# EFFORT DISTRIBUTION REPORT USER GUIDE

## Contents

## USING THIS GUIDE

This guide is both a complete and quick reference. Jump to specific topics using the table of contents (above) or the bookmarks in the navigation pane of your Adobe Reader. This guide also contains hyperlinks to related documents, forms, and web pages. If you are viewing a hardcopy print of the guide, see the "Related Links" section for URLs.

## OVERVIEW

### What is the Effort Distribution Report (EDR)?

The EDR is an online tool for managing EXEMPT employees' effort distribution records. The in-quarter EDR is similar to the end-of-quarter Personal Activity Report (PAR), displaying effort-based earnings in a report that looks much like the PAR, and just as easy to make corrections right on the report. However, the EDR is a quarter-to-date report that gives users much more information, and provides tools that make it easier to calculate and specify valid corrections, which can be submitted right online!  The EDR utilizes dual functionality when it becomes an electronic PAR out-of-quarter.  This eliminates the need for signing a paper PAR by providing the ability to certify online.  It also adds transparency to the process, since the ePAR can be easily viewed and tracked.  A link to the EDR web application can be found in the Financial and Business Services pagelet in Campus Information Services (CIS), under Reports.  It can also be found in the Human Resource Management pagelet, under Payroll Reporters.

### Why the EDR?

The EDR was created because of the delay in posting expenses to grants when departments wait to make corrections on the paper PAR.  The EDR provides a better mechanism for monitoring EXEMPT employee effort distributions throughout the quarter so problems can be found sooner, both with posted and planned distributions, ideally preventing the need for correcting entries altogether.  The EDR makes it much easier to process reallocations in-quarter by simplifying the preparation of an in-quarter reallocation, reducing errors through online validation, eliminating delivery time, replacing manual central processing steps with system generated processing, and eliminating dual data entry (additionally, out-of-quarter reallocations can also be made for Activities and/or BU 02 Orgs, provided there does not exist a PAR).  This results in timely and accurate financial reporting and invoicing, and reduces the need for shadow systems.  It also results in an accurate PAR, with the ability to track and certify the electronic PAR easily online.

### Business Process of the EDR Reallocation

The EDR is a new medium for generating in-quarter payroll reallocations.  The process of creating an EDR reallocation and the subsequent posting of the reallocation to Payroll and the General Ledger is described below:

1. Preparer or Employee initiates the payroll reallocation by:

a. Filling out a current in-quarter EDR (see **Reporting Information: Periods and Cutoff Dates** for more information).
b. Verifying the information entered is correct and valid. The system automatically runs validation checks (see **Processing a Reallocation** for more information).
c. Submitting the entry. This can only be done by an authorized Preparer, after the EDR passes all validations (see **Processing a Reallocation**). An employee cannot submit his/her own EDR reallocation.

2. Compliance Oversight and Reporting processes the **Submitted** EDRs. If corrections are needed, they may make the changes or send it back to the Preparer. The EDR can be "recycled" to bring it back to a **Preparing** state if changes need to be made. Otherwise, it moves to the **Complete** state (see **Processing a Reallocation: Button Functions and States** for more information).

3. EDR reallocations in **Complete** state automatically integrate into the payroll system to await the next payroll cycle.

4. The payroll reallocation will be picked up during the next payroll processing cycle and posted to the General Ledger as part of the regular payroll journal entry.

5. All reallocations are incorporated into future period EDR reports once they have been posted to payroll, allowing users to return to the EDR to verify the employee's funding picture for the quarter, and make subsequent changes if necessary.

6. Central Administration monitors all entries that meet the cutoff deadline (see **Reporting Information: Periods and Cutoff Dates**) and ensures they are posted to the General Ledger in the specified month.


**Business Process of the ePAR**
Beginning the first pay day after the end of the quarter, out-of-quarter electronic PARs can be created. A reallocation is not necessary. The process is described below:

1. Preparer creates the electronic PAR by:
   a. Manually entering the employee, or by selecting an employee from the online PAR List by Home Department.
   b. Verifying the information is correct and valid. The system already runs validation checks (see **Processing a Reallocation (or an ePAR with No Change)** for more information).
   c. (Optional) Routing the ePAR for review by one or more people. This step may be skipped, but can be an option for those departments that follow this business process.
   d. Requesting certification from the employee. This can only be done by an authorized Preparer, after the ePAR passes all validations (see **Processing a Reallocation (or an ePAR with No Change)** for more information). An employee cannot request certification for his/her own ePAR. An optional system email notifies the employee that the PAR is ready for their review and certification.

