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Introduction
About the Application
Welcome to ePAC. The Electronic Personnel Action Change application is designed to electronically process Personnel Action Changes (PACs). ePAC reduces paper, minimizes manual calculations, and allows one action to interact with as many systems as necessary to complete the transaction—including HR PeopleSoft and the General Ledger (GL).

The current version of ePAC automates:
- Earnings Distribution Changes
- Retroactive Distribution Changes
- Effort Certification
- Position Changes
- Job Data Changes
- Terminations

ePAC allows users, through the Internet, to perform Job and Position Management tasks, and Distribution changes. The application routes such change requests through the appropriate authorization process for electronic signatures to approve the change faster and record the change more accurately.

What changes can I process with ePAC?
- Earnings Distribution Changes
- Retroactive Distribution Changes
- Position Number Changes within same Home Dept.
- All Job Code Changes – Comp Dept will review where necessary
- Pay Rate Changes (excluding annual increase)
- Kronos Class Changes
- Standard Shift Changes
- Mail Drop Changes
- Reports To Position Changes
- Standard Hours Changes

What compliance processes are supported through ePAC?
- Effort Certification for Federal Centers
- Plan Approval for Distribution Changes on Federal Centers
When will I continue to use the paper process?

- Hires and Rehires
- Special Pay and Adjustments
- Transfer between home departments
- Adding Additional Jobs
- Changes to shift rates paid to an individual
- Leave of Absence requests (Paid, Unpaid, and Return from Leave)
- Termination with Pay
- Creation of new Positions
- Activating an Inactive Position
- Changes to Department Number on a Vacant Position
- Changes to Position Distribution
- Student employees (non-distribution changes)
- Housestaff (non-distribution changes)

About the User Guide

This guide is designed to support users in learning how to operate the application and to serve as a reference. This file may be downloaded to a PC or printed. Here are some tips to help users easily find guide information:

Each chapter will begin with a summary section, always the first chapter page, listing the learning objectives for the chapter.

Click the following link to access the ePAC Job and Position User Guide.

Helpful notes are indicated after this special icon.

Caution notes are also indicated with a special icon. These notes are meant to help the user avoid common or serious mistakes.

What is New

The next update to ePAC will include timesheet certification requests for biweekly employees. This update will require online certification for timesheet employees and will include the same email notification process that is currently being used for monthly paid employees. This new update is scheduled for a future update.
Support

The ePAC support site is first stop for system issues. There are many resources on the site that answer PAC issues. If you experience a processing issue and cannot find the answer on the help site report it to the HELP desk. To put in a HELP desk ticket for issues you may be having with ePAC go through the following link:

http://hr.vanderbilt.edu/apps/epac/index.htm

1.0 ePAC Distribution Basics

This guide is intended to provide the steps needed to process distribution changes electronically through the ePAC application. The Distribution Basics section will provide a basic overview of the functionality for managing Personnel Action Changes (PACs) within the Electronic Personnel Action Change (ePAC) application.

After completing this section, the user will be able to:

- Log in and out of EPAC
- Understand the home page
- Use of the Distributions Worklist
- Search for an employee or department to initiate PACs
- Search for employees paid from a cost center to initiate PACs
- Handle search results with future dated records
- Identify ePAC user roles
- Locate a reference defining the user roles

1.1 PAC Distribution Types

The Electronic Personnel Action Change (ePAC) application is designed to electronically process Personnel Action Changes (PACs). ePAC reduces paper, minimizes manual calculations, and allows one action to interact with as many systems as necessary to complete the transaction—including HR PeopleSoft and the General Ledger.

The current version of ePAC automates earnings distribution changes and effort certification. ePAC allows users, through the Internet, to change the distribution of labor costs. The application routes such change requests through the appropriate authorization process for electronic signatures to approve the change faster and record the change more accurately. The ePAC application also notifies faculty, exempt staff and non-exempt staff of changes to earnings distributions which result in their need to certify effort on federal projects. The chart below lists the faculty/staff categories impacted by each of the personnel changes now done in ePAC instead of a paper-based Personnel Action Form (PAF).

<table>
<thead>
<tr>
<th>Personnel Action Change</th>
<th>Category Impacted</th>
</tr>
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</table>
### Earning Distribution Change – Current/Future Period
- Faculty
- Exempt Staff
- Non-Exempt Staff

### Retroactive Distribution Change
- Faculty
- Exempt Staff
- Non-Exempt Staff

### Effort Certification
- Faculty
- Exempt Staff
- Non-Exempt Staff

## 1.2 Logging into ePAC

Opening the application requires a user to have access to the internet and a valid VUnetID and e-password. The URL link for ePAC is: [https://webapp.mis.vanderbilt.edu/epac2](https://webapp.mis.vanderbilt.edu/epac2)

The login screen (see Figure 1.1) will appear requesting the user to enter VUnetID and e-password. The user then clicks on the Login button. Users should notify their manager if they do not have either a VUnetID or e-password.

![Figure 1.1](image)

Once the user is logged in, a second screen called the Distributions Worklist, opens (see Figure 1.2). The Distributions Worklist provides the following features:
1. Logout Button – Logs the user out of ePAC.
2. Help Button – Takes the user to the ePAC Product Support website.
3. Reports Button – Takes the user to the Business Objects Infoview reporting interface.
4. Distribution Changes tab – Takes the user to the Distributions Worklist to initiate a distribution change.
5. Start a New Job or Position Change search – This is where the user begins a new Job and Position PAC.
6. ? Button – Quick help on search criteria to start a new Job and Position PAC.
8. Job and Position Worklist – Lists PACs initiated by the user that require approval(s) from other approvers OR items that require your approval.
9. Distributions Worklist – Earnings Distribution Changes (EDCs) or Retroactive Distribution Changes (RDCs) initiated by the user that require approval(s) from others or EDCs/RDCs that require your approval.

To make distribution changes for employees, click the Distribution Changes tab to open the Distributions Worklist.

- The Distributions Worklist for an individual user is dependent upon the user’s security access also known as role assignments and whether there are PACs in the workflow process. These roles are assigned in Privilege Management, Vanderbilt’s automated system of granting system role assignments.
- If an ePAC session is idle for 15 minutes, the user will be taken back to the Worklist. If the session remains idle in excess of two (2) hours, the user will be asked to log into the system in order to process transactions.

1.3 Logging out of ePAC

The User may logout of ePAC with two options. After clicking the logout button, the user will receive a screen displaying two options (see Figure 1.3).

- Start Over – Allows the user to go back into ePAC and process PACs.
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- Logout of CAS (Central Authentication Service) – Logs the user out of ePAC.

Figure 1.3

1.4 Distribution Changes Home Page

Upon logging into ePAC or clicking the Distribution Changes tab from the Job and Position home page, the user will see their Distribution Changes home page. This page will contain the following components:

1. The Distributions Worklist will display. The worklist serves two purposes:
   a. It is the screen Initiators will use to manage and facilitate completion of PACs.
   b. It is the screen on which Approvers or Reviewers needing to take action on a PAC can access the PAC. Note - PACs will only display in a user’s worklist at the appropriate workflow stage.

2. The Distribution Changes home page also provides easy access to the following:
   a. The Distributions Search tab for distributions not in the user’s worklist (see Section 2.0)
   b. The ePAC Help site
   c. The Business Objects Reporting site
   d. A tab to return to the Job and Position Change page

1.5 Distributions Worklist Basics

The Distributions Worklist is the first screen displayed after logging into ePAC or clicking the Distribution Change tab from the Job and Position home page.

Using the Worklist, users can quickly see if they have outstanding EDC or RDC PACs requiring their attention.

The Distributions Worklist contains PACs in statuses of saved, pending review, pending executor approval, pending certifier approval, pending PA accountant approval, pending cost transfer approval, completed, and rejected (see Appendix B for definitions of each status). All PACs are listed by employee name.

The Initiator (transaction creator) in ePAC can use the Distributions Worklist to determine who needs to take action on a PAC and its status in workflow. Any PAC with a PAC Status of Pending Review is awaiting action from reviewer(s). Any PAC with a PAC Status of Pending Executor Approval, Pending Certifier Approval, Pending PA Accountant Approval (RDC only), or Pending Cost Transfer Approval (RDC only) is awaiting action from approver(s) (see Figure 1.5). If the worklist displays without any pending transactions, it serves to quickly notify the user that there are no PACs currently requiring their attention. Pending EDCs and RDCs are listed by Employee Name.
Users can click on the underlined Employee Name in the Distributions Worklist to open the PAC.

Figure 1.5

1.6 Search for an Employee or Department of Employees to Initiate a PAC

Users who want to view a current and/or future employee record or find an employee to initiate a PAC may search in the following ways (see Figure 1.6):

- By Employee ID (7 digit number)
- By Employee Name (last, first)
- By Home Department ID (6 digit number)
- By Home Department Name
- Job Code
- Center Number (10 digit number)

Users can only access the individual records for which they have security permissions.

Steps to search by employee:

1. Click the down arrow by Employee ID for the following search options:
   a. Search by Employee ID (equals only).
   b. Search by Employee Name (begins with or contains).
   c. Search by Department ID (equals, begins with or contains).
   d. Search by Department Name (begins with or contains).
   e. Search by Center (equals only).
   f. Search by Job Code (equals only).
2. Choose the search criteria from the drop down list and enter what you are searching for.
3. Launch the search by clicking on the Search button.

Figure 1.6
The search may return a large number of items, depending upon the search criteria used and the security rights of
the user. To help manage the number of items returned, ePAC limits results to 25 results on each Search Results
screen (see below). If the search returns more than 25 results, the user can select a specific screen number or click
the next button until they locate the employee for which they are searching. Clicking on the employee’s name in the
Employee Name field launches the ePAC edit screen.

If the user searches using a complete employee ID number, and there is an exact match for that employee, the
search proceeds directly to the ePAC Edit screen.

If there are two rows for one employee, see Section 1.7, this indicates that there are Search Results with
Future Dated Records. Changing the current EDC does not change the future record that already exists.

1.7 Search for Employee by Cost Center to Initiate a PAC

Users who want to perform an employee search by cost center (see Figure 1.7) may search for an employee in
following ways:

1. Select Center from the drop down menu.
2. Enter the 10 digit cost center number without hyphens.
3. Launch the search by clicking on the Search button.
4. The search will return a maximum of 25 results on each Search Results screen. If the search results returns
more than 25 results, the user can select a specific screen number or click Next until they locate the name of
the person for whom they are searching. By clicking on the employee’s name, the ePAC Distribution Edit
page will launch.

Figure 1.7
Search results by center may include names of the individuals that the user does not have permission to access. These names are displayed without a hyperlink and cannot be clicked. A list of initiators is provided in the center search results. This information can be used to contact an initiator that has access to change the distribution of a specific person.

1.8 Search Results with Future Dated Records

When searching for an employee, the Search Results may list more than one record for the same employee (see Figure 1.8A).

Figure 1.8A

If more than one record is returned in the Search Results, it means that one of the records is a future dated row resulting from a future dated EDC or from another personnel action change occurring outside of the ePAC system. A future dated row will overwrite changes being created from a change to the current record when the future dated record goes into effect. If appropriate, the initiator should change the distribution in the second record to match that of the EDC being created. The initiator may simply click on the Employee Name in the second row and make the changes. Workflow approvals will be required for both rows.

When a PAC is initiated, if any future dated rows do exist, the system will provide a warning message to notify the user that future dated rows exist as shown in Figure 1.8B. The initiator then has the opportunity to make changes, if needed, so that the future dated rows match the current EDC.

Figure 1.8B
Any future dated rows that are generated as the result of benefits record changes will not display in ePAC as future dated rows. Behind the scenes, those benefit rows will automatically be updated with the New Distribution data from an EDC completed through ePAC.

### 1.9 Job and Position Worklist Basics

Upon successful login the worklist will display. The worklist serves 4 purposes.

1. It is the initial screen all users see when they log into ePAC.
2. It is the springboard to begin a Job and Position PAC.
3. It provides users a workflow status of PACs they are involved with.
4. It contains links to the ePAC Help site and Business Objects Reporting site.

Users can quickly see if they have outstanding Job and Position or Earnings Distribution PACS requiring their attention.

The job and position worklist contains pending filled and vacant PACs. Pending filled PACs are listed by employee name. Pending vacant PACs are listed as Vacant.

Users can view the Job Code Title and Department Name by rolling their mouse over the Job Code and Department Number respectively. The Initiator, transaction creator in ePAC, can use the worklist to determine who needs to work on a PAC they initiated and is still in workflow. Any PAC with a PAC Status of Pending Review and a My Status of Done is awaiting action from reviewer(s). Any PAC with a PAC Status of In Process and a My Status of Done is awaiting action from approver(s) (see Figure 1.9). If the worklist displays without any pending transactions, it serves
to quickly notify the users that there are no PACs currently requiring their attention. Pending EDCs are listed by Employee Name.

Retroactive Distribution Changes (RDCs) are not reflected in this worklist. RDCs can be found by clicking the Distribution Changes tab.

