The number of effort forms for which the RCT can be applied at one time. If -1 is entered, all RCT-impacted forms will be processed at one time.
Log Retention	7	The number of days the RCT summary is saved on the hard disk of the server. Enter positive integers only. The default value is 7.
Prorating Method	Not Prorated	Select if RCT transactions are prorated based on overlap with reporting period or Not prorated and only based on end date of transactions.
Overlap Defined	Disable	Use reporting period defined in ERSPAYROLLRCT to place RCT transactions. If disabled, ERS places RCT in the correct reporting period based on transaction dates.

- **RCT Tolerance**: Specify the tolerance value used to measure RCT Impact
- **CT Prefix***:* Use a prefix letter to identify transactions that occurred in ERS (if CTs are done in ERS), to avoid applying them again
- **RCT Years***:* Specify how far back in years should the RCTs be applied.
- **Max Forms***:* Specify the number of effort forms to process. Default is -1 i.e. all the RCT impacted effort forms will be processed at a time.
- **Log Retention:** Specify number of days for which the RCT summary should be saved.
- **Prorating Method**: Specify the proration method to use.

- **Overlap Defined:** Provides option to have the system identify the applicable reporting period for which to apply the RCT if disabled, or use the supplied reporting period if enabled.

13.4 RCT Terminology

The following sections describes various terms used by the RCT process in ERS.

13.4.1 Impact

The RCT process uses the following three classifications to determine the **impact** of the RCT transaction on the effort form.

1. **Debit –** *to a sponsored account*
2. **Credit –** *to a sponsored account*
3. **OK –** *to a sponsored account (within tolerance – no impact)*

1. **Debit**
   When the **certified effort is less** than the Total of adjusted payroll (including CT and RCT) and Cost Sharing.
   Example - effort certified was 50% on a sponsored account. Adjusted total after RCT is 60% on that account

2. **Credit**
   When the **certified effort is greater** than the Total of adjusted payroll (including CT and RCT) and Cost Sharing
   Example - effort certified was 50% on a sponsored account. Adjusted total after RCT is 40%.

3. **OK**
   The RCT made no impact on the accounts in question or the impact was within specified tolerance.
   Example - effort certified was 50% on a sponsored account. Adjusted total after RCT is between 49% and 51%.

Note:
- Only Sponsored Accounts are considered.
- If more than one sponsored account is involved, "Debit" classification takes precedence.
- RCT combines all transactions for an individual per reporting period to determine the impact.

13.4.2 Cases

The RCT process classifies the RCTs into 20 different cases based on the combination of the following:

- **Various stages of effort form –** Pre Reviewed? / Certified? / Post Reviewed?
- **RCT Impact** – Debit / Credit/ OK
- **Effort Form Availability** – Un-archived/ Archived/ Not Generated
- **Impacted Account Types** – Involves Control Salary/ Clearing Account, Excluded Account etc., one-sided cost transfer etc.

> ***Note:*** Case 20 is driven by configuration. Please contact MAXIMUS for configuration details.

Refer section *RCT Cases* for details.

13.4.3 Actions

It lists various actions a Central Administrator may take to process the RCT. The actions available to the Central Administrator will depend on the ***case*** a particular form is identified. These actions are:

- **On Hold –** a default action. Indicates that the review of this RCT is to be put on hold until later date. If the CA leaves this option checked, no action will be taken at this time. The next time the RCT process is run, it will display these forms again.

- **No Change Needed** – this option will indicate that the RCT will not be processed for the selected individual. The RCT entry will remain in the RCT table and will not be copied to Payroll.

- **Commit Change –** this option will process the RCT. The selection of *Commit Change* results in the following sequence of actions by the RCT process

  Archive original effort form → Copy the RCT transaction to the applicable payroll table → Update the effort form →Notify appropriate reviewer of the new form

  This option will typically be listed for those effort forms that were accessed.

- **Commit Change** *(Payroll Only)* – this option will be typically listed for those effort forms that have not been accessed at all.

- **Reverse Entries** – this option allows the Central Administrator to reverse the RCT entry. By selecting this option, the system will generate a reversal RCT entry and will post it to the ERSCT table. To distinguish the reversal entries from the standard cost transfer records, the Cost Transfer ID will start with RCT. The status of the effort form will not change.

> ***Note:*** This option is only available if Cost Transfers are done in ERS. Also note that the Cost Transfers generated as a result of "Reverse Entry" action during the RCT process will be automatically approved (if the approval of cost transfer is required)

- **Drop Form** – this option allows the Central Administrator to drop the original effort form. The selection of action Drop Form results in the following sequence of actions by the RCT process.

  Archive original effort form →Copy the RCT transaction to the applicable payroll table → Drop the effort form and reset status of all the reviewers → Notify appropriate reviewer of the new form

- **Drop Line Certification** – This option is only available when Line Item Certification is enabled. It allows Central Administrator to drop certified lines that are impacted by RCT on the effort form, while keeping other lines' certification unchanged. The selection of action "Drop Line Certification" results in the following sequence of actions by the RCT process:

  Archive original effort form → Copy the RCT transactions to the applicable payroll table → Reset the certification status of the lines and the form → Notify certifier to re-certify the lines on the effort form

> ***Note:*** When all the lines impacted by the RCT are zeroed out after applying RCT, and all the lines not impacted by the RCT have been certified, **Drop Line Certification** action is equivalent to **Drop Form** action.

13.5 RCT Rules

The following fundamental rules are used for applying RCTs:

- RCTs applied to a form **ONLY** update the total payroll dollar or percentage.
- The Certifier percentages are **NOT** being updated and remain intact unless the line is dropped.
- If any cost transfer (CT) was made prior to applying RCTs, the original CT $ amount remains intact, CT % may change.

- If any cost sharing (CS) was made on the form prior to applying RCTs, By default, the original CS % remains intact, CS $ may change. If CS_Driven_Factor has been set to use $, then CS % will be recalculated by CS $.

Example:
A sample certified form with Cost Transfer and Cost Sharing defined.

Current Effort Form

Name: Barnett,LN
Employee ID: 182702222
Sub Dept: 61570 - Infectious Disease
Division: SC - Immunology
Title: Research Asst
Title Code: 04

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	Y (Pre Reviewed)	Miller,Cris	12-18-2017
Certify	Y (Effort Form Updated)	Codae,Doyle	12-18-2017
Post Review	N		
Form Type (Flag)	Basic + University Summary		
Critical Status			

Effort Form as of 12-18-2017 at 08:57:28 PM

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
68%	68%	79%	61570-63690	BONE MARRO	3%	5%	87%	80%	0%	0%	87%
	0%	0%	62050-10280	CELL BASIS	0%	0%	0%	7%	0%	0%	0%
68%	**68%**	**79%**		**Sponsored Subtotal**	**0%**	**5%**	**87%**	**87%**	**0%**	**0%**	**87%**
Non-Sponsored Accounts											
		21%	61570-57650	THE AUBREY	-3%	-5%	13%	13%	0%	0%	13%
	0%	**21%**		**Non-Sponsored Subtotal**	**-3%**	**-5%**	**13%**	**13%**	**0%**	**0%**	**13%**
		100%		**Grand Total**	**0%**	**0%**	**100%**	**100%**	**0%**	**0%**	**100%**

The following RCT transactions are applied to the effort form.

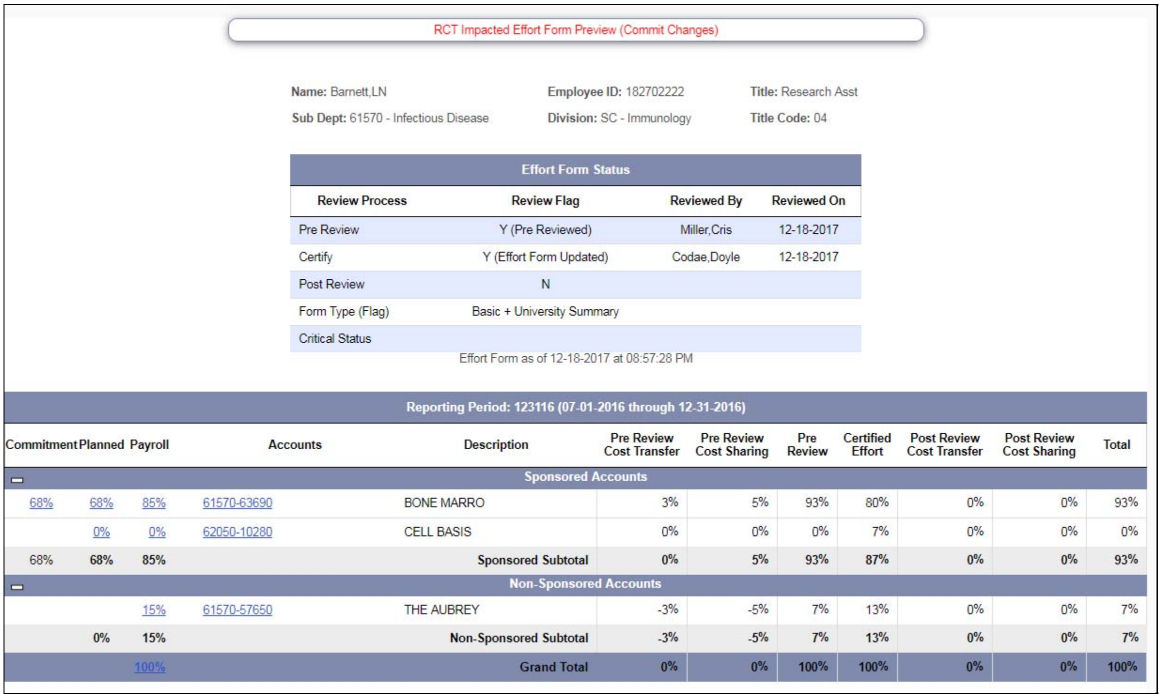
RCT Details

Displaying 2 of 2 records

Emp ID	Account ID	Name	Begin Date	End Date	Amount	Retro Amount	RP Code	Acct. Type	Tran ID
182702222	61570-57650	Barnett,LN	09/29/2016	12/28/2016	$-1,000.00	$-1,000.00	123116	N	
182702222	61570-63690	Barnett,LN	09/29/2016	12/28/2016	$1,000.00	$1,000.00	123116	S	

Close Window

The RCT process updated the payroll distribution, but Certified %, CT$ and CS% are intact.


RCT Impacted Effort Form Preview (Commit Changes)

Name: Barnett,LN **Employee ID:** 182702222 **Title:** Research Asst
Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology **Title Code:** 04

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	Y (Pre Reviewed)	Miller,Cris	12-18-2017
Certify	Y (Effort Form Updated)	Codae,Doyle	12-18-2017
Post Review	N		
Form Type (Flag)	Basic + University Summary		
Critical Status			

Effort Form as of 12-18-2017 at 08:57:28 PM

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total
Sponsored Accounts											
68%	68%	85%	61570-63690	BONE MARRO	3%	5%	93%	80%	0%	0%	93%
	0%	0%	62050-10280	CELL BASIS	0%	0%	0%	7%	0%	0%	0%
68%	**68%**	**85%**		**Sponsored Subtotal**	**0%**	**5%**	**93%**	**87%**	**0%**	**0%**	**93%**
Non-Sponsored Accounts											
		15%	61570-57650	THE AUBREY	-3%	-5%	7%	13%	0%	0%	7%
	0%	**15%**		**Non-Sponsored Subtotal**	**-3%**	**-5%**	**7%**	**13%**	**0%**	**0%**	**7%**
		100%		**Grand Total**	**0%**	**0%**	**100%**	**100%**	**0%**	**0%**	**100%**

13.6 RCT Processing Options

The Central Administrator begins the RCT process by selecting either the Manual Review process or Auto Commit process, or a combination of both.

13.6.1 Manual Process

- The RCT process begins by identifying the case for each effort form with affected transactions.
- The CA is given an option to preview the RCT impacted form and decide on the action to be taken.
- The CA is required to select an action for every impacted form in order to process the RCTs.

13.6.2 Auto Process

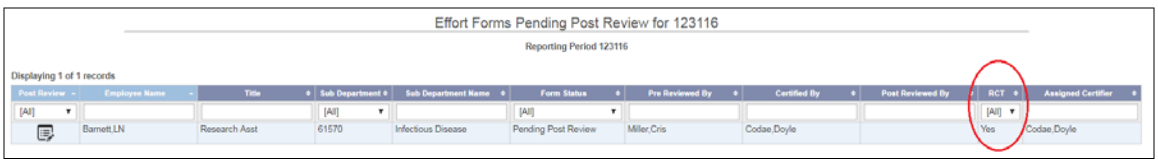
- Automated pre-scheduled process
- CA cannot preview the RCT impacted form
- CA defines cases and corresponding action to process via AUTO

- Cases not selected for AUTO processing will be addressed via MANUAL process
- RCTs are automatically processed at the scheduled time for the cases defined under Auto Commit category only.

Important Note: The RCT transactions that fall under the Auto Commit Case category will not be available for review under Manual Process.

13.7 End User View of RCT Impacted Forms

1. ***Name Pick List*** - The RCT impacted effort forms are identified by RCT column in the Name Pick List.



Effort Forms Pending Post Review for 123116

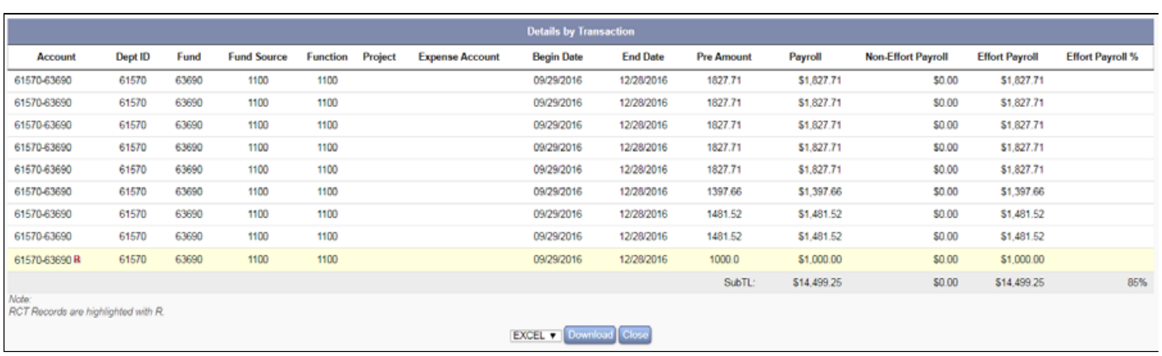
Reporting Period 123116

Displaying 1 of 1 records

Post Review	Employee Name	Title	Sub Department	Sub Department Name	Form Status	Pre Reviewed By	Certified By	Post Reviewed By	RCT	Assigned Certifier
[All]			[All]		[All]				[All]	
	Barnett,LN	Research Asst	61570	Infectious Disease	Pending Post Review	Miller,Cris	Codae,Doyle		Yes	Codae,Doyle

2. ***Effort Form Header*** – The RCT message on the effort form header with a link to view the original effort form

3. ***Payroll Drill Down*** – The RCT transactions are highlighted in yellow and marked with an R on the payroll drill down screen.



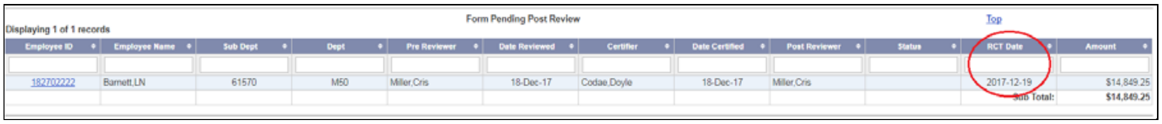
Details by Transaction

Account	Dept ID	Fund	Fund Source	Function	Project	Expense Account	Begin Date	End Date	Pre Amount	Payroll	Non-Effort Payroll	Effort Payroll	Effort Payroll %
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1827.71	$1,827.71	$0.00	$1,827.71	
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1827.71	$1,827.71	$0.00	$1,827.71	
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1827.71	$1,827.71	$0.00	$1,827.71	
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1827.71	$1,827.71	$0.00	$1,827.71	
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1827.71	$1,827.71	$0.00	$1,827.71	
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1397.66	$1,397.66	$0.00	$1,397.66	
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1481.52	$1,481.52	$0.00	$1,481.52	
61570-63690	61570	63690	1100	1100			09/29/2016	12/28/2016	1481.52	$1,481.52	$0.00	$1,481.52	
61570-63690 R	61570	63690	1100	1100			09/29/2016	12/28/2016	1000.0	$1,000.00	$0.00	$1,000.00	
									SubTL:	$14,499.25	$0.00	$14,499.25	85%

Note:
RCT Records are highlighted with R.

EXCEL ▼ Download Close

4. ***Comprehensive Status Report*** **–** Indicates the RCT date (date the RCTs were processed)



Form Pending Post Review

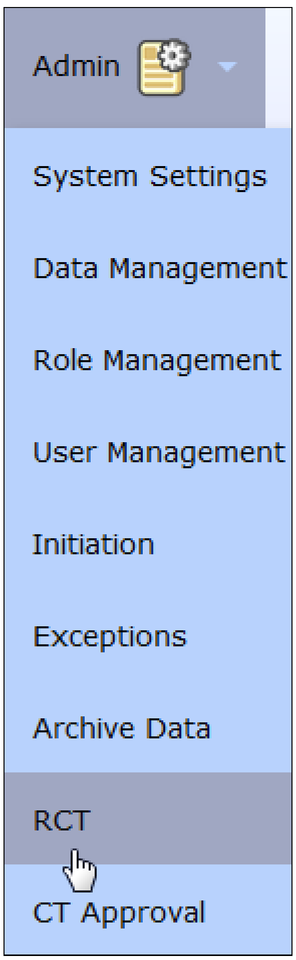
Displaying 1 of 1 records

Top

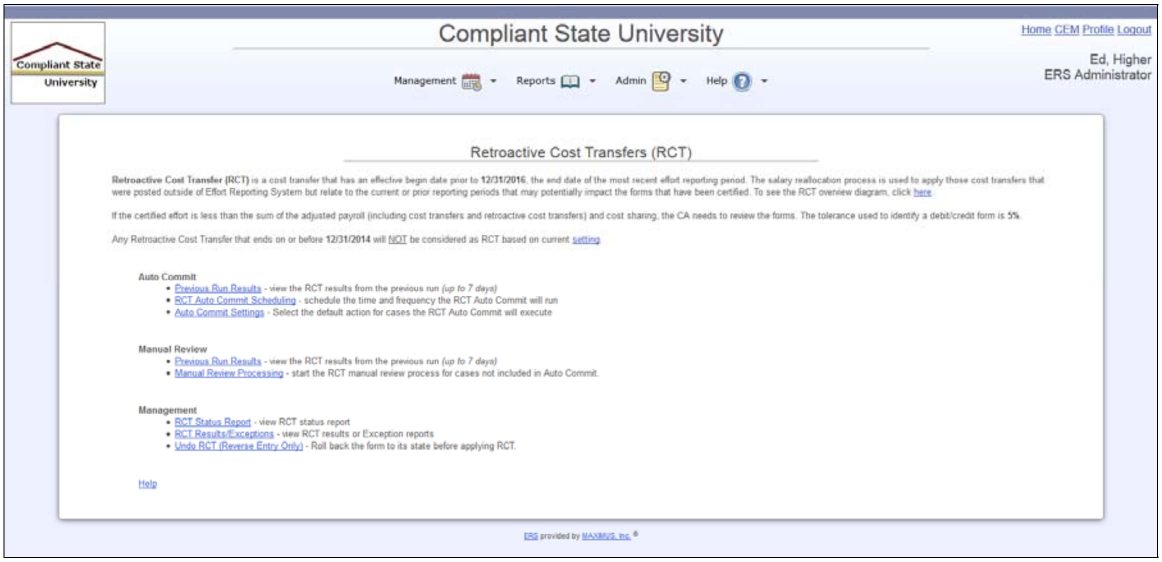
Employee ID	Employee Name	Sub Dept	Dept	Pre Reviewer	Date Reviewed	Certifier	Date Certified	Post Reviewer	Status	RCT Date	Amount
182702222	Barnett,LN	61570	M50	Miller,Cris	18-Dec-17	Codae,Doyle	18-Dec-17	Miller,Cris		2017-12-19	$14,849.25
										Sub Total:	$14,849.25

13.8 RCT Interface

The RCT feature is available to the role of Central Administrator under the Admin menu option.



Upon selecting the RCT menu option, the CA is presented with the following screen.



The RCT screen is divided into three categories:

1. **Auto Commit**– allows the CA to process the RCTs automatically at a desired time and frequency.
2. **Manual Review** - allows the CA to process RCTs by reviewing and selecting an appropriate action by individual on a case-by-case basis.
3. **Management** - allows the CA to view various RCT-related status, exception reports, and to undo certain RCT processes.

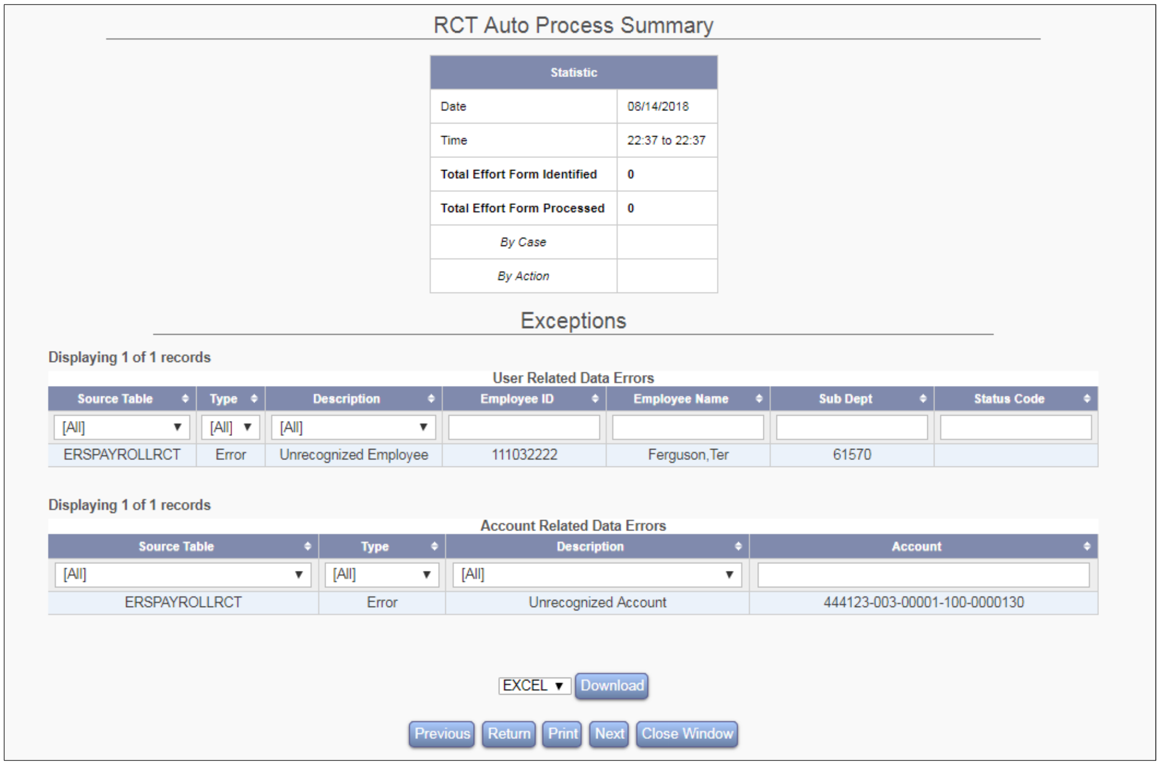
13.8.1 Auto Commit

Auto Commit Option allows the Central Administrator to process the RCT records automatically without reviewing each record individually and determining an appropriate action. The Auto Commit option will save review time for the Central Administrator for those cases where the standard action is appropriate. For example, if the RCT applies to the current reporting period and the effort form of an individual has not been certified, then the Central Administrator would simply add this case to the Auto Commit process. The system will automatically add the RCT to the current payroll file. The Central Administrator will be able to schedule when the Auto Commit Option should execute. In addition, the Central Administrator will select an action on a case-by-case basis for the Auto Commit process to execute. A summary log including various statistics and exceptions will be produced after each run.

13.8.1.1 Previous Run Results

The Previous Run Results Option allows the Central Administrator to review the summary of the previous Auto Run. The most recent run's summary will be listed at the top of the page with the Latest Summary indicator pointing to it. The link to the summary report lists the date and time it was last generated. To view the details, click on the link. To delete old reports, click on the 'Delete' Link.

The summary will display various statistics related to the previous run, including the total number of forms processed, the number of forms processed by case and the number of forms processed by the various actions. In addition, exceptions are listed as a result of the processing. These exceptions require the Central Administrator to resolve. The summary can be downloaded to Excel and PDF format.



RCT Auto Process Summary

Statistic	
Date	08/14/2018
Time	22:37 to 22:37
Total Effort Form Identified	**0**
Total Effort Form Processed	**0**
By Case	
By Action	

Exceptions

Displaying 1 of 1 records

User Related Data Errors

Source Table	Type	Description	Employee ID	Employee Name	Sub Dept	Status Code
[All]	[All]	[All]				
ERSPAYROLLRCT	Error	Unrecognized Employee	111032222	Ferguson,Ter	61570	

Displaying 1 of 1 records

Account Related Data Errors

Source Table	Type	Description	Account
[All]	[All]	[All]	
ERSPAYROLLRCT	Error	Unrecognized Account	444123-003-00001-100-0000130

EXCEL Download

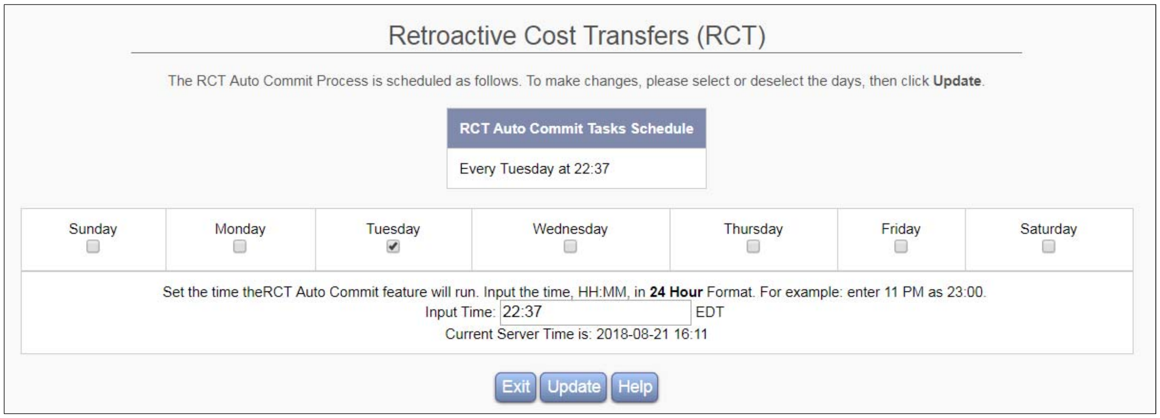
Previous Return Print Next Close Window

13.8.1.2 Scheduling

The Scheduling Option allows the CA to select the dates and times for the Auto Commit Process to run. Select the days of the week and the time for RCTs to be processed. The AUTO process will begin when the selected time stamp matches the server's time stamp, which may not correspond to the time on the user's PC. When the AUTO process is selected, it will run without human intervention.

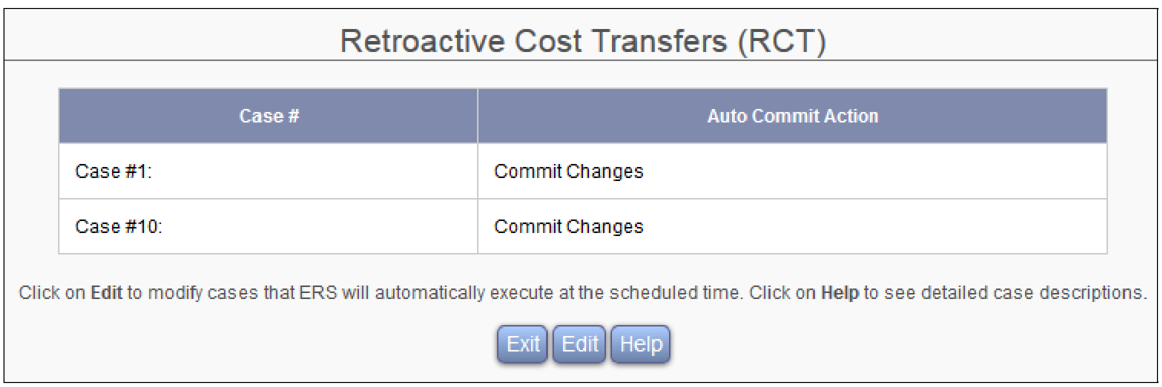
Recommendation! Select a time other than the server peak times or capacity.

After selecting the days and time, click on 'Update' to record the selection. The top part of the screen will be updated to reflect the recorded selections.