2. The employee or responsible official reviews and certifies the ePAR.

3. If there have been any changes made, K Awards exist on the ePAR, and/or there are HHS Projects where the HHS Cap applies, the ePAR will move to **Submitted** state. Once in **Submitted** state, Compliance Oversight and Reporting will review and process the ePAR. If corrections are needed, the ePAR will be sent back to the Preparer. The ePAR can be "recycled" to bring it back to a **Preparing** state if changes need to be made; the ePAR will then need to be re-certified. Otherwise, it moves to the **Complete** state.
4. If there have been no changes made to the ePAR, it moves directly to **Complete (No Change)** state after certification.
5. ePAR reallocations in **Complete** state automatically integrate into the payroll system to await the next payroll cycle.
6. If there is a payroll reallocation, it will be picked up during the next payroll processing cycle and posted to the General Ledger as part of the regular payroll journal entry.

## Security Authorization and Access

You'll need no new authorization to begin using the tool; existing security authorizations are used to automatically grant access rights (roles) in the EDR system. There are just two different roles a user might have:

- Employee (the employee whose record is being viewed, i.e. research professor, post doc fellow)
    - Employees can view and save corrections to their own EDRs and ePARs, but will not be able to submit or request certification for their own. They must contact an authorized Preparer for review/submission of changes they have made.
    - Automatically given access to own EDR and ePAR records.
- Preparer
    - Can view, save and submit corrections on employee EDRs.
    - Can view, save, route for review, and request certification on employee ePARs.
    - Preparer role is automatically granted to users with security authorization to at least one of the following :
        - D-Jobs access to the employee's current Home Department (HR security). This also gives the Preparer access to run the PAR List by Home Department within the EDR application.
        - Management Report Payroll EBT access to at least one of the Chartfields from which the employee's *effort-based* earnings were funded in the specified quarter (financial security).

# THE WEB APPLICATION

**Search Page**
The application opens to the Search Page, prompting the user for Name or Employee ID.  Enter the employee name as LAST,FIRST MIDDLE or enter the Employee ID number. It will search and narrow results as you type.  For an enhanced search, type LAST [space] FIRST to find the "first" name within the name (for example, when an employee goes by their middle name).

Choose a Fiscal Year (e.g. 2016 = 07/01/15 thru 06/30/16) and Quarter (1 through 4).  The current Fiscal Year and Quarter are defaulted.  An EDR reallocation can be also made out-of-quarter if the following conditions apply:
- The reallocation is for Activities and/or BU 02 Orgs only.
- There are no Projects on the EDR.

If out-of-quarter and there are existing Projects on the EDR, or a Project is added to the EDR, it becomes an electronic PAR, and will display "ePAR (Certification Required)" at the top.

- **My Review List (ePAR only)**

   If any ePARs have been routed for review, the assigned reviewer can look up their list on the My Review List tab, located right on the Search Page.  They may have also received an optional system email with the link.  If there are ePARs in **Review** state assigned to you, it will say so at the bottom of the screen.  Either click on that text, or click on My Review List.  Click on the employee name to view the ePAR.  Once the state changes, it will disappear from the list.


- **PAR List by Home Department (ePAR only)**

   Run a list of PAR employees by using this search, found by clicking on the "PAR List by Home Department" tab, visible to those Preparers with D-Jobs access to the Home Department.  This displays the employee PAR list for the Fiscal Year and Quarter entered, with optional Org rollup.  It tracks whether or not an ePAR has been created, and displays the last action taken.  If an employee is not on the list because a manual PAR needs to be created, simply go to the main Search Page and bring up their out-of-quarter EDR.  Once a Project is added, it automatically becomes an electronic PAR.  After it reaches **Complete** state, it will then show up on the list.  This list can be sorted by the **Gather** button in different ways for your tracking needs, and includes options to create PDF bundles and the ability to send quick messages to those selected.