Users can click on the underlined Employee Name or, Vacant moniker in either worklist to open the PAC.

Figure 1.9

1.10 Starting a Job and Position Vacant PAC

Users who want to view a Position Record or initiate a Vacant PAC may search in following ways:

- By Position Number (8 digit number)
- By Home Department Number (6 Digit Number)
- By Job Code (4 digit number)

Users can only access the position records for which they have security permissions.

Steps to start a Vacant PAC:
1. Initiate the Vacant PAC by first selecting your search category
   a. Search by Position Number.
   b. Search by Home Department.
   c. Search by Job Code.
2. Enter your search value. Make sure to enter the entire Position, Home Department or Job code number.

3. Launch the search by clicking on the Search button.

![Figure 1.10A](image)

The search will return a maximum of 200 items. 25 results on each Search Results screen (see below). If the search returns more than 25 results, the user can select a specific screen number or click next until they locate the position.

![Figure 1.10B](image)
for which they are searching. Clicking on the VACANT Moniker in the Employee Name field launches the ePAC edit screen (see Figure 1.10A).

Search Results by position will only include data that the user has permission to access.
Search Results can be sorted in ascending or descending order by clicking on any of the column headings.

If the user searches using a complete Position Number, and there is an exact match for that position, the search proceeds directly to the ePAC Edit screen.

1.11 Starting a Job and Position Filled PAC

Users who want to perform a filled PAC may search for an employee in following ways:

- By Position Number (8 digit number)
- By Job Code (4 digit number)
- By Employee ID (7 Digit Number)
- By Employee Name (Last, First MI)
- By Home Department Number (6 Digit Number)

Users can only access the records for which they have security permission.

Steps to start a filled PAC.
1. Initiate the Filled PAC by first selecting your search category.
   a. Position Number
   b. Job Code
   c. Employee ID
   d. Employee Name
   e. Home Department Number
2. Enter your search value. Make sure to enter the entire Position, Home Department or Job code number. When searching by Employee Name you can enter a partial Search Value. The system returns all those records matching the Search Value.
3. Launch the search by clicking on the Search button.

The search will return a maximum of 200 items. 25 results on each Search Results screen (see Figure 1.11).
If the search returns more than 25 results, the user can select a specific screen number or click Next until they locate the position for which they are searching. Clicking on the VACANT Moniker in the Employee Name field launches the ePAC Edit screen (Figure 1.11A).
1.12 ePAC User Roles

The approval process uses system roles to complete a PAC. Listed below are the roles used to move a distribution change through the automated workflow process. Please refer to Appendix A, Glossary of ePAC Roles, to learn more details about all of the ePAC roles, their responsibilities, a detailed user description, and the method of authorizing security.

Workflow roles are set up by the PA HD Admin in the Privilege Management System

https://webapp.mis.vanderbilt.edu/privmgmt/

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PA Initiator</td>
<td>Initiates ePAC Transactions.</td>
</tr>
<tr>
<td>PA Optional Reviewer</td>
<td>Optional reviewer of PACs. Can provide additional information, but does not interrupt workflows.</td>
</tr>
<tr>
<td>PA Required Reviewer</td>
<td>Required Reviewer of PACs. Required for workflow.</td>
</tr>
<tr>
<td>PA HD Executor</td>
<td>Final Home Department signoff.</td>
</tr>
<tr>
<td>SigAuthPAF</td>
<td>Final cost center signoff.</td>
</tr>
<tr>
<td>Certifier</td>
<td>Automatically notified for certification action</td>
</tr>
</tbody>
</table>

ePAC user roles are assigned using Privilege Management System.
1.13 ePAC Effective Date

Every EDC requires an effective date. In order to initiate an EDC, a current or future date must be entered in the Effective Date field and the Go button must be clicked to enable editing for the new distribution(s). The system does not provide a default date. If the date entered is past the EDC payroll deadline, an error message will appear after clicking the Go button (see Figure 1.10). To continue, the user must enter a date within the payroll deadline or a future date.

Figure 1.13
2.0 The Distributions Worklist and Distribution Search Tab

The Distributions Worklist is the first screen displayed after logging into ePAC or clicking the Distribution Change tab from the Job and Position page.

An Initiator will see PACs that they have submitted and are awaiting review or approval by others in the workflow. Incomplete PACs in workflow remain in the Initiator’s Distributions Worklist until they reach completion. Saved and Rejected PACs will remain in the Initiator’s Worklist until the initiator takes action.

If a user needs to see history or PACs not in their Distributions Worklist, the Distributions Search tab provides a way to search for a current as well as a historical list of the PACs to which they have direct or inherited access in any status. Another use of the Distribution Search tab includes monitoring the progress of a PAC when the user is not an Initiator. The Distribution Search provides an easy way to manage access and navigate among PACs as an Initiator and Direct or Inherited Approver.

After completing this section, the user will be able to:

- Track PACs until completed or review PACs in any status
- Access PACs through the Distributions Worklist or Distribution Search
- Search for PACs using the Distributions Search tab
- Understand the search criteria from the Distributions Search tab
- Sort results from a Distribution Search

2.1 Track Incomplete Distribution PACs using the Distributions Worklist or the PAC Summary Page

Users can determine where a PAC is in workflow by looking at the Distributions Worklist. The distributions worklist reflects current PAC status and the reviewers and/or executors needing to approve the PAC. Each PAC contains information specific to the transaction (see Figure 2.1A).

1. Employee Name – this field contains the employee name
2. Employee ID – this field contains the employee’s 7 digit ID number
3. Effective Date – the date the distribution change occurs
4. Distribution Type – EDC or RDC
5. Status – the status of the PAC
6. Reviewers – any required (or optional) reviewers for PAC approval
7. Executors – any required executors for PAC approval
8. Rcd # - the HR PeopleSoft record number
9. Submitted Date – the date the PAC was submitted into workflow for approval
10. Sub Seq – an application system number that will identify PACs that have been rejected and resubmitted
11. Last Modified By – the VuNet ID of the person who last modified the PAC
12. Initiator Name – the name of the person who initiated the PAC
Refer to Appendix B to see the Glossary of ePAC Statuses, a complete list of status names, definitions, and the workflow around each status.

Once a PAC completes workflow it disappears from the Distributions Worklist.

Figure 2.1A

To track reviewer and executor approvals, the Distributions Worklist provides dropdown lists to show who has agreed with or approved the PAC. The Status column on the Worklist indicates what roles need to sign off on the PAC. If there are any required reviewers, these approvals must be completed first before the PAC will show up in the required Executors worklist. To determine the progress of the PAC, you can either click the drop down arrow on the Distributions Worklist (see Figure 2.1B) or open the Approvers Section on the PAC Summary Page (see Section 3.9, Figure 3.9).

The display of names in the Reviewers drop down list allows the user to review:

1. Who has approved the PAC to date.
   a. The Reviewers box will display the number of required reviewers for PAC approval. By clicking on the drop down arrow, the optional (O) and required (R) reviewers will be listed.
   b. The Executors box will display the number of required executors for PAC approval. By clicking on the drop down arrow, the center (C) and home department (H) approvers will be listed.

2. How long the PAC has been in process - Submitted Date column.

3. Who initiated the PAC – Initiator Name column.

4. Whether the PAC is an earnings distribution change or a retro distribution change – Distr Type column.

As shown in Figure 2.1B, once the Reviewers box shows 1 of 1, the status of the PAC will change to Pending Executor Approval. The PAC will stay in this status until all six required executors have approved the PAC. Once this has occurred and there has been a change to a federally funded center, the status will change to Pending Certifier Approval. This PAC status automatically initiates an e-mail notification to the employee notifying him/her that action is required to complete the PAC.
This information is important for individuals in roles of Initiator, Optional Reviewer (O), Required Reviewer (R), SigAuth PAF (C), and HD (H) Executors to determine if they need to take any action to expedite a PAC. (see Appendix A, Glossary of ePAC Roles) Some examples of actions steps are:

- The Initiator may review the effective date of pending PACs to determine if the PACs can be completed in time to meet the payroll deadline. If a PAC is not approved prior to the deadline, it may be necessary to initiate a separate retroactive distribution change (RDC) to correct the earnings distribution for the period that was missed.
- The Initiator may decide to have conversations with Reviewers or Executors to speed the PACs completion.
- The Initiator may determine that a certification/approval needs to occur in order to complete the PAC.

The information on the Distributions Worklist screen is intended to help the user make decisions about next steps without leaving the application or viewing many screens.
2.2 Search by the Distributions Search

An Initiator may have more than one PAC in the system. Utilizing the Search Distributions tab, the initiator can filter the Distributions Worklist results to return PACs by the initiator, employee name, employee Id, or PAC status. Search criteria have the following options to filter search results:

- Initiator Name (begins with).
- Employee Name (begins with, contains).
- Employee ID (equals).
- Status (auto rejected, completed, pending certifier approval, pending executor approval, pending PA accountant approval, pending PA cost transfer approval, pending review, rejected, or saved).

In circumstances when an assigned approver is not available to approve a PAC, an Inherited Approver can take action on the PAC. Because the PAC will not appear in the Inherited Approver’s Worklist, the Inherited Approver must access the PAC using the Search Distributions tab. Once the search for the employee is completed, the Inherited Approver may open the PAC by clicking on the Employee Name and Approve or Reject the PAC in the same manner as other Approvers (see Section 5.4).

2.3 Retrieve a Distribution Change from the Distributions Search

All users who can initiate or process a PAC will have a Distributions Search tab on their Personnel Action Change screen. After clicking on the tab, there are four search keys in the Search section that can be used to find a PAC—Initiator Name, Employee Name, Employee ID, and Status.

- A search by Initiator or Employee Name - The search criterion for a name is Begins With. At least two letters of the last name must be entered before selecting the Search button.
- A search by Employee ID – The search criterion for an employee Id is equals. The correct seven digits of the employee’s Id must be entered before selecting the Search button.
- A search by Status – The search criteria is Equals or Not Equals and the user is given a list of statuses to select one or more criteria.
- To select more than one Status for the desired results, hold down the Ctrl key on the keyboard and click on the choices in the Status list.
- To select all Statuses, select the first item in the Status list, hold down the Shift key and select the last item. All items in the Status list will be highlighted.
The search results from the Distributions Search will return the following information for each PAC that meets the criteria:

- Initiator Name
- Employee Name
- Employee ID
- Effective Date
- Distribution Type (Earnings Distribution Change or Retroactive Distribution Change).
- Status
- Employee Record Number (Rcd #)
- Submitted Date
- Submit Sequence (Sub Seq)
- Last Modified By [VUnetID]

The user can sort the results by any of the column headings by clicking on the column title. One click will sort in ascending order; a second click will sort the column in descending order.
View any individual PAC by clicking on the Employee Name. The Earnings Distribution Summary or Retroactive Earnings Distribution Summary screen for the transaction will appear. Note that the Status field on the screen will match that of the Distributions Search and the PAC will contain action buttons that correspond to the users assigned roles within ePAC.

Transactions returned from the Distributions Search with a status of Completed may not be resubmitted from the Earnings Distribution Summary or Retroactive Job Earnings Distribution Summary screens. If necessary, a new PAC must be generated by the Initiator.

The Distribution Search will return all distribution changes (EDCs and RDCs) that meet the criteria entered into the search fields; however the user will only be able to access (open) PACs where he/she has security access. When attempting to open a PAC that is not in the user’s purview, the application will display this message:

You do not have access to view this PAC.

Search results can be narrowed by entering more specific search criteria for Employee Name. For Employee Name, searching by “Smith, Ca” should be used instead of “Smit” or “Smith” to narrow your results.
Search Results by employee may include names of individuals that the user does not have permission to access.

Search Results can be sorted in ascending or descending order by clicking on any of the column headings.
3.0 Initiate an Earnings Distribution Change

When employees are hired at Vanderbilt, their earnings must be allocated to one or more centers on a Personnel Action Form (PAF). The department administrator, in close collaboration with others in the department, determines how the employee’s earnings will be distributed between cost centers. Most employees have 100% of their earnings charged to one cost center and job code. Many employees, however, allocate their earnings among more than one center, especially those who work on research projects. When a person’s effort changes, the centers to which their earnings are allocated may change or the percentage charged to centers may change. This is called an Earnings Distribution Change (EDC) and requires approval and submission through the University’s established HR processes. ePAC is used to electronically initiate, communicate, and authorize EDCs.

The ePAC role that begins an EDC is the Initiator’s role. The Initiator has the ability to monitor the progress of the EDC through her/his Distributions Worklist until the EDC has been completed.

After completing this section, the user will understand how to:

- Initiate an EDC
- View actual labor distributions
- Cancel an EDC
- Save an EDC
- Continue an EDC
- Edit a saved EDC
- Delete an EDC
- Verify an EDC
- Submit an EDC
- Identify required approvals
- Attach supporting documents
- Understand the ePAC effective date
- Take action on an auto-rejected EDC
- Enter cost share information for distribution(s)

- Not all of these actions will be performed on each EDC.
- All faculty and staff EDCs are processed through ePAC—exempt, non-exempt, and faculty.
3.1 Initiate (Create) an Earnings Distribution Change

The Initiator begins by searching for the employee through the search tool at the top of the Distributions Change home page. Once the search is completed, the employee record for which the Earnings Distribution Change (EDC) will be initiated can be accessed by clicking on the name of the employee in the search results. This action launches the ePAC Distribution Edit screen. This screen displays the Current Distribution and a New Distribution column where the appropriate distribution change is made as shown in Figure 3.1.