13.8.1.3 Auto Commit Settings

Auto Commit Settings screen displays current Auto Commit selections for each case. If any changes need to be made to any of the cases, the Central Administrator can click on Edit and select the appropriate action.



The screen below allows the Central Administrator to define the action for each case. The most critical cases listed in the RCT Impact Status are highlighted in red to ensure the Central Administrator pays close attention to them. Selections can be made by clicking on the drop down box under Auto Commit Action. If the Auto Commit option is not applicable to a specific case, select 'Do Not Auto Commit' as the action. The system will not process these records during the Auto Commit process and they will require a manual review by the Central Administrator (See Manual Review).

Retroactive Cost Transfers (RCT)

Case #	Effort Form In	Status	RCT Impact Status	Auto Commit Action
Case #1	Current or Delinquent	Effort Form Not Required	OK	Commit Changes
Case #2	Current or Delinquent	Pre Review = Y or N (Saved) Certify = N (saved)	Debit	Do not auto commit
Case #3	Current or Delinquent	Pre Review = Y or N (Saved) Certify = N (saved)	Credit	Do not auto commit
Case #4	Current or Delinquent	Pre Review = N Certify = Y Post Review = N	Debit	Do not auto commit
Case #5	Current or Delinquent	Pre Review = N Certify = Y Post Review = N	Credit	Do not auto commit
Case #6	Current or Delinquent	Pre Review = Y Certify = Y Post Review = N	Debit	Do not auto commit
Case #7	Current or Delinquent	Pre Review = Y Certify = Y Post Review = N	Credit	Do not auto commit
Case #8	Current or Delinquent	Pre Review = Y Certify = Y Post Review = Y	Debit	Do not auto commit
Case #9	Current or Delinquent	Pre Review = Y Certify = Y Post Review = Y	Credit	Do not auto commit
Case #10	Current or Delinquent	Pre Review = N Certify = N Post Review = N	OK	Commit Changes
Case #11	Archived	Certify = Y	Debit	Do not auto commit
Case #12	Archived	Certify = Y	Credit	Do not auto commit
Case #13	Current or Delinquent	-	OK	Do not auto commit
Case #14	Archived	-	OK	Do not auto commit
Case #15	RCT involves Clearing Account	Certify = Y	-	Do not auto commit
Case #16	RCT Not net to zero	Certify = N	-	Do not auto commit
Case #17	RCT includes Excluded Account	Certify = N	-	Do not auto commit
Case #18	RCT includes Excluded Account	Certify = Y	-	Do not auto commit
Case #19	RCT Not Net Zero (One Sided Cost Transfer)	Certify = Y	-	Do not auto commit
Case #20	RCT Causes negative payroll	Certify = N or Y	-	Do not auto commit

Note: In case Drop Line Certification Action is not applicable, Drop Form Action will be used.

Click on **Save** to save the actions you have chosen. Click on **Help** to see detailed case descriptions.

Cancel Save Help

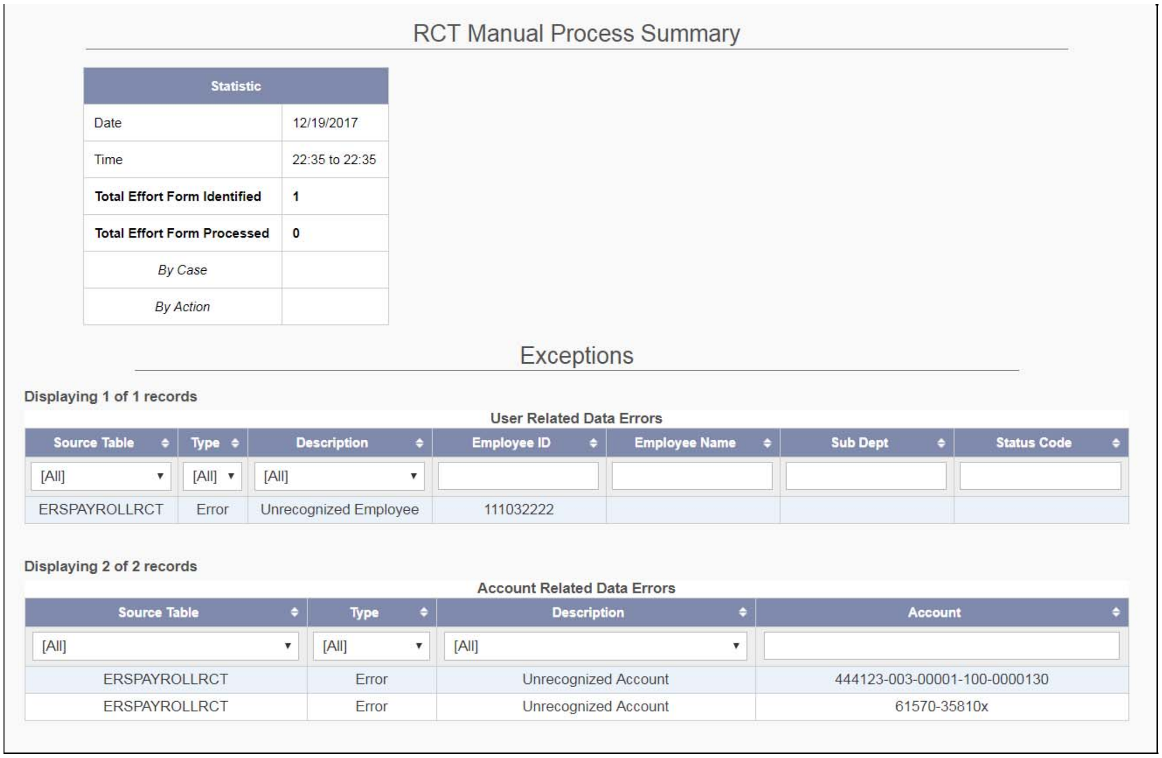
13.8.2 Manual Process

Manual Process allows the Central Administrator to process RCTs that were not processed via the Auto Commit option. The Manual Process will display an RCT record for each individual and will provide the Central Administrator with various options. The Central Administrator will be able to compare the forms – before and after the RCT impact; review the RCT records, and determine whether an email notification needs to go out to an individual for further instructions. The Manual Process is more labor-intensive.

13.8.2.1 Previous Run Results

Previous Run Results Option allows the Central Administrator to review the summary of the previous Manual Process. The most recent summary will be listed at the top of the page with the Latest Summary indicator pointing to it. The link to the summary report lists the date and time it was last generated. To view the details, click on the link. To delete old reports, click on the 'Delete' link.

The summary will display various statistics related to the previous run, including the number of forms processed, the number of forms processed by case and the number of forms processed by the various actions. In addition, exceptions resulting from the process are listed. These exceptions require the Central Administrator to resolve. The summary can be downloaded into Excel or PDF format.



RCT Manual Process Summary

Statistic	
Date	12/19/2017
Time	22:35 to 22:35
Total Effort Form Identified	**1**
Total Effort Form Processed	**0**
By Case	
By Action	

Exceptions

Displaying 1 of 1 records

User Related Data Errors

Source Table	Type	Description	Employee ID	Employee Name	Sub Dept	Status Code
[All]	[All]	[All]				
ERSPAYROLLRCT	Error	Unrecognized Employee	111032222			

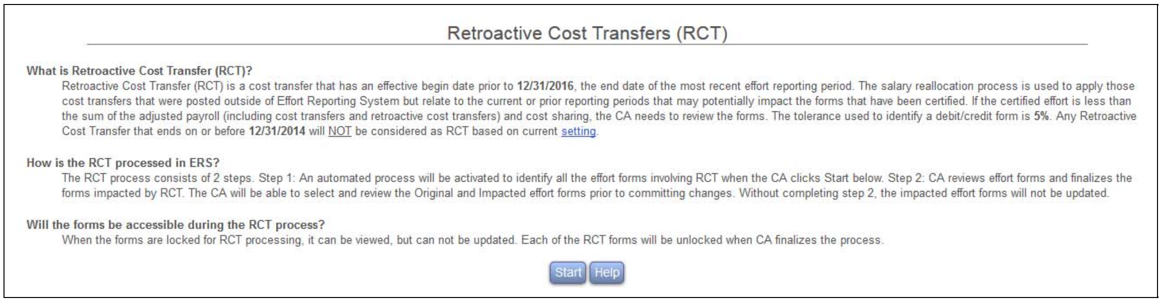
Displaying 2 of 2 records

Account Related Data Errors

Source Table	Type	Description	Account
[All]	[All]	[All]	
ERSPAYROLLRCT	Error	Unrecognized Account	444123-003-00001-100-0000130
ERSPAYROLLRCT	Error	Unrecognized Account	61570-35810x

13.8.2.2 Manual Review Processing

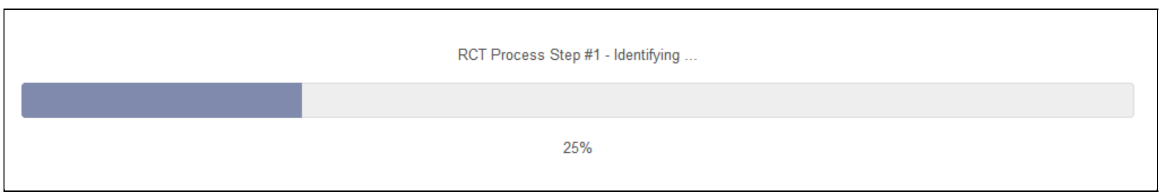
When the user clicks on the Manual Review Processing link, the following page will be displayed.



This page summarizes the RCT process and provides a quick guideline for managing RCTs.

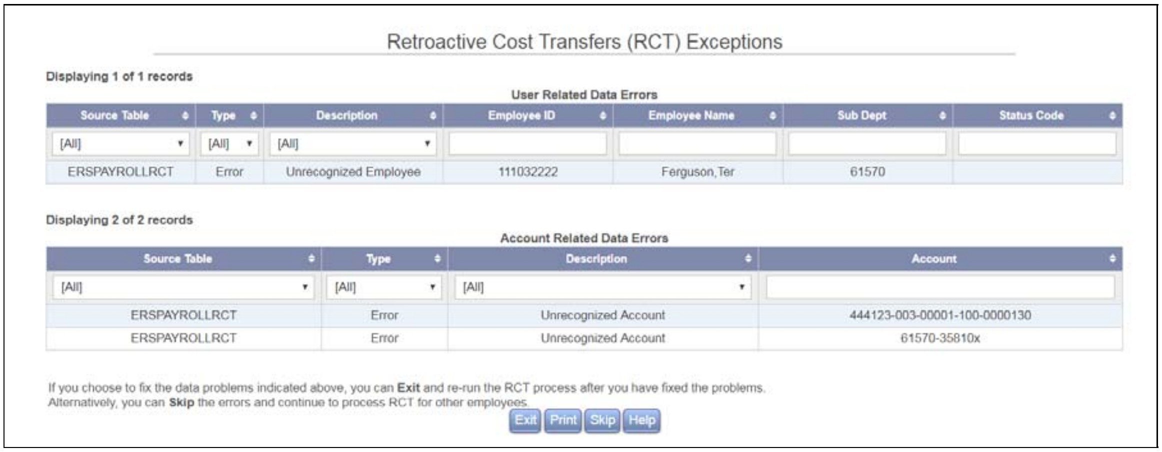
To begin the Manual Review Processing of the RCTs, click the Start button.

As the system begins identifying RCTs and forms impacted by the RCTs, the status bar is displayed indicating the completion percent.



Once the process reaches 100%, the system will display an Exception Report listing exceptions found as a result of the manual process, if any exceptions have been identified. The Exception Report is divided into two sections:

- **User Related Data Errors** - lists employees for whom an RCT was found but not listed on the employee table or has an invalid status code.
- **Account Related Data Errors** - lists accounts for which an RCT record was found that are not in the chart of accounts table.



Retroactive Cost Transfers (RCT) Exceptions

Displaying 1 of 1 records

User Related Data Errors

Source Table	Type	Description	Employee ID	Employee Name	Sub Dept	Status Code
[All]	[All]	[All]				
ERSPAYROLLRCT	Error	Unrecognized Employee	111032222	Ferguson,Ter	61570	

Displaying 2 of 2 records

Account Related Data Errors

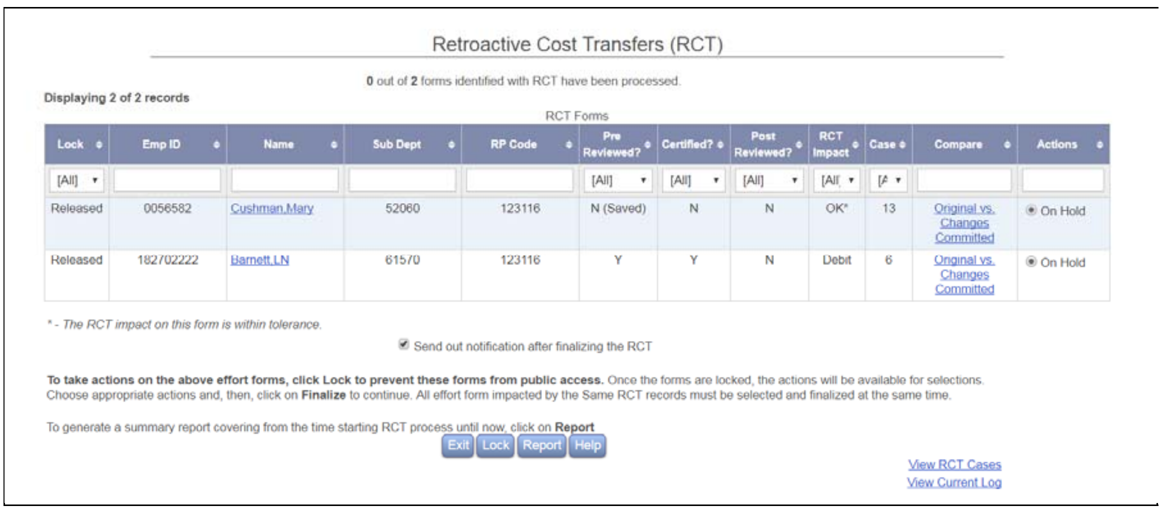
Source Table	Type	Description	Account
[All]	[All]	[All]	
ERSPAYROLLRCT	Error	Unrecognized Account	444123-003-00001-100-0000130
ERSPAYROLLRCT	Error	Unrecognized Account	61570-35810x

If you choose to fix the data problems indicated above, you can **Exit** and re-run the RCT process after you have fixed the problems.
Alternatively, you can **Skip** the errors and continue to process RCT for other employees.

Exit Print Skip Help

After reviewing the exceptions, the user can either click ‘Exit’ and resolve the errors, or proceed without fixing the errors by clicking ‘Skip.’

If the user clicks ‘Skip’ or there were no exceptions, the system displays the following summary screen.



Retroactive Cost Transfers (RCT)

0 out of **2** forms identified with RCT have been processed.

Displaying 2 of 2 records

RCT Forms

Lock	Emp ID	Name	Sub Dept	RP Code	Pre Reviewed?	Certified?	Post Reviewed?	RCT Impact	Case	Compare	Actions
[All]					[All]	[All]	[All]	[All	[A		
Released	0056582	Cushman,Mary	52060	123116	N (Saved)	N	N	OK*	13	Original vs. Changes Committed	On Hold
Released	182702222	Barnett,LN	61570	123116	Y	Y	N	Debit	6	Original vs. Changes Committed	On Hold

** - The RCT impact on this form is within tolerance.*

Send out notification after finalizing the RCT

To take actions on the above effort forms, click Lock to prevent these forms from public access. Once the forms are locked, the actions will be available for selections. Choose appropriate actions and, then, click on **Finalize** to continue. All effort form impacted by the Same RCT records must be selected and finalized at the same time.

To generate a summary report covering from the time starting RCT process until now, click on **Report**

Exit Lock Report Help

View RCT Cases
View Current Log

The following are the RCT Status Page components.

Lock – indicates whether the effort form is locked to prevent user input. If the Lock Status displays ‘Released’, the RCT-related forms are not locked and may be modified by users. If the Lock status displays ‘Locked’, the individual’s effort form is locked. The users will not be able to make any changes to the effort forms until the Central Administrator performs an action and releases the form.

Emp ID – indicates the employee ID for whom the RCT was identified.

Name – displays the employee name for whom the RCT was identified. The employee name serves as a link for the Central Administrator to see the details of the RCT entry. See RCT Details screen below (Figure 1) for details.

SubDept – the employee's home sub department.

RP Code – the reporting period code impacted by the RCT.

Pre Reviewed? – The Pre Review status of the affected effort form.

Certified? – The Certification status of the affected effort form.

Post Reviewed? – The Post Review status of the affected effort form.

RCT Impact – indicates the status category of the RCT Impact. There are three **Status categories:**

- **OK** – the RCT made no impact on the employee's effort form or the impact is within specified tolerance (as defined under RCT settings).
- **Debit** – the RCT resulted in a debit to the sponsored account for the effort form.
- **Credit** – the RCT resulted in a credit to the sponsored account for the effort form.

Case – displays the case number identified for the RCT. The case number is based on the combination of various status flags and the details of each case are described in Appendix 1.

Compare – displays the original and the RCT-impacted forms. If there was an original form, then the Central Administrator will see original vs. to be completed link to see both the original and the updated forms (See Figure 3 for details). If the original effort form was not available, the user will see N/A.

Action – when the summary page is first presented to the user, all the forms are unlocked and the only action listed is 'On Hold', but once the user locks the forms for processing, various actions will be available, dependent on the identified case (see Figure 2 below for a screenshot). For specific actions related to each case, please refer section - RCT Cases.

Send out notification Check Box – allows the user to send notifications to inform Pre Reviewers/Certifiers/Post Reviewers if additional action is necessary as a result of the RCT process.

Lock Button – To begin the review process including selecting an action for the forms displayed. First click on Lock to ensure the forms that are to be processed are locked from public access. The screen will display a list of applicable actions for each individual form. See Figure 2 – Select an Action screen for details.

Report Button – Allows the user to view a status report of the previous RCT Manual Process.

Figure 1 - RCT Details Screen

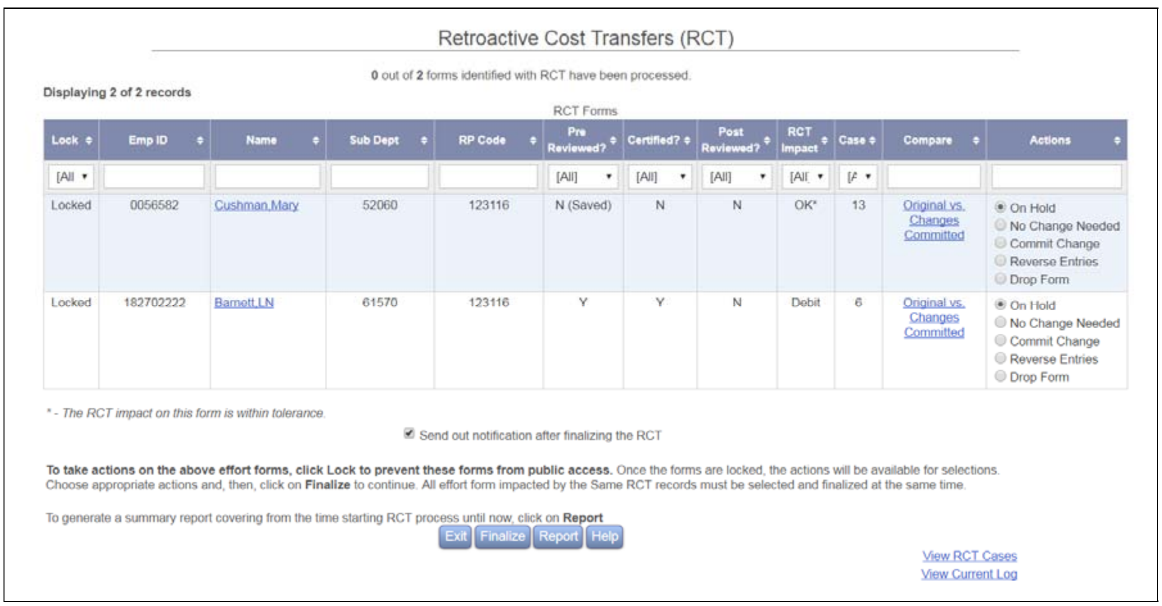

RCT Details

Displaying 12 of 12 records

Emp ID	Account ID	Name	Begin Date	End Date	Amount	Retro Amount	RP Code	Acct. Type	Tran ID
0056582	55520-100-100001-0000-0000	Cushman,Mary	02/01/2010	02/15/2010	$0.00	$0.00	123116	N	
0056582	55520-300-201001-010372-0000-0000	Cushman,Mary	02/16/2010	03/03/2010	$0.00	$0.00	123116	S	
0056582	55520-300-201001-010372-0000-0000	Cushman,Mary	11/14/2016	01/28/2017	$1,700.00	$0.00	123116	S	
0056582	55520-300-201001-010372-0000-0000	Cushman,Mary	11/14/2016	01/28/2017	$1,700.00	$0.00	123116	S	
0056582	55520-300-201001-010372-0000-0000	Cushman,Mary	11/14/2015	11/28/2016	$1,700.00	$1,700.00	123116	S	
0056582	55520-300-201001-010372-0000-0000	Cushman,Mary	11/14/2015	11/28/2016	$1,700.00	$1,700.00	123116	S	
0056582	55520-305-200001-0000-0000	Cushman,Mary	02/01/2010	02/15/2010	$0.00	$0.00	123116	N	
0056582	55520-305-200001-0000-0000	Cushman,Mary	11/14/2016	01/28/2017	$-1,700.00	$0.00	123116	N	
0056582	55520-305-200001-0000-0000	Cushman,Mary	11/14/2015	11/28/2016	$-1,700.00	$-1,700.00	123116	N	
0056582	55520-305-200001-0000-0000	Cushman,Mary	11/14/2016	01/28/2017	$-1,700.00	$0.00	123116	N	
0056582	55520-305-200001-0000-0000	Cushman,Mary	11/14/2015	11/28/2016	$-1,700.00	$-1,700.00	123116	N	
0056582	55538-300-201003-022269-0000-0000	Cushman,Mary	05/04/2010	05/18/2010	$0.00	$0.00	123116	S	

Close Window

Figure 2 – Select an Action


Retroactive Cost Transfers (RCT)

0 out of **2** forms identified with RCT have been processed.

Displaying 2 of 2 records

RCT Forms

Lock	Emp ID	Name	Sub Dept	RP Code	Pre Reviewed?	Certified?	Post Reviewed?	RCT Impact	Case	Compare	Actions
[All					[All]	[All]	[All]	[All	[A		
Locked	0056582	Cushman,Mary	52060	123116	N (Saved)	N	N	OK*	13	Original vs. Changes Committed	On Hold No Change Needed Commit Change Reverse Entries Drop Form
Locked	182702222	Barnett,LN	61570	123116	Y	Y	N	Debit	6	Original vs. Changes Committed	On Hold No Change Needed Commit Change Reverse Entries Drop Form

** - The RCT impact on this form is within tolerance.*

Send out notification after finalizing the RCT

To take actions on the above effort forms, click Lock to prevent these forms from public access. Once the forms are locked, the actions will be available for selections. Choose appropriate actions and, then, click on **Finalize** to continue. All effort form impacted by the Same RCT records must be selected and finalized at the same time.

To generate a summary report covering from the time starting RCT process until now, click on **Report**

Exit Finalize Report Help

View RCT Cases
View Current Log

Once the user 'Locks' the forms, the Lock status changes to Locked and the Action can now be selected. The user can review each form individually and select a proper action for each.

Actions **–** lists various actions a Central Administrator may take to process the RCT. The actions available to the Central Administrator will depend on the identified case of each form. These actions are:

- **On Hold –** *default action*
- **No Change Needed**
- **Commit Change**
- **Commit Change** *(Payroll Only)*
- **Reverse Entries**
- **Drop Form**
- **Drop Line Certification** (Only Available when PI Line Item is enabled)

Once all the selections have been made for each RCT record, the user can click on 'Finalize' to begin the RCT finalization process. The option to "Send out notification after finalizing the RCT" is available and when checked, the appropriate recipient will receive a notification indicating what action needs to take place. If the user un-checks the '*Notification'* box prior to clicking '*Finalize*,' no emails will be sent out for those forms for which the "*Commit Action*" was selected.

After the Central Administrator has selected the action for the above forms and clicked on '*Finalize*,' the Confirmation screen will be displayed summarizing the actions selected. After reviewing, click on '*Confirm'* to begin the Process. If changes need to be made, click on '*Return'* to return to the previous page and make appropriate corrections.

Retroactive Cost Transfers (RCT)

Please confirm the following selection you made and continue to finalize the RCT for the effort forms

Emp ID	Name	Reporting Period	Action Selected
0056582	Cushman,Mary	123116	Changes Committed
182702222	Barnett,LN	123116	Form Dropped

Return Confirm

Once the user clicks '*Confirm*,' ERS will begin the process. The status bar will display the progress percent completion.

RCT Process #2 - Finalizing ...

100%

Once the RCTs have been processed, the RCT Forms Processed table will display the status of each form. The Lock status on the processed forms will change to 'Released', indicating that the form is ready for the user to update. The Actions column displays the action taken for the selected form. The RCT Forms to be Processed displays the forms placed On Hold.

Retroactive Cost Transfers (RCT)

2 out of **2** forms identified with RCT have been processed.

Displaying 2 of 2 records

RCT Forms

Lock	Emp ID	Name	Sub Dept	RP Code	Pre Reviewed?	Certified?	Post Reviewed?	RCT Impact	Case	Compare	Actions
[All]					[All]	[All]	[All]	[All	[A		
Released	0056582	Cushman,Mary	52060	123116	N (Saved)	N	N	OK*	13	Originals	*Changes Committed*
Released	182702222	Barnett,LN	61570	123116	N	N	N	Debit	6	Originals	*Form Dropped*

** - The RCT impact on this form is within tolerance.*

Exit Report Help

View RCT Cases
View Current Log

Alerts – The following alerts are provided on the Identification and Finalization page so that the CA can review the details and take appropriate actions.

- **Negative Payroll Balance**
  An alert message *Negative Balance on Effort Form* is displayed beneath the case number if the transactions result in negative balance on an effort form for the Post Reviewer.

  Note: If RCT is configured to utilize case 20 then the effort forms with negative payroll as a result of RCT will be categorized under case 20.

- **New Accounts**
  An alert message *New Account Added* will be displayed on the RCT Identification and Finalization Page (Manual Processing) beneath the case number if new accounts are introduced to the form. If transactions are applied (committed), the following message will be displayed on the header of the effort form:
  Cost Transfer has been posted to this Effort Form. New Account introduced. Notify CA if form needs to be dropped or process another Cost Transfer.

  Additionally, the newly posted account will be identified with the "new" icon next to the account in Post Review.

- **One-sided Cost Transfers**
  All one-sided cost transfers will be identified as either case 16 or case 19. If the impact of the one-sided cost transfer is within defined RCT tolerance, it will be identified as case 13. Cases 16 or 19 will be identified with *** if either positive or negative one sided cost transfers are found for an effort form.

View RCT Cases displays help for 20 RCT cases.