**Reporting Information**

- **Periods and Cutoff Dates**

The current period EDR is updated with the most recent payroll information from the prior pay period.  The EDR Period Begin Date will always be the first day of the quarter, but the Period End Date will vary as each pay period is processed.  For example, Fiscal Year 2016 Quarter 1 has the following EDR periods:

| EDR PERIOD | CUTOFF |
|---|---|
| 07/01/2015 - 07/15/2015 | 07/31/2015 |
| 07/01/2015 - 07/31/2015 | 08/15/2015 |
| 07/01/2015 - 08/15/2015 | 08/31/2015 |
| 07/01/2015 - 08/31/2015 | 09/15/2015 |
| 07/01/2015 - 09/15/2015 | 09/30/2015 |
| 07/01/2015 - 09/30/2015 | **Out-of-Quarter** |

Only one EDR per period is allowed.  The cutoff date for each EDR period is the last day of the following pay period.  During the first three days of each pay period (the $1^{st} - 3^{rd}$ and the $16^{th} - 18^{th}$), in-quarter EDRs are locked for processing and are unavailable (out-of-quarter EDRs and ePARs can still be accessed).  It is also necessary once a new quarter begins to wait for the first pay period to be processed before in-quarter EDRs are available again.  ePAR functionality becomes available at the first pay day following the end of the quarter.

If multiple EDRs have been processed during a quarter, the search screen may display more than one.  Click the "View Current EDR" button to begin a new EDR for the current period.

- **Effort-Based Earnings Distribution**

The cumulative amounts displayed are quarter-to-date cumulative totals.  Earnings are broken out by funding Chartfields, Employee Record Number, and Job Code, and then grouped as:

- Organized Sponsored Agreements
- Other Institutional Activities
- State Appropriated Activities
- New Chartfields (added by the user)

The Effort-Based Earnings Distribution report is dynamic, allowing users to update earnings amounts or distribution percentages, with automatic calculations occurring in response to user input.  Effort Earnings can be adjusted by:

- Either typing a percent change in the **Corr Earn Percent** field;
- Typing an amount change in the **Corr Earn Amount** field;
- Clicking the **Add Chartfield** button and entering a new Chartfield, putting either a percentage or an amount in the appropriate field.

When an adjustment is made to the Effort-Based Earnings Distribution section, it will also be reflected in the following columns:

- The **Earn Real Amount**—the amount the earnings will be adjusted
- The **Ben Real Amount**—the amount the benefits will be adjusted
- The **Total Real Amount**—the total adjustment amount based on the specified correction (**Earn Real Amount** + **Ben Real Amount**)

The **Total Corrected Earnings Amount** must match the **Total Effort Earnings** (**Remaining** must be zero). The **Total Corrected Benefits Amount**, however, may not always equal zero. The calculated benefit amount should be considered an estimate value. Users are not allowed to modify the benefit amounts, but Central Administration will ensure any corrections to benefits follow the earnings appropriately, and that the transactions balance.

- **Other Earnings (non-effort)**

Non-effort-based earnings and the associated benefits, including Additional Comp (ADD), Cell Phone Reimbursement (CPA), Clinical Incentive Pay (CIP), and other payroll charges not allowed on grants are listed in this section. It is view-only.

- **Planned Employee Distributions**

These are distributions set up for future pay processing. They are included on the EDR to help users identify distribution issues before they hit the payroll system, but the information is read-only on the EDR. Corrections to planned distributions can be easily done by clicking the "Manage Employee Distributions" link within that section.

- **Payroll Encumbrances**

This section displays the payroll commitments recorded in the General Ledger.

- **Audit Report**

This tracks all of the actions made to the EDR, the date and time the action was completed, and the user who completed each action. For Outlook users, clicking on the link of the user listed will open up a new e-mail addressed to this individual. Any optional notes and messages entered by the user throughout the process will show up here.

**Processing a Reallocation (or an ePAR with No Change)**

- **Button Functions and States**

The buttons (except for **Add Chartfield** functionality) can also be found using right-click. Functions and corresponding states are explained below (all buttons are used for both EDR and ePAR except where specified):
- **Add Chartfield** or **Add Multiple Chartfields**—click these buttons to manually add new Chartfield lines. The user can also delete them by clicking the delete button (trash icon) that appears to the right of each added Chartfield string.
- **Add Chartfields by File Upload**—click this button to automatically add Chartfield lines with a .csv file upload. This is a quick and easy method to save time when entering employees with many Chartfield lines. All of the employees that are going to be entered this way can be saved on one

single .csv file, because the web app will reference the Employee ID and only upload the associated Chartfield lines for that employee.  The .csv file must have only these columns in the following order (example shown below):

- Employee ID
- BU
- Org
- Activity or Project
- Account
- A/U
- Employee Record Number
- Percent—a value in this column tells the web app that a Percent is to be used instead of an Amount (Percent overrides Amount). Otherwise, enter 0 if an Amount is preferred.
- Amount—leave this column blank if using a Percent instead.

| Employee ID | BU | Org | Act/Proj | Account | A/U | ER# | Percent | Amount |
|---|---|---|---|---|---|---|---|---|
| 00123456 | 01 | 01111 | 55555555 | 50800 | 1 | 1 | 0 | 150.55 |
| 00123456 | 01 | 01111 | 00013095 | 50800 | 1 | 1 | 15 | |