To initiate a change, the Effective Date box must first be entered in order to make any distribution changes. Once the date for the distribution change has been entered, Click the Go button. Clicking the Go button will inform the initiator if the Effective Date entered is beyond the Payroll Deadline Date. It also enables the New Distribution columns allowing editing of distribution changes.

The PAC Status will remain blank until the EDC is either Saved or Submitted into workflow.

For employees with VA salary, a message appears to notify the initiator that the target minimum Cost Share percentage(s) and dollars calculated based on the VU Comp Rate. The Initiator will need to review and adjust the cost share percentages according to institutional guidelines.

The Initiator should answer the following questions as they complete the New Distribution column of the EDC:

1. **What day will the change take effect?** - Enter the effective date on which the distribution change will occur. (see Section 3.11 Understand the ePAC Effective Date).
2. **Is there a new cost center involved?** – If so, click on the Green + (plus) button in the last row of the Salary Distribution section to add a new row. Enter the 10-digit center number for the new center number without hyphens and then enter the percentage of earnings to be allocated to the new center.

3. **Is there a change to an existing cost center (%) distribution?** – Click in the New Distrib box of the center number to be changed and input the amount of the new distribution. When the user clicks outside the percentage box, ePAC will recalculate the total percent distributed. The total distribution must equal 100% before the PAC can be submitted into workflow. The user may however; save a distribution that does not equal 100%.

4. **Is there a cost center to be deleted?** – Existing cost centers may not be deleted. If a distribution is no longer associated with an existing cost center, then simply enter zero in the new distribution box. To delete rows added using the Green + (plus), click the Red – (minus) button on the row to be deleted. By clicking on this button, the distribution of that row’s cost center will be eliminated.

5. **Should the edits be saved, cancelled, or continued without saving?** – The rest of this section will answer this question.

   EPAC incorporates data validation rules and will not allow the user to Continue until all essential or valid information is provided. For example, if a cost center is not active in the GL, a message will appear beside the center in red to indicate the issue.

   If the effective date is within the current open pay period but after the ePAC Payroll Deadline Date for the current pay period, the EDC cannot be submitted into the system. In such cases, the effective date can be changed to a date in the next pay period to address future earnings distributions if necessary. In some cases a retroactive distribution change (RDC) will need to be initiated particularly if effort certification is affected.

### 3.2 Cancel a Distribution Change

After initiating an EDC, the Initiator may decide that they do not want to complete the PAC and do not want to submit or save the entries of this session. This is can be accomplished by clicking on the Cancel button at the bottom of the ePAC Distribution Edit screen. After clicking the Cancel button, the screen will return the user to the screen they were on prior to opening the ePAC Distribution Edit screen.

### 3.3 Save a Distribution Change

The Save button is used to save the New Distribution for later completion. The PAC will stay in the Initiator’s Distributions Worklist with a Saved status as a task to be completed.
3.4 Continue a Distribution Change

The Continue button is used when all editing is completed on the EDC, and the Initiator is ready to submit the PAC to workflow so that approvals can begin. Clicking the Continue button also saves the PAC and performs validations on cost centers and the new distribution percentage(s). After clicking the Continue button, an Earnings Distribution Summary screen is displayed asking the initiator to verify the accuracy of the distribution changes made. To submit the PAC into workflow, click the green Submit button at the bottom of the screen (see Figure 3.4).

![Figure 3.4](image-url)

### Earnings Distribution Summary

- **Name**: [Name]
- **Record #**: [Record #]
- **Home Dept.**: [Department]
- **Effective Date**: 01/01/2023

<table>
<thead>
<tr>
<th>Center</th>
<th>Center Description</th>
<th>Center Title</th>
<th>Center Temp. Period</th>
<th>Center Code</th>
<th>Actual</th>
<th>Current Distribution</th>
<th>New Distribution</th>
<th>New Distribution Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011470001</td>
<td>INTEGRIS MEDICAL ADMINISTRATION</td>
<td>INTEGRIS MEDICAL ADMINISTRATION</td>
<td>2011-01-01 to 2012-12-31</td>
<td>INTEGRIS MEDICAL ADMINISTRATION</td>
<td>$50,000</td>
<td>50.00%</td>
<td>40.00%</td>
<td>-10.00%</td>
</tr>
<tr>
<td>100400002</td>
<td>INTEGRIS OPERATING BUDGET DIVISION</td>
<td>JOHNSON</td>
<td>2011-01-01 to 2012-12-31</td>
<td>JOHNSON</td>
<td>$50,000</td>
<td>50.00%</td>
<td>60.00%</td>
<td>10.00%</td>
</tr>
</tbody>
</table>

**Total**: 100.00% 0.00%

### Approvals

- **Approver**: [Name]
- **Approval Date**: [Date]
- **Status**: [Status]
- **Comment**: [Comment]

### Inherited Approvals

- **Approver**: [Name]
- **Approval Date**: [Date]
- **Status**: [Status]
- **Comment**: [Comment]

### Attachments

- **File Name**: [File Name]
- **Download**: [Download]
- **Submit**: [Submit]

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3.5 Edit a Saved Distribution Change

An Initiator may decide to make a change after the Continue or Save button has been applied but before the Submit button has been clicked. To make a change from the Earnings Distribution Summary screen, click the Edit button. This returns the initiator to the edit screen. To edit a saved Distribution Change from the distributions worklist, the Initiator can make the changes by opening the PAC and then clicking the Edit button at the bottom of the screen (see Figure 3.5).

By selecting the Edit button the ePAC Distribution Edit screen will reopen and changes can be made (see Section 3.1, Initiate (Create) a Distribution Change).

3.6 Delete an Earnings Distribution Change

EDCs not in Workflow (Saved or Rejected) can be deleted by using the Delete button at the bottom of the Earnings Distribution Summary screen, if it is determined that the EDC is no longer necessary.
3.7 Verify a Distribution Change

Once the Continue button has been clicked, the Earnings Distribution Summary screen (see Figure 3.7) will appear with a message asking the user to verify the accuracy of the PAC and to Submit it into the approval workflow.

3.8 Submit a Distribution Change

After the Initiator has confirmed that the information is correct and is ready to be routed through workflow for approvals, the user will click the Submit button located at the bottom of the screen (see Figure 3.8)

Once the distribution changes are submitted into workflow, the PAC is assigned a Pending Review status when there is at least one Required Reviewer or a Pending Executor Approval status if there are no Required Reviewers. The EDC will remain in the Initiator’s Distributions Worklist throughout the workflow approval process. Once the PAC is complete it will drop off all worklists.
If a PAC is rejected at any stage of the workflow approval process, the Initiator can (a) resubmit the PAC with no changes, (b) edit and resubmit the PAC with changes or (c) delete the PAC.
3.9 Identify Required Approvals & Approvers

The ePAC Distribution Summary screen contains three sections called Approvals, Approvers and Inherited Approvers. Clicking on the Plus (+) will expand each section to provide a list of approvers under each node (see Figure 3.9).

To display the Approvers who have taken action on the PAC click the View Approvals check box at the top of the section. This section informs the user of the approvals that have occurred in the workflow process.

The next section called the Approvers section provides all of the individuals authorized to approve the PAC at each node. To display all the individuals authorized to approve the PAC, click the View Approvers check box at the top of the section (see figure 3.9). To identify which approvals are still needed to complete the PAC, view the actions already taken in the Approvals section in conjunction with viewing the individuals who can act on the PAC in the Approvers section.

There may be circumstances when an assigned approver is not available to approve a PAC. In these cases, a list of Inherited Approvers is available that can take action on the PAC. This list can be seen by checking the View Inherited Approvers box (see Figure 3.9) in the Inherited Approvers section. This will expand a list of the same Nodes shown in the Approvers section and provide the Name, VuNet Id, and Inherited From columns. From this listing, the Initiator may contact the Inherited Approver and request action be taken.

Figure 3.9
The Inherited Approvers section holds the names of individuals who can fulfill the roles of the PAC Approvers, serving as backup approvers.

3.10 Attach Supporting Documents

The last section of the Earnings Distribution Summary screen is used to attach any required documentation. It is recommended that all EDCs be submitted with documentation as required by Vanderbilt policy.

The steps to attach a document are:

1. Click on the Add New Attachment button in the Attachments section.

2. When the Attachment Upload screen appears either type in the file path and name or Browse for the file(s) to be attached. The user can attach up to four (4) files to the PAC at one time.

3. Click on the Upload Files button when the files have been selected.

   - The user may repeat the process to attach more files.
3.11 Understanding the ePAC Effective Date

Every EDC requires an effective date. The system does not provide a default date. For EDCs, an effective date must be entered and the Go button clicked before distribution changes can be made (see Section 3.4, Continue a Distribution Change). RDCs do not require an effective date to be submitted into the system, but display and allow record changes to prior pay periods.

There are three types of effective dates:

1. **Current pay period** – an effective date within the employee’s current open pay period. Although pay periods vary by pay groups, the effective date of a current EDC must be within the open pay period for the specific pay group of the employee for whom the PAC is created. Examples of pay groups are Medical Center Biweekly (MBB), University Exempt (UM1), and Medical Center Exempt (MM1).
2. **Future pay period** – an effective date on or after the first day of the next pay period for the employee’s specific pay group.
3. **Retroactive pay period** – a pay period prior to the first day of the current open period. Any change impacting closed pay periods must be made through a Retroactive Distribution Change (RDC), (see Section 4.0, Initiate a Retroactive Distribution Change).

3.12 Understanding the ePAC Payroll Processing Deadline and System Auto Reject

Deadline dates for all pay groups and pay periods, by which a PAC must be completed, are included in the system to ensure that all changes are processed for the next Payroll Cycle after the Current Open Pay Period closes. The purpose of a deadline is to assure that personnel action changes have been properly approved and recorded in HR PeopleSoft in time for the current pay period earnings to be processed as requested.

Depending on the type of ePAC transaction, the following important points should be noted related to the ePAC deadline:

1. If the Initiator creates a PAC with an effective date in a current or future period, the PAC must be completed in its entirety--from Submit action to the Approve actions of all approvers before the ePAC Payroll Deadline Date. If the deadline is missed (4 days before paycheck date), the system will automatically reject the incomplete PAC to the Initiator for future handling. The Initiator may then change the date to be within a future period and/or initiate a retroactive change.

2. The Initiator should monitor the progress of PACs to ensure that a PAC is approved by all required reviewers and approvers before the deadline (4 days before paycheck date). Once a PAC is rejected by the system, the PAC Status field will change to Auto-Rejected in the Initiator’s Distributions Worklist. The rejected PAC will be removed from all other Worklists except the Initiator’s. The Initiator may then edit the effective date and resubmit the EDC into workflow with a new effective date. The EDC will begin the approval process over again.

Auto-Rejected EDCs can be resubmitted with an effective date for the next open pay period. A rejected EDC may require the submission of a Retroactive Distribution Change (RDC) for the pay period missed (see Section 4.8, ...
Review a RDC Journal Entry). Additionally, the user can initiate a new EDC for the next current open pay period or any future periods.

### 3.13 Entering Cost Share Funding on a Distribution Change

All cost share funding information has been pre-populated into ePAC. The Earnings Distribution Edit panel header includes an employee’s VA salary, if applicable (not included in VU Comp Rate), Current Cost Share % Total, and Current Cost Share Amount Total. For sponsored centers governed by the NIH salary cap, when an individual’s salary exceeds the salary cap, the Earnings Distribution Edit screen (see Figure 3.13) provides the following information:

- A target effort for the center (defaults to the total effort/center current record) may be edited to change the target minimum cost share and target direct effort
- A target minimum cost share percentage
- A target direct effort percentage
- A minimum cost share dollar amount

In addition, the Earnings Distribution Edit screen provides the Total Center effort for centers with both primary and cost share job code rows. For a cost share job code row, a Cost Share Funding Source(s) box is pre-populated with the current cost share funding distribution(s). By default, all Cost Share Funding Source boxes are collapsed. To expand these boxes, click the View All Cost Share Sections. To view individual boxes, click the View Cost Share beside each Cost Share Funding Source(s) box.
The target minimum cost share percent and target direct effort are calculated based on the NIH salary cap and the individual’s VU compensation rate. The NIH salary cap is updated each January in the system to reflect the cap for the current calendar year.