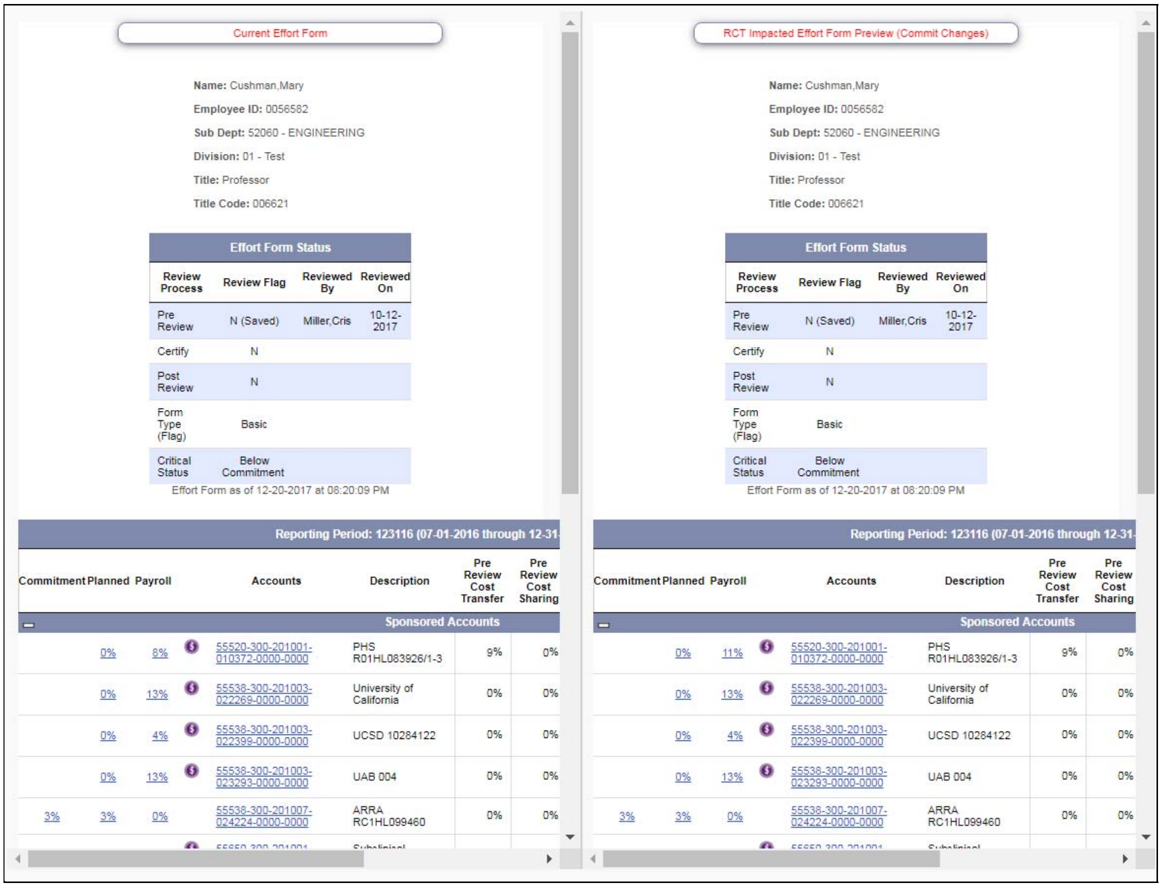
View Current Log displays the most recent RCT activity:

RCT Process Log

Displaying 81 of 584 records

Method	Level	Message	Time Stamp
Manual	[All]		2017-12-20
Manual	WARNING	Payroll Refresh: 2 transactions in ERSPAYROLLTEMP have not been processed	2017-12-20 18:44:33
Manual	INFO	Start to identify RCT forms	2017-12-20 18:44:34
Manual	INFO	Found 4 employees that have RCT	2017-12-20 18:44:34
Manual	INFO	Cushman,Mary(0056582)'s 123116 effort form has been identified as case 13	2017-12-20 18:44:36
Manual	SEVERE	Failed to identify rct forms because: Unknown status code for 111032222	2017-12-20 18:44:36
Manual	SEVERE	Failed to identify rct forms because: The account type is undefined - 61570-35810x	2017-12-20 18:44:36
Manual	SEVERE	Failed to identify rct forms because: The account type is undefined - 444123-003-00001-100-0000130	2017-12-20 18:44:36
Manual	INFO	Identifying process done	2017-12-20 18:44:36
Manual	WARNING	Payroll Refresh: 2 transactions in ERSPAYROLLTEMP have not been processed	2017-12-20 20:00:05
Manual	INFO	Start to identify RCT forms	2017-12-20 20:00:05
Manual	INFO	Found 20 employees that have RCT	2017-12-20 20:00:05
Manual	WARNING	The transactions for user 0045571 in erspayrollrct do not have rct	2017-12-20 20:00:05
Manual	INFO	Cushman,Mary(0056582)'s 123116 effort form has been identified as case 13	2017-12-20 20:00:05
Manual	WARNING	The transactions for user 0067245 in erspayrollrct do not have rct	2017-12-20 20:00:05
Manual	WARNING	The transactions for user 0108863 in erspayrollrct do not have rct	2017-12-20 20:00:05
Manual	WARNING	The transactions for user 101032222 in erspayrollrct do not have rct	2017-12-20 20:00:05
Manual	SEVERE	Failed to identify rct forms because: Unknown status code for 111032222	2017-12-20 20:00:05
Manual	WARNING	The transactions for user 117222222 in erspayrollrct do not have rct	2017-12-20 20:00:05
Manual	SEVERE	Failed to identify rct forms because: The account type is undefined - 61570-35810x	2017-12-20 20:00:05
Manual	WARNING	The transactions for user 126032222 in erspayrollrct do not have rct	2017-12-20 20:00:06
Manual	WARNING	The transactions for user 129332222 in erspayrollrct do not have rct	2017-12-20 20:00:06
Manual	WARNING	The transactions for user 137452222 in erspayrollrct do not have rct	2017-12-20 20:00:06
Manual	WARNING	The transactions for user 167982222 in erspayrollrct do not have rct	2017-12-20 20:00:06
Manual	WARNING	The transactions for user 167984444 in erspayrollrct do not have rct	2017-12-20 20:00:06

Originals Vs. To Be Updated –displays the original form side-by-side with the form to be updated after the RCT transactions. The Central Administrator can review the differences and determine which action to take based on the RCT-impacted view. The 'To Be Updated' view of the form is what the form will look like if the Central Administrator selects the 'Commit Change' option.



13.8.3 Management

RCT Status Report – allows the CA to view a report with the details of pending RCT transactions.

RCT Results/Exceptions – allows the CA to view reports of past RCT transactions and RCT exceptions.

Undo RCT – allows the CA to undo RCT forms that have already been processed and replace with the archived effort forms. Only RCT transactions applied using "Reverse Entry" option can be undone.

13.8.3.1 RCT Status Report

The RCT Status Report allows the CA to view a list of forms with RCT transactions applied per reporting period.

Retroactive Cost Transfers (RCT)

Please select from the following reporting period list to continue.

Displaying 2 of 2 records

Current	Reporting Period	Start Date	End Date
✪	123116	2016-07-01 2016-10-01	2016-12-31 2016-12-31
	123115	2015-07-01	2015-12-31

Close Window

Retroactive Cost Transfers (RCT)

Displaying 3 of 3 records

Emp. ID	Emp. Name	RPCode	Sub Dept	Title Code	Pre Review	Certify	Post Review	Last RCT Action	Date of Last RCT
0056582	Cushman,Mary	123116	52060	006621	N(Saved)	N	N	Entries Reversed	2017-12-20
8887770062	Grey,Donna2	123116	5411	Employee	N(Saved)	N	N	Changes Committed	2017-12-26
182702222	Barnett,LN	123116	61570	04	Y	Y	N	Changes Committed	2018-05-15

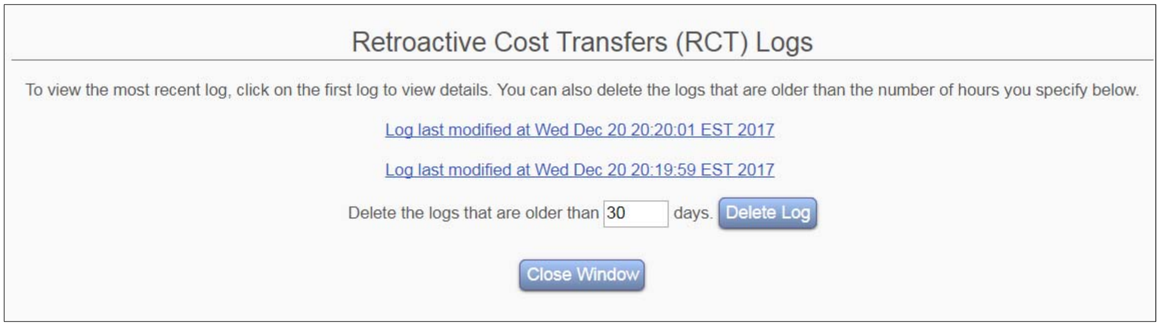
Excel ▾ Download

The report can be downloaded into Excel and PDF format.

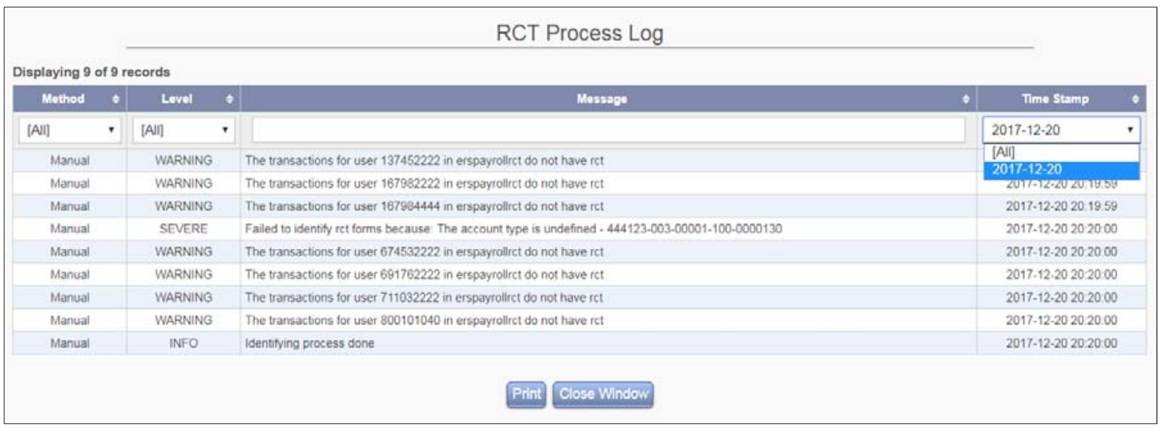
13.8.3.2 RCT Results/Exceptions

The RCT Results/Exceptions report allows the CA to view logs which have been created from each RCT batch. These logs contain information such as what actions took place and the impact of the exceptions.

The Central Administrator has the option to delete old logs.



The RCT logs can be filtered to show Auto Commit Transactions or Manual Transactions. The logs can be further filtered to show Exceptions, Warnings, or Information only as well as by date.

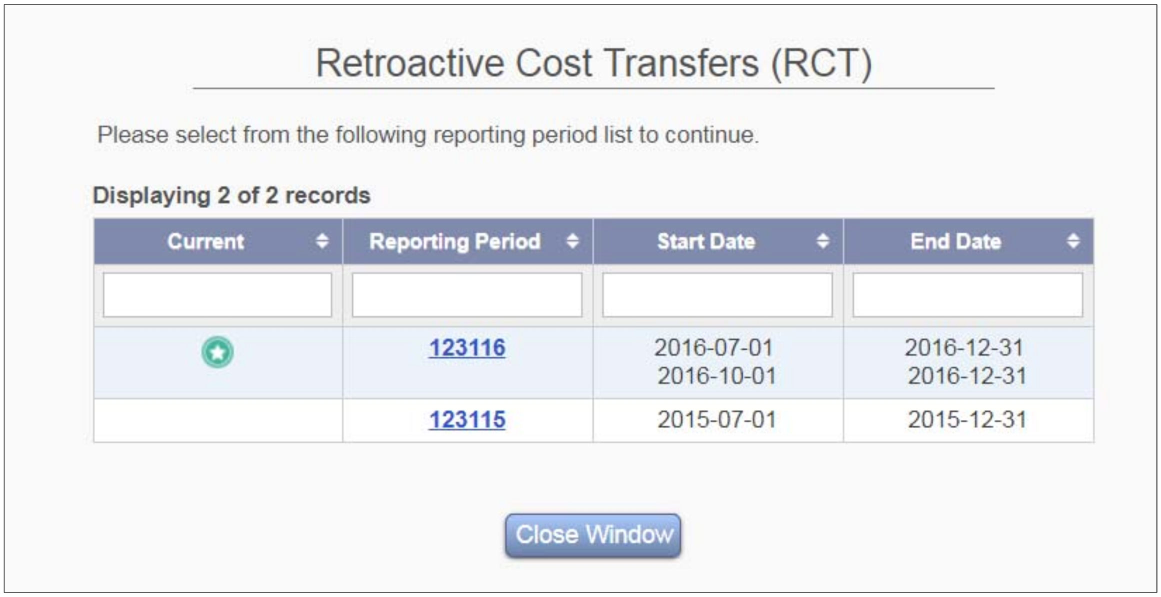


Method	Level	Message	Time Stamp
[All]	[All]		2017-12-20
Manual	WARNING	The transactions for user 137452222 in erspayrollrct do not have rct	[All]
Manual	WARNING	The transactions for user 167982222 in erspayrollrct do not have rct	2017-12-20 20:19:59
Manual	WARNING	The transactions for user 167984444 in erspayrollrct do not have rct	2017-12-20 20:19:59
Manual	SEVERE	Failed to identify rct forms because: The account type is undefined - 444123-003-00001-100-0000130	2017-12-20 20:20:00
Manual	WARNING	The transactions for user 674532222 in erspayrollrct do not have rct	2017-12-20 20:20:00
Manual	WARNING	The transactions for user 691762222 in erspayrollrct do not have rct	2017-12-20 20:20:00
Manual	WARNING	The transactions for user 711032222 in erspayrollrct do not have rct	2017-12-20 20:20:00
Manual	WARNING	The transactions for user 800101040 in erspayrollrct do not have rct	2017-12-20 20:20:00
Manual	INFO	Identifying process done	2017-12-20 20:20:00

13.8.3.3 Undo RCT

This option is available to the Central Administrator to undo RCT transactions that have already been committed. When the CA chooses to undo a transaction the previously Archived Effort Form will be activated.

The Central Administrator selects the reporting period for which they wish to undo an RCT.



Retroactive Cost Transfers (RCT)

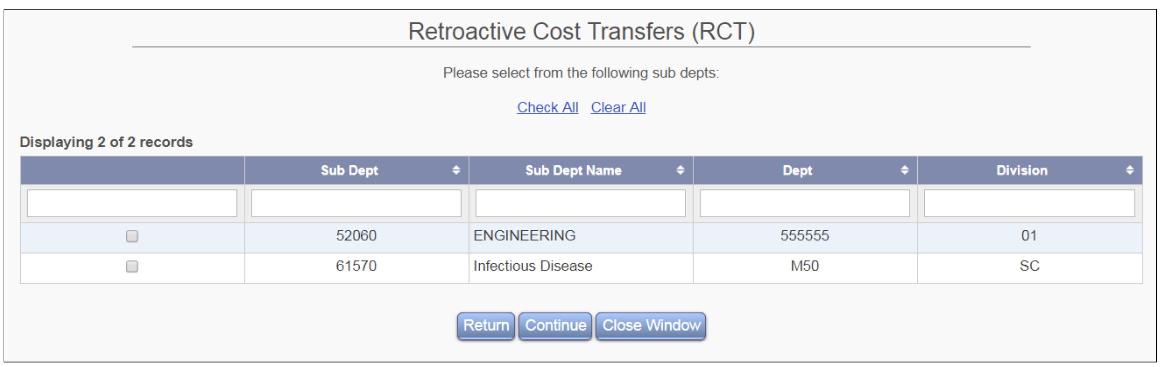
Please select from the following reporting period list to continue.

Displaying 2 of 2 records

Current	Reporting Period	Start Date	End Date
	123116	2016-07-01 2016-10-01	2016-12-31 2016-12-31
	123115	2015-07-01	2015-12-31

Close Window

The Central Administrator will then select the applicable department(s).



Retroactive Cost Transfers (RCT)

Please select from the following sub depts:

Check All Clear All

Displaying 2 of 2 records

	Sub Dept	Sub Dept Name	Dept	Division
	52060	ENGINEERING	555555	01
	61570	Infectious Disease	M50	SC

Return Continue Close Window

After selecting a department(s) the user will be presented with all of the RCTs that have been processed. If the RCT transaction has been applied to the payroll then the Central Administrator cannot rollback the effort form.

If the RCT transaction has not been applied to the payroll, the Central Administrator will have the option to roll back the transaction. At this point the RCT will be undone and the archived effort form will be used.

Note: The Rollback option is available only if the action of Reverse Entries was used.

13.9 RCT Cases

Debit

When (Payroll + RCT + Cost Transfer + Cost Sharing) - Certified Effort < RCTTolerance (defined under Manage Tables), RCT is classified as a Debit to a Sponsored Account. If an effort form has both Debit and Credit RCTs, Debit classification will take precedence over Credit. Cases classified as Debit will be marked in red and should be reviewed first.

Credit

When (Payroll + RCT + Cost Transfer + Cost Sharing) - Certified Effort > RCTTolerance, RCT is classified as a Credit to a Sponsored Account.

OK

The RCT Impact is set to OK when one of the following occurs:

- Payroll + RCT + Cost Transfer + Cost Sharing - Certified Effort = RCTTolerance
- RCT impacted an effort form that was not certified or saved by the Certifier.

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
1	Current or Past Reporting Period	Effort Form Not Required.	OK	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **No Change Needed** The “Processed” flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent.

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
				• **Commit Change** If the RCT is for a non sponsored account, only Payroll is updated. If the RCT is for a sponsored account: create an effort form and set ersusers.getpar = Y. Notification is sent to the Pre Reviewer if the form requires Pre Review • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent.
2	Current or Past Reporting Period	Form accessed but not Certified: Certify = N or Certify = N (Saved)	Debit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Commit Change** Payroll Amount is recalculated. Email notification is sent to the Pre Reviewer. If Pre Review was completed for the original form, notification will be sent to the certifier as well. Form status will be Pre Review Pending. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
				accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the form. In short, the effort process starts over.
3	Current or Past Reporting Period	Form accessed but not Certified: Certify = N or Certify = N (Saved)	Credit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Commit Change** Payroll Amount is recalculated. Email notification is sent to the Pre reviewer. If Pre Review was completed for the original form, notification will be sent to the certifier as well. Form status will be Pre Review Pending. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
				Notification is sent out to the Pre Reviewer to Pre Review the form. In short, the effort process starts over.
4	Current or Past Reporting Period	Pre Review not required, Certification completed and Post Review not required or not done yet: PreReview = N Certify = Y PostReview = N or Post Review = N (Saved)	Debit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Payroll Amount is recalculated. An Email Notification is sent out to Post Reviewer to Post Review the form and reconciles the difference. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent to the Pre Reviewer. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the form. In short, the effort process starts over.
5	Current or Past Reporting Period	Pre Review not required, Certification completed and Post	Credit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Payroll Amount is recalculated. An

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
		Review not required or not done yet: PreReview = N Certify = Y PostReview = N or PostReview= N(Saved)		Email Notification is sent out to PostReviewer to PostReview the form and reconcile the difference. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over.
6	Current or Past Reporting Period	Pre Review Completed, Certification Completed, and Post Review not required or not done yet: PreReview = Y Certify = Y PostReview = N or Post Review = N	Debit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Payroll Amount is recalculated. An Email Notification is sent out to Post Reviewer to Post Review the form and reconcile the difference. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
		(Saved)		the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over.
7	Current or Past Reporting Period	Pre Review Completed, , Certification Completed, and Post Review not required or not done yet: PreReview = Y Certify = Y PostReview = N or PostReview= N(Saved)	Credit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Payroll Amount is recalculated. An Email Notification is sent out to Post Reviewer to Post Review the form and reconcile the difference. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
				sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over.
8	Current or Past Reporting Period	Pre Review Completed, Certification Completed and Post Review Completed: PreReview = Y Certify = Y PostReview = Y	Debit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Payroll Amount is recalculated. The Post Review status is reset to N (Saved). An Email Notification is sent out to Post Reviewer to Post Review the form and reconcile the difference. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over.

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
9	Current or Past Reporting Period	Pre Review Completed, Certification Completed and Post Review Completed: PreReview = Y Certify = Y PostReview = Y	Credit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Payroll Amount is recalculated. The Post Review status is reset to N (Saved). A notification is sent out to Post Reviewer to Post Review the form and reconcile the difference. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the PreReviewer to PreReview the Form. In short, the effort process starts over.
10	Current or Past Reporting Period	Effort Form has not been accessed: PreReview = N Certify = N PostReview	OK	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer if the form requires Pre

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
		= N		Review • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent.
11	Archived	Effort Form has been Completed and Archived.	Debit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Archived Form is Unarchived. Payroll Amount is recalculated. An Email Notification is sent out to Post Reviewer to Post Review the form and reconcile the difference. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
				Reviewer to Pre Review the Form. In short, the effort process starts over.
12	Archived	Effort Form has been Completed and Archived.	Credit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Archived Form is Unarchived. Payroll Amount is recalculated. The difference in the Pre Review and Certify should be reconciled as Cost Sharing in Post Review. Email Notification is sent out to Post Reviewer. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over.
13	Current or Past Reporting	Any non-archived,	OK	• **On Hold** The RCT remains in queue for the Central Administrator to review.

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
	Period	accessed form with RCT impact within the established RCT tolerance		• **Commit Change** Payroll Amount is recalculated. If Certify = Y or Saved, then Certifier % is kept intact. Otherwise, the Certifier % and Certifier Dollar Amount is same as Pre Review % and Pre Review Dollar Amount. No Email Notification is sent out to Post Reviewer. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent.
14	Archived	Any archived, form with RCT impact within the established RCT	OK	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** Archived Form is Unarchived. Payroll Amount is recalculated. No Email Notification is sent out to Post Reviewer to Post Review the

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
		tolerance (Certify=Y)		form. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over.
15	Current or Past Reporting Period. The RCT is to the Control Salary Account (Clearing Account)	Certify = Y: Any non-archived or archived certified form with RCT to the control salary (clearing) account	Debit/Credit	• **On Hold** The RCT remains in queue for the Central Administrator to review. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Commit Change** Payroll Amount is recalculated. The Post Review status is reset to N (Saved). A notification is sent out to Post Reviewer to Post Review the form and reconcile the difference. • **Reverse Entries** RCT entries are reversed and copied to

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
				the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over.

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
16	RCT Not Net Zero (One Sided Cost Transfer)	Certify=N		• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change** a. If Pre=Y before, Notify Pre Reviewer and certifier (different email messages). Pre flag becomes N(Saved) b. If Pre=N(Saved), Notify Pre Reviewer only. Pre flag becomes N(Saved) • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Apply to payroll then drop the form a. If Pre=Y before, Notify Pre Reviewer and Certifier (different email messages). Pre flag becomes N b. If Pre=N(Saved), Notify Pre Reviewer only. No flag changes needed. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent.

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
17	RCT includes Excluded Amount (One Sided Cost Transfer)	Any accessed and non-certified form with RCT to excluded account: Certify = N		• **On Hold** The RCT remains in queue for the Central Administrator to review. • **Commit Change –** The non-excluded part of the entry needs to be applied to payroll a. If Pre=Y before, Notify Pre Reviewer and Certifier (different email messages). Pre flag becomes N(Saved) b. If Pre=N(Saved), Notify Pre Reviewer only. No flag changes needed. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent.

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
18	RCT Includes Excluded Account (One Sided Cost Transfer)	Any certified form with RCT to excluded account Certify = Y		• **On Hold** The RCT remains in queue for the Central Administrator to review. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent • **Commit Change** Payroll Amount is recalculated. The Post Review status is reset to N (Saved). A notification is sent out to Post Reviewer to Post Review the form and reconcile the difference. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An e-mail notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Effort Form is dropped. Payroll Amount is recalculated. An Email Notification is sent out to the Pre Reviewer to Pre Review the Form. In short, the effort process starts over. Notify all parties involved (pre, cert, and/or post. Pre flag becomes N
19	RCT Not Net Zero (One Sided Cost	Certify = Y		• **On Hold** The RCT remains in queue for the Central Administrator to review. • **No Change Needed** The Processed flag will be set to Y. The

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
	Transfer)			Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An email notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is sent to the line certifier. • **Drop Form** Apply to payroll then drop the form Notify all parties involved (pre, cert, and/or post depending if the form had the signature from Post Reviewer). Pre flag becomes N
20	RCT Causes Negative Payroll	Certify = N Or Certify = Y		• **On Hold** The RCT remains in queue for the Central Administrator to review. • **No Change Needed** The Processed flag will be set to Y. The Effort Form is not updated. Payroll is not updated. Notification is not sent. • **Reverse Entries** RCT entries are reversed and copied to the ERSCT Table. Payroll table is not updated. Effort form is not updated. An email notification is sent. • **Drop Line Certification** RCT transactions are applied to the payroll and form. The certification for the RCT impacted lines are dropped. Effort Form status is updated accordingly. An email notification is

CASE	Effort Form IN	STATUS Effort Form	RCT Impact Status	Actions Available
				sent to the line certifier. • **Drop Form** Apply to payroll then drop the form. Notify all parties involved (Pre Reviewer, Certifier, and/or Post Reviewer depending if the form had the signature from Post Reviewer). Pre flag is updated to N

13.10 RCT Emails

When certain actions are performed, the system will send out notifications to the Pre Reviewers, Certifiers, and Post Reviewers informing them of the action that has occurred. Refer to Appendix 1 to determine who is notified for each case. The emails are based on one of the four possible actions for each role: Commit (modified), Drop, Line Certification Drop or Reverse.

The emails are as follows:

13.10.1 Pre Review

Subject: Please Pre Review RCT Impacted Form

(Message is determined by action)

Commit Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been modified due to the impact of a cost transfer. Please go to **<URL>** to Pre Review the form.

Drop Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been dropped due to the impact of a cost transfer. Please go to **<URL>** to Pre Review the form.

Reverse Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been modified by creating a new retro cost transfer. Please go to **<URL>** to Pre Review the form.

Transmitting Individual Details:
From: Central Administrator <Value of CAEmail system parameter>
<FROMNAME>: Central Administrator

Receiving Individual Details:
To: Displays email address of the Pre Reviewer.

13.10.2 Certify

Subject: Please wait to certify until the new RCT Impacted Form has been pre reviewed.

(Message is determined by action)

Commit Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been modified due to the impact of a cost transfer.

Drop Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been dropped due to the impact of a cost transfer.

Reverse Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been modified by creating a new retro cost transfer.

Transmitting Individual Details:
From: Central Administrator <Value of CAEmail system parameter>
<FROMNAME>: Central Administrator

Receiving Individual Details:
To: Displays email address of the Certifier.

13.10.3 Post Review

Subject*:* Please Post Review RCT Impacted Form

(Message is determined by action)

Commit Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been modified due to the impact of a cost transfer. Please go to **<URL>** to Post Review the form.

Drop Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been dropped due to the impact of a cost transfer. Please go to **<URL>** to Post Review the form.

Reverse Message: Effort form for **<EMPNAME>** for the effort period **<RPCODE>** has been modified by creating a new retro cost transfer. Please go to **<URL>** to Post Review the form.

Transmitting Individual Details:
From: Central Administrator <Value of CAEmail system parameter>
<FROMNAME>: Central Administrator

Receiving Individual Details:
To: Displays email address of the Post Reviewer.

The RCT Emails can be configured using interface *Admin→ System Settings→ Email →ERS Auto Email*

ERS Auto Email	Manage	Configure the Email message templates for all types of auto emails that the system sends out.

Manage Auto Email

Displaying 12 of 47 records

Edit	Type	Description	Subject	Email
	RCT			
	RCTCERTC	This notification is sent by the RCT process to the appropriate Certifier when the Commit action is selected.	A Cost Transfer was identified that impacted your effort form. Please do not certify until the newly processed form is Pre Reviewed again.	View
	RCTCERTD	This notification is sent by the RCT process to the appropriate Certifier when the Drop action is selected.	A Cost Transfer was identified that impacted your effort form. Please do not certify until the newly processed form is Pre Reviewed again.	View
	RCTCERTR	This notification is sent by the RCT process to the appropriate Certifier when the Reverse action is selected.	A Cost Transfer was identified that impacted your effort form. Please do not certify until the newly processed form is Pre Reviewed again.	View
	RCTNEWACTC		Please certify RCT impacted Form	View
	RCTPAPERD	the notification to pre reviewer for paper certification forms	Please Pre Review the RCT Impacted Form	View
	RCTPOSTC	This notification is sent by the RCT process to the appropriate Post Reviewer when the Commit action is selected.	A Cost Transfer was identified that impacted the effort form. Please complete the Post Review.	View
	RCTPOSTD	This notification is sent by the RCT process to the appropriate Post Reviewer when the Drop action is selected.	A Cost Transfer was identified that impacted the effort form. Please complete the Post Review.	View
	RCTPOSTR	This notification is sent by the RCT process to the appropriate Post Reviewer when the Reverse action is selected.	A Cost Transfer was identified that impacted the effort form. Please complete the Post Review.	View
	RCTPREC	This notification is sent by the RCT process to the appropriate Pre Reviewer when the Commit action is selected.	A Cost Transfer was identified that impacted the effort form. Please complete the Pre Review.	View
	RCTPRED	This notification is sent by the RCT process to the appropriate Pre Reviewer when the Drop action is selected.	A Cost Transfer was identified that impacted the effort form. Please complete the Pre Review.	View
	RCTPRER	This notification is sent by the RCT process to the appropriate Pre Reviewer when the Reverse action is selected.	A Cost Transfer was identified that impacted the effort form. Please complete the Pre Review.	View
	RCTRECERTC		Please re-certify RCT impacted Form	View

Exit

13.10.4 Email by Case

Below is an easy reference chart describing email notifications when a change is committed.