- **Save**— this saves any work in its current state, no matter if a Chartfield is incorrect, not fully entered, or even if there is a **Remaining** balance. When saved, it will then be in **Preparing** state.
- **Validate**—checks the content to verify that the Chartfield combinations are valid, the amounts balance, all required fields have been entered, etc. It does NOT save.
- **Submit (EDR only)**—saves, validates, and if no errors are found, puts the EDR in **Submitted** state.  Optional notes can also be entered.
- **New Search**—closes the page without saving.
- **Trash**—completely deletes the EDR or ePAR.
- **Recycle**—takes the EDR or ePAR back to **Preparing** state.  It cannot be used once the EDR or ePAR enters **Complete** state.  Optional notes can be entered, and if it is not the Preparer who is recycling, a system email notification will be sent to the Preparer.
- **Printer-Friendly PDF**—creates a PDF of the page as-is, with current on-screen information.  This can be saved or printed.
- **Route for Review (optional—ePAR only)**—routes the ePAR for optional review by another person.  This saves, validates, and if no errors are found, allows the user to designate one or more reviewers, with the ability to notify the reviewer (and send a brief message) by system email if desired.  The ePAR will be in a state of **Review**.
- **Request Certification (ePAR only**)—saves, validates, and if no errors are found, moves the ePAR to **Awaiting Certification** state.  An optional email with an optional personal message can be sent to the employee, notifying them that their PAR is ready for their review and certification.

- **Certify (ePAR only)**—validates and records who certified and when. Optional notes can be entered. The ePAR moves to **Submitted** state if any changes have been made, K Awards exist, and/or the HHS Cap applies to any Projects; Central Administration processes it at this point. Otherwise, it moves to **Complete (No Change)**. If someone other than the employee certifies the PAR, the employee will be notified by a system email that this has been done.

- **EDR State Tracking**

The current state is displayed in the top right of the EDR. After a **Submitted** EDR is processed by Compliance Oversight and Reporting, it moves to the **Complete** state; EDR reallocations are then **Posted to Payroll** during the next payroll processing cycle.



Preparing → Submitted → Complete → Posted To Payroll
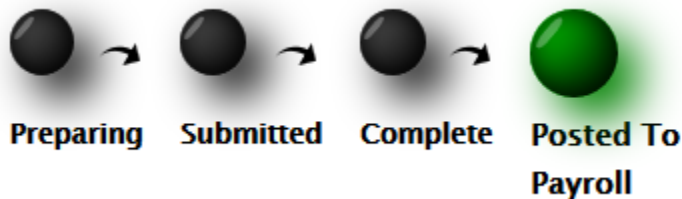
- **ePAR State Tracking**

There are two different tracks an ePAR can take. If there are reallocations (changes have been made), it will end in **Complete** state after being processed by Compliance Oversight and Reporting. The reallocations are then **Posted to Payroll** during the next payroll processing cycle.



Preparing → Review → Awaiting Certification → Submitted → Complete → Posted To Payroll
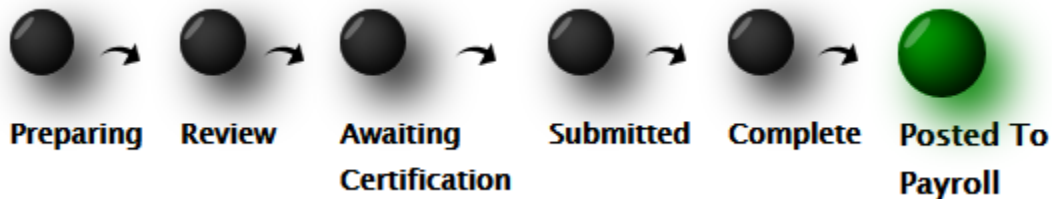
If there have been no changes, the ePAR will end in **Complete (No Change)** state, with no reallocation sent.