### 3.14 One Click for EDC Approval

Some individuals may have more than one role in ePAC. There are two sets of approval roles for EDCs, required reviewers and executors. Executors include home department executors and Sig Auth PAFs. When you have two or more roles in the same category on one transaction, ePAC allows you to sign off one time, which applies your approval to all your roles on the PAC. For example, you could have both a home department executor and a Sig Auth PAF role. In addition, you could be a Sig Auth PAF on multiple centers on a PAC. When you approve the PAC as a home department executor it takes your signature for both the home department executor and Sig Auth PAF roles. However, in some instances you may have both a required reviewer role and an executor role. In these cases, you will have to approve the PAC twice – once by opening the PAC through the PA Reviewer Worklist and again by opening the PA Executor Worklist after approving as a required reviewer.
4.0 Initiate a Retroactive Distribution Change

When an adjustment needs to be made to one or more closed pay periods, the distribution change is called a Retroactive Distribution Change (RDC). As with any distribution change, ePAC is used to initiate, communicate, and authorize the RDC. The outcome of an approved RDC is as follows:

- Each pay period affected by the change will have the distribution of percentages and paid dollars reallocated.
- ePAC allocates earnings by base earnings identified for recording effort, special pay and adjustments, and supplemental earnings.
- An accounting journal entry will be generated and electronically sent to the general ledger following final approval of the change(s).
- Adjustments to base hours with associated premium pay, such as shift differential, within the same earnings period, will result in a prorated move of the premium hours based on the hours adjusted.
- The faculty/staff member will be required to certify the effort for each of the pay periods reallocated if federally funded effort is changed.
- After ninety (90) days, a late cost transfer memo must be attached to the RDC before central accounting approvals are made.

Retroactive Distribution Changes (RDCs) are made in ePAC for faculty, exempt and non-exempt staff.

After completing this section, the user will be able to:

- Conduct a search to retrieve an employee’s pay periods for change(s)
- Initiate a change within existing centers
- Initiate a change to add a new center
- Initiate a change to zero out earnings in an existing center
- Understand the differences between base earnings, supplemental earnings, and special pay and adjustments
- Use the Apply All functionality for making changes to multiple pay periods
- Use the Balance functionality for redistribution of rounding to multiple centers
- Understand the ePAC validation rules for a RDC
- Review the RDC journal entry
- Enter a Cost Transfer Justification
- Attach a document to the RDC
- Edit a RDC
- Save a RDC
- Cancel a RDC
- Continue a RDC
- Submit a RDC
- Verify a RDC
- Delete a RDC
- Identify the required approvals for a RDC
- Adjust Cost Share Funding on a RDC
4.1 Conduct a RDC Search to Retrieve an Employee Record

The user can locate an employee’s pay periods by using criteria related to the employee’s information or by a specific center to which prior pay period earnings have been distributed (see Section 1.6 and 1.7, Search for an Employee or Department of Employees or Search for an Employee by Cost Center).

The steps to retrieve an employee record to initiate a RDC from the Distributions screen are:

1. Select the RDC option from the first drop down under Start a Distribution Change (see Figure 4.1A). This will change the search criteria from EDCs to RDCs.

2. ePAC will then offer the user the ability to search the system by Employee ID (equals), Employee Name (begins with or contains) or Center (equals).

3. Enter the search detail criterion in the last box on the first row.

4. For RDCs, a second search row is added to enter the Pay End Date criteria. The search date criterion can be either Equals for the specific pay end date or Between for a range of dates that the pay end dates may fall between.

5. Click on the Search button to return an employee or list of employees that meet the selected criteria. Search results by center may include names of individuals that the user does not have permission to access. These names are displayed without a hyperlink and cannot be clicked on. A list of Initiators is provided in the center search results. This can be used to contact an Initiator that has access to change the distribution of a specific person.

Figure 4.1A

When a range is used to search for the Pay End Date, ePAC may return more than one period that may be reallocated. If the Initiator adjusts only one of the returned periods, the other periods will continue to display on the Retroactive Job Earnings Distribution Edit screen until the RDC is submitted into workflow.
When the user has selected the employee from the Search Results for whom they wish to initiate the RDC, the Retroactive Job Earnings Distribution Edit screen will appear (see Figure 4.1B). It is from this screen that a RDC is initiated. If the search returns an exact match, ePAC will display the Retroactive Job Earnings Distribution Edit screen of the employee with the appropriate pay periods.

**Figure 4.1B**

![Retroactive Job Earnings Distribution Edit](image)

### 4.2 Changing Distributions for Prior Pay Periods

A RDC is required when a redistribution of allocation between existing or new centers is required for an employee’s time that has been charged to prior pay periods. There are three different earnings sections on the Retroactive Job Earnings Distribution Edit screen for changing any redistribution of earnings for a given prior pay period. The three payment distribution sections separate section for base earnings used for recording effort, a section for special pay and adjustments, and a section for supplemental earnings (see Figure 4.2A).

Cost share functionality was added to ePAC beginning 4/1/2009. Prior pay periods will not show cost share funding source(s) or provide the ability to change any funding source. Pay periods ending on or after April 1 will show cost share funding source(s) and provide the ability to change any funding source.

As shown in Figure 4.2A, retroactive changes for exempt employees in the base earnings section require changes to percentages in the New Distr % column. Retroactive changes for exempt employees in the special pay and adjustments or supplemental earnings section require dollar amount changes. For biweekly or weekly employee retroactive changes in the base earnings section, changes require hourly adjustments in the New Hrs column (see Figure 4.2B).

If a pay period has previously been certified, each pay period returned from the search criteria will have a notification indicating that the earnings period on that pay period has been previously certified and to check records for previous certifications.
The steps to change distributions are:

1. Determine the pay period(s) where retroactive earnings distributions are needed.

2. To make changes for exempt employees within existing centers, edit the required percentage adjustments within the base earnings section. For adjustments in the special pay and adjustments or the supplemental earnings section, adjust the dollar amount in the New Pd Amt column. To make changes for non-exempt employees within existing centers, edit the required New Hrs column.

3. To initiate a change to add new cost centers, click the Green + (Plus) box to the far right next to the Trans Amt column. Enter the exact ten-digit cost center number without any hyphens in the Center column and tab out of the box. Upon tabbing out of the box, the Center Description field will populate. If the center is a restricted (beginning with a 4) cost center, a cost share job code drop down box will display just as it occurs on the Earnings Distribution Change Edit screen.

4. ePAC does not allow deletion of the existing distribution line. To initiate a change to zero out earnings in an existing center, enter 0 in the New Distr %, New Hrs or New Pd Amt column(s).

5. When multiple pay periods are returned for either biweekly, weekly, or monthly employees, there is an Apply All function that allows the initiator to apply the changes made in the first pay period to the other pay periods on the Retroactive Job Earnings Distribution screen by clicking Apply All as shown below. The Apply All functionality will only adjust pay periods that have the same distribution(s) as the first pay period.

6. In certain cases, the calculated adjustments for the journal entry that ePAC generates (Trans Amt), will show penny differences. In these instances, you may either click the Balance option to review the balances (see below), or you may click the Continue button to correct any rounding differences. ePAC will automatically adjust federal centers first by applying rounding calculations to non-federal centers followed by fiscal centers.
7. After clicking the Continue button, the Retroactive Job Earnings Distribution Summary screen opens. At this point, the RDC calculates the Journal Entry to be recorded in the GL as effort in Waldo. This screen provides seven different sections. The Cost Transfer Justification is a required section to be completed by the Initiator before the PAC can be submitted into workflow (see Section 4.9).

8. The system generated journal entry and JEID number is provided in the Journal Entry section. The section can be expanded to show what will be sent to the General Ledger by clicking the View Journal Entry box (see Section 4.8).

9. The Approvals, Approvers, and Inherited Approvers are identical and function the same way as the section seen on the Earnings Distribution Summary screen (see Section 4.10).

Figure 4.2A
View of the edit screen when making distribution changes for an exempt employee

Figure 4.2B
View of the edit screen when making distribution changes for an hourly employee
4.3 ePAC Retroactive Distribution Change Validation Rules

To assure that the RDC is accurate and complete, the system uses validation rules that are checked when the Initiator selects the Continue or Submit button. ePAC will not allow a RDC into the workflow process until the following criteria have been met:

1. The center number must be valid in the GL and the field for the center number cannot be blank or incomplete.
2. A reason must be given to justify a cost transfer in the Cost Transfer Justification box. A Cost Transfer is defined as the journal entry that transfers the cost of the time being adjusted from one cost center to another.
3. The sum of the transaction amount adjusted from one or multiple centers to other centers within the same earnings section must equal zero.
4. Negative adjustments can only be made in the Special Pay Adjustments or the Supplemental Earnings sections where all distributions are negative.

Remember – before initiating a RDC for anyone, you have to wait until a faculty/staff member’s effort has posted to the General Ledger and reflected in ePAC. In other words, when initiating a RDC, the effort/distributions must be in ePAC before any change can be initiated.

ePAC and WALDO populate effort as follows:

- Monthly effort is interfaced to ePAC on the night of the check date.
- Non-exempt effort is interfaced to ePAC on the Saturday night after the check date. An exception to this date is when a non-exempt check date falls in the week of and on a day before a monthly check date. If that occurs, the non-exempt and monthly effort will be interfaced together on the night of the monthly check date.

4.4 Cancel a Retroactive Distribution Change

Selecting the Cancel button at the bottom of the Retroactive Job Earnings Distribution Edit screen (see Figure 4.1B) or Retroactive Job Earnings Distribution Summary screen will take the user back to the previous screen, canceling the most recent edits.

4.5 Save a Retroactive Distribution Change – Edit Screen

A RDC can be saved by selecting the Save button at the bottom of the Retroactive Job Earnings Distribution Edit screen, which will save the data in the RDC. The user can return to the RDC from the Distributions Worklist to complete at a later time. The Status field of the RDC on the Worklist will be Saved. Saving the RDC does not run any of the validation rules.
4.6 Continue a Retroactive Distribution Change

Selecting the Continue button at the bottom of the Retroactive Job Earnings Distribution Edit screen will save the RDC and it will trigger the Validation Rules to ensure correctness. If any of the rules in Section 4.3 are not met, a red error message will appear at the top of the Retroactive Job Earnings Distribution Summary screen as well as where the error occurred to assist the user in making the proper correction(s).

One exception is the cost transfer justification requirement, which is validated after clicking the Submit button (see below).
4.7 Verify a Retroactive Distribution Change

Once the Continue button has been clicked for a RDC without cost share being changed, the Retroactive Job Earnings Distribution Summary screen will appear with a message asking the user to verify the accuracy of the Adjusted Labor Distribution and to Submit the RDC to workflow. If there are changes to pay periods that are on a RDC already in Workflow, a warning message will appear and the PAC will not be allowed into Workflow (see Figure 4.7A). Clicking the Continue button opens the Retroactive Job Earnings Distribution Summary screen for the pay periods where changes have been made.

Figure 4.7A

---

**Retroactive Job Earnings Distribution Summary**

When RDC changes involve any pay periods after April 1, 2009 and the change results in cost share being adjusted, there is a different validation that occurs. Clicking the Continue button opens the Retroactive Job Earnings Distribution Summary screen for the pay periods and validates against the minimum cost share percentage for each cost center change (see Figure 4.7B). When the new cost share adjustment for a federal center is less than the original cost share proportion, the message warns that the new distribution has changed the original cost share proportion and should be reviewed. However, the warning will not prohibit the RDC from being submitted into workflow.

Figure 4.7B

---

Please review the cost share on Center 4042320571 in pay period ending 11/30/2009 and earning period ending 11/30/2009. The new distribution is less than the original cost share proportion. To maintain the original cost share proportion, cost share at least 20.05%.
4.8 Review a RDC Journal Entry

If the Initiator selects the Continue button, ePAC automatically generates a journal entry that will be posted to the GL to reallocate the dollars once the RDC is completed. The user can display the entry by checking the View Journal Entry box in the Journal Entry section (see Figure 4.8).

ePAC automatically generates the following information:

1. Creates the Debits and Credits for each cost center and account number to reallocate the cost including fringe benefits.
2. Generates the appropriate fringe benefit debit or credit for both federal and non-federal centers.
3. Assigns a Transaction Description. This description reflects the seven-digit Employee ID, the Employee Record Number, and the Pay End Date, placing a space between each of these three identifiers.
4. Assigns an Additional Description. This description is comprised of the system assigned PAC ID and the earnings code.
5. Assigns a Journal Entry Identification (JEID) number, which is a unique identifier for the journal entry.

Figure 4.8

<table>
<thead>
<tr>
<th>Journal Entry</th>
<th>View Journal Entry</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Transaction ID</strong></td>
<td><strong>Additional Description</strong></td>
</tr>
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<td>RDC0051350 1RE</td>
</tr>
<tr>
<td>6051350 042009</td>
<td>RDC0051350 1FRD</td>
</tr>
<tr>
<td>6051350 043009</td>
<td>RDC0051350 1FRD</td>
</tr>
<tr>
<td>6051350 043009</td>
<td>RDC0051350 1JTCE</td>
</tr>
<tr>
<td>6051350 043009</td>
<td>RDC0051350 1FRD</td>
</tr>
<tr>
<td>6051350 043009</td>
<td>RDC0051350 1FRD</td>
</tr>
</tbody>
</table>

4.9 Enter a Cost Transfer Justification

The Initiator of the RDC is required to enter an explanation for the distribution changes being made in the Cost Transfer Justification section (see Figure 4.9). The justification can be typed as free text. Additional documentation may be required by Vanderbilt policy and can be attached to the RDC (see section 4.11). The university cost transfer guidelines can be found at:

http://www.vanderbilt.edu/ocga/vupolicies/costtransfers/costtransfer.htm or


Figure 4.9

Cost Transfer Justification

Staff member worked additional hours for MBE Education Programs for this period to meet the project renewal deadline.
The HD Executor, PA Cost Transfer Approver, and PA Accountant roles have the ability, but are not required, to edit the Cost Transfer Justification box. The SigAuth PAF, Optional and Required Reviewers roles cannot edit the section.