	Action Taken	Condition	Recipient	Auto Email Type
Case 1				
	Commit Change		Pre Reviewer	RCTPREC
	Reverse Entries		Pre Reviewer	RCTPREC
Case 2				
	Commit Change	Pre=Y or N(Saved)	Pre Reviewer	RCTPREC
		Pre=Y	Certifier	RCTCERTC
	Reverse Entries	Pre=Y or N(Saved)	Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED

Case 3				
	Commit Change	Pre=Y or N(Saved)	Pre Reviewer	RCTPREC
		Pre=Y	Certifier	RCTCERTC
	Reverse Entries	Pre=Y or N(Saved)	Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 4				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 5				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 6				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRED
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPOSTD
Case 7				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRED
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPOSTD
Case 8				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 9				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 10				
	Commit Change		Pre Reviewer	RCTPREC
	Reverse Entries		Pre Reviewer	RCTPRER

Case 11				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 12				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 13				
	Commit Change		No one	
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 14				
	Commit Change		No one	
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 15				
	Commit Change		Post Reviewer	RCTPOSTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 16				
	Commit Change	Pre=Y or N(Saved)	Pre Reviewer	RCTPREC
		Pre=Y	Certifier	RCTCERTC
	Reverse Entries		Pre Reviewer	RCTPRED
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 17				
	Commit Change	Pre=Y or N(Saved)	Pre Reviewer	RCTPREC
		Pre=Y	Certifier	RCTCERTC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
Case 18				
	Commit Change		Post Reviewer	RCTPOSTC

	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
			Certifier	RCTCERTD
		Post = Y or N(Saved)	Post Reviewer	RCTPOSTD
Case 19				
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED
			Certifier	RCTCERTD
		Post = Y or N(Saved)	Post Reviewer	RCTPOSTD
Case 20				
	Commit Change		Pre Reviewer	RCTPREC
	Reverse Entries		Pre Reviewer	RCTPRER
	Drop Line Certification		Line Certifier	RECERT
	Drop Form		Pre Reviewer	RCTPRED

13.11 Frequently Asked Questions (FAQ)

Question 1: Should the data be loaded directly into the applicable payroll table (ERSPAYROLLxxxxxx)?
Answer 2: Absolutely **NOT**
Reasons

- Payroll table consists of a combination of source and system data fields.
- The system-related fields are ONLY populated at the time of initiation.
- After initiation, payroll table is never updated with system data.
- Bypassing RCT process will not maintain Audit Trail of system data

Question 2: Can Edit Payroll Feature be used instead?
Answer 2: **NOT Recommended**
Reasons

- Edit Payroll can only be applied to forms that have not been Certified
- ERS does not maintain any audit trail of changes done to Payroll
- Payroll changes associated with Exclusions cannot be updated via Edit Payroll
- Source Systems and ERS may be out of synch if changes are done via Edit Payroll
- New accounts cannot be added via Edit Payroll

Chapter 14

Cost Transfer Approval

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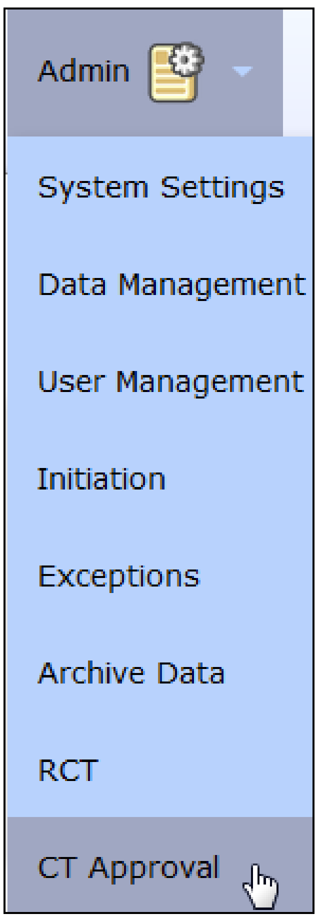
14 Cost Transfer Approval

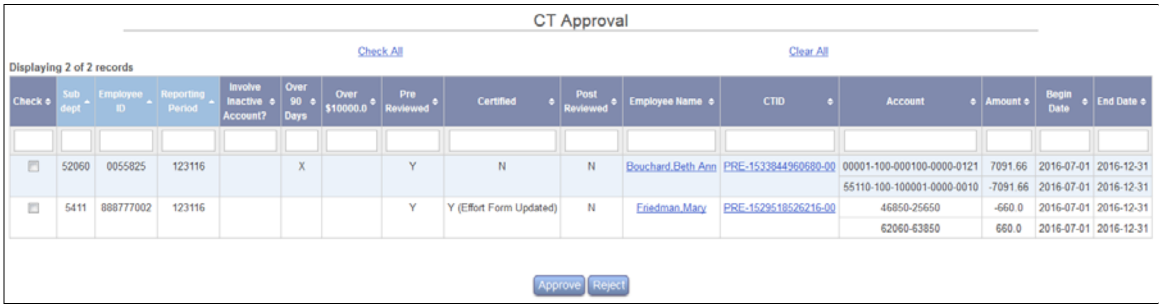
The **Cost Transfer Approval (CT Approval)** is a feature that allows the Central Administrator (CA) or the designated Cost Transfer Approver (CTAP) and/or Division Head (DH) to approve the cost transfers generated in Pre and Post Review.

Note: This feature is only applicable to the institutions that transact cost transfers in ERS.

The *CT Approval* option is available to the Central Administrator and other assigned individuals under menu option *Admin*.



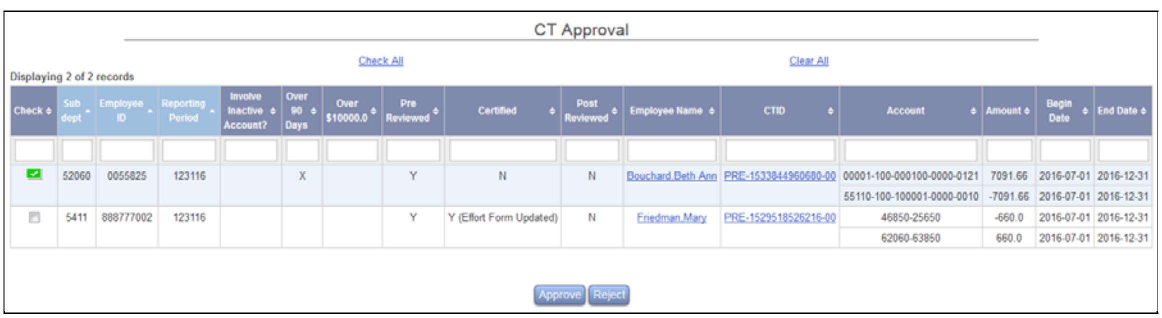
Upon selecting the "CT Approval" option, the following list of cost transfers pending approval is presented to the user.



The list can be sorted or filtered on any of the fields presented. Clicking on the *Employee Name* link will display employee's effort form for the reporting period affected by the cost transfer. Clicking on the *CTID* link will display the details related to the cost transfer.

Select a cost transfer (or multiple) from the list by selecting the check box next to each cost transfer and click **Approve or Reject** at the bottom of the screen. After selecting **Approve**, ERS displays the following confirmation screen.

Clicking ***Continue*** will bring the user back to the screen with all available cost transfers pending approval.



The approved cost transfers will display  next to it and the rejected cost transfers will display  instead of the checkbox.

Clicking ***Exit*** will bring the user to the home page.

Selecting **Reject** instead of **Accept** generates a prompt to provide a reason for rejecting the cost transfer in the Notes field.

While the status of the effort form (Pre Review, Certification or Post Review) is not impacted whether or not CT approval is performed, it does affect who is notified and what action ERS will take should the cost transfer be rejected.

Note: Once a Cost Transfer is exported, it can no longer be rejected.

The effects of the state of the effort form are as follows:

Rejection Case	Action
The CT is from Post Review	• *The effort form status is set to Post Review (saved)* • *Email sent to Post Reviewer*
The CT is from Pre Review and Effort Form is not Certified	• *The effort form is reset to Pre Review (Saved)* • *Email sent to Pre Reviewer only* • *Pre Review process is to be completed again*
The CT is from Pre Review and Effort Form is Certified but not Post Reviewed	• *The effort form is reset to Pre Review (Saved)* • *Email sent to Pre Reviewer / Certifier* • *Pre Review and Certification process is to be repeated*
The CT is from Pre Review and Effort Form is Certified and Post Reviewed	• *The effort form is reset to Pre Review (Saved)* • *Email sent to Pre / Cert / Post Reviewer* • *The full process is to be completed again*

This pattern follows the exact same process in any of the above circumstances; however, there are two cases worth mentioning:

1. If the CA/CTAP selects to reject a CT from Pre Review and a CT from Post Review exists on the same form, then both must be rejected.
2. If the CA/CTAP selects to approve a CT from Post Review and a CT from Pre Review exists on the same form, then both must be approved.

Configuration Note: There is a configuration (ApproveCTBFCert) that allows the institution to hold the effort form and not release it to the Certifier until the cost transfer(s) transacted in Pre Review have been approved. This parameter can have one of two possible values:

Y –The Cost Transfers done by the Pre Reviewer needs an approval before the effort form can be released to the Certifier for Certification.
N –The Cost Transfers done by the Pre Reviewer do not need an approval and can be released to the Certifier for Certification.

This configuration is not available within ERS interface and can only be configured via back-end. Please contact MAXIMUS for instructions to enable and configure this feature.

Configuration Note: There is a configuration (ApproveCTBFCompletion) that allows ERS to flag the effort form as completed before cost transfers transacted in Post Review are approved. This parameter can have one of two possible values:

Y –The Cost Transfers done by the Post Reviewer needs an approval before the effort form can be flagged as complete.
N –The Cost Transfers done by the Post Reviewer do not need an approval and the effort form is flagged as complete once Post Review is done.

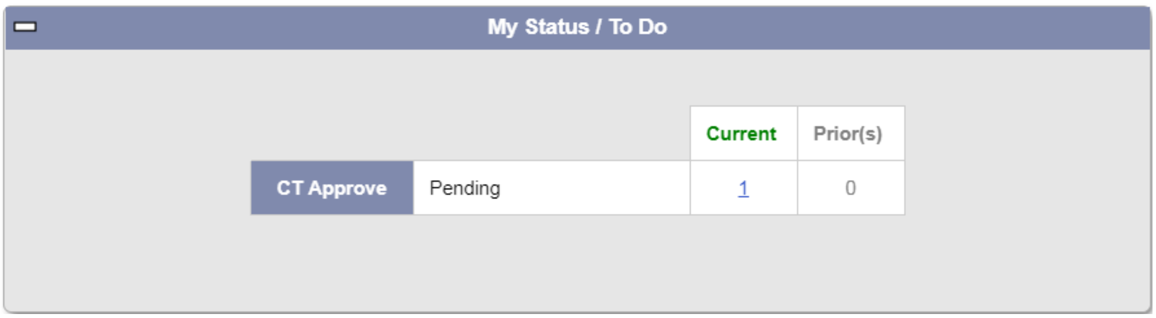
This configuration is not available within ERS interface and can only be configured via back-end. Please contact MAXIMUS for instructions to enable and configure this feature.

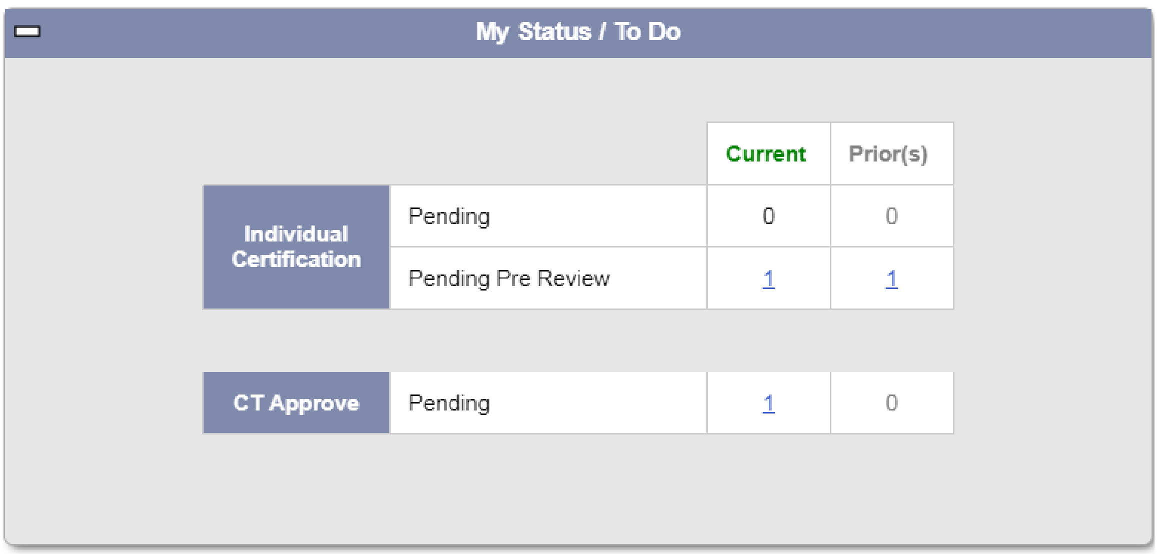
14.1 Cost Transfer Approvals by CTAP or DH

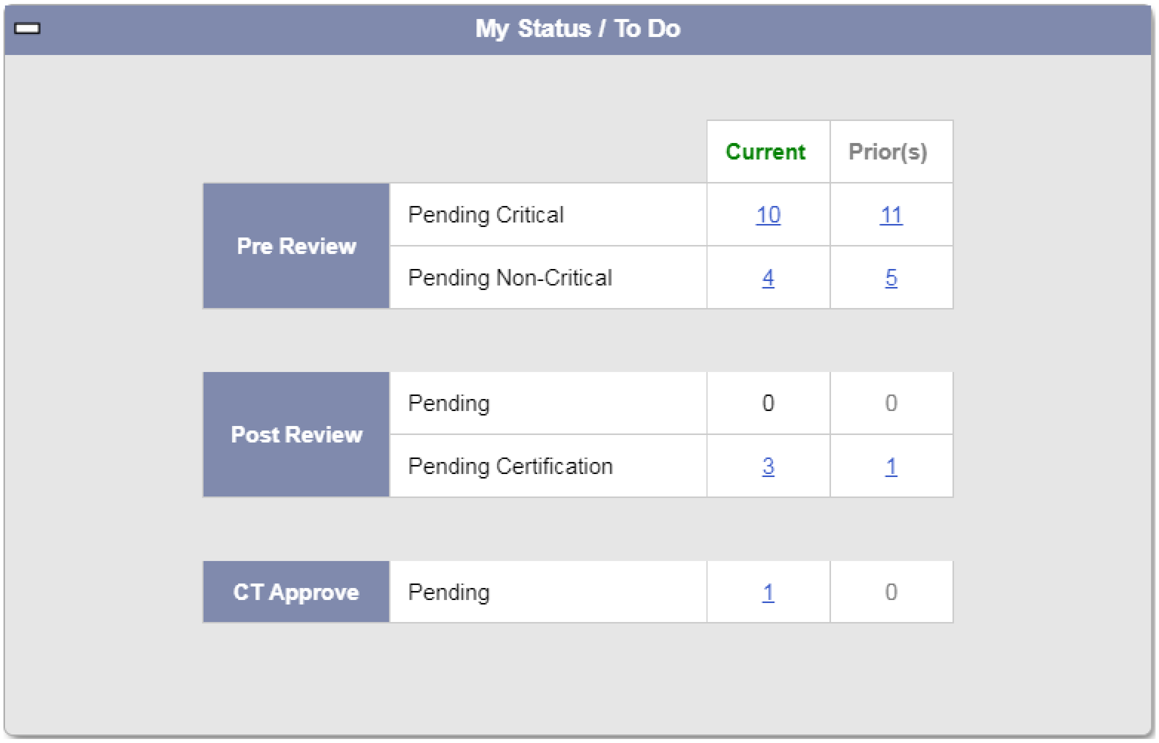
The option of assigning a Cost Transfer Approver (CTAP) or Division Head (DH) or any other individual(s) as CT approvers has many advantages. This feature permits assigning Cost Transfer approval to multiple individuals in Grants Accounting who may be more aware of grant begin and end dates, current balances and other pertinent information that should be considered when reallocating salary dollars. It also permits assigning the responsibility to higher level administrators in colleges or divisions responsible for managing funds in their domain.

STATUS/ MY TO DO

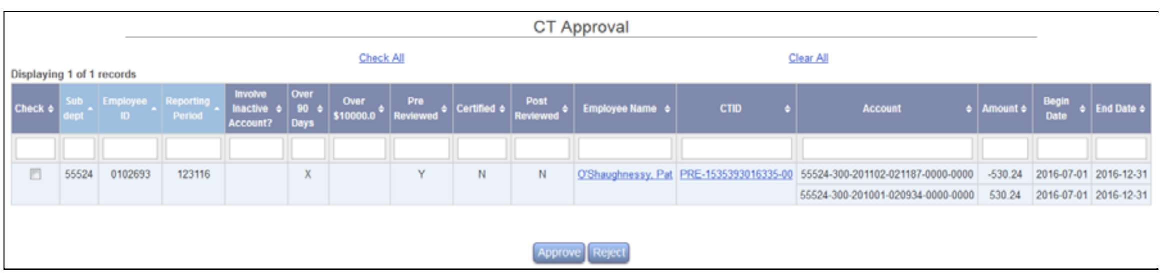
The Cost Transfer Approver's Home Page will display a **STATUS/ MY TO DO** box for any pending cost transfer approvals.







Clicking on any link under STATUS/ MY TO DO directs the user (DH or CTAP) to the Cost Transfer Approval Page.



The following four types of Cost Transfer Approval by roles other than Central Administrator are available.

1. **Divisional (College) Approval**: Cost Transfer needs to be approved by account owning division first, then by the form's home division. A Cost Transfer is considered approved only when all divisions involved in a transfer approve it.
2. **Central Approval**: Cost Transfer needs to be approved by central grant approval office. The Central Grant Office's approval completes the approval process.

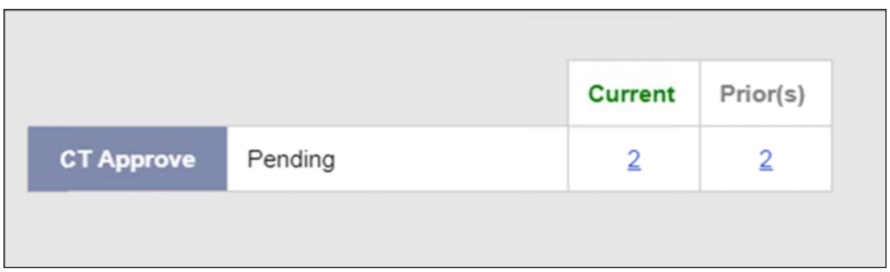
3. **Two-Level Approval**: Cost Transfer needs to be approved first by CT Approver within the department, then by the Central CT approver. The Cost Transfer is considered approved when both levels approve it.
4. **Rule Based Approval:** ERS allows institutions to define different levels of approval among its domain (Dept, Division or School). A Cost Transfer needs to be approved by certain level only when it matches the rule behind the approval level.

Configuration Note: Institutions can determine how many levels of approvals are necessary as well as dollar threshold required for approval. This configuration is only available via back-end update. Once defined, ERS will notify the next approver as defined in the configuration. When all the necessary approvals are obtained, the Certifier will receive an email – if the Cost Transfer originated in Pre Review.

Please contact MAXIMUS for more details regarding this configuration

Note: CA can always approve or reject a cost transfer before CT Approver completes the Cost Transfer Approval process.

ERS will categorize the Cost Transfers pending approval by Current Period and Prior Period:




CT Approval

Check All
Clear All

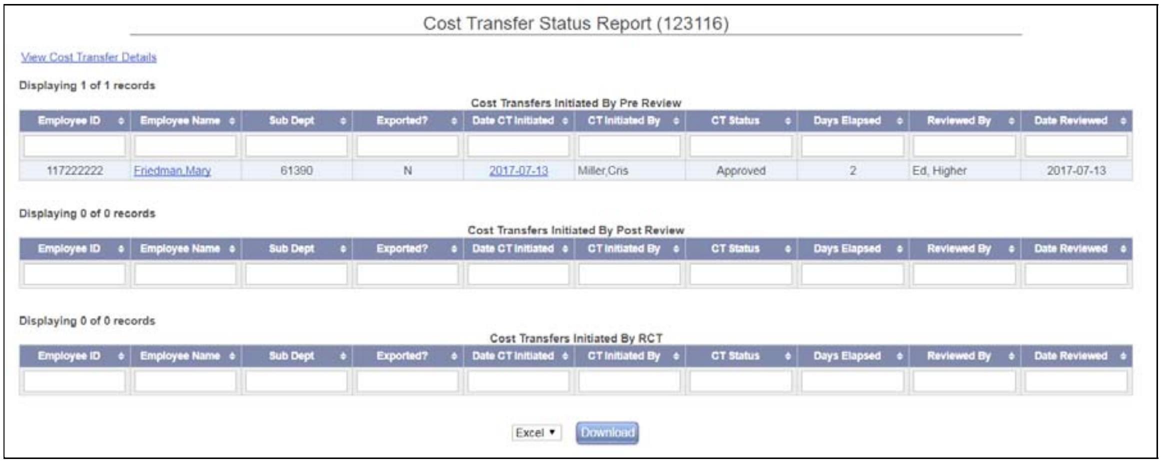
Displaying 2 of 4 records

Check	Sub dept	Employee ID	Reporting Period	Over 90 Days	Over $10000.0	Pre Reviewed	Certified	Post Reviewed	Employee Name	CTID	Account	Amount	Begin Date	End Date
			123114											
☐	61570	182702222	123114	X		Y	N	N	Barnett,LN	PRE-1491593663378-00	61570-63690	22.0	2014-09-01	2014-12-31
											61570-57650	-22.0	2014-09-01	2014-12-31
☐	61570	711032222	123114	X		Y	N	N	Codae,Kathy	PRE-1494525311606-00	61570-57650	1000.0	2014-09-01	2014-12-31
											61570-63690	-1000.0	2014-09-01	2014-12-31

Approve Reject

If the DH or CTAP have no Cost Transfers to approve the following is displayed on the Home Page.

"Cost Transfer Approval Status" Report is available for CA, DH and CTAP roles to follow up on the Pending/Approved/Rejected Cost Transfer within the user's domain.



14.2 Auto Email Configuration

The auto e-mail notifications sent as a result of Cost Transfer Assignments are configurable under ***Admin→System Settings →Email Settings →ERS Auto Email.***

Auto Email Type	**Description**	**Subject**
CTAPA	This e-mail is used in the Assign Cost Transfer Approver module where an e-mail notification is sent to the newly assigned individual informing them of their new role assignment of Cost Transfer Approver.	You have been assigned as Cost Transfer Approver
CTAPR	This e-mail is used in the Assign Cost Transfer Approver module where an e-mail notification is sent to the individual when they are removed as the Cost Transfer Approver and no longer have the Cost Transfer Approver responsibilities.	Your responsibility as Cost Transfer Approver has been changed

When configured to Divisional Approval, if the Cost Transfer involves accounts from multiple divisions, the cost transfer needs to be reviewed and approved by both the division which owns the account and the division that owns the effort form that is affected by the cost transfer.

ERS determines the value in the ERSCHARTACCTS.DIVISION to establish the home division of an account for which a cost transfer is transacted and uses the following process:

- An email is sent to the owning division specifying the accounts involved in cost transfer and the Cost Transfer amount.
- These transfers are routed to the account owning Division Head or CT Approver and located in the STATUS/ MY TO DO box in the "*CT Approval*" section.
- These transfers are routed to the effort forms owning Division Head or CT Approver and located in the STATUS/ MY TO DO box in the "*CT Approval*" section. The transfer is ***not available*** for approval until it's approved by the account owning DH or CTAP.
- Justifications and any attachments can be reviewed by clicking on the CTID hyperlink.
- The approval of Cost Transfers done on accounts not owned by the "Home" department must be approved first by the corresponding CT Approver for the division that owns the account.
- When CT is approved by the account owning DH/ CTAP then the CT becomes ***pending*** on the "Home" page for the Division STATUS/ MY TO DO list in the "*CT Approval*" section.
- The CT approval signature is required from all account owning DH/ CTAP before it's available for approval by the effort form owning DH/ CTAP.
- In cases where multiple Cost Transfer Approvers for a division are set up, an approval is required by any **one** CTAP or DH for that division.
- If a cost transfer is rejected by either account owning DH/CTAP or Effort Form owning DH/ CTAP, an email is sent to the individual (Pre Reviewer) who initiated the transfer informing them of the rejection of the Cost Transfer.

When configured to Two Level Approval, the cost transfer needs to be reviewed and approved by *Departmental CT Approver* and *Central Approver*. The *Departmental Approver* (level 1 approver) can be assigned by *Divisional Head* or *Central Administrator*; the *Central Approver* (level 2 approver) can be assigned by CA.

- When Pre Review is done with cost transfer, email notification is sent to all Level 1 Approver;
- The cost transfer is routed to Level 1 CT Approver and located under the Status/My To Do box under Pending Approval column;
- When the cost transfer is approved by the Level 1 approver, an email notification is sent to Level 2 approver notifying them that the cost transfer is ready for approval;
- The cost transfer becomes available under Level 2 approver's list;
- If Level 2 approver approves the cost transfer, it completes the approval process and the cost transfer is marked as approved.

When configured to Rule Based Approval, the cost transfer needs to be reviewed in the ascending order of the level for each rule it meets. For example, if there are 3 levels of rule defined, a Cost Transfer may need to be approved by all 3 levels or just level 1 and 3. ERS also allows configuring to allow CA or DH to make CT Approver Assignment. For example, The Level 1 approver can be assigned by *Divisional Head* or *Central Administrator*; the Level 2 and 3 approvers can only be assigned by CA.

- When Pre Review is done with cost transfer, email notification is sent to all lowest level of Approvers;
- The cost transfer is routed to lowest level CT Approver and located under the Status/My To Do box under Pending Approval column;
- When the cost transfer is approved by the approver, an email notification is sent to next level approver notifying them that the cost transfer is ready for approval;
- The cost transfer becomes available under the next level approver's list;
- If highest level approver approves the cost transfer, it completes the approval process and the cost transfer is marked as approved.

If the configuration is selected which prevents certification until CT approval occurs, these additional steps take place:

- The effort form's status is changed to Pre Review Y (CT Approval Pending) until approval occurs.
- An e-mail notification goes out to the Certifier to certify the effort form when the cost transfer is approved by the last required CT approver.