Preparing → Review → Awaiting Certification → Submitted → Complete (no Change)
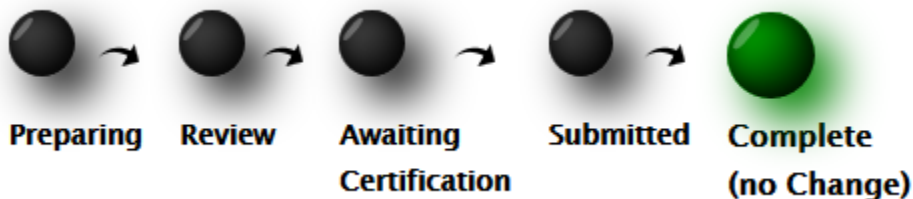
- **Entering Information**

Below the Effort-Based Earnings Distribution report is a processing section. An **Explanation** is already defaulted, but others can be selected from the drop-down. **Requested By** is a required, open-text field for EDRs only; in order to **Submit** an EDR, it cannot be left blank. The **Preparer Phone** is also a required field (defaulted if there is a phone number on record in HR, but can still be manually changed).

- **Upload Attachments**

Using the Upload Attachment button, PDF files can be uploaded to both an EDR and an ePAR. A paperclip icon will appear on the top right corner when an attachment exists. Click on the paperclip or the Upload Attachment button to view.

- **Sticky Notes (ePAR only)**

Add a temporary note to ePARs only using the sticky note icon at the top right corner of the screen. The ePAR must be saved in a state before this becomes available (the sticky note does not appear in "no state"). Anyone who can view the ePAR can read and add to this sticky note, but once the ePAR moves to **Complete** or **Complete (No Change)**, the sticky note is permanently deleted.

- **PDF Bundles (ePAR only)**

PDF bundles, emailed to the user, can be made using the PAR List by Home Department. Using the Gather button, manually select from the list which ones to bundle. Choose whether to bundle as one PDF, or as individual PDFs in one email or many.

- **Error Messages**

Error messages appear two different ways on the screen: as a popup (which can be closed or left to fade away on its own), and also listed below the processing section (which stays on-screen). The popups can be blocked by clicking the "Hide Popups" button. The messages will appear when using the **Validate**, **Submit**, **Review**, **Request Certification**, or **Certify** buttons.

-  Blue messages are informational only; these also appear when tabbing out of the **Corr Earn Percent** and **Corr Earn Amount** fields.

-  Yellow messages are warnings, but need no action.

-  Red messages are errors that need corrective action in order to pass validation. Examples include:
    - **Requested By** is blank
    - Chartfield combination is invalid
    - **Total Corrected Earnings Amount** does not match the **Total Effort Earnings** (**Remaining** is not at zero)
    - Job record earnings do not equal the current total

Additionally, Chartfield validation errors have an  icon that appears to the left. Hovering over it will show information about which part of the Chartfield is invalid. ePARs with K Awards and/or HHS Projects where the HHS Cap applies have those

Chartfield rows flagged with a  icon. Hovering over this icon will remind the user to review the Project for K-award requirements and/or HHS cap supplement.


## MONITORING AND TRACKING

There are two reports available in the Human Resources/Financial Information Library, in the EDR Reports folder:

- EDR Home Dept Worklist—this lists EDRs and ePARs by Home Dept with optional rollup, between Period Begin and End Dates, in **Preparing**, **Submitted**, **Complete**, **Review**, **Awaiting Certification**, and/or **Complete (No Change)** state.
- EDR Preparer's Worklist—this lists EDRs and ePARs created by the Preparer, between Period Begin and End Dates, in **Preparing**, **Submitted**, **Complete**, **Review**, **Awaiting Certification**, and/or **Complete (No Change)** state.

Compliance Oversight and Reporting also monitors what EDRs and ePARs are in the system, and may contact the Preparer when corrections are needed.

Quick and simple tracking of ePARs can also be done using the PAR List by Home Department. Look at the Last Action column to see where the ePARs currently stand in the process. Using the Gather button, you can even send a reminder note or other personal message to any manually selected employees on the list.

## RELATED LINKS

**Still Have Questions?**
If you still have questions, you may contact Compliance Oversight and Reporting or refer to additional online resources identified in the links below.

*Effort Distribution Report:*
https://www.acs.utah.edu/uofu/hrs/EDR

*Human Resources/Financial Information Library:*
https://www.acs.utah.edu/uofu/fin/Tree/

*Human Resources Security Authorization:*
http://www.acs.utah.edu/hr/HR_WebApps_Form_REV_2-13-13.pdf

*Management Reports Security Authorization:*
http://fbs.admin.utah.edu/help/web_security/

*Compliance Oversight and Reporting:*
http://fbs.admin.utah.edu/mgt/

*Payroll Reallocation PDF form:*
https://www.hr.utah.edu/payroll/reallocation.php

*Effort Reporting Policy:*
http://regulations.utah.edu/administration/3-020.php

*Mandatory Effort Reporting (PAR) Training:*
https://education.research.utah.edu/