4.10 Identify Required Approvers & Inherited Approvers

The bottom of the Retroactive Job Earnings Distribution Summary screen also holds a section called Approvers. This area of the screen informs the user of the levels and people with authorization to approve this PAC after it is submitted into workflow.

To view the actual names of who can fulfill each role, the user will click on the + (plus) at the beginning of each row. This list can be used to ensure that the right conversations occur along the path of getting any PAC approved. The Inherited Approvers section holds the names of people who can fulfill the roles in the PAC Approvals, serving as backup approvers for the PAC. Click the View Inherited Approvers box to view the backup approvers.

4.11 Attach Supporting Documents

The last section of the Retroactive Job Earnings Distribution Summary screen is used to attach any required documentation. It is recommended that all RDCs be submitted with documentation as required by Vanderbilt policy such as the Cost Transfer Policy.

The steps to attach a document are:

1. Click on the Add New Attachment button in the Attachments section.

2. When the Attachment Upload screen appears either type in the file path and name or Browse for the file(s) to be attached. The user can attach up to four (4) files to the PAC at one time.

3. Click on the Upload Files button when the files have been selected.

- The user may repeat the process to attach more files.
- All file attachments are acceptable except for .exe, .vbs, .bat, .sh, .js, .zip, .rar, .gz, .Z, .com, .pif, .mp3, .avi, .mpg, .mpeg, .mov, .bmp, and .wma. The current size limitations are 4mb for a single attachment and 20 mb for a single PAC.

4.12 Edit a Retroactive Distribution Change

An RDC can be edited before submission. Selecting the Edit button at the bottom of the Retroactive Job Earnings Distribution Summary screen will reopen the RDC for modifications.

4.13 Delete a Retroactive Distribution Change

RDCs not in Workflow (Saved or Rejected) can be deleted by using the Delete button at the bottom of the Retroactive Earnings Distribution Summary screen, if it is determined that the RDC is no longer necessary.

4.14 Submit a Retroactive Distribution Change

Selecting the Submit button at the bottom of the Retroactive Job Earnings Distribution Summary screen will complete the initiating process for a RDC. If the PAC requires approval from at least one Required Reviewer, the PAC is assigned a status of Pending Review. If there are no Required Reviewers, then the PAC is assigned a status of Pending Executor Approval. The RDC remains on the Initiator’s Distributions Worklist through the workflow approval process. Once Submit is clicked, the Validation Rules are once again checked by the system. Submission into workflow will not be accomplished until all rules are satisfied. Once the RDC goes into workflow, any unchanged pay periods will fall off the RDC since only the changed pay periods require approval and/or certification.

4.15 One Click for RDC Approval

Some individuals may have more than one role in ePAC. There are two sets of approval roles for RDCs, required reviewers and executors. Executors include home department executors and Sig Auth PAFs. When you have two or more roles in the same category on one transaction, ePAC allows you to sign off one time, which applies your approval to all your roles on the PAC. For example, you could have both a home department executor and a Sig Auth PAF role. In addition, you could be a Sig Auth PAF on multiple centers on a PAC. When you approve the PAC as a home department executor it takes your signature for both the home department executor and Sig Auth PAF roles. However, in some instances you may have both a required reviewer role and an executor role. In these cases, you will have to approve the PAC twice – once by opening the PAC through the PA Reviewer Worklist and again by opening the PA Executor Worklist after approving as a required reviewer.
5.0 Departmental Approvals for a Distribution Change

After the Initiator has created a Personnel Action Change (PAC) to change an earnings distribution, there are potentially several reviewing and approving managers who review, approve, or reject the submitted distribution change, based upon role assignments made in the Privilege Management System. These role actions apply to both an Earnings Distribution Change (EDC) and a Retroactive Distribution Change (RDC). These reviewing roles are assigned at the Home Department and Center levels. The HD and Center(s) needing approval are also referred to as Nodes or Node Types. The levels fall into two categories and are defined as the following roles:

1. Reviewers
   a. Optional Reviewers – can review, agree, or disagree with the PAC and add comments. The department may choose whether or not to assign Optional Reviewers within their departments/units or centers. Within ePAC, individuals assigned as optional reviewers are assigned to the system role of Optional Reviewer.
   b. Required Reviewers - must approve or reject the PAC. Required Reviewers may be assigned to Home departments or cost centers.

2. Executors
   a. HD Approvers – must approve or reject the PAC at the home department level
   b. SigAuth PAF Approvers – must approve or reject the PAC at the cost center level

Role Names in Privilege Management:

- Personnel Action Reviewer- Required or Optional (PA Reviewer)
- Signature Authorization - Personnel Action Form (SigAuth PAF)
- Personnel Action Home Department Executor (PA HD Executor)

ePAC assures that the institutional approval rules for PAC authorization are completed before the information is sent to HR PeopleSoft to become effective.

The PAC will be sent to the next level of approval only after the previous level has been approved. If the PAC is rejected at any point in the approval process, the PAC will be removed from the Distributions Worklists of the remaining approvers and will be sent back to the Initiator to resolve.

This section will address how the above roles may handle a distribution change.

**After completing this section, the user will understand how to:**

- Agree or disagree with a distribution change as an Optional Reviewer
- Approve a distribution change as a Required Reviewer, Home Department Executor or SigAuth PAF Executor
- Comment on a distribution change
- Approve a PAC as an Inherited Reviewer or Executor
5.1 Review Options for a Distribution Change

One level of review for a PAC is an Optional Reviewer. This role serves the purpose of feedback in the form of an Agree or Disagree action. This is an optional level of review of an EDC or RDC. If the Optional Reviewer agrees or disagrees, the reviewer row of the PAC Approval section indicates their decision in the Action column (see Figure 5.1). If the Optional Reviewer disagrees, ePAC requires them to enter a Comment. The PAC, however, will not be stopped by a disagreement at this optional level of review.

The other level of review for a PAC is a Required Reviewer. The Required Reviewer can view a PAC on their Worklist at the same time as the Optional Reviewer. The Required Reviewer must Approve the PAC to advance it to the next level of approval. Of the two reviewers, only the Required Reviewer can reject a change and keep the PAC from advancing. The approval process will continue whether the Optional Reviewer agrees or disagrees.

Figure 5.1

- Departments may choose to use any combination of the reviewer roles within ePAC to best meet their department’s internal control needs. For example, departments may choose to:
  - Assign no reviewers
  - Assign both optional and required reviewers
  - Assign only required reviewers
- With the exception of the Optional Reviewer, when multiple persons in an approval role on a center or home department, once one person approves the PAC, it will be removed from the Distributions Worklist of the other persons assigned the same role. PACs will remain on the Worklist of the Optional Reviewer until (1) the HD Executors and Center approvers have approved the PAC, (2) the Optional Reviewer has taken action, or (3) any Required Reviewer or HD Executors and Center approvers have rejected the PAC. If the Optional Reviewer takes no action, the PAC will remain on the Optional Reviewer’s worklist until the approval or rejection of the PAC by the HD Executors and Center approvers.
5.2 Approval Workflow for a Distribution Change

As a PAC advances through the electronic workflow, it follows a sequential order of management authority. Each approver role/person listed in the Approvers section will receive the submitted PAC in their Distributions Worklist, beginning with the lowest level of approval to the highest level of approval. Individuals assigned at the lower level, the reviewer level, have the first opportunity to approve or reject the EDC or RDC on the ePAC Distribution Summary or Retroactive Job Earnings Distribution Summary screen. Once all of the required Reviewer approvals have been made, the PAC will be moved to the next level of approval and appear in the Distributions Worklist of the Executors. As shown in Figure 5.2, the Reviewers box will indicate reviewer approval (1 of 1 or 3 of 3) in the Initiator’s Distributions Worklist. The Initiator can track the progress of the PAC through the workflow by reviewing the Status field on their Worklist and who has approved the PAC from the Reviewers or Executors drop down box.

Figure 5.2

Listed below is the sequence level of review and the Status statements that will communicate where the PAC is in the workflow process.

<table>
<thead>
<tr>
<th>Sequence of Review</th>
<th>Role Name</th>
<th>Status Until Approve/Reject</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1</td>
<td>Required Reviewer</td>
<td>Pending Review</td>
</tr>
<tr>
<td>Level 2</td>
<td>SigAuth PAF</td>
<td>Pending Executor Approval</td>
</tr>
<tr>
<td>Level 2</td>
<td>HD Executor</td>
<td>Pending Executor Approval</td>
</tr>
<tr>
<td>Level 3</td>
<td>Certifying Faculty/Staff</td>
<td>Pending Certifier Approval</td>
</tr>
</tbody>
</table>
Each ePAC Earnings Distribution Summary and Retroactive Job Earnings Distribution Summary screen includes an Approvers section. Any user with access to a PAC can click on the + (plus sign) beside each Node (row) to expand the row and show the names and VUnetIDs authorized to take action on the PAC. The View Approvers box can also be checked to expand all of the nodes to show the names and VUnetIDs for all roles authorized to take action on the PAC (see Section 3.8, Identify Required Approvals).

<table>
<thead>
<tr>
<th>Node</th>
<th>Node Type</th>
<th>Role</th>
<th>Name</th>
<th>VUnetID</th>
<th>Inherited From</th>
</tr>
</thead>
<tbody>
<tr>
<td>1945550000</td>
<td>Center</td>
<td>Reviewer</td>
<td>Corneli Lisa K</td>
<td>CORNELLY</td>
<td>MED1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Briquetta Cherita J</td>
<td>WIPSOXU</td>
<td>MED2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>McCauley Sanita D</td>
<td>MOCAULSD</td>
<td>MED3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Sanborn Audley L</td>
<td>SANDROAL</td>
<td>MED4</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>LawrenceNaomi L</td>
<td>LAWRENSS</td>
<td>MED5</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Ludgate Mary J</td>
<td>LUDGATEM</td>
<td>MED6</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Whitaker James, Ceneste</td>
<td>WHITACK</td>
<td>MED7</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ClickMichael</td>
<td>CLICKMAI</td>
<td>MED8</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>HaasDeoJ</td>
<td>HAASDCJ</td>
<td>MED9</td>
</tr>
</tbody>
</table>

The number of centers and departments involved in the PAC will determine the number of required approvers (Reviewers, SigAuth PAF (Center), and HD Executors (Department)).

The Required Reviewer, SigAuth PAF, or HD Executor roles indicate their agreement with the change by clicking on the Approve button. The first step in advancing a submitted PAC through the approval process is the Required Reviewer’s Approval, if the department requires a Required Reviewer. The Status field will indicate Pending Review.
Only the Initiator continues to see the PAC on their Worklist through the automated workflow process. One exception is that any Optional Reviewer will retain the PAC on their Worklist until (1) they take action or (2) the Required Reviewer(s) or Required Reviewer or Executor rejects the PAC or (3) the PAC is completed.

Once the final required reviewer has approved the PAC, those individuals with the SigAuth PAF and HD Executor roles on the PAC will have the PAC appear in their Distributions Worklist with the Status field changed to Pending Executor Approval.

The Approvals section displays who has taken the action, their role and the action taken for each level of approval/agreement through the workflow process, approval nodes, action date, and any comments.
For PACs not involving changes to federal centers, the PAC is Complete once the HD Executor approves the PAC. For PACs involving changes to federal centers, the PAC is routed to the Certifying Employee for approval and certification of any past effort worked. When all departmentally-based administrative levels have been approved, the PAC displays in the Initiator’s and Certifier’s Worklists with a status of Pending Certifier Approval.