Configuration Category	Configuration	JNDINAME	Configuration Usage	Values	Default Value	Has Database Requirement?	Accessibility in ERS
Access Settings	Public Access	PublicAccess	Allows end user access to ERS	**Enabled** - Indicates that ERS allows public access; **Disabled** - Indicates only Central Administrator can access ERS (usually during maintenance period)	Enabled		If enabled all users except for CA will see the message *System is under maintenance.*
Access Settings	Single Sign-On	SINGLE_SIGN_ON	This option activates the Institution's Single Sign-on process if this functionality has been implemented.	**Enabled** - Use the Institution's single sign-on user id and password. **Disabled** - Use ERS user id and password.	Disabled		
Quick Settings	Edit Payroll	CAEditPayroll	Allow CA to edit payroll for non-certified effort forms.	**Enable:** Allows the CA to edit payroll **Disable:** Does not allow the CA to edit payroll	Enable		If disabled, the Edit Payroll link will not appear (*Data Management/Manage ERS Tables*)
Quick Settings	DC Rights	DC-SubDC	Allow Department Coordinator (DC) to change Sub Department Coordinator (SubDC) assignments.	**Enable:** DC can change/modify SubDC rights and assignments **Disable:** DC cannot alter SubDC parameters	Enable		Assignments
Quick Settings	Archive Dropped Effort	ArchiveDroppedEffort	Defines whether an original effort form is to be archived prior to being dropped	**Enable:** Archive form before dropping **Disable:** Do not archive form when dropping	Disable		Home Page> Search Effort Forms by Employee ID
Quick Settings	Enable Post Review Module	PostReviewEnabled	Enable Post Review. This enables the Certifier to change effort percentages and adds the option to assign Post Reviewers in assignments.	**Enable:** Changing effort percentages during certification requires Post Review **Disable:** Post Review disabled	Enable		If disabled, Certifier is unable to make changes to effort percentages
Quick Settings	Pre Review Control Salary/Suspense/Payroll Clearing Accounts Account	NoPreChecking	Perform checking on clearing suspense account when the effort form is assigned with No Pre Reviewer.	**Enable:** Perform Check **Disable:** Do not perform Check	Enable		If enabled, check is performed on effort forms with clearing accounts that currently don't have a Pre Reviewer assigned
Quick Settings	Certify Multiple Forms	BulkCertify	Whether to allow certifier to certify multiple forms at the same time.	**Enable**: Certifier is able to select more than one eligible forms to certify at a time; **Disable**: Certifier can only certify one form at a time			
Help Settings	Announcements		Manage system-wide announcements.				
Help Settings	Helpdesk Email	HelpDeskEmail	Set the email address to be displayed to users.	Textbox	Blank		
Help Settings	Helpdesk Phone Number	HelpDeskPhone	Set the helpdesk phone number to be displayed to users.	Textbox	Blank		
Help Settings	Login Page Message	LoginMessage	Set the announcement to all users seen on the login page.	Textbox	Blank		
Help Settings	Help Menu		Configures the help menu options	Manage			
Cost Transfers	Cost Transfer Grace Period	CTGracePeriod	This parameter defines the number of days starting from the begin date of the reporting period until the date a cost transfer is defined. If a cost transfer is defined beyond that period, then the user should provide an explanation when transacting the cost transfer	# of days	90		If blank, cost transfer justification must always be provided

Configuration Category	Configuration	JNDINAME	Configuration Usage	Values	Default Value	Has Database Requirement?	Accessibility in ERS
Cost Transfers	Account Filter	AcctFilter	Disallow cost transfer on inactive account. Defines whether to allow cost transfers to be transacted to inactive account (Only applicable if CTs are used in ERS)	**Enable:** Cannot transact cost transfers to inactive account **Disable:** Can transact cost transfers to inactive account	Disable		If set to N, ERS will not allow any Cost Transfers transacted on an added inactive account.
Cost Transfers	Cost Transfer Mode		Cost Transfer Configuration	Manage			
Cost Transfers	Additional Input Field For Cost Transfer		Cost Transfer may optionally require an additional input field Allows inclusion of additional field to be displayed for processing cost transfers	Manage		If enabled, then ERSCT attr1 is a required field for processing cost transfers	
Effort Form Setup	Account Drilldown Setup		Setup tables/columns used for account drilldown display on effort form.	Manage			
Effort Form Setup	Payroll Drilldown Setup		Setup columns used for payroll drilldown display on effort form.	Manage			
Effort Form Setup	View Payroll	CERTVIEWPAYROLL	Allow payroll drilldown to be viewed in certify mode.	**Enable:** Certifier can view payroll **Disable:** Certifier cannot see payroll details	Enable		If disabled, the payroll drill down link and the Pre Review Details button are not available on effort forms for certifier.
Effort Form Setup	Payroll Drilldown Transactions Options	IgnoreIrrelevantTrans	Ignore payroll transactions that are outside of the reporting period on the Payroll Drilldown page.	**Enable:** Do not include irrelevant transactions when constructing effort form **Disable:** Include all payroll transactions when constructing effort form	Enable		
Effort Form Setup	Payroll Drilldown Sorting Options	PayrollDrillDownSorting	Sets the account sorting options for the Payroll Drilldown page.	Account ID Account Type	Account ID		Payroll Drill down link on effort forms
Effort Form Setup	Payroll Drill Down Default Display	PayrollDrillDownDefaultDisplay	Sets the default display options for the Payroll Drilldown page.	By Transaction By Month	By Transaction		If By Month, payroll entries will be displayed grouped by month, not account
Effort Form Setup	Effort Form Layout	EffortFormLayout Award	This parameter defines certain layout features on the effort form.	Manage			hideCT,hideCS,hideSubk award
Effort Form Setup	Read-only Forms	ReadOnly	This option determines how the read-only feature is configured in Pre Review Determines how the read-only feature is configured in Pre Review	**Disabled:** Read-only access of Effort Forms is not available **Sponsored Only:** Read-only access is only available for sponsored accounts **All Accounts:** Read-only access of Effort Forms is available for all accounts	Disabled	The Account should be associated with a department i.e. in table ERSCHARTACCTS the column COMPANY needs to be populated with the sub-department code the account belongs to. During initiation the system uses this value to populate the value in the ERSPAYROLLxxxxxx. ACCTSUBDEPT.	Pre Review > View Read Only Forms. Only available to DC.

Configuration Category	Configuration	JNDINAME	Configuration Usage	Values	Default Value	Has Database Requirement?	Accessibility in ERS
Effort Form Setup	Enable Cost Transfer	EnableCostTransfer	Defines whether to allow entries in the cost transfer column on the effort form	**Enable:** Pre and Post Reviewer can transact cost transfer on effort forms. **Disable:** Cost Transfers cannot be transacted in ERS on Effort Forms	Enable		If Disabled, the Cost Transfer input boxes are grayed out on effort forms
Effort Form Setup	Enable Cost Sharing	EnableCostSharing	Allow Cost Sharing on effort forms.	**Enable:** Pre and Post Reviewer can document cost sharing on effort form. **Disable:** Cost Sharing is disabled	Enable		If Disabled, the Cost Sharing input boxes are grayed out on effort forms
Effort Form Setup	Salary Cap Management		This option will manage Salary Cap related parameter.	Manage			
Effort Form Setup	Viewable Accounts	HideAccounts	Select special conditions in which accounts can be hidden from an effort form. 0_EffAmt - if present, accounts with zero payroll will not be displayed on the effort form; 0_Commitment - if present, awards with zero commitment will not be added to the effort form.	Manage			
Email Settings	Mail Server Address	MailServer	This parameter indicates the name or IP address of the mail server used to route e-mail generated by ERS. A valid mail server address is required to enable E-mail Notification.	Textbox	Blank		
Email Settings	Reply Email Address	CAEmail	This parameter indicates the reply email address to be used on system emails.	Textbox	Blank		
Email Settings	Auto Email Notification	AutoEmail	This parameter defines if an email notification will be sent out to inform the certifier or post reviewer after the effort form is pre reviewed or certified.	**Enable:** An email notification is sent to the Certifier on completion of Pre Review OR to the Post Reviewer if Certifier makes any updates to the effort form. **Disable:** No email notification is generated.	Enable		
Email Settings	Use CA Email	UseCAEmail	This parameter defines if CA email is used as From Email Address when sending the auto email from Pre Review/Certify/Alt Dept Assignment.	**Enable:** Uses the CA email address as the From Address **Disable:** Uses the email address associated with the user whose action causes auto notification to be generated.	Disable		
Email Settings	ERS Auto Email		Configure the Email message templates for all types of auto emails that the system sends out.	Manage		ERSAUTOEMAIL table	
Email Settings	Delinquent Forms Alert		Allows the system to generate automated emails to be sent based on the number of days the forms are delinquent and establish an appropriate hierarchy.	Manage			
Email Settings	Bulk Email		Manage settings for sending bulk emails to certifiers.	Manage			
Email Settings	Host URL	HostURL	The URL defined in this parameter will be used in the ERS Auto Email context where it is represented by URL tag	Textbox			
Email Settings	Update Host URL By Login	HostURLUpdatedByLogin	Whether to allow the first login after server starts to update the value for the Host URL parameter	**Enable:** The first login after the server starts will set the value of Host URL to be used in auto emails. **Disable:** CA can change and value of Host URL and it will remain regardless the server being restarted.	Enable		

Configuration Category	Configuration	JNDINAME	Configuration Usage	Values	Default Value	Has Database Requirement?	Accessibility in ERS
Initiation Settings	Exclusion Rules Setup		Defines specific payroll criteria to be excluded from payroll on effort forms.	Manage			
Initiation Settings	9 Over 12		Settings related to 9 Over 12 payroll conversion.	Manage	Disabled	If enabled, the ERSPAYROLLxxxxxx. APPT requires a value of number. If blank, it will be considered as 12.	If enabled, the 9 over 12 conversion takes place during the Initiation process.
Initiation Settings	Effort On Demand		Update the EOD refresh schedule or manually run the refresh now.	Manage			
Initiation Settings	Define Certifier's Check List		The Certifier's Check List will be displayed on the Certification Form.	Manage	No Checklist defined		
Initiation Settings	Critical Lists and Global Release	GlobalRelease	Manage Critical List and define Global Release by reporting period. Defines whether to allow the release from Pre Review of non critical effort form	Manage	No Critical list defined Global Release is not scheduled		If Y, a scheduled release of non critical effort forms occurs if they have not been Pre Reviewed
Initiation Settings	Faculty Code Setup		Configure which title codes are considered faculty	Manage	No faculty code defined		
RCT Settings	RCT Tolerance	ERSRctTolerance	Percentage threshold within which the RCT process determines the RCT Impact. Example, 1% Tolerance value indicates that the RCT impact will be determined within a 1% range.	Textbox	5		
RCT Settings	CT Prefix	ERSCTStart	The prefix of the payroll transaction ID that indicates that the cost transfer originated in ERS via Cost Transfer Process during Pre or Post Review.	Textbox	E		
RCT Settings	RCT Years	ERSRCTYears	The number of years of prior effort forms for which RCT can be applied. For example, if 2 years is selected, and the RCT is dated more than 2 years old, it will not be applied.	Textbox	2		
RCT Settings	Max Forms	MaxRctEffForms	The number of effort forms for which the RCT can be applied at one time. If -1 is entered, all RCT-impacted forms will be processed at one time.	Textbox	-1		
RCT Settings	Log Retention	DaysOfRCTSummaryToKeep	The number of days the RCT summary is saved on the hard disk of the server. Enter positive integers only. The default value is 7.	Textbox	7		
RCT Settings	Prorating Method	RCTNonProratingMethod	Select if RCT transactions are prorated based on overlap with reporting period or Not prorated and only based on end date of transactions.	Prorate: Not Prorated	Not Prorated		
RCT Settings	Overlap Defined	RCTOverlapDefined	Use reporting period defined in ERSPAYROLLRCT to place RCT transactions. If disabled, ERS places RCT in the correct reporting period based on transaction dates.	**Disable:** System uses the begin and end date of the RCT transaction to determine the reporting period **Enable:** System uses the begin and end date of the RCT transaction provided by the user	Disable		If enabled, the rpcode and statuscode are required in the ERSPAYROLLRCT.
Maintenance	Download Logs		Download server logs for system maintenance and/or troubleshooting.	Manage			
Maintenance	Certifier Assignments		Refresh the Certifier Assignments if changes to the CEMAWARD table are not currently reflected in the assignments for PI Line Item Certifiers.	Refresh			

Configuration Category	Configuration	JNDINAME	Configuration Usage	Values	Default Value	Has Database Requirement?	Accessibility in ERS
Maintenance	ERS Reporting Periods		This parameter contains information about the ERS reporting periods, and it is refreshed every time when the ErsPeriods table is updated.	Manage			
Maintenance	Effort Form Header		Refresh the customizable Effort Form Header.	Refresh			
Maintenance	Refresh JNDI		Refresh JNDI settings in the database.	Refresh			
Over and Above	Over and Above	OVERLOAD_ENABLED	Enable the Over and Above feature	**Enable:** Over and Above feature is enabled. **Disable:** Over and Above feature is not enabled.	Disable		
Over and Above	Over and Above Threshold	OVERLOAD_THRESHOLD	Maximum percent of over and above allowed	Textbox	20		
Over and Above	Over and Above Rules		Setup Over and Above Rules Per Reporting Period	Manage			
PI Line Item	PI Line Item Setup		Configure which effort forms are eligible for PI Line Item Certification.	Manage	Manage		
PI Line Item	Account Threshold	PIL_SPON_THRESHOLD	Sets the minimum number of sponsored accounts on the form to be eligible for PI Line Item.	Textbox	1		
PI Line Item	DC Assignment Rights	PIL_ALLOW_DC_ASSIGN	Allow a DC the right to change assignment on PI Line Item forms.	**Enable:** Allows DC to change line item assignment **Disable:** DC cannot change the line item assignment	Enable		
PI Line Item	DC Enable Rights	PIL_ALLOW_DC_ENABLE	Allow a DC the right to enable/ disable PI Line Item on a form.	**Enable:** Allows DC or SubDC to enable PI Line Item forms **Disable:** Does not allow DC or SubDC to enable PI Line Item forms	Enable		

Appendix 2

Line Item Certification

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2.1 Overview

The purpose of this feature is to allow individual Principal Investigators (PIs) to certify effort on their accounts for other individuals who contribute effort on their projects. An individual may be working on various projects belonging to more than one Principal Investigator. No one individual may be able to certify 100% of an individual's effort profile for the period reported, as each assigned PI can only attest to the activity the covered individual is performing when working on his/her projects. ERS has a process, Line Item Certification, that gives a PI access to view the effort form of individuals contributing effort on their award(s) for the period reported. The PI will only be able to update and/or "certify" the award(s) pertaining to him/her. For example, if a non faculty individual expended effort on four sponsored accounts belonging to four different PIs, each PI will have access to view that individual's effort form; however, they can only update, change or certify the account of which they are listed as the Principal Investigator.
In order to use this feature successfully, the following items need to be established:

- CEM Award Table – needs to contain PI Employee ID and Name for every sponsored account (and any account classified as "Companion Cost Sharing", "K-Award", "CAP")
- Attestation Statement specific to Line Item Certification – a separate attestation statement needs to be developed for those forms subject to line item certification
- Eligibility Requirements – Line Item Eligibility is based on title code(s) and/or specific employee id(s)
- If the institution is using a "faculty" restriction such that the faculty have to certify their own effort form, ERS will only allow Line Item Certification to be enabled for individuals not subject to the faculty restriction.

If the Line Item Certification is to be used, keep in mind the following:

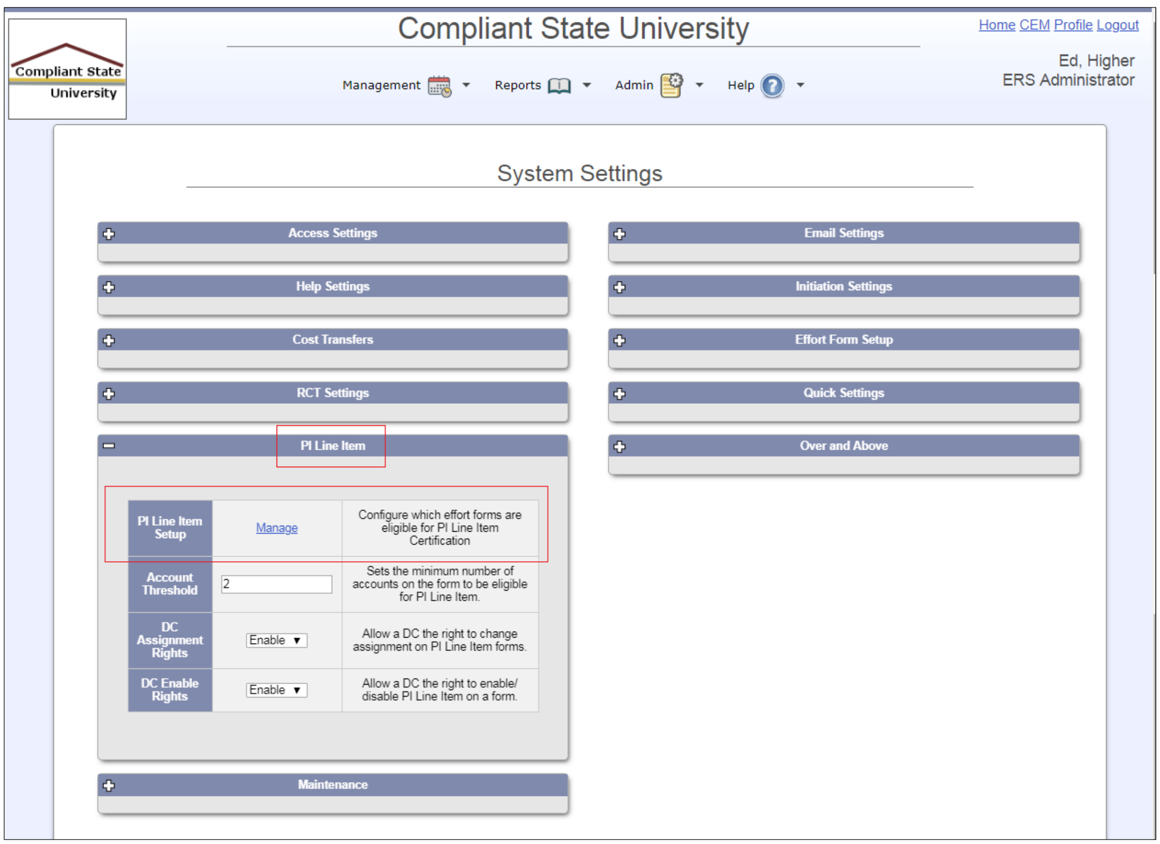
- This functionality should not be enabled for faculty
- This functionality relies heavily on the role and process of the Pre Review. Pre Reviews should be done with special attention for line item forms and changes should be made timely to avoid impacting certified lines
- PIs assigned on Sponsored Projects can designate assistants to help them with certification – when enabling specific effort forms for Line Item Certification, designations for line certifiers should be made there, if the PI (the default line certifier) is not the one certifying the sponsored lines
- If changes to effort percentages are permitted, Line Certifiers will only be able to adjust effort percentages on the sponsored accounts assigned to them. Non-Sponsored accounts will not be eligible for changes. Any edits to

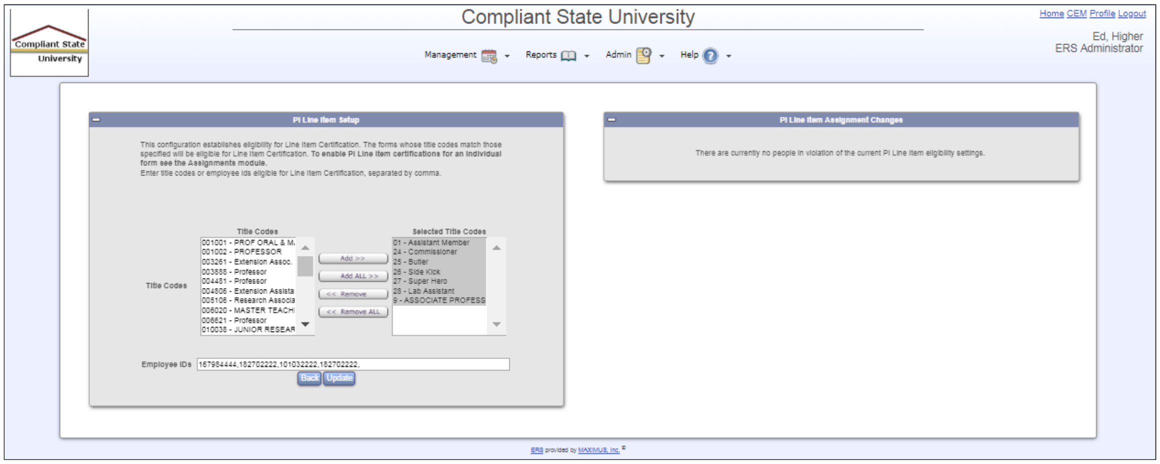
the non-sponsored accounts would have to be made by the Pre Reviewer or Post Reviewer

- During Certification, Line Certifiers can only add a sponsored account and only from the list where they (or their designees) are listed as the PI
- The form will not be considered "certified" until all the lines have been reviewed and confirmed.

2.2 Central Administrator

The Central Administrator establishes Title Codes and/or individual Employee IDs that are eligible for Line Certification by clicking the "Manage" link on the PI Line Item Setup option (*Admin*→*System Settings*→*PI Line Item*).





In this example any employee with Title Code 01, 24, 25, 26, 27, 28 or 9 is eligible for Line Item Certification. Besides the Title Code the system allows CA to configure the line item by employee Id. In the above example employees 167984444, 182702222, 101032222, 182702222 are also eligible for line item certification.

2.2.1 Certification Statement

The Certification Statement that will be applicable to Line Item Forms must be updated.

Please note IT involvement will be required to update the Certification Statement for the Line Item Forms.

The configuration file for PI Line Item Certification Statement is located in <JBOSS_HOME>/standalone/deployments/GenericERS.ear/GenericERS.war/ custom/ **certifyStatementPI.xml**

2.2.2 Exception Reports

There are two exception reports which list missing data elements. Any items on these reports should be addressed to ensure the PI Line Item feature functions correctly. These exception reports are available under *Reports→ Standard Report→ Exceptions Reports*

- Missing PI on Sponsored Accounts
- PI on CEMAward but not on Users Table

2.2.3 Ad hoc Report

For testing purposes the following SQL statement can be used to generate an ad hoc report listing all PI Line Item Certifiers and their respective UserID and Password:

SELECT distinct v.CERTEMPID, v.CERTEMPNAME, u.userid, u.password FROM view_erscertassignments v, ersusers u WHERE v.ACCOUNTID <> 'ALL' and v.certempid=u.empid

2.2.4 View of Line Item Form

The Line Item effort form has a different display than the standard effort form, providing information regarding each Certifier for each line item.

Show Dollars Only | View Pre Review Screen | View Certify Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total	Certified by	Certified on
Sponsored Accounts													
		$3,750.00 6%	55010-75230	MOLECULAR STUDY	$1,000.00 2%	$0.00 0%	$4,750.00 7%	$4,750.00 7%	$0.00 0%	$0.00 0%	$4,750.00 7%		
	0%	$13,626.60 21%	61390-63690	GENE PROJ	$0.00 0%	$0.00 0%	$13,626.60 21%	$13,626.60 21%	$0.00 0%	$0.00 0%	$13,626.60 21%		
	0%	$13,626.60 21%	61570-63690	BONE MARRO	$0.00 0%	$0.00 0%	$13,626.60 21%	$13,626.60 21%	$0.00 0%	$0.00 0%	$13,626.60 21%		
0%	0%	$31,003.20 48%		Sponsored Subtotal	$1,000.00 0%	$0.00 0%	$32,003.20 49%	$32,003.20 49%	$0.00 0%	$0.00 0%	$32,003.20 49%		
Non-Sponsored Accounts													
		$3,000.00 5%	21150-2332	CELLULAR I	$0.00 0%	$0.00 0%	$3,000.00 5%	$3,000.00 5%	$0.00 0%	$0.00 0%	$3,000.00 5%		
		$31,003.43 47%	61390-05160	MED GENERA	$-1,000.00 -2%	$0.00 0%	$30,003.43 46%	$30,003.43 46%	$0.00 0%	$0.00 0%	$30,003.43 46%		
	0%	$34,003.43 52%		Non-Sponsored Subtotal	$-1,000.00 -2%	$0.00 0%	$33,003.43 51%	$33,003.43 51%	$0.00 0%	$0.00 0%	$33,003.43 51%		
		$65,006.63 100%		Grand Total	$0.00 0%	$0.00 0%	$65,006.63 100%	$65,006.63 100%	$0.00 0%	$0.00 0%	$65,006.63 100%		

Add Attachment (+)

2.2.5 Enabling eligible forms for Line item Certification

When the user is logged in as the Departmental Coordinator, click on *Assignments – Change Individual Assignments*, select a Sub Department, select individuals who are eligible for Line Item Certification and click Proceed.

	Employee Name	Sub Department	Title Code	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept	Status
								[All]
☐	Burrows,Kim	61390	04	Miller,Cris	Grey, John	Miller,Cris	61390	Assigned to an Alternate Sub Department
☐	Codae,Doyle	61390	02	Benjamin,Deck	Codae,Doyle	Miller,Cris		
☐	Codae,Kathy	61570	01	Miller,Cris	Power, Max	Miller,Cris		
☑	Ferguson,Ter	61570	04	Miller,Cris	Ferguson,Ter	Miller,Cris		Eligible for PI Line Item
☐	Friedman,Mary	61390	01	Miller,Cris	Friedman,Mary	Miller,Cris		
☐	Jungbluth,John	61390	01	Benjamin,Deck	Jungbluth,John	Miller,Cris		
☐	Maximus,Demo61570	61570	01	Miller,Cris	(1 PI's)	Miller,Cris		Eligible for PI Line Item

Select the "*Enable Selected Forms as Line Item Forms*" option and click **Proceed**. Notice the "**" next to the employee name, alerting the Departmental Coordinator that the form is eligible for Line Item Certification.

Change Individual Assignments

You have selected to change the assignment setting for the following employees

If this is correct, select the option and click **Proceed**. If this is not correct, please click **Back** to select other employees.

Employee Name	Sub Department	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
Ferguson,Ter **	61570	Miller,Cris	Ferguson,Ter	Miller,Cris	

*** Line Item certification can be enabled for this individual.*

You have following rights to change the assignment settings for the above individuals. Please select an appropriate option to continue:

- ○ Change Pre Reviewer.
- ○ Change Certifier.
- ○ Change Post Reviewer.
- ○ Assign to a different Sub Department.
- ○ Move back to original Sub Department.
- ○ Enable Selected Forms as Line Item Forms

Back Proceed

Notice the current Certifiers. Individuals listed under Certifier column are Principal Investigators identified on the sponsored account from which the selected individual(s) are paid. To change the certifiers, **check the box** and click **Proceed**. Otherwise, click **Proceed** to finalize the assignment.

Individual Assignments - Line Item Forms

You have selected to make the form for the following individuals a line item form.
The Certifier for the following employees will be changed to the PI by each account on the form.

Employee Name	Sub Department	Sponsored Account	Certifier
Ferguson,Ter	61570	61570-35810 - LLS	Codae,Doyle
Ferguson,Ter	61570	61570-67930 - MEMORIAL SLOAN-KETTERING CANCER GENE THE	Codae,Doyle

☐ Check this box, if you would like to change the certifiers for each line item.

Please click **Proceed** to continue with assignment process. To Select another Individual, click **Back**

Back Proceed

Once all the Certifiers have been identified, the system will present the confirmation with the employee name, sponsored accounts and assigned Certifiers.

Change Individual Assignments

The forms for the following individuals have been re-assigned to be line item forms with the PI's identified by account for certification.

Displaying 2 of 2 records

Employee Name	Sub Department	Sponsored Account	Certifier
Ferguson,Ter	61570	61570-35810 - LLS	Codae,Doyle
Ferguson,Ter	61570	61570-67930 - MEMORIAL SLOAN-KETTERING CANCER GENE THE	Codae,Doyle

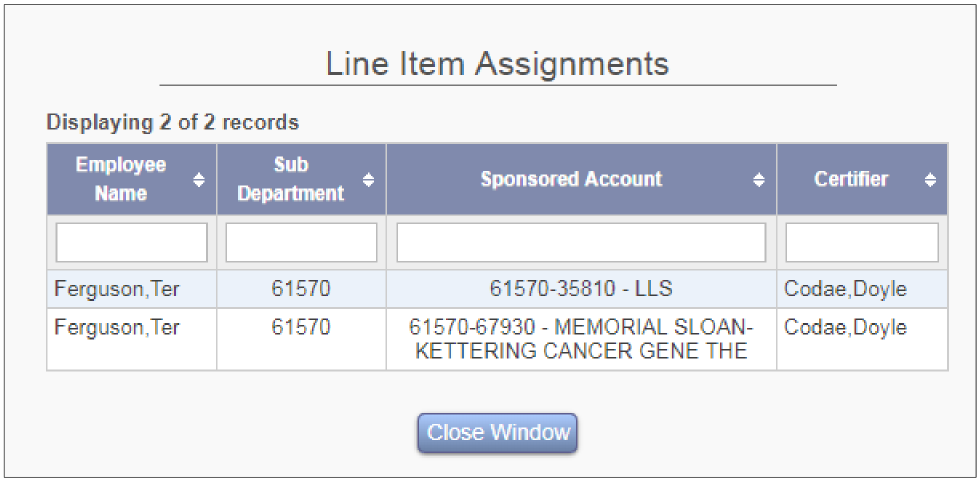
To continue to work on other assignment options for the same group of individuals, please click on **Continue**
To work on another individual in the previously selected sub departments, please click on **Return**
To exit to the assignments main page, click on **Exit**

Exit Return Continue

After the form has been designated as a Line Item Form, the system will display the number of PIs under the Certifier column.

	Employee Name	Sub Department	Title Code	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept	Status
								[All]
☐	Burrows,Kim	61390	04	Miller,Cris	Grey, John	Miller,Cris	61390	Assigned to an Alternate Sub Department
☐	Codae,Doyle	61390	02	Benjamin,Deck	Codae,Doyle	Miller,Cris		
☐	Codae,Kathy	61570	01	Miller,Cris	Power, Max	Miller,Cris		
☐	Ferguson,Ter	61570	04	Miller,Cris	(1 PI's)	Miller,Cris		Eligible for PI Line Item
☐	Friedman,Mary	61390	01	Miller,Cris	Friedman,Mary	Miller,Cris		
☐	Jungbluth,John	61390	01	Benjamin,Deck	Jungbluth,John	Miller,Cris		
☐	Maximus,Demo61570	61570	01	Miller,Cris	(1 PI's)	Miller,Cris		Eligible for PI Line Item

If the user clicks on the link, current information about the employee, his/her sponsored accounts and assigned certifier(s) will be presented.