Distributions Worklist

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Employee Id</th>
<th>Effective Date</th>
<th>Distri. Type</th>
<th>Status</th>
<th>Reviewers</th>
<th>Executors</th>
<th>Ref #</th>
<th>Submitted Date</th>
<th>Sub Seq</th>
<th>Last Modified By</th>
<th>PAC ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>RDC</td>
<td>1 of 1</td>
<td></td>
<td></td>
<td>Pending</td>
<td>1</td>
<td>6</td>
<td>D</td>
<td>12/04/2008</td>
<td>3</td>
<td>VERBISA</td>
<td>RX0065123</td>
</tr>
<tr>
<td>EDC Rejected</td>
<td>3 of 3</td>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>3</td>
<td>D</td>
<td>11/26/2009</td>
<td>1</td>
<td>VERBISA</td>
<td>BX005513</td>
</tr>
<tr>
<td>PDC</td>
<td>5 of 5</td>
<td></td>
<td></td>
<td>Pending</td>
<td>5</td>
<td>5</td>
<td>D</td>
<td>12/05/2000</td>
<td>1</td>
<td>VERBISA</td>
<td>RX0055118</td>
</tr>
<tr>
<td>EDC Rejected</td>
<td>3 of 3</td>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>3</td>
<td>D</td>
<td>11/26/2009</td>
<td>1</td>
<td>VERBISA</td>
<td>BX0055124</td>
</tr>
<tr>
<td>PDC</td>
<td>3 of 4</td>
<td></td>
<td></td>
<td>Pending</td>
<td>3</td>
<td>4</td>
<td>D</td>
<td>12/04/2009</td>
<td>2</td>
<td>VERBISA</td>
<td>RX0055125</td>
</tr>
<tr>
<td>EDC Rejected</td>
<td>1 of 1</td>
<td></td>
<td></td>
<td></td>
<td>1</td>
<td>1</td>
<td>D</td>
<td>11/26/2009</td>
<td>1</td>
<td>VERBISA</td>
<td>BX0055111</td>
</tr>
<tr>
<td>PDC</td>
<td>3 of 3</td>
<td></td>
<td></td>
<td>Pending</td>
<td>3</td>
<td>3</td>
<td>D</td>
<td>12/05/2000</td>
<td>1</td>
<td>VERBISA</td>
<td>RX0055115</td>
</tr>
<tr>
<td>EDC Saved</td>
<td>0 of 0</td>
<td></td>
<td></td>
<td></td>
<td>0</td>
<td>0</td>
<td>D</td>
<td>0</td>
<td>0</td>
<td>VERBISA</td>
<td>BX0055114</td>
</tr>
</tbody>
</table>
The Initiator can click on the employee’s name in the Distributions Worklist to view the ePAC Distribution Summary or Retroactive Job Earnings Distribution Summary screen to see all of the approval details in the Approvals section.

<table>
<thead>
<tr>
<th>Node</th>
<th>Node Type</th>
<th>Role</th>
<th>Action</th>
<th>Action Date</th>
<th>Name</th>
<th>Vacular</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>128210</td>
<td>Department</td>
<td>Initator</td>
<td>Submitted</td>
<td>12/07/2009 03:32 PM</td>
<td>Veritas, Inc</td>
<td>VERTISA</td>
<td></td>
</tr>
<tr>
<td>128210</td>
<td>Department</td>
<td>HD Executer</td>
<td>HD Approved</td>
<td>12/08/2010 01:30 PM</td>
<td>Cunningham, Karen W</td>
<td>CUNNIKW</td>
<td></td>
</tr>
<tr>
<td>128210</td>
<td>Department</td>
<td>SigAuth PAF</td>
<td>Ctrl Approved</td>
<td>12/06/2010 01:30 PM</td>
<td>Cunningham, Karen W</td>
<td>CUNNIKW</td>
<td></td>
</tr>
<tr>
<td>128210</td>
<td>Department</td>
<td>SigAuth PAF</td>
<td>Ctrl Approved</td>
<td>12/06/2010 01:30 PM</td>
<td>Cunningham, Karen W</td>
<td>CUNNIKW</td>
<td></td>
</tr>
<tr>
<td>128210</td>
<td>Department</td>
<td>SigAuth PAF</td>
<td>Ctrl Approved</td>
<td>12/06/2010 01:30 PM</td>
<td>Cunningham, Karen W</td>
<td>CUNNIKW</td>
<td></td>
</tr>
<tr>
<td>128210</td>
<td>Department</td>
<td>SigAuth PAF</td>
<td>Ctrl Approved</td>
<td>12/06/2010 01:30 PM</td>
<td>Cunningham, Karen W</td>
<td>CUNNIKW</td>
<td></td>
</tr>
</tbody>
</table>

One person may have more than one reviewer/approver role, either directly or inherited, for multiple levels or centers of the workflow chain. In the above example, one person has been assigned the roles both SigAuth PAF and HD Executor approvals. One click of the Approve button by the Executor will execute approvals for all nodes assigned to him/her required to advance the PAC. Each approval will be recorded in the system as shown in the screen print above.
5.3 Comments on a Distribution Change

Reviewer, SigAuth PAF, and HD Executor roles may use the Comment field in order to provide additional information or explanation for a PACs rejection. Comments added to an EDC or RDC can be very helpful to provide supplemental information regarding the PAC. Additionally, ePAC requires a Comment for a reject/disagree decision so the Initiator will know how to resolve the issue. A Comment may also be added to a PAC to indicate reasons for the EDC or RDC or to add additional information for historical reference.

Comments can be made on screens where actions can be taken such as agree, approve, or reject. Once one of these actions is taken, then the comments are saved and become a permanent record of the PAC.

The Comments section of the PAC, which displays for all viewers of the PAC, allows other users to read explanations related to the PAC. The PAC also displays the VUNetID, date and name of the person making the comment so that other users know when and by whom a comment was made.

Comments are a permanent record and may not be deleted once associated with the agreement, approval, or rejection of the PAC. In other words, the comment is archived with the PAC and may be read by anyone with appropriate security, which may include an auditor.
5.4 Approval as an Inherited Approver

There may be circumstances when an assigned approver is not available to approve a PAC. In these cases, a list of Inherited Approvers is available that can take action on the PAC. This list can be seen by checking the View Inherited Approvers box. This will expand a list of the same Nodes shown in the Approvers section and provide the Name, VuNet Id, and Inherited From columns (see below). From this listing, the Initiator may contact the Inherited Approver and request action be taken. In order for an Inherited Approver to take action on a PAC, he/she must search for the PAC through the Distributions Search tab. Once the search results are returned, the Inherited Approver may open the appropriate PAC by clicking on the Employee Name and Approve or Reject the PAC in the same manner as other Approvers.

<table>
<thead>
<tr>
<th>Inherited Approvers</th>
<th>View Inherited Approvers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Node</td>
<td>Node Type</td>
</tr>
<tr>
<td>591202</td>
<td>Department</td>
</tr>
<tr>
<td>591202</td>
<td>Department</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>5917773202</td>
<td>Center</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>5917773202</td>
<td>Center</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5.6 Reject a Distribution Change

A Required Reviewer, Center Executor/SigAuth PAF, or HD Executor may reject an EDC or RDC by clicking the Reject button. In addition to the roles already mentioned, the PA Accountant or the Cost Transfer Approver may reject a RDC by clicking the Reject button.

If any required approval level selects the Reject button on the ePAC Distribution Summary or Retroaction Job Earnings Distribution Summary screen, the following will occur:

- ePAC will require the individual rejecting the PAC to enter a Comment in the Comments box to explain the reason why the PAC is being rejected. ePAC will not let the user successfully Reject the PAC without the Comment. The Comment will be displayed on the PAC for all future viewers of the PAC. All comments are a permanent part of the PAC.

- If a required approver Rejects a PAC, the EDC or RDC will be returned to the Initiator’s Distributions Worklist and will be removed from all other worklists. It is the responsibility of the Initiator to resolve the differences, edit (if necessary), and resubmit the PAC. Upon resubmission the PAC will be returned to the beginning of the electronic workflow process. In other words, resubmitting the distribution change starts the approval process over at the Initiator level.
The Status of a rejected PAC will change from Pending Review, Pending Executor Approval, Pending PA Accountant Approval, Pending Cost Transfer Approval, or Pending Certifier Approval to a Status of Rejected.

The PAC will not appear on anyone else’s Worklist until the Initiator resubmits the PAC back into electronic workflow. For RDCs and EDCs, the Initiator may choose to delete the PAC, if it is determined that the PAC is not needed.

If an Optional Reviewer disagrees with the original or resubmitted changes on the PAC, the PAC is not affected and will continue sequentially through the workflow approval process. In other words, the Optional Reviewer disagreement does not stop the PAC.

There will be times when, after a communication between the Initiator and the Rejecting Approver, that a rejected PAC will be resubmitted in its original state without edits.
5.7 One Click Approval

Some individuals may have more than one role in ePAC. There are two sets of approval roles for EDCs and RDCs, required reviewers and executors. Executors include home department executors and Sig Auth PAFs. When you have two or more roles in the same category on one transaction, ePAC allows you to sign off one time, which applies your approval to all your roles on the PAC. For example, you could have both a home department executor and a Sig Auth PAF role. In addition, you could be a Sig Auth PAF on multiple centers on a PAC. When you approve the PAC as a home department executor it takes your signature for both the home department executor and Sig Auth PAF roles. However, in some instances you may have both a required reviewer role and an executor role. In these cases, you will have to approve the PAC twice – once by opening the PAC through the PA Reviewer Worklist and again by opening the PA Executor Worklist after approving as a required reviewer.
6.0 RDC Central Accounting Office Approval

RDCs generally require approval by a central accounting office such as OCGA, HR Finance, or Department of Finance for Retroactive Distribution Changes. The system will determine the need for this approval after all the other approvals (including certification) have been captured. When central accounting approval is required, the Status field of the PAC becomes Pending PA Accountant Approval and the RDC is sent to the Worklist of the appropriate Personnel Action Accountant (PA Accountant) identified by the system. Once the PA Accountant approval is completed, the Status field of the RDC becomes Pending Cost Transfer Approval. The Cost Transfer approver provides the final PAC approval to complete the workflow process. Like other ePAC roles, the PA Accountant and Cost Transfer Approver roles are assigned in the Privilege Management System.

The PA Accountant can open a PAC from their Worklist by clicking on the Employee Name. The PAC will open to the Retroactive Job Earnings Distribution Summary screen. From this screen, the following fields are editable by the PA Accountant:

- Cost Transfer Justification
- Comments can be added

The PA Accountant can Cancel, Reject, or Approve the PAC.

- Cancelling the PAC will return it to the PA Accountant’s Distributions Worklist without completing the PAC.
- Rejecting the PAC will return the PAC to the PA Initiator and require comments be added to the PAC explaining the reason for the PAC being rejected.
- Approving the PAC will move the PAC to the final level of approval, Cost Transfer Approval.
- Attach documents

The Cost Transfer Approver can open a PAC from their Distributions Worklist by clicking on the Employee Name. The PAC will open to the Retroactive Job Earnings Distribution Summary screen. From this screen, the following fields are editable by the Cost Transfer Approver:

- Cost Transfer Justification
- Comments can be added

The Cost Transfer Approver can Cancel, Reject, or Approve the PAC.

- Cancelling the PAC will return it to the Cost Transfer Approver’s Distributions Worklist without completing the PAC.
- Rejecting the PAC will return the PAC to the PA Initiator and require comments be added to the PAC explaining the reason for the PAC being rejected.
- Approving the PAC will complete the PAC workflow process.
- Attach documents
Once completed, the PAC will update the paid labor data in HR PeopleSoft and Waldo, and post the Journal Entry to the General Ledger during the next nightly posting.

7.0 Use of the Distributions Search Tab

The Distributions Search tab provides any ePAC user a current as well as a historical list of the PACs to which they have had direct or inherited access in any status. Other major use of the Distributions Search tab includes monitoring the progress of a PAC when the user is not an Initiator and accessing PACs as an Inherited Approver.

After completing this section, the user will be able to:

- Retrieve a distribution change from the Distributions Search tab using search criteria
- Sort a Distributions Search

7.1 Retrieve a Distribution Change from the Distributions Search

All users who can initiate or process a PAC will have a Distributions Search tab on their Personnel Action Change screen. After clicking on the tab, there are four search keys in the Search section that can be used to find a PAC—Initiator Name, Employee Name, Employee ID, and Status.

- A search by Initiator or Employee Name - The search criterion for a name is Begins With. At least two letters of the last name must be entered before selecting the Search button.
- A search by Employee ID – The search criterion for an employee Id is equals. The correct seven digits of the employee’s Id must be entered before selecting the Search button.
- A search by Status – The search criteria is Equals or Not Equals and the user is given a list of statuses to select one or more criteria.
- To select more than one Status for the desired results, hold down the Ctrl key on the keyboard and click on the choices in the Status list.
To select all Statuses, select the first item in the Status list, hold down the Shift key and select the last item. All items in the Status list will be highlighted.

The search results from the Distributions Search will return the following information for each PAC that meets the criteria:

- Initiator Name
- Employee Name
- Employee ID
- Effective Date
- Distribution Type (Earnings Distribution Change or Retroactive Distribution Change).
- Status
- Employee Record Number (Rcd #)
- Submitted Date
- Submit Sequence (Sub Seq)
- Last Modified By [VUnetID]

The user can sort the results by any of the column headings by clicking on the column title. One click will sort in ascending order; a second click will sort the column in descending order.
View any individual PAC by clicking on the Employee Name. The Earnings Distribution Summary or Retroactive Earnings Distribution Summary screen for the transaction will appear. Note that the Status field on the screen will match that of the Distributions Search and the PAC will contain action buttons that correspond to the users assigned roles within ePAC.

Transactions returned from the Distributions Search with a status of Completed may not be resubmitted from the Earnings Distribution Summary or Retroactive Job Earnings Distribution Summary screens. If necessary, a new PAC must be generated by the Initiator.

8.0 Approval & Certification of Effort for an EDC

Once an Earnings Distribution Change (EDC) involving a change to a federal center is approved by all the Executors on the PAC, the faculty/staff person is notified by email (see Appendix C for ePAC email notifications). At this point one or two actions will be required of the certifying employee. The first action is to approve or reject the planned changes going forward. Approving the new distribution will make sure the changes are posted to the HR system so that current and future distribution will be charged to the appropriate funding source. Once the planned effort going forward is approved, the faculty/staff member will be asked to certify past effort already worked, if any past effort is still uncertified in the system. If the certifying employee rejects the new distribution, the EDC will be returned to the initiator for resolution. Effort certifications for past pay periods that are uncertified will not be generated if the employee rejects the planned distribution.
VANDERBILT UNIVERSITY EFFORT REPORTING POLICY

http://www.vanderbilt.edu/ocga/vupolicies/effortreporting/Final%20Effort%20Reporting%20Policy%2011410.pdf

After completing this section, the user will be able to:

- Understand the purpose of faculty/staff approval of a New Distribution
- Approve or Reject the New Distribution
- Understand the reasons for effort certification and how certification is accomplished in ePAC
- Take action on an EDC certification notification
- Agree or disagree with an entire EDC certification record
- Partially agree or disagree with an EDC certification record
- Confirm an EDC certification record
- Certify an EDC certification record
- Reject an EDC certification record
- Certify an annual (ACR) certification
- Certify a final (FCR) certification

8.1 Purpose of Approval of a New Distribution

The New Distribution represents how the faculty/staff member plans to spend time or effort in the future and is identified at the cost center level. The purpose of this approval process is to notify the faculty/staff member when their effort will be distributed in a new way, and ePAC then provides a mechanism for the faculty/staff member to Approve or Reject the new distribution electronically. This approval process is required by federal regulation, and is part of Vanderbilt’s compliance with the OMB Circular A-21. By approving a new distribution, the faculty/staff member acknowledges that their planned work efforts have changed, and confirms that the administrator has correctly accounted for that change.

- The Status field on the Worklist will be Pending Certifier Approval when an approval of New Distribution is required.
- The faculty/staff person must approve new Distribution changes regardless of whether past effort worked is recognized in ePAC for certification.

8.2 Approve or Reject the New Distribution

The faculty/staff member who has an EDC must Approve or Reject the New Distribution. This PAC will be displayed in the faculty/staff member’s Worklist with a status of Pending Certifier Approval. The faculty/staff member will receive a notification by email when action is required on their behalf to complete the approval process for the new distribution change. The email notification will contain a link to the ePAC login screen (see Appendix C for ePAC email notifications).

Once the faculty/staff member logs in, the user is directed to the ePAC Distribution Summary screen when only one PAC needing action exists. If the faculty/staff person has other PACs requiring action, ePAC will go directly to the Worklist upon log on and the user can select the PAC needing action.
When the user opens the PAC in a status of Pending Certifier Approval, the first section of the Earnings Distribution Summary screen displays both the Current and the New Distribution. This section reflects the way that the faculty/staff member plans to allocate the time or effort between centers. When the Approve button is clicked, the faculty/staff member is agreeing that the new distribution accurately reflects their planned work activities for the future.
When the Reject button is clicked, the faculty/staff member is disagreeing with the new distribution. A rejection will send the PAC back to the Initiator for further investigation.

A rejection by the faculty/staff member prevents the PAC from being input into the University's HR PeopleSoft system. Rejecting an EDC requires the Initiator to either resubmit the EDC with no changes to the faculty/staff member or make corrections to the EDC and submit the EDC back through the workflow.

Selecting the Exit button closes the screen and takes the faculty/staff member back to their Distributions Worklist without saving any changes. The status of the PAC will remain Pending Certifier Approval.
8.3 PAC Status of Pending Certifier Approval - EDC

This status signifies that an EDC with changes to at least one federal center has been created and submitted for approval. All Required Reviewers and Executors have approved the PAC. At this point, the faculty/staff member must approve the new distribution plan to complete the PACs approval process. S/he may also be prompted to certify or reject any uncertified past effort as recorded for prior periods. An EDC in Pending Certifier Approval status can be approved or rejected by the faculty/staff member, auto-rejected by the system. In addition, a central office level role, called the PA Workflow Administrator, can reassign or approve the PAC in order to record the distribution changes in the HR PeopleSoft system in a timely manner. When an EDC in Pending Certifier Approval status is approved, the PAC status will change to Completed.

An EDC with a Completed status in the system does not reflect any past effort that requires certification. At the time of completion of an EDC, the system creates the effort report based on any past effort not yet certified.

8.4 ePAC Events Requiring Effort Certification Action

Certifying effort refers to the federally-mandated process whereby faculty/staff members who have been paid from any restricted federal cost center(s) must verify and attest that work efforts are consistent with the way that their effort has been charged. This attestation is made on the federal effort report. Effort certification refers only to historical effort. ePAC provides an automated process to record effort certifications for faculty and staff members as required by federal regulations. ePAC is the official system of record for effort reporting and certification for faculty and staff members.

Failure of a research institution to comply with this regulation could result in partial or total loss of federal grant funding. Vanderbilt University has incorporated an effort reporting and certification process into ePAC to assure that appropriate communication is occurring with our faculty and staff so they can confirm their efforts, both projected and historical. Certifying effort in ePAC documents the institution’s compliance with federal regulations.

There are four events that require effort certification:

1. **Earning Distribution Change (EDC)** - Each time the projected distribution of time allocated to a federally funded cost center changes, the faculty/staff member must certify that any uncertified pay periods accurately reflects the actual work done for those past periods. ePAC will show a listing of uncertified pay periods that require certification on the Effort Report screen.

2. **Annual Certification Request (ACR)** - At a minimum, anyone paid by federal funding must certify effort once every 12 months. ePAC will show a listing of uncertified pay periods that require certification on the Effort Report screen.

3. **Final Certification Request (FCR)** - Once a faculty/staff paid by federal funding is terminated in HR PeopleSoft, s/he must certify their effort for any pay periods that have not been certified. ePAC will show a listing of uncertified pay periods that require certification on the Effort Report screen.

4. **Retroactive Distribution Change (RDC)** - When effort distribution is changed retroactively for prior pay periods, the faculty/staff member must certify the effort for the period(s) impacted by each change.

Each of these events requires a certification action by the faculty/staff through ePAC. S/he will be notified by email when such actions are required (see Appendix C for email notifications generated by the system).
8.5 Notification for EDC Effort Certification

ePAC will notify the faculty/staff member by email that action needs to be taken on an earnings distribution change (see Appendix C for system email notifications). The email will contain a link to ePAC to make it easy for the faculty/staff member to complete the certification process. Upon clicking the link, the user can log into ePAC and view the pay period(s) requiring certification. Once the certification process is completed, no further action is required until the next certifying event occurs.

The PAC Status that prompts effort certification is Pending Certifier Approval, which follows all Reviewer and Executor approvals to a PAC.

For EDCs, once the faculty/staff member has approved the EDC Plan (future effort), the Effort Certification Summary screen (see Figure 8.6) is displayed showing past pay period(s) requiring certification. Effort is calculated based on the way actual pay was distributed by pay period. The faculty/staff member will perform the following actions to complete the certification process:

1. Agree All – certify that all pay periods were worked as stated
2. Partially Agree - agree with/certify some pay period(s) and disagree with/reject other pay period(s)
3. Disagree All - reject all pay periods as stated
4. Confirm the agree/disagree options selected
5. Certify and attest to the past effort worked
8.6 Agree with an Entire EDC Certification Record

If the user agrees with all periods, s/he can click on the Agree ALL button at the top of the Effort Certification Summary screen. The screen will indicate the periods being certified. In addition a mouse-over message will be displayed to assure that the users knows the impact of selecting the Agree ALL button (#1 below).

When the entire record is certified, the PAC is no longer listed on the Initiator’s or Certifying Faculty/Staff’s Worklist. When the certification process is completed, the certifier can access the certified pay period(s) by clicking the Certification History tab (#4 above).
8.7 Partially Agree/Disagree with an EDC Certification Record

When all of the pay periods for certification are identical, the Effort Report will show a summary of the center distributions for all uncertified periods and list which periods are covered under the Effort Report section header (see Figure 8.7). To expand the pay periods, click the View Details checkbox next to the Effort Report section header. When pay periods are not identical, the listing will be expanded by default.

There may be situations when the certifier agrees with the distribution for some pay periods shown in the Effort Report, but disagrees with other prior periods. The Effort Report, once expanded, displays each pay period requiring certification and defaults to Agree for all pay periods. The certifier can use the radio buttons in the Agree/Disagree column (#2 in Figure 8.6) to reflect their agreement/disagreement with the effort reported for each month and click the Continue button at the bottom of the Effort Report screen to finalize their choices. The certifier may also toggle using the Agree All or Disagree All buttons (#3 in Figure 8.6) as appropriate. Clicking the Exit button will return the Certifier back to their Worklist without taking any certification action on the Effort Certification Summary Screen.

Rejected pay period(s) on an EDC will remain in the Certifications tab until the certifier decides the effort is appropriate and certifies the pay period(s) or a RDC is submitted into workflow to adjust the rejected pay period(s).
8.8 Continue an EDC Certification Record – Partial Certification Record Only

To confirm the agree/disagree options chosen for the certification process; click the Continue button (see below). A mouse-over message will be displayed to inform the user that clicking the Continue button is a confirmation of the agree/disagree selections.

This action allows the certifying faculty/staff member to proceed to the Employee Certification Confirmation screen to certify the pay period(s) that they have agreed to. Once certified, the pay period(s) will no longer appear on a Worklist as needing action and will be accessible only through the Certification History Tab. Pay period(s) where the Disagree radio button was chosen, will need to be resolved between the Certifier and Initiator. The Initiator will be notified by email of the rejected pay period(s) in order to help resolve any issues with the certifier’s rejection. The certifier can return to their Worklist and certify the previously rejected pay period(s), if determined they are correct, or a RDC will need to be initiated to correct the effort for the rejected pay period(s).

8.9 Certify an EDC Certification Record

When the certifier agrees, either in whole or in part, with the Effort Report by clicking the Continue button, ePAC will display the Effort Certification Confirmation screen (see Figure 8.9). The compliance features on this screen include:

1. A message describing what is being certified
2. The certification attestation
3. A period-by-period breakdown of the certified periods

If the person certifying agrees that these periods were worked as reported, the certifier will click on the Certify button. Once the Certify button is clicked, these pay periods are dropped from the certifying Employee’s Worklist as an indication that the certification process has been completed.
8.10 Disagree with an Entire EDC Certification Record

If the user disagrees with all periods, s/he can click on the Disagree ALL button (#3 in Figure 8.6) at the top of the Effort Certification Summary screen. The screen will indicate the periods being rejected as well as display a mouse-over message to assure that the users knows the impact of selecting the Disagree ALL button. See section 8.11 for completing the rejection process.

8.11 Reject an EDC Certification Record

To reject all periods of an Effort Report, the certifier can click on the Disagree All button (see Section 8.6, Partially Agree/Disagree with an EDC Certification Record). By clicking the Disagree All button on the Effort Certification Summary screen, this action rejects the entire certification record. The user will then click the Continue button to confirm the rejection of the pay periods.
8.12 Finish a Rejected EDC Certification Record

Before rejecting a certification record, a verification message will display (see below). The individual radio buttons beside each period have been replaced with the word Disagree.

![Verification message]

The final step of rejecting a record is to click on the Finish button. Clicking on the Finish button marks the pay period records as rejected. The action of rejection will initiate an email back to the Initiator. The Initiator must communicate with the certifying faculty/staff member to determine whether a RDC should be initiated or to have the certifier access the rejected pay period(s) and certify.

![Certification record screenshot]

Once the Finish button is clicked, the certifying faculty/staff member will no longer have the PAC displayed in their Certifications Worklist. The certifier can access the rejected pay period(s) through the Certifications tab to certify the pay periods or the Initiator will initiate a retroactive distribution change (RDC) to correct the previous distribution(s), requiring certification action for the pay period(s) in the RDC.

8.14 Annual Certification of Effort

An annual certification (ACR) is generated when a faculty/staff member has not had any certification of federal effort within 12 months. An email notification to the certifier provides a link to open the Effort Certification Summary screen that shows the pay period(s) requiring certification in the Effort Report section (see below).

![Effort Report screenshot]
If all of the pay periods for certification are identical, the Effort Report will show a summary of the center distribution(s) for the uncertified periods and list which pay periods are included in the Effort Report. To expand the pay periods, click the View Details checkbox (see above). By clicking the Disagree All button, the view will expand all the pay periods with the option to agree/disagree with particular pay periods using radio buttons provided or to click the Disagree All button to disagree with all of the 12 pay periods.

Following is a summary of the existing distribution of your earnings within the payroll system for the period(s) listed below to be certified. This distribution was computed based upon your planned/budgeted effort as previously submitted. In order to confirm that your actual work activities were consistent with the planned activities, please review the Effort Report below in relation to your actual work activities and indicate your agreement or disagreement with these distributions.