Line Item Assignments

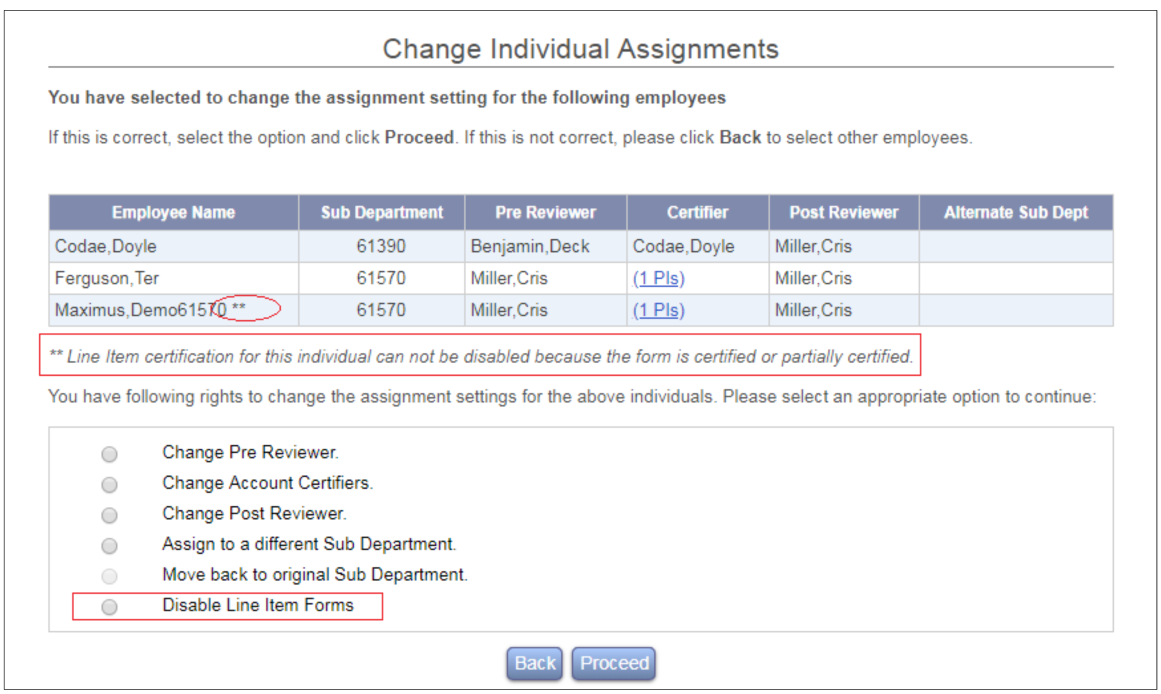
Displaying 2 of 2 records

Employee Name	Sub Department	Sponsored Account	Certifier
Ferguson,Ter	61570	61570-35810 - LLS	Codae,Doyle
Ferguson,Ter	61570	61570-67930 - MEMORIAL SLOAN-KETTERING CANCER GENE THE	Codae,Doyle

Close Window

2.2.6 Disabling forms from Line item Certification

Forms enabled for Line Item Certification can be disabled by the user. Note the "**" denoting in this case that a "*Line Item certification for this individual cannot be disabled because the form is certified or partially certified.*".


Change Individual Assignments

You have selected to change the assignment setting for the following employees

If this is correct, select the option and click **Proceed**. If this is not correct, please click **Back** to select other employees.

Employee Name	Sub Department	Pre Reviewer	Certifier	Post Reviewer	Alternate Sub Dept
Codae,Doyle	61390	Benjamin,Deck	Codae,Doyle	Miller,Cris	
Ferguson,Ter	61570	Miller,Cris	(1 PIs)	Miller,Cris	
Maximus,Demo61570 **	61570	Miller,Cris	(1 PIs)	Miller,Cris	

*** Line Item certification for this individual can not be disabled because the form is certified or partially certified.*

You have following rights to change the assignment settings for the above individuals. Please select an appropriate option to continue:

- Change Pre Reviewer.
- Change Account Certifiers.
- Change Post Reviewer.
- Assign to a different Sub Department.
- Move back to original Sub Department.
- Disable Line Item Forms

Back Proceed

2.3 Line Item Certification Workflow

2.3.1 Pre Review

Notice the Header, which informs the user that this form is subject to Line Item Certification.

Pre Review

Name: Ferguson,Ter
Sub Dept: 61570 - Infectious Disease
Employee ID: 101032222
Division: SC - Immunology
Title: Research Technician, Sr
Title Code: 04

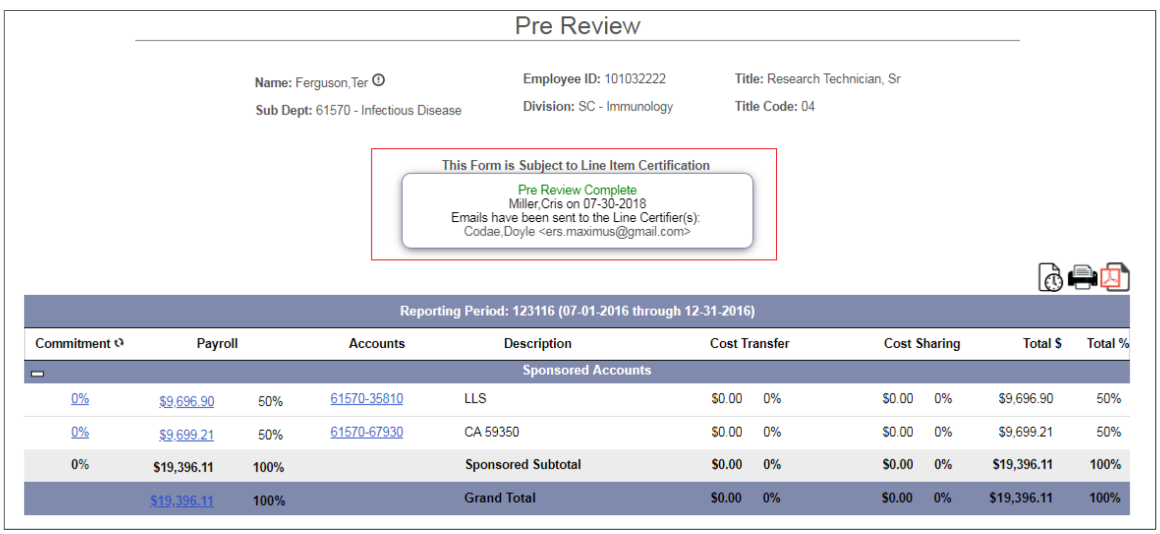
This Form is Subject to Line Item Certification

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Payroll		Accounts	Description	Cost Transfer		Cost Sharing		Total $	Total %
Sponsored Accounts										
0%	$9,696.90	50%	61570-35810	LLS	$0.00	0%	$0.00	0%	$9,696.90	50%
0%	$9,699.21	50%	61570-67930	CA 59350	$0.00	0%	$0.00	0%	$9,699.21	50%
0%	$19,396.11	100%		Sponsored Subtotal	$0.00	0%	$0.00	0%	$19,396.11	100%
	$19,396.11	100%		Grand Total	$0.00	0%	$0.00	0%	$19,396.11	100%

Add Account

When Proceed is selected, Pre Review Summary displays the name and date the Pre Review was completed and provides the names and email addresses of the individual certifiers assigned to certify sponsored accounts.



Pre Review

Name: Ferguson,Ter
Sub Dept: 61570 - Infectious Disease
Employee ID: 101032222
Division: SC - Immunology
Title: Research Technician, Sr
Title Code: 04

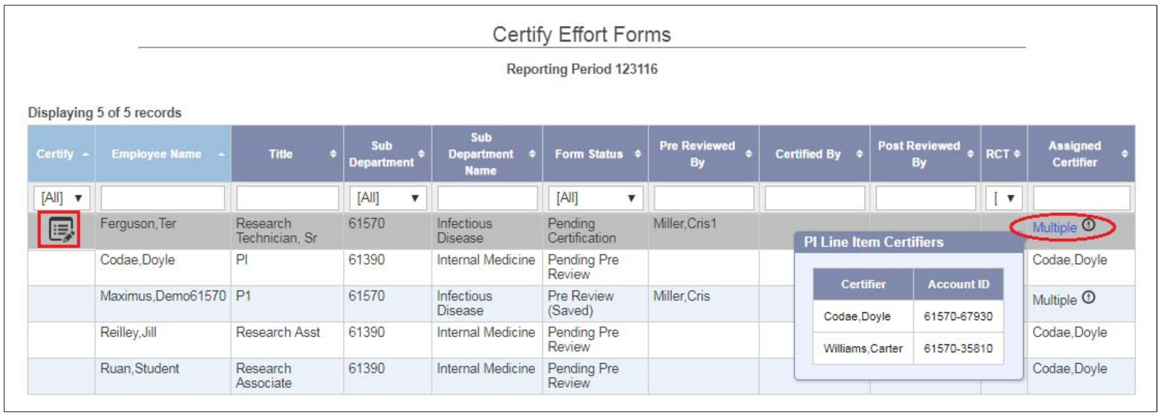
This Form is Subject to Line Item Certification
Pre Review Complete
Miller,Cris on 07-30-2018
Emails have been sent to the Line Certifier(s):
Codae,Doyle <ers.maximus@gmail.com>

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

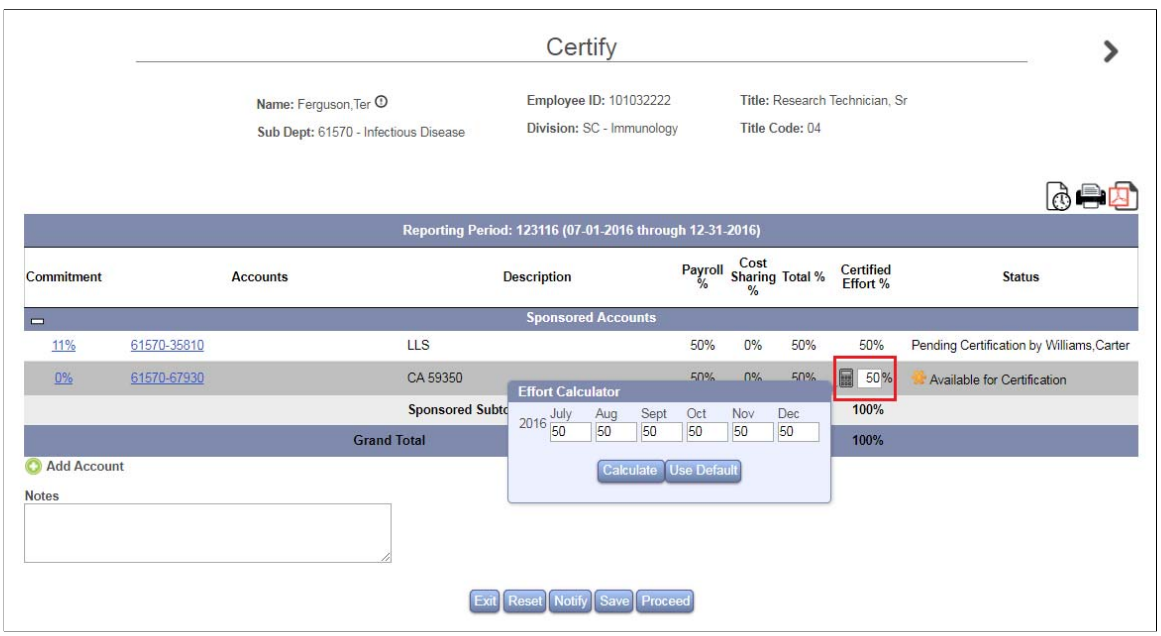
Commitment	Payroll		Accounts	Description	Cost Transfer		Cost Sharing		Total $	Total %
Sponsored Accounts										
0%	$9,696.90	50%	61570-35810	LLS	$0.00	0%	$0.00	0%	$9,696.90	50%
0%	$9,699.21	50%	61570-67930	CA 59350	$0.00	0%	$0.00	0%	$9,699.21	50%
0%	$19,396.11	100%		Sponsored Subtotal	$0.00	0%	$0.00	0%	$19,396.11	100%
	$19,396.11	100%		Grand Total	$0.00	0%	$0.00	0%	$19,396.11	100%

2.3.2 Certify

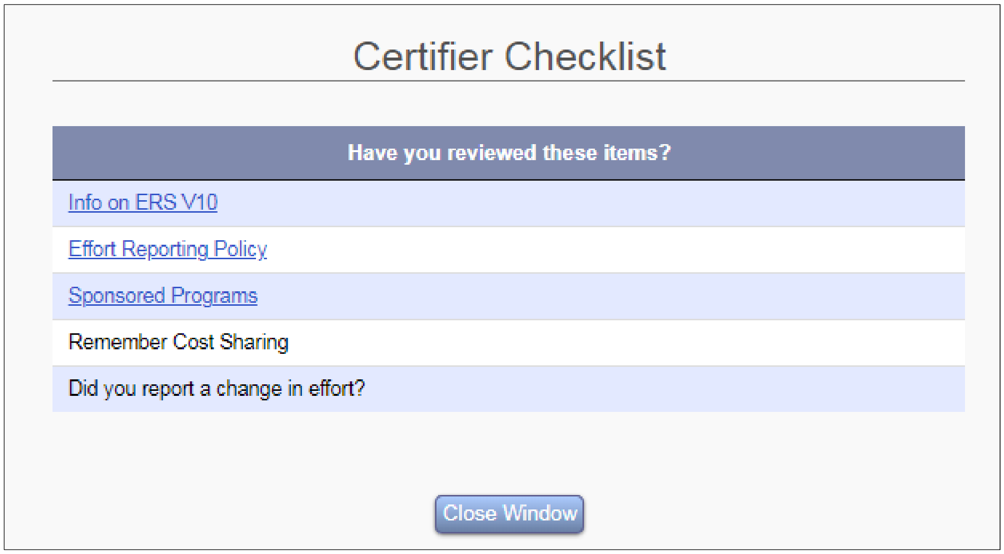
When the Certifier logs in, all the forms assigned to the Certifier will be listed together. If the form is available for certification, there will be an icon next to the Employee Name. For Line Item form, the "Assigned Certifier" column will display as "Multiple". Clicking the icon will display the list of line Certifiers.



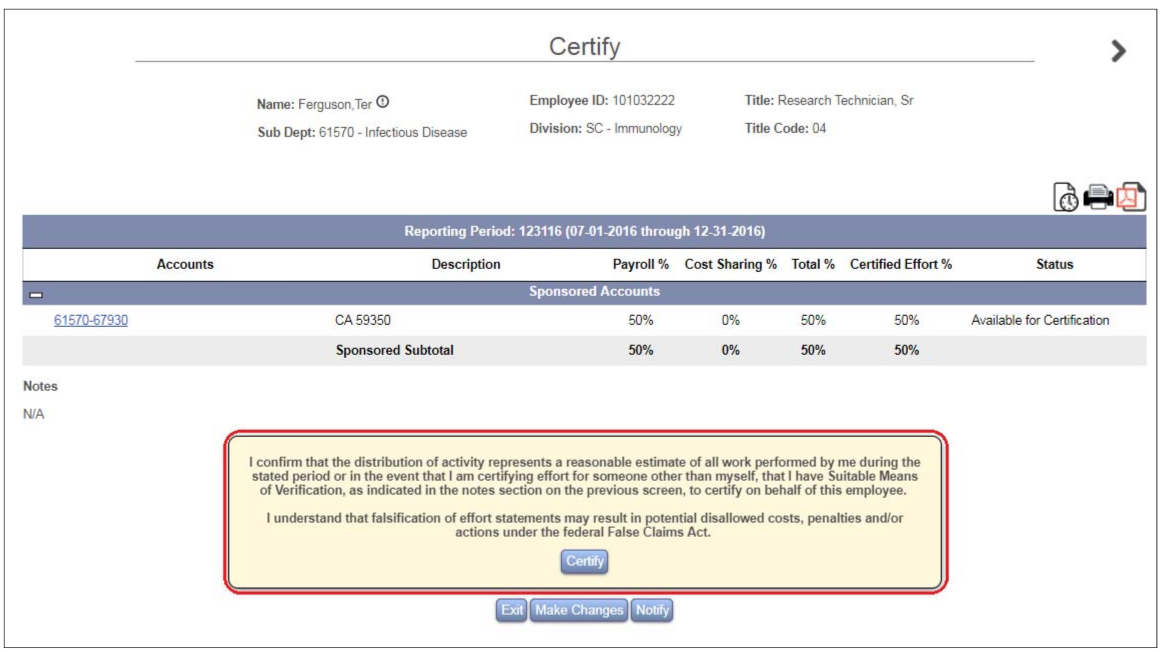
Notice after selecting a form, the user only has access to accounts for which he/she is listed as assigned Certifier. Clicking the icon will allow Certifier enter the effort per month, ERS will calculate the average effort per reporting period.



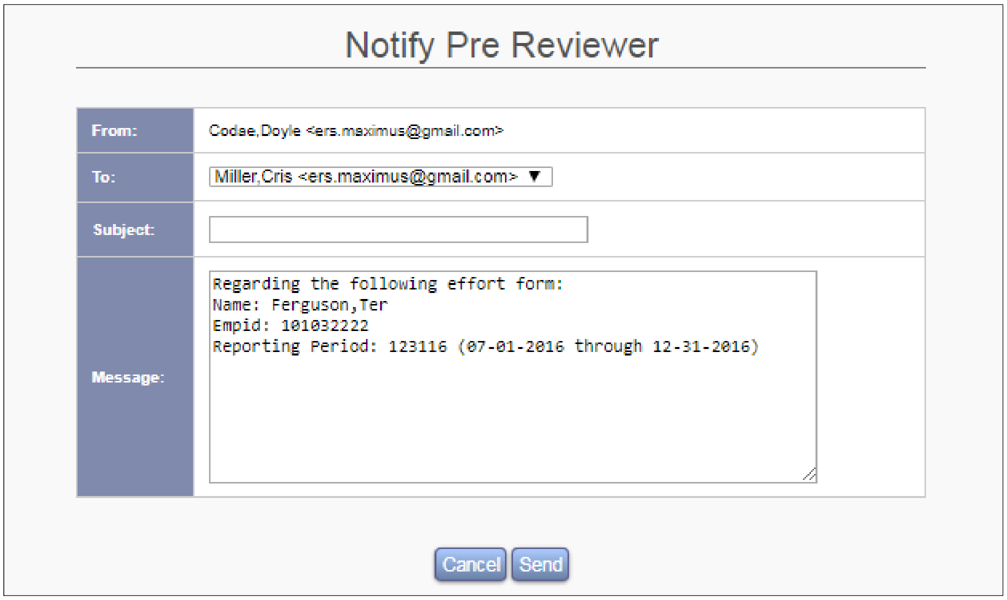
Once Proceed is selected the pre-defined Certifier Checklist will pop up to remind the Certifier to review these items before certifying the form.



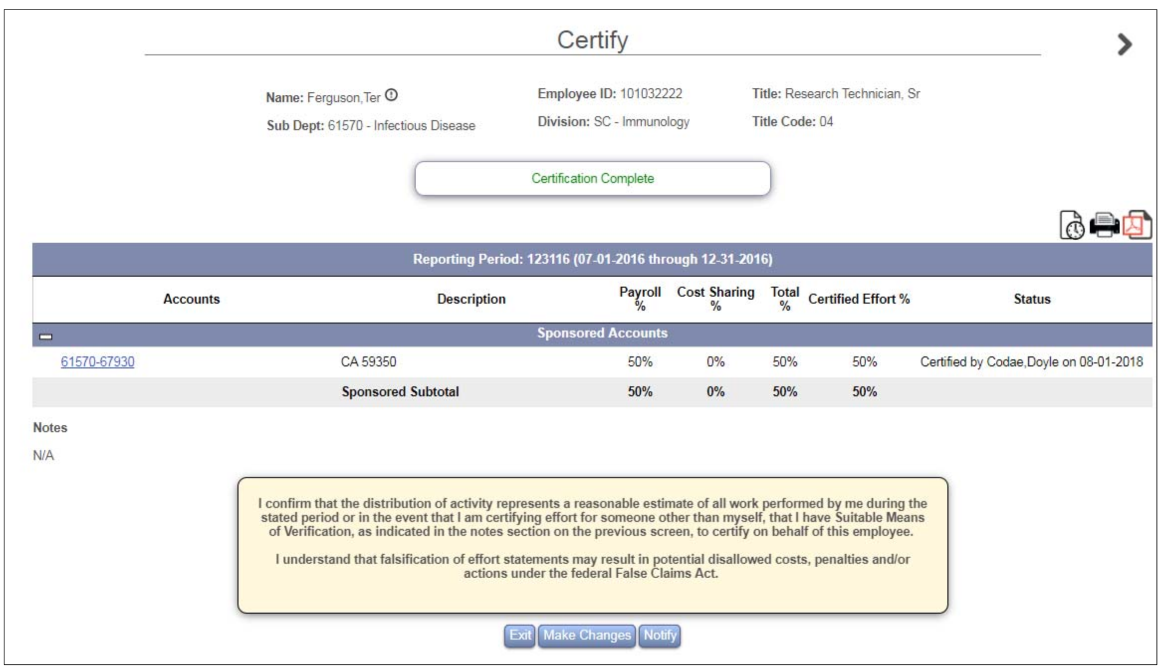
After reviewing the Certifier Checklist and selecting **Close Window**, the Attestation statement is presented. The user clicks Certify if the information is correct.



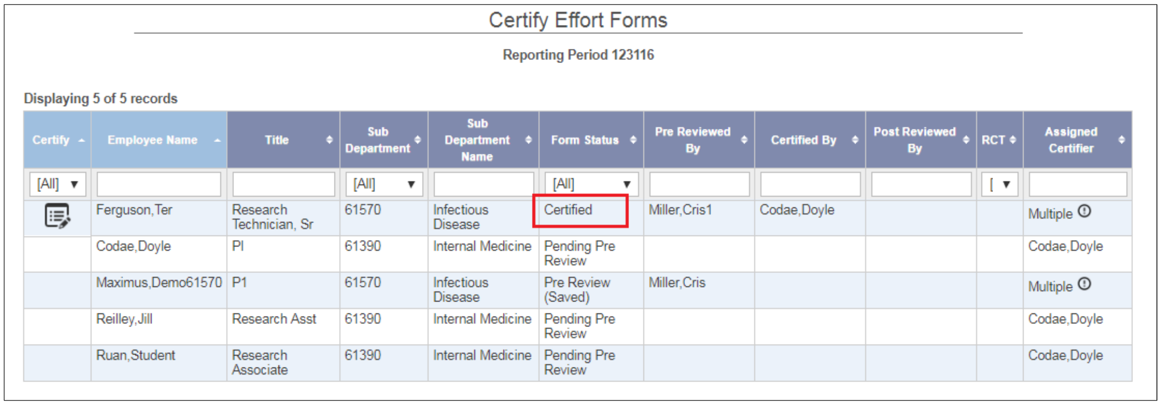
The Certifier may select **Notify** button to send an email to the Pre Reviewer.



The final Certification summary is presented.



If the form has been partially certified, the form will show "Certified" status for current Certifier but the actual status for the form will display "Pending Certification".



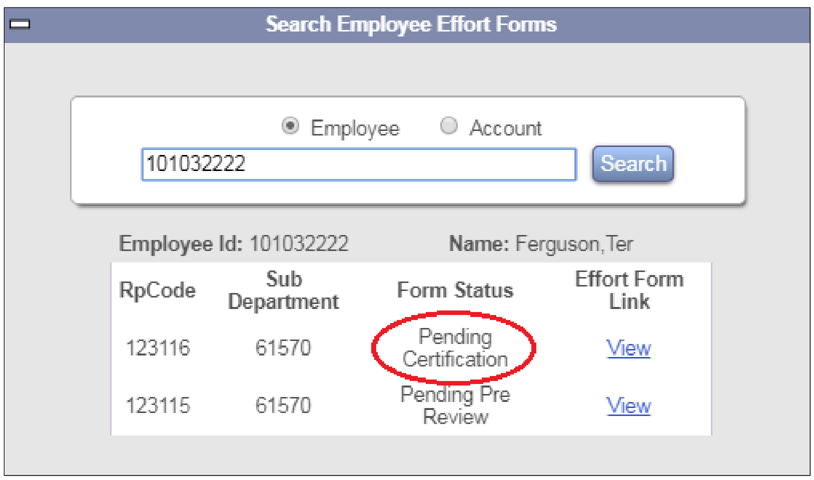
Certify Effort Forms

Reporting Period 123116

Displaying 5 of 5 records

Certify	Employee Name	Title	Sub Department	Sub Department Name	Form Status	Pre Reviewed By	Certified By	Post Reviewed By	RCT	Assigned Certifier
[All]			[All]		[All]				[	
	Ferguson,Ter	Research Technician, Sr	61570	Infectious Disease	Certified	Miller,Cris1	Codae,Doyle			Multiple
	Codae,Doyle	PI	61390	Internal Medicine	Pending Pre Review					Codae,Doyle
	Maximus,Demo61570	P1	61570	Infectious Disease	Pre Review (Saved)	Miller,Cris				Multiple
	Reilley,Jill	Research Asst	61390	Internal Medicine	Pending Pre Review					Codae,Doyle
	Ruan,Student	Research Associate	61390	Internal Medicine	Pending Pre Review					Codae,Doyle

Complete view of the effort form.



Search Employee Effort Forms

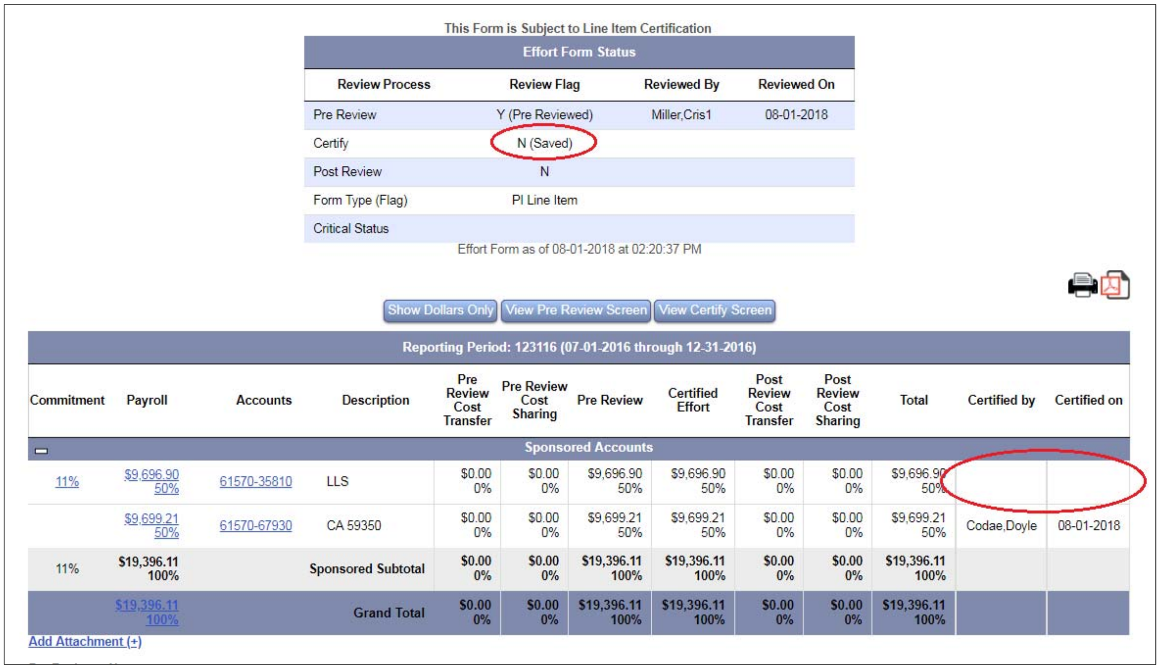
Employee Account

101032222 Search

Employee Id: 101032222 **Name:** Ferguson,Ter

RpCode	Sub Department	Form Status	Effort Form Link
123116	61570	Pending Certification	View
123115	61570	Pending Pre Review	View

Click on *View* link to view the effort form.



This Form is Subject to Line Item Certification

Effort Form Status			
Review Process	**Review Flag**	**Reviewed By**	**Reviewed On**
Pre Review	Y (Pre Reviewed)	Miller,Cris1	08-01-2018
Certify	N (Saved)		
Post Review	N		
Form Type (Flag)	PI Line Item		
Critical Status			

Effort Form as of 08-01-2018 at 02:20:37 PM

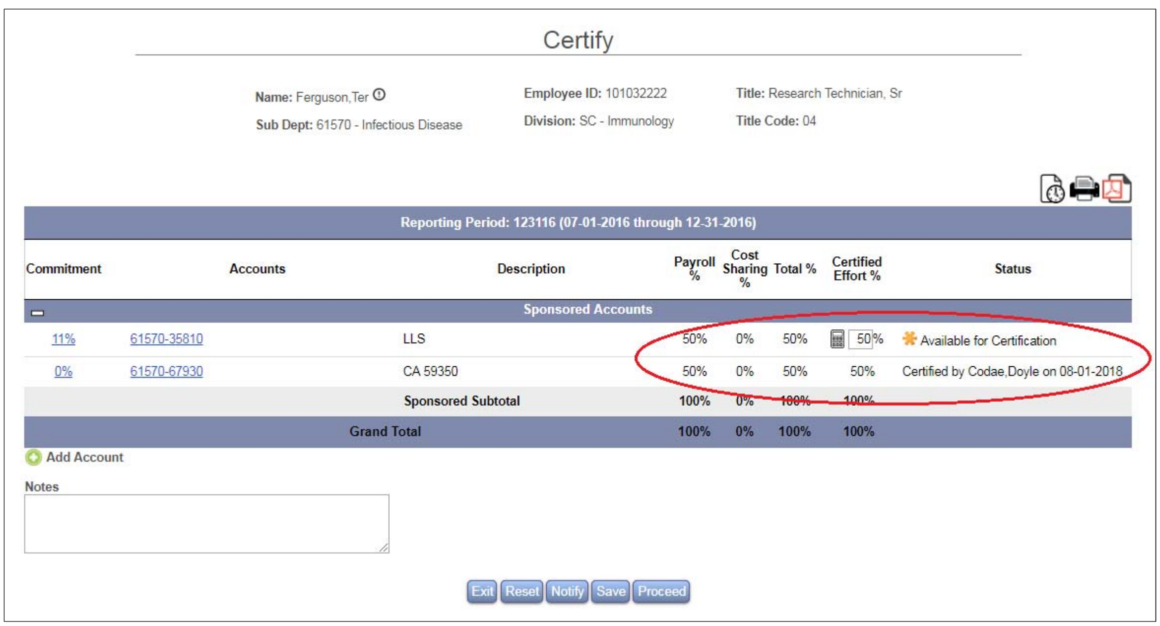
Show Dollars Only | View Pre Review Screen | View Certify Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total	Certified by	Certified on
Sponsored Accounts												
11%	$9,696.90 50%	61570-35810	LLS	$0.00 0%	$0.00 0%	$9,696.90 50%	$9,696.90 50%	$0.00 0%	$0.00 0%	$9,696.90 50%		
	$9,699.21 50%	61570-67930	CA 59350	$0.00 0%	$0.00 0%	$9,699.21 50%	$9,699.21 50%	$0.00 0%	$0.00 0%	$9,699.21 50%	Codae,Doyle	08-01-2018
11%	**$19,396.11 100%**		**Sponsored Subtotal**	**$0.00 0%**	**$0.00 0%**	**$19,396.11 100%**	**$19,396.11 100%**	**$0.00 0%**	**$0.00 0%**	**$19,396.11 100%**		
	$19,396.11 100%		**Grand Total**	**$0.00 0%**	**$0.00 0%**	**$19,396.11 100%**	**$19,396.11 100%**	**$0.00 0%**	**$0.00 0%**	**$19,396.11 100%**		

Add Attachment (+)

This Effort Form indicates that the other Certifier has already certified their account on this form and the only available account to certify is the one this Certifier is responsible for.



Certify

Name: Ferguson,Ter **Employee ID:** 101032222 **Title:** Research Technician, Sr
Sub Dept: 61570 - Infectious Disease **Division:** SC - Immunology **Title Code:** 04

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

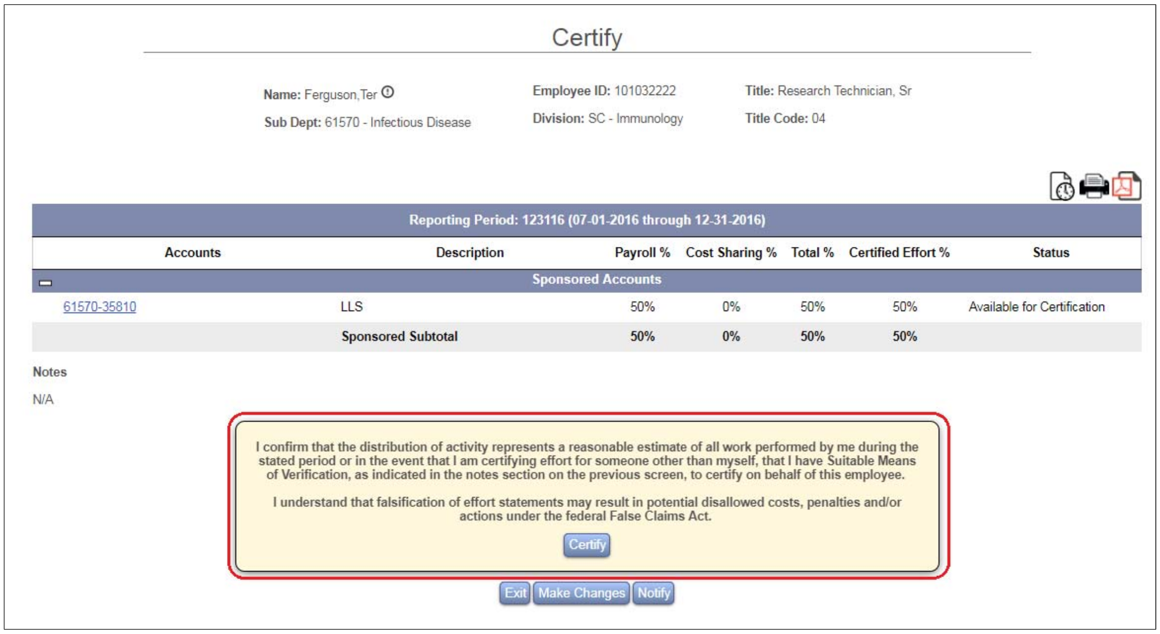
Commitment	Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %	Status
Sponsored Accounts							
11%	61570-35810	LLS	50%	0%	50%	50%	Available for Certification
0%	61570-67930	CA 59350	50%	0%	50%	50%	Certified by Codae,Doyle on 08-01-2018
		Sponsored Subtotal	**100%**	**0%**	**100%**	**100%**	
		Grand Total	**100%**	**0%**	**100%**	**100%**	

Add Account

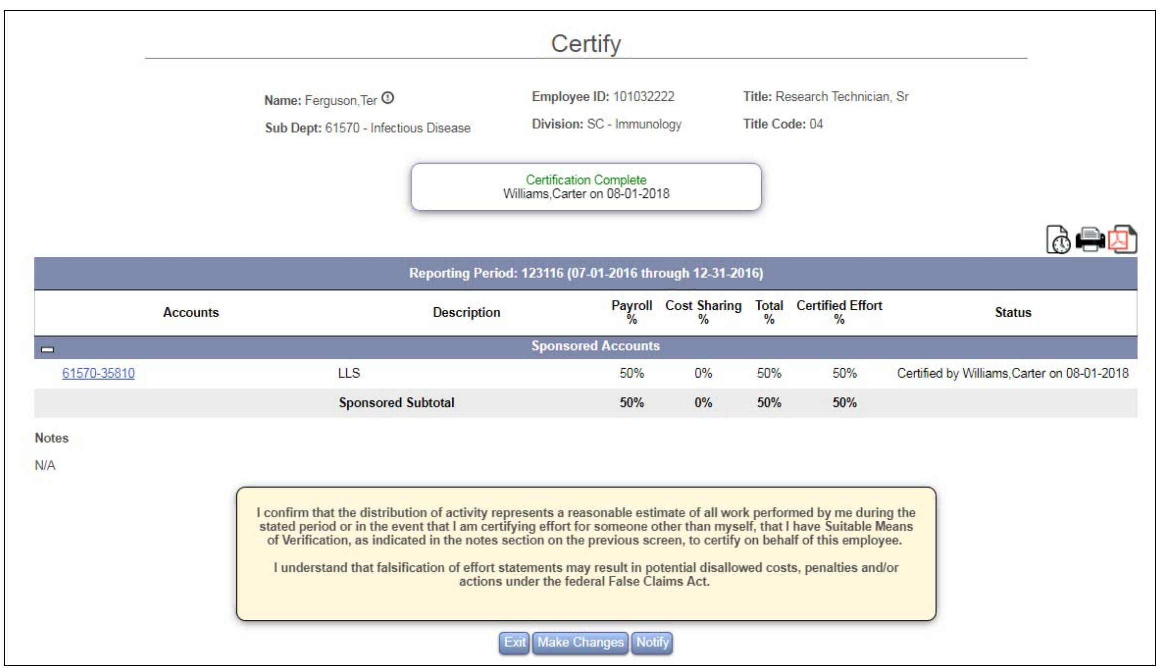
Notes

Exit | Reset | Notify | Save | Proceed

This Certifier is also presented with an Attestation statement and has the same options to click Certify if the information is correct and Notify if they choose to send an email to the Pre Reviewer.



If changes were made by this Certifier, an email will be sent to the Pre/Post Reviewer.



Upon Exit, the Certify Status of the form is updated for the Certifier.

Certify Effort Forms

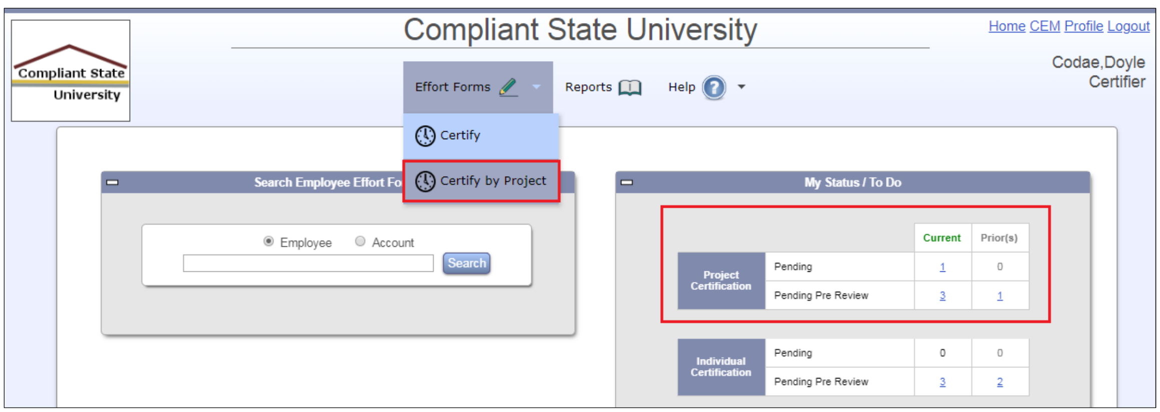
Reporting Period 123116

Displaying 1 of 1 records

Certify	Employee Name	Title	Sub Department	Sub Department Name	Form Status	Pre Reviewed By	Certified By	Post Reviewed By	RCT	Assigned Certifier
[All]			[All]		[All				[	
	Ferguson,Ter	Research Technician, Sr	61570	Infectious Disease	Certified	Miller,Cris1	Williams,Carter			Multiple

2.3.3 Project Certification

ERS can also be configured to Certify by Project. When this featured is enabled, Certifier will have "Certify By Project" menu option and a separate "Project Certification" section in "My Status/To Do" list.



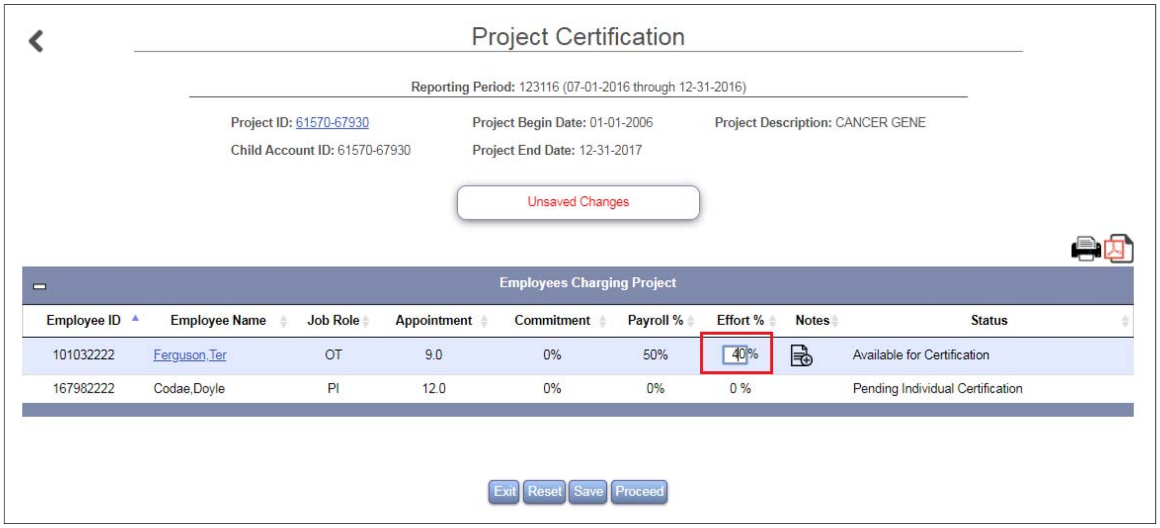
Continue to the list of Projects that the Certifier should certify. The projects that are available for certification will have icon displayed next to it. The projects pending Pre Review can only be viewed and will display icon next to it.

Certify Project

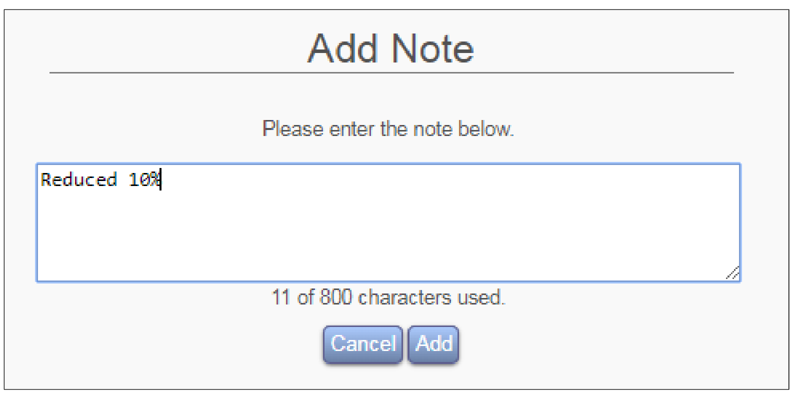
Displaying 4 of 4 records

Certify	Project	Title	RP Code	Project Begin Date	Project End Date	Total Employees on Project	Number of Employees to Certify	Employees Pending Certification	Certified Employees
[All]									
	55010-75230	MOLECULAR STUDY	123116	01/01/2003	12/30/2016	2	1	0	0
	61390-63690	GENE PROJ	123116	01/01/2003	12/30/2015	5	1	0	0
	61570-63690	BONE MARRO	123116	03/01/2004	03/15/2021	5	1	0	0
	61570-67930	CANCER GENE	123116	01/01/2006	12/31/2017	2	1	1	0

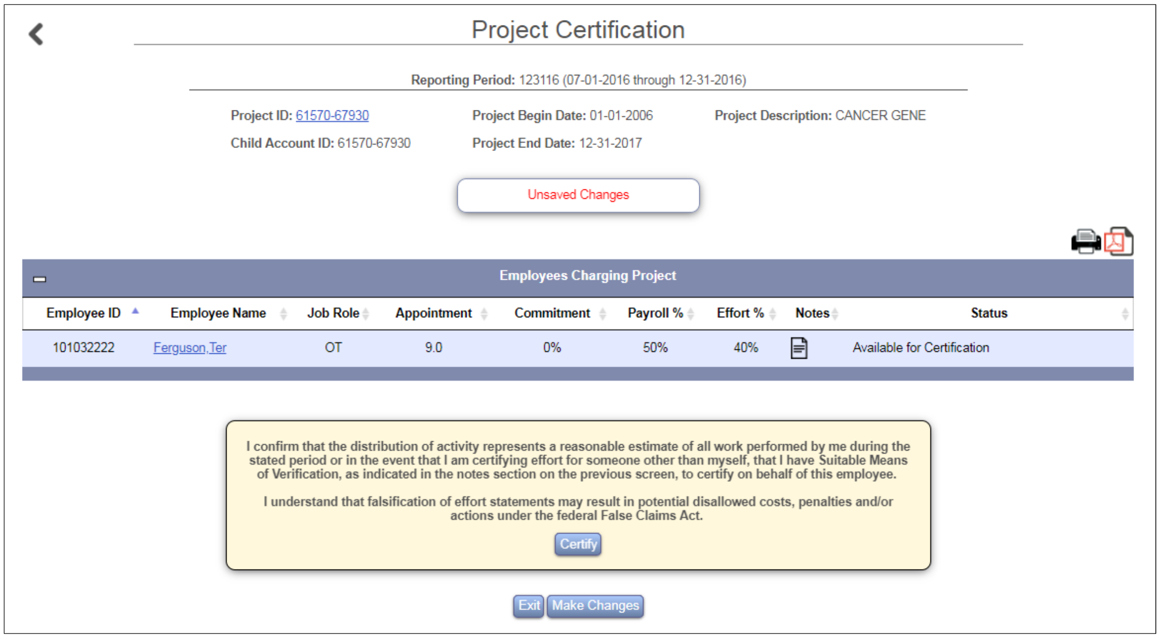
All the employees working on this project will be listed but only the effort form subject to Line Item Certification by the Certifier is editable.



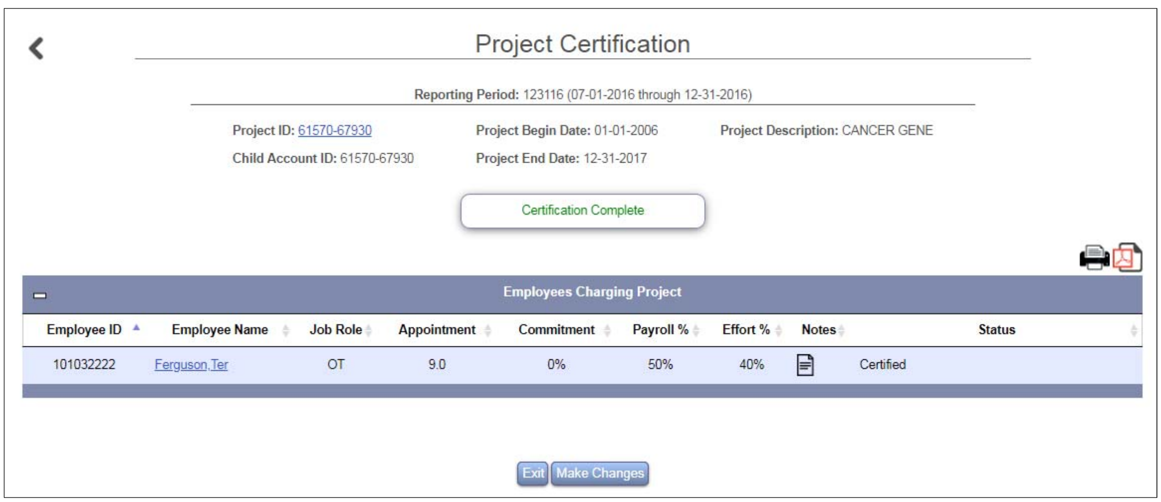
Click  icon to enter notes as needed.



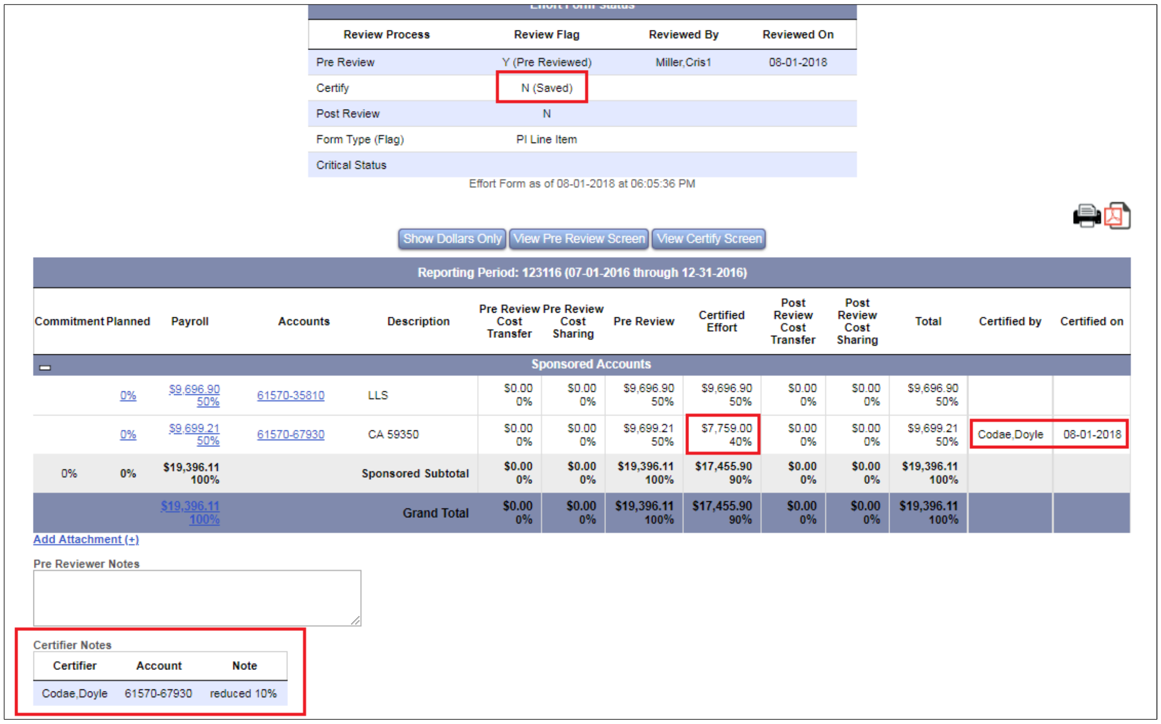
Upon Proceed, the Certifier is presented with an Attestation statement. Select **Certify** if the information is correct.



The status displays Certified for the Line Certifier.



The effort form is partially certified and pending certification by other line Certifiers.



Review Process	Review Flag	Reviewed By	Reviewed On
Pre Review	Y (Pre Reviewed)	Miller,Cris1	08-01-2018
Certify	N (Saved)		
Post Review	N		
Form Type (Flag)	PI Line Item		
Critical Status			

Effort Form as of 08-01-2018 at 06:05:36 PM

Show Dollars Only | View Pre Review Screen | View Certify Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total	Certified by	Certified on
Sponsored Accounts													
	0%	$9,696.90 50%	61570-35810	LLS	$0.00 0%	$0.00 0%	$9,696.90 50%	$9,696.90 50%	$0.00 0%	$0.00 0%	$9,696.90 50%		
	0%	$9,699.21 50%	61570-67930	CA 59350	$0.00 0%	$0.00 0%	$9,699.21 50%	$7,759.00 40%	$0.00 0%	$0.00 0%	$9,699.21 50%	Codae,Doyle	08-01-2018
0%	0%	$19,396.11 100%		Sponsored Subtotal	$0.00 0%	$0.00 0%	$19,396.11 100%	$17,455.90 90%	$0.00 0%	$0.00 0%	$19,396.11 100%		
		$19,396.11 100%		Grand Total	$0.00 0%	$0.00 0%	$19,396.11 100%	$17,455.90 90%	$0.00 0%	$0.00 0%	$19,396.11 100%		

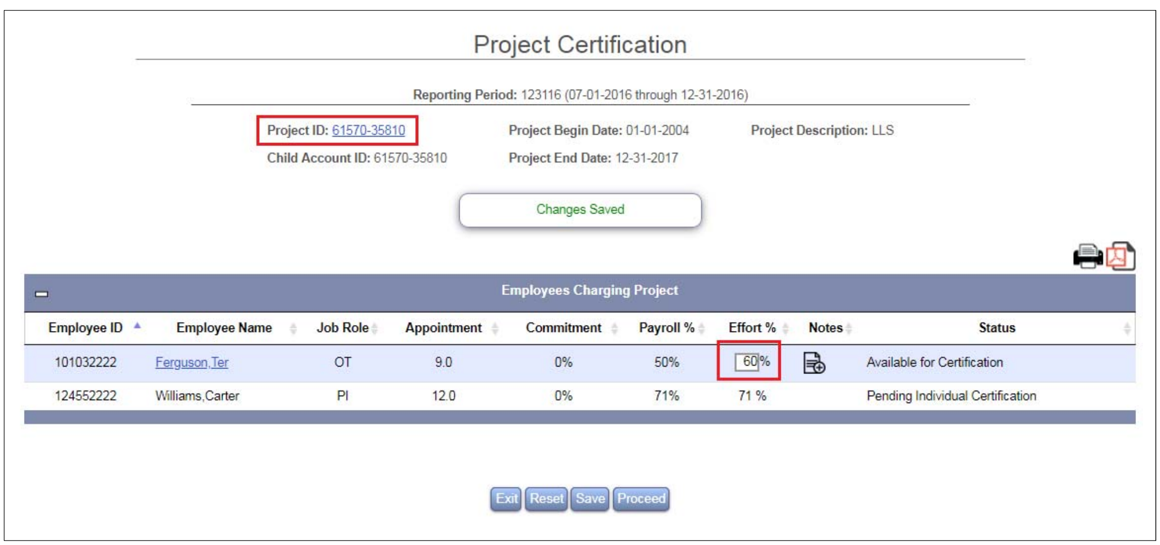
Add Attachment (+)

Pre Reviewer Notes

Certifier Notes

Certifier	Account	Note
Codae,Doyle	61570-67930	reduced 10%

The other line Certifiers on the effort form follows the same process to certify the project.



Project Certification

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Project ID: 61570-35810 Project Begin Date: 01-01-2004 Project Description: LLS

Child Account ID: 61570-35810 Project End Date: 12-31-2017

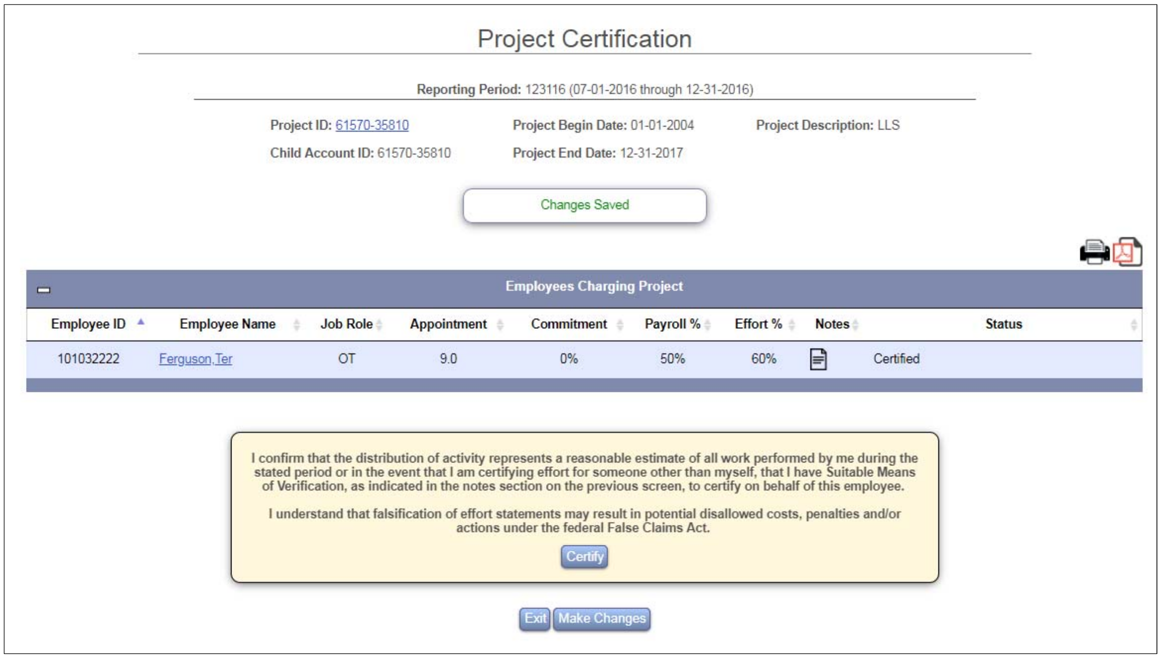
Changes Saved

Employees Charging Project

Employee ID	Employee Name	Job Role	Appointment	Commitment	Payroll %	Effort %	Notes	Status
101032222	Ferguson,Ter	OT	9.0	0%	50%	60%		Available for Certification
124552222	Williams,Carter	PI	12.0	0%	71%	71 %		Pending Individual Certification

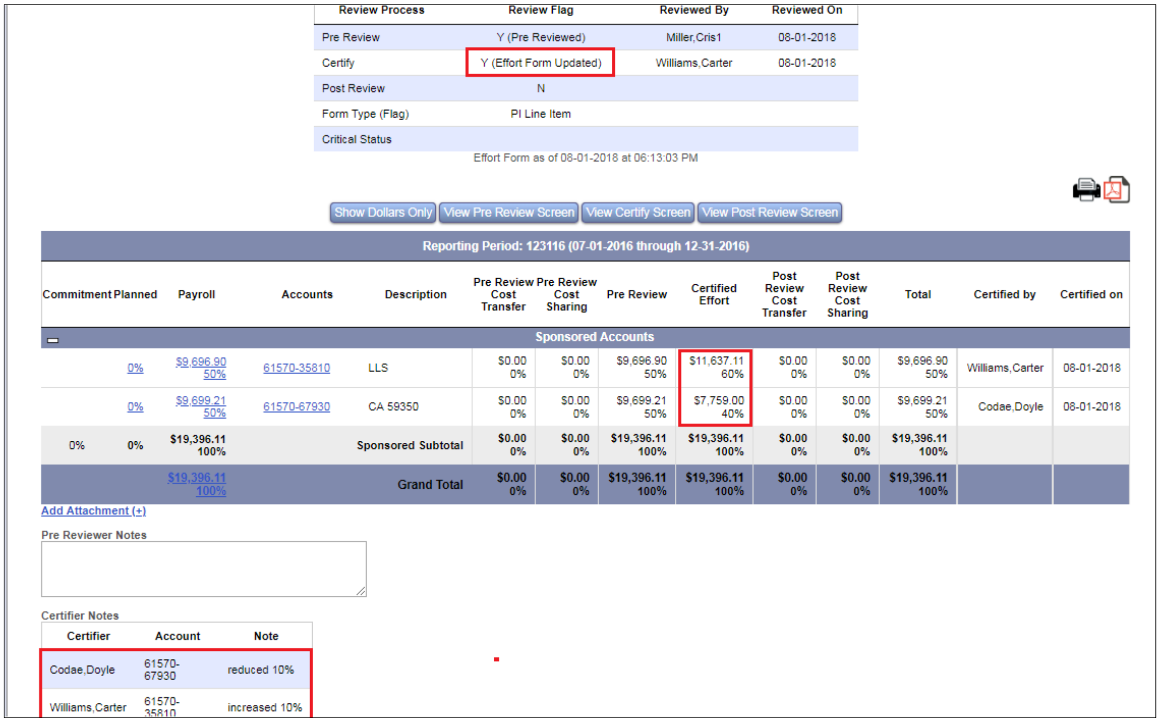
Exit | Reset | Save | Proceed

Click **Proceed** to continue. The line Certifier is presented with Attestation statement.



Click **Certify** to complete Certification.

The certification process is completed and the effort form is marked as Certified.



Review Process	Review Flag	Reviewed By	Reviewed On
Pre Review	Y (Pre Reviewed)	Miller,Cris1	08-01-2018
Certify	Y (Effort Form Updated)	Williams,Carter	08-01-2018
Post Review	N		
Form Type (Flag)	PI Line Item		
Critical Status			

Effort Form as of 08-01-2018 at 06:13:03 PM

Show Dollars Only | View Pre Review Screen | View Certify Screen | View Post Review Screen

Reporting Period: 123116 (07-01-2016 through 12-31-2016)

Commitment	Planned	Payroll	Accounts	Description	Pre Review Cost Transfer	Pre Review Cost Sharing	Pre Review	Certified Effort	Post Review Cost Transfer	Post Review Cost Sharing	Total	Certified by	Certified on
Sponsored Accounts													
	0%	$9,696.90 50%	61570-35810	LLS	$0.00 0%	$0.00 0%	$9,696.90 50%	$11,637.11 60%	$0.00 0%	$0.00 0%	$9,696.90 50%	Williams,Carter	08-01-2018
	0%	$9,699.21 50%	61570-67930	CA 59350	$0.00 0%	$0.00 0%	$9,699.21 50%	$7,759.00 40%	$0.00 0%	$0.00 0%	$9,699.21 50%	Codae,Doyle	08-01-2018
0%	0%	$19,396.11 100%		Sponsored Subtotal	$0.00 0%	$0.00 0%	$19,396.11 100%	$19,396.11 100%	$0.00 0%	$0.00 0%	$19,396.11 100%		
		$19,396.11 100%		Grand Total	$0.00 0%	$0.00 0%	$19,396.11 100%	$19,396.11 100%	$0.00 0%	$0.00 0%	$19,396.11 100%		

Add Attachment (+)

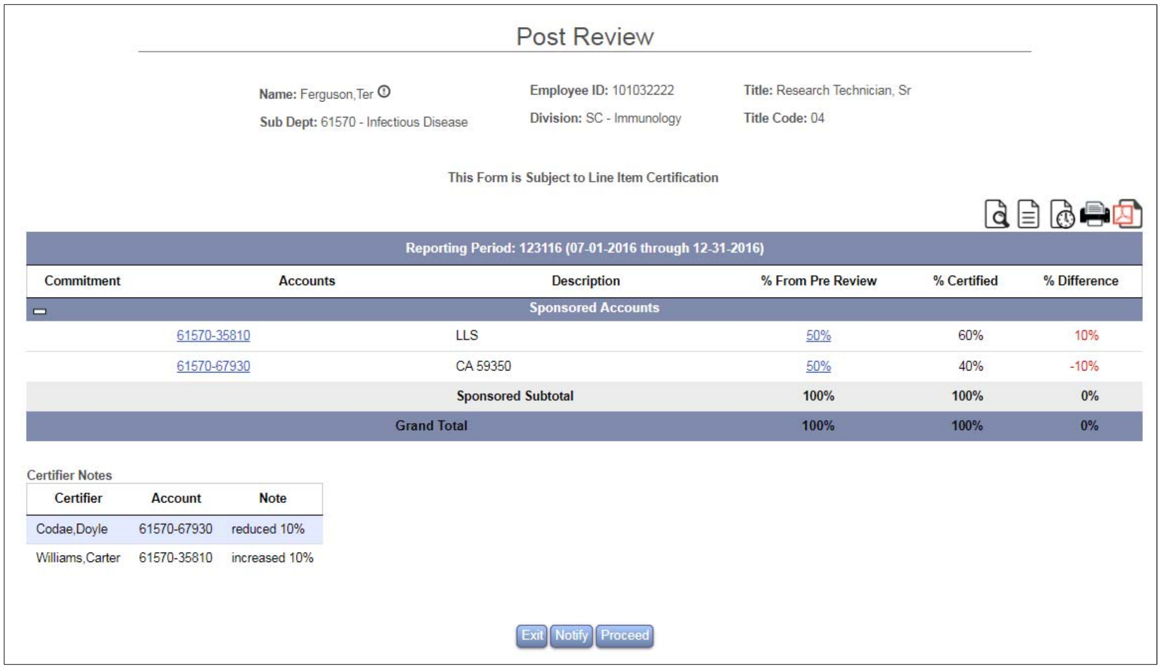
Pre Reviewer Notes

Certifier Notes

Certifier	Account	Note
Codae,Doyle	61570-67930	reduced 10%
Williams,Carter	61570-35810	increased 10%

2.3.4 Post Review

When the form is selected in Post Review via *Status My-to-Do list or Post Review Menu Option*, Actual Effort % and Difference % is displayed.



Post Review

Name: Ferguson,Ter
Sub Dept: 61570 - Infectious Disease
Employee ID: 101032222
Division: SC - Immunology
Title: Research Technician, Sr
Title Code: 04

This Form is Subject to Line Item Certification

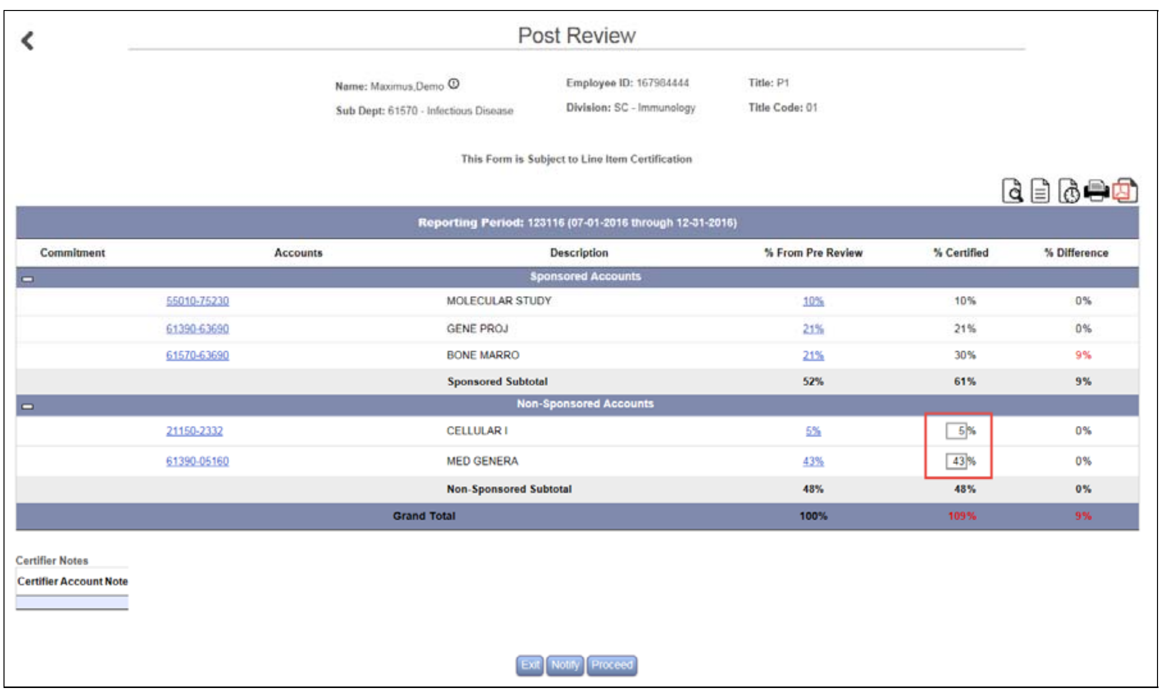
Reporting Period: 123116 (07-01-2016 through 12-31-2016)					
Commitment	Accounts	Description	% From Pre Review	% Certified	% Difference
Sponsored Accounts					
	61570-35810	LLS	50%	60%	10%
	61570-67930	CA 59350	50%	40%	-10%
		Sponsored Subtotal	100%	100%	0%
		Grand Total	100%	100%	0%

Certifier Notes

Certifier	Account	Note
Codae,Doyle	61570-67930	reduced 10%
Williams,Carter	61570-35810	increased 10%

Exit Notify Proceed

If Non-Sponsored accounts are available, they will be listed with input boxes for the Post Reviewer to allocate effort and bring the form to 100% balance, if changes were made by the line Certifiers.



Post Review

Name: Maximus,Demo
Sub Dept: 61570 - Infectious Disease
Employee ID: 167984444
Division: SC - Immunology
Title: P1
Title Code: 01

This Form is Subject to Line Item Certification

Reporting Period: 123116 (07-01-2016 through 12-31-2016)					
Commitment	Accounts	Description	% From Pre Review	% Certified	% Difference
Sponsored Accounts					
	55010-75230	MOLECULAR STUDY	10%	10%	0%
	61390-63690	GENE PROJ	21%	21%	0%
	61570-63690	BONE MARRO	21%	30%	9%
		Sponsored Subtotal	52%	61%	9%
Non-Sponsored Accounts					
	21150-2332	CELLULAR I	5%	5%	0%
	61390-05160	MED GENERA	43%	43%	0%
		Non-Sponsored Subtotal	48%	48%	0%
		Grand Total	100%	109%	9%

Certifier Notes

Certifier	Account	Note

Exit Notify Proceed

Appendix 3

Payroll Refresh

Table of Contents

3.1 Import data in ERSPAYROLLTEMP....3
3.2 Activate Payroll Refresh Process....3
3.3 Process Details....4
3.4 Log....7

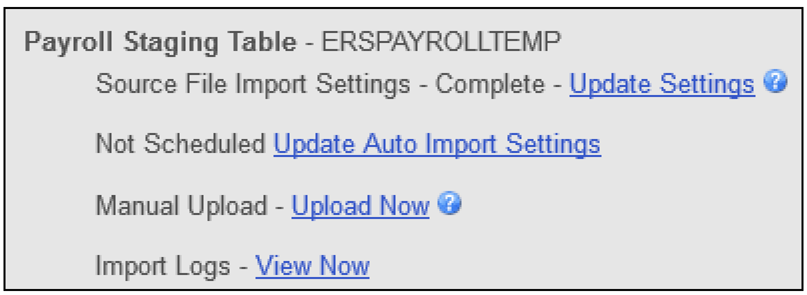
The *Payroll Refresh* feature allows for all payroll and cost transfers to be loaded in one table and depending on the timing of Initiation, Retroactive Cost Transfer (RCT) or Effort On Demand (EOD) process move these transactions into correct tables.

The payroll or cost transfer transactions to be processed can belong to

- any existing reporting period in the system, OR
- new reporting period to be initiated, OR
- future reporting period

3.1 Import data in ERSPAYROLLTEMP

Load data in table ERSPAYROLLTEMP via *Admin* → *Data Management* → *Import Data* → *Payroll Staging Table* either manually or set it on auto scheduler.



Refer chapter *Data Management*, section *Import Data* for details.

3.2 Activate Payroll Refresh Process

Payroll Refresh process is executed when any of the following features available to Central Administrator is engaged.

- ***Initiation***
  Admin → Initiation
- ***Retroactive Cost Transfer (RCT)***
  Admin → RCT
  - Manual Review Processing → Start
  - Auto Process
- ***Effort On Demand (EOD)***
  Admin → System Settings → Initiation Settings → Effort on Demand → Manage
  - Manual Refresh

- Auto Refresh

3.3 Process Details

- Payroll Refresh scans begin and end dates of the transactions in ERSPAYROLLTEMP table.

- The transactions identified to belong in any of following categories are moved to ERSPAYROLLRCT table.

    - Prior reporting periods
    - Current reporting period and effort form review process is in progress.
    - Partially overlap with current reporting period

  These transactions will be processed when RCT is executed either manually or via auto process.

- The transactions with begin/ end date within *future* reporting period date range are moved to the respective payroll table.

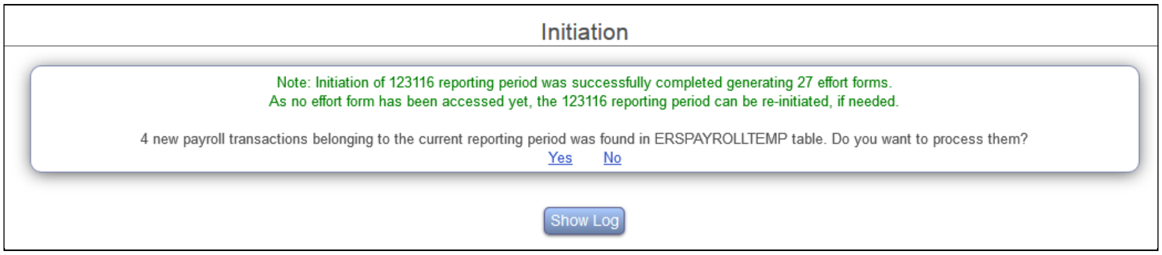
  If a reporting period with begin and end date greater than current reporting period is defined then it is considered a future reporting period. If future reporting period is not defined, these transactions are not processed and sit in the ERSPAYROLLTEMP table. These transactions will be processed when the applicable reporting period is defined in the system.

  Note: If the payroll table for the defined future reporting period does not exist, it creates the table before moving the transactions.

- The transactions with begin/ end date within to be *initiated* reporting period begin/ end date is moved to respective payroll (ERSPAYROLL<RPCODE>) table.

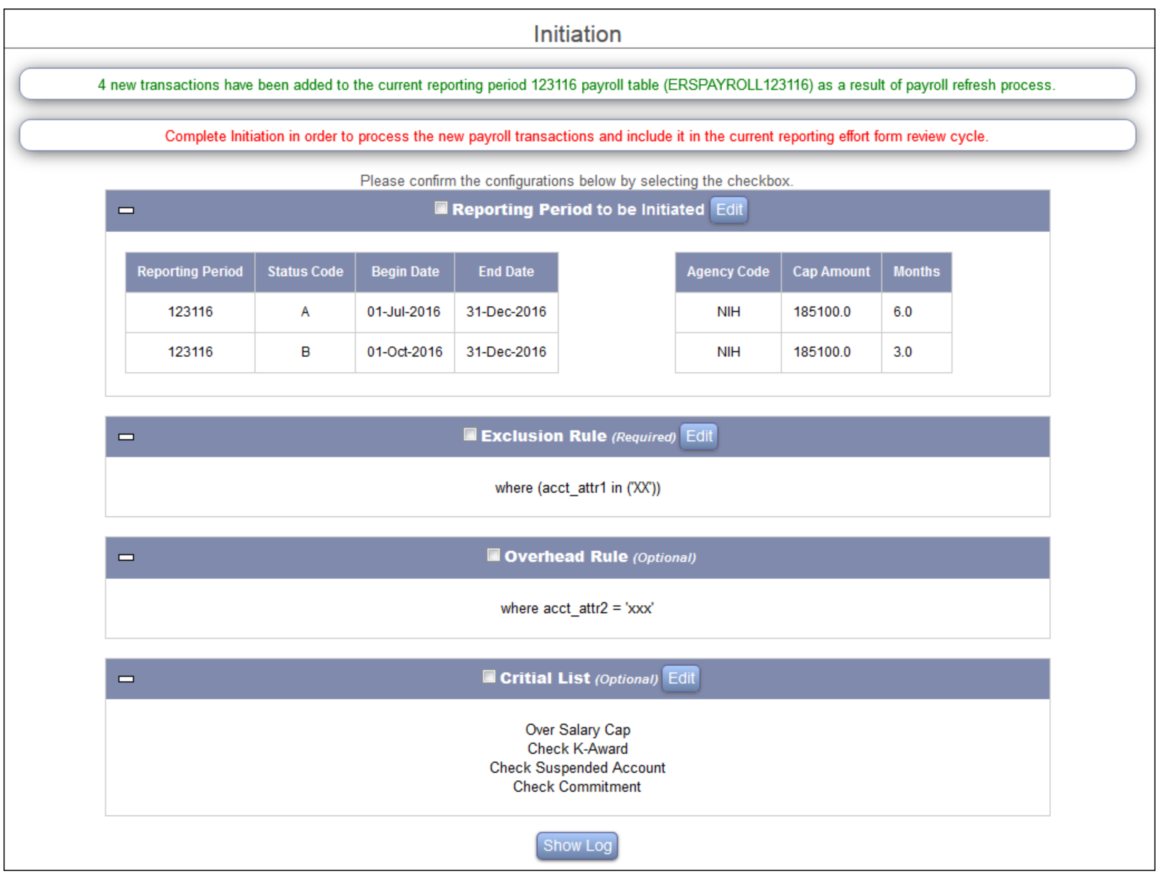
  Note: If the payroll table for the defined current reporting period does not exist, it creates the table before moving the transactions.

  In the case where a reporting period was initiated but no effort form was accessed and payroll refresh process identifies transactions belonging to the initiated current reporting period when Central Administrator engages the Initiation process, the following page is presented.



The message on this page notes the number of transactions applicable to the current reporting period and gives an option to the Central Administrator to process these transactions or ignore it.

Upon selection of "Yes" these payroll transactions are moved to the current payroll table and following Initiation configuration page is presented to the Central Administrator confirming the count of new payroll transactions added and a note to complete initiation in order to process these new transactions.

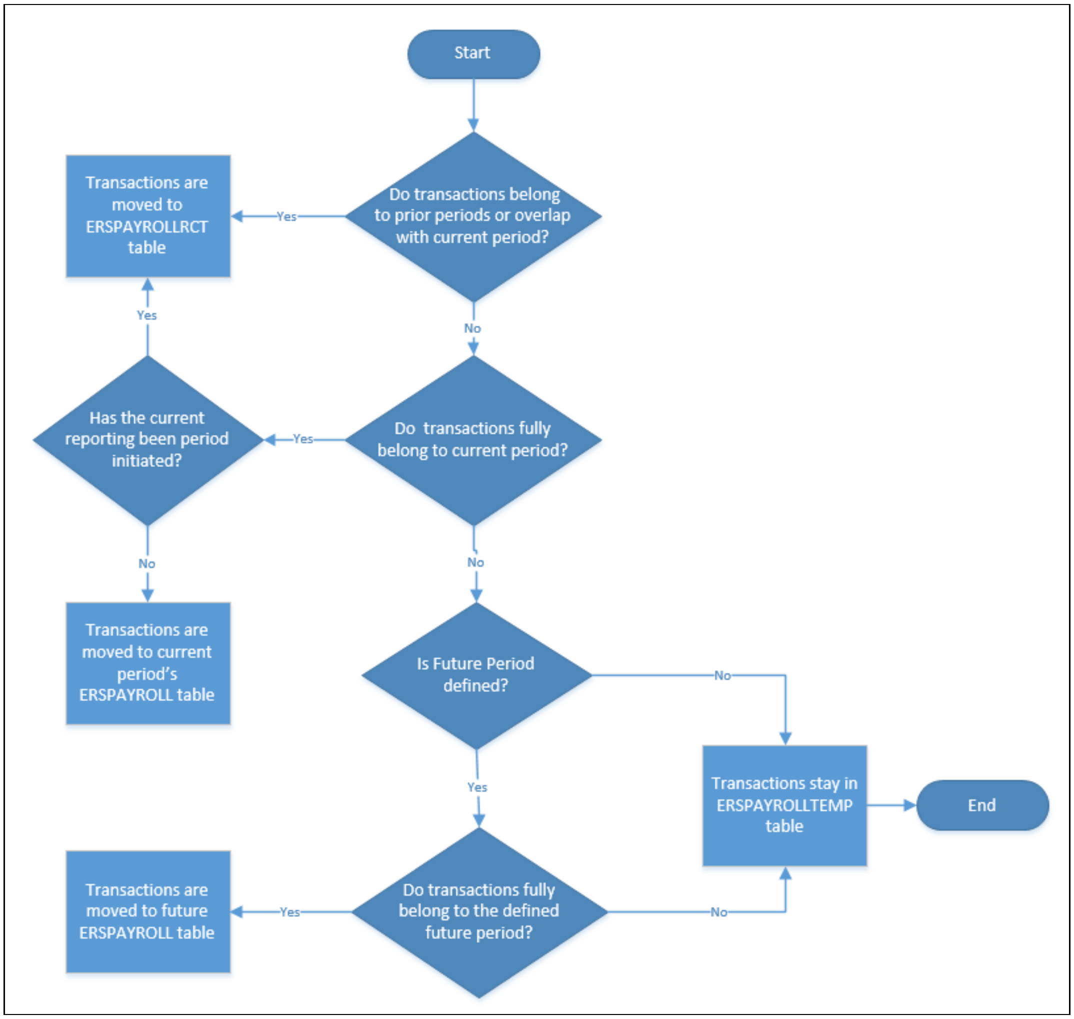


When new payroll transactions are added in the current payroll table it is highly recommended to go through all the steps of Initiation else

- these transactions will not be reflected in the already generated effort form, if any, or
- effort form will not be generated if these newly added payroll transactions qualifies an individual to report effort.

If the Central Administrator decides to ignore these transactions then it will not be processed and these transactions will remain in ERSPAYROLLTEMP table. These transactions will be processed at some point either by RCT or EOD process when engaged via manual or auto process.

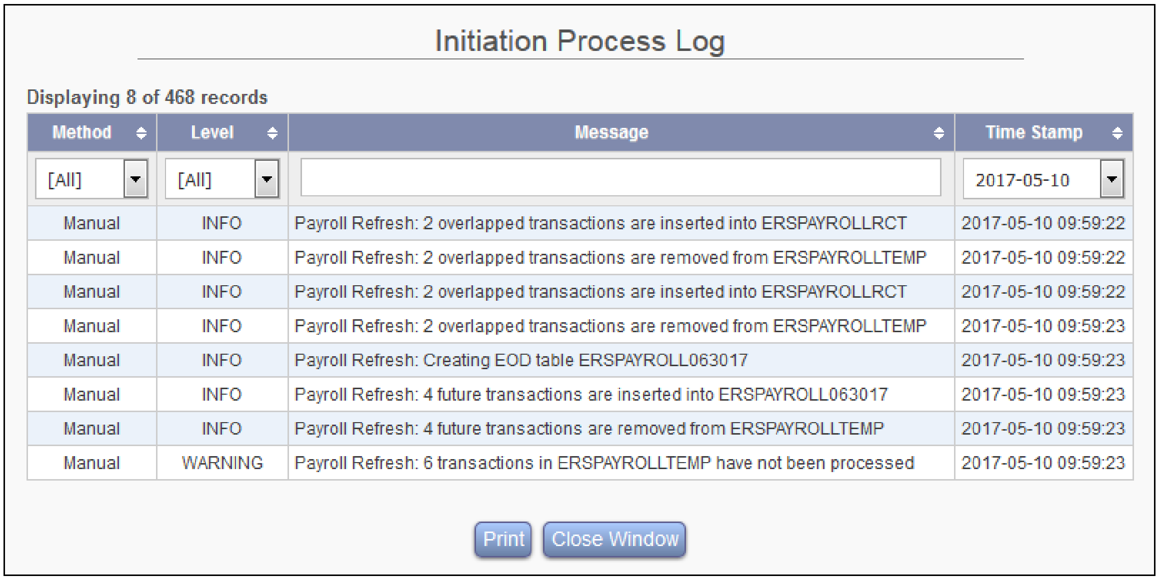
The following is a diagrammatic representation of the payroll refresh process.



3.4 Log

The Initiation and RCT logs can be used to review the Payroll Refresh details. The system logs the Payroll Refresh events with prefix *Payroll Refresh* when executed in the background as a result of engaging Initiation or RCT manual/ auto process.

Admin → Initiation → Show Log

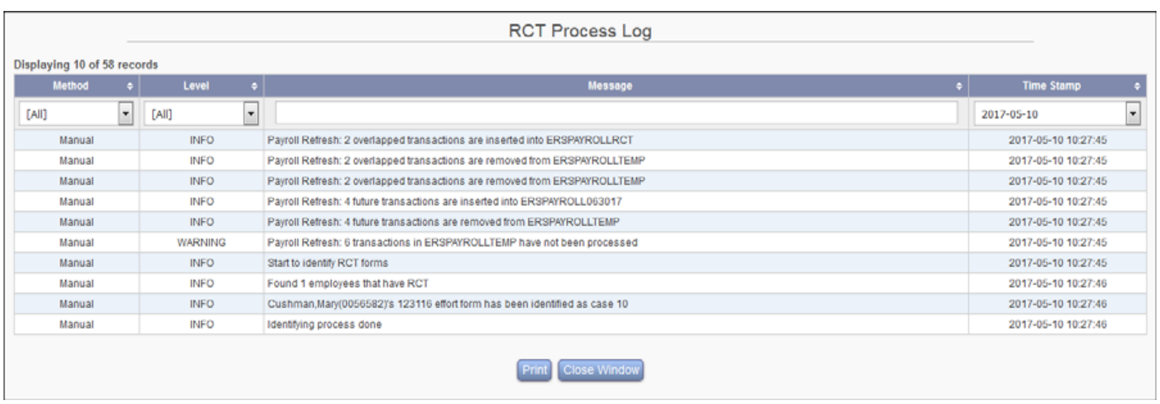

Initiation Process Log

Displaying 8 of 468 records

Method	Level	Message	Time Stamp
[All]	[All]		2017-05-10
Manual	INFO	Payroll Refresh: 2 overlapped transactions are inserted into ERSPAYROLLRCT	2017-05-10 09:59:22
Manual	INFO	Payroll Refresh: 2 overlapped transactions are removed from ERSPAYROLLTEMP	2017-05-10 09:59:22
Manual	INFO	Payroll Refresh: 2 overlapped transactions are inserted into ERSPAYROLLRCT	2017-05-10 09:59:22
Manual	INFO	Payroll Refresh: 2 overlapped transactions are removed from ERSPAYROLLTEMP	2017-05-10 09:59:23
Manual	INFO	Payroll Refresh: Creating EOD table ERSPAYROLL063017	2017-05-10 09:59:23
Manual	INFO	Payroll Refresh: 4 future transactions are inserted into ERSPAYROLL063017	2017-05-10 09:59:23
Manual	INFO	Payroll Refresh: 4 future transactions are removed from ERSPAYROLLTEMP	2017-05-10 09:59:23
Manual	WARNING	Payroll Refresh: 6 transactions in ERSPAYROLLTEMP have not been processed	2017-05-10 09:59:23

Print Close Window

Admin → RCT → Manual Review Processing → Start → View Log
Admin → RCT → RCT Results/ Exceptions → Log


RCT Process Log

Displaying 10 of 58 records

Method	Level	Message	Time Stamp
[All]	[All]		2017-05-10
Manual	INFO	Payroll Refresh: 2 overlapped transactions are inserted into ERSPAYROLLRCT	2017-05-10 10:27:45
Manual	INFO	Payroll Refresh: 2 overlapped transactions are removed from ERSPAYROLLTEMP	2017-05-10 10:27:45
Manual	INFO	Payroll Refresh: 2 overlapped transactions are removed from ERSPAYROLLTEMP	2017-05-10 10:27:45
Manual	INFO	Payroll Refresh: 4 future transactions are inserted into ERSPAYROLL063017	2017-05-10 10:27:45
Manual	INFO	Payroll Refresh: 4 future transactions are removed from ERSPAYROLLTEMP	2017-05-10 10:27:45
Manual	WARNING	Payroll Refresh: 6 transactions in ERSPAYROLLTEMP have not been processed	2017-05-10 10:27:45
Manual	INFO	Start to identify RCT forms	2017-05-10 10:27:45
Manual	INFO	Found 1 employees that have RCT	2017-05-10 10:27:46
Manual	INFO	Cushman,Mary(0056582)'s 123116 effort form has been identified as case 10	2017-05-10 10:27:46
Manual	INFO	Identifying process done	2017-05-10 10:27:46

Print Close Window

Note: The Payroll Refresh events are not captured when using Effort On Demand (EOD) as it does not have the logging capability.