### Effort Report

**Pay End Date: 12/31/2008**

<table>
<thead>
<tr>
<th>Center Description</th>
<th>Center End Date</th>
<th>Center Reim Person</th>
<th>Certification Reason</th>
<th>Center Distribution</th>
<th>Status</th>
<th>Agree</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSF/PP44 - SOC/EMOTIONAL DEVELOPMENT OF INFANTS AT R</td>
<td>07/1/2008</td>
<td></td>
<td>ACR Annual Certification</td>
<td>100.00%</td>
<td>Uncert</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Record</td>
<td></td>
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<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Total:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100.00%</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Pay End Date: 01/31/2009**

<table>
<thead>
<tr>
<th>Center Description</th>
<th>Center End Date</th>
<th>Center Reim Person</th>
<th>Certification Reason</th>
<th>Center Distribution</th>
<th>Status</th>
<th>Agree</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSF/PP44 - SOC/EMOTIONAL DEVELOPMENT OF INFANTS AT R</td>
<td>07/1/2008</td>
<td></td>
<td>ACR Annual Certification</td>
<td>100.00%</td>
<td>Uncert</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Record</td>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>100.00%</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

From here, the rejection process is the same as it is for the EDC shown in Section 8.11 and 8.12. To Certify an ACR, the process is the same as it is for an EDC by clicking the Agree All button and then clicking the Certify button shown below (see Section 8.9). Clicking the Exit button will return the certifier to Effort Certification Summary screen without any action recorded in the application.

In order to finalize your effort certification for the periods listed below, please click the Certify button below to confirm that your actual work activities were consistent with the distribution(s) listed below or click Exit to return to Effort Certification Summary screen.

I certify that I have first-hand knowledge of (or have used suitable means of verifying) work performed by this individual and the actual salary distribution is reasonable in relation to the work performed.

### Effort Report


<table>
<thead>
<tr>
<th>Center Description</th>
<th>Center End Date</th>
<th>Center Reim Person</th>
<th>Center</th>
<th>Center Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSF/PP44 - SOC/EMOTIONAL DEVELOPMENT OF INFANTS AT R</td>
<td>07/1/2008</td>
<td></td>
<td></td>
<td>100.00%</td>
</tr>
</tbody>
</table>

Total: 100.00%
8.15 Final Certification of Effort

A final certification (FCR) is generated when a faculty/staff member has been terminated in the HR PeopleSoft system. An email notification to the certifier provides a link to open the Effort Certification Summary screen that shows the pay period(s) requiring certification in the Effort Report section (see below).

If all of the pay periods for certification are identical, the Effort Report will show a summary of the center distribution(s) for the uncertified periods and list which pay periods are included in the Effort Report. To expand the pay periods, click the View Details checkbox (see above). By clicking the Disagree All button, the view will expand all the pay periods with the option to agree/disagree with particular pay periods using radio buttons provided or to click the Disagree All button to disagree with all of the 12 pay periods.

From here, the rejection process is the same as it is for the EDC shown in Section 8.11 and 8.12. To Certify a FCR, the process is the same as it is for an EDC by clicking the Agree All button and then clicking the Certify button shown below (see Section 8.9). Clicking the Exit button will return the certifier to Effort Certification Summary screen without any action recorded in the application.
In order to finalize your effort certification for the periods listed below, please click the Certify button below to confirm that your actual work activities were consistent with the distributions listed below or click Exit to return to the Effort Certification Summary screen.

I certify that I have first-hand knowledge of (or have used suitable means of verifying) work performed by this individual and the actual salary distribution is reasonable in relation to the work performed.

<table>
<thead>
<tr>
<th>Center Description</th>
<th>Center End Date</th>
<th>Center Method</th>
<th>Center</th>
<th>Center Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>INFANT SOCIAL-EMOTIONAL DEVELOPMENT OF INFANTS AT PI</td>
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<td>100.00%</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td><strong>$100,000</strong></td>
</tr>
</tbody>
</table>
9.0 Certify a Retroactive Distribution Change

When there is a change to how earnings were allocated for a closed pay period, a Retroactive Distribution Change (RDC) is initiated in ePAC. Once a RDC has completed the workflow approval process, the PAC is ready for the faculty/staff member’s certification and the status of the PAC will change to Pending Certifier Approval. ePAC will send an email notification (see Appendix C for email notifications generated by the system) to the faculty/staff member requesting that certification action be taken with a link to the Effort Certification Summary screen.

9.1 PAC Status of Pending Certifier Approval - RDC
A status of Pending Certifier Approval signifies a RDC that has effort changes to at least one federal center and has been approved through the workflow process. Once the certifying faculty/staff member has logged into ePAC, the Effort Certification Summary screen (see Figure 9.2) reflects the new adjustments made to effort allocations for prior pay period(s) indicated on the Effort Report. A RDC in Pending Certifier Approval status can be certified or rejected by the certifying faculty/staff member, or reassigned and/or approved by the PA Workflow Admin.

9.2 Certify or Reject a Retroactive Distribution Change
Once the PAC is opened, the certifier is provided a statement of agreement or disagreement for the prior pay period(s) requiring certification and buttons to either Cancel, Disagree, or Agree with the adjusted effort allocations (see Figure 9.2).

If the Certifier agrees with all of the distribution changes, s/he will click the Agree button (see Figure 9.2). To certify the adjusted effort allocation pay period(s), the certifier will be asked to confirm and click the Certify button (see below). The PAC then goes to the PA Accountant for central approval.

By clicking the Disagree button, the Certifier disagrees with one or all distribution changes (see below). After confirming the disagreement and clicking the finish button, the RDC is sent back to the Initiator with a status of Rejected.

Figure 9.2
If the Agree button is clicked, an Effort Certification Confirmation screen comes up with a message to confirm that the actual work was consistent with the distribution changes made and to click the Certify button to complete the certification process.

In order to finalize your effort certification for the period(s) listed below, please click the Certify button below to confirm that your actual work activities were consistent with the distribution(s) listed below or click Exit to return to Effort Certification Summary screen.

I certify that I have first-hand knowledge of (or have used suitable means of verifying) work performed by this individual and the actual salary distribution is reasonable in relation to the work performed.

If the Disagree button is clicked, an Effort Certification Confirmation screen comes up with a message to confirm disagreement and to click the Finish button to return the PAC to the Initiator.
9.3 Handle a Rejected RDC

When a certifying faculty/staff member disagrees or rejects changes made to adjusted effort allocation(s), the RDC is sent back to the Initiator’s Worklist with a status of Rejected. The Initiator must investigate to determine the appropriate means of correcting the allocation(s). There are two resolutions for a rejected effort report.

- The certifying faculty/staff member may conclude that the change submitted for the certification period is correct and the Initiator resubmits the RDC for certification.
- The certifying faculty/staff member or the Initiator may determine that an error was made in the labor distribution. In this situation, the effort charged to the funding source on the RDC is corrected and resubmitted back through the entire ePAC approval workflow process.

9.4 Resubmit a Rejected Certification Record

There may be times when the certifying faculty/staff and Initiator will review the records and decide that the effort from the rejected certification period(s) is correct. In this case, the rejection can be resolved through resubmission of the RDC. The Initiator will open the RDC from her/his Worklist and then select the Submit button (see Figure 9.4). This action sends the RDC back into the entire ePAC Workflow approval process before the certifier can certify their adjusted effort allocation(s).
9.5 Adjust a Rejected RDC Certification Record

The certifying faculty/staff member or the Initiator may determine that the change made to prior pay period(s) is in error and requires adjustments to be made before the certifying faculty/staff member can certify the Effort Report. The Initiator can either correct the effort for the prior pay period(s) on the rejected RDC or choose to create a new RDC.

To adjust the RDC, the Initiator opens the PAC and clicks the Edit button to open the Retroactive Job Earnings Distribution Edit screen (see below). The initiator will make the appropriate effort allocation corrections and submit...
the adjusted RDC into the workflow approval process by clicking the Continue button followed by the Submit button.

Once the workflow approval process has been completed, the status of the RDC will change to Pending Certifier Approval. An email notification (see Appendix C for email notifications generated by the system) is sent to the certifying faculty/staff member requesting that s/he certify past effort. Once the pay period(s) have been certified, the certified PAC is recorded in ePAC.

### Retroactive Job Earnings Distribution Edit

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<thead>
<tr>
<th>Name:</th>
<th>Employee Status: A - Active</th>
<th>ID:</th>
<th>PAC Status:</th>
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</thead>
<tbody>
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</table>

### Actual Labor Distribution

<table>
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<tr>
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<th>Home Dept:</th>
<th>Pay Group: MIMI - Medical Monthly 1</th>
</tr>
</thead>
</table>

|---|

<table>
<thead>
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<th>Account</th>
<th>Center</th>
<th>Job Code</th>
<th>Pd Amt</th>
<th>Pay Per Dihr</th>
<th>New Pd Amt</th>
<th>New Dihr</th>
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<td></td>
<td>$1,990.65</td>
<td>2.500%</td>
<td>$1,990.65</td>
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</tr>
<tr>
<td>50000</td>
<td></td>
<td></td>
<td>$910.68</td>
<td>6.000%</td>
<td>$910.68</td>
<td>6.000%</td>
<td></td>
</tr>
</tbody>
</table>

| Total | $6,273.87 | 100.000% | $6,273.87 | 100.000% | $0.00 | |

Once the workflow approval process has been completed, the status of the RDC will change to Pending Certifier Approval. An email notification (see Appendix C for email notifications generated by the system) is sent to the certifying faculty/staff member requesting that s/he certify past effort. Once the pay period(s) have been certified, the certified PAC is recorded in ePAC.
10.0 Certification Process for Faculty/Staff

10.1 Certification Process

A certification of effort is required for those individuals whose salary is being charged directly or cost shared on federal or federal flow-through sponsored programs. Individuals classified as exempt employees will be presented with an after the fact effort report. The effort report is generated when a change in distribution is processed or termination occurs. The effort is reported in terms of 100% regardless of the number of hours spent in any given period. When an individual is presented with an effort report, the individual must review the distribution to determine whether the percentages for the time period reflect the actual effort devoted to the functions and sponsored programs being charged. If the payroll distribution is correct, the individual should sign or electronically sign the certification. If the payroll distribution is incorrect, the individual should not certify the report and contact the department administrator to correct the payroll distribution. Hourly employees certify in conjunction with the submission of their timesheets and should review for accuracy. Any inconsistencies should be communicated with their supervisor or department administrator.

The certification must be signed (or electronically certified) by the individual, PI, or a designee who has suitable means of verification of worked performed. Verification could be in the form of a dated fax, memo, letter or email, signed or electronically authenticated, to the designee or a documented phone conversation between the individual and designee stating that the charges were reasonable in relation to the work performed. This documentation, regardless of medium, must be available and accessible at all times for audit purposes.

10.2 Faculty Summer Salary

If summer salary is paid to faculty from federal restricted funds, an after the fact certification must be obtained. The Office of Contract and Grant Accounting will send out a certification form in the fall of the academic year following the summer periods to the departmental administrators for each faculty member in their department that was paid from federal funds during the previous summer. The departmental administrator is responsible for obtaining the effort certification signature from the faculty member or, in case of an absence, a designee may sign, provided that the designee has suitable means of verification of the work performed and returning the signed form to the Office of Contract and Grant Accounting in a timely manner. Verification could be in the form of a signed and dated fax, memo, letter or email to the designee that the work performed and the charges were reasonable. This documentation, electronic or other, must be available and accessible at all times for audit purposes.

10.3 Timeliness of Certifications

It is critical to certify effort when prompted by ePAC in a timely manner. OCGA (for University home departments) and Department of Finance, Academic & Research Enterprise (for VUMC home departments) will periodically perform a review of delinquent effort certifications. Each central office will notify the department administrator and/or Dean’s Office of all individuals delinquent at the time of review. A timeline of the notifications and consequences of non-compliance is outlined in a separate document (Attachment A) and will be accessible on the websites of OCGA and Department of Finance, Academic & Research Enterprise.

10.4 Falsification of Effort Certifications
Falsification of effort certification may lead to disciplinary action and/or other sanctions against any individual who falsely certified the information and negatively affect Vanderbilt’s reputation as one of the leading research institutions in the country.

10.5 Certification Re-Assignments within ePAC

There may be occasions when the certifying faculty/staff member is not available to approve a new distribution or to certify past effort for time worked on a grant. This may occur when a staff member has limited Internet access, has terminated their employment at Vanderbilt, or is disabled.

ePAC allows the authorization of another person to approve a new distribution or to certify past effort. Vanderbilt’s policy requires the reassignment to the principal investigator or to an individual who has suitable means of verification of work performed.

However, reassignments of effort certifications will only be allowed in rare instances. For individuals who have not certified their effort because they no longer work for Vanderbilt or have limited access to the internet due to travel, the effort certification can be reassigned to the PI or to an individual who has suitable means of verification of the work performed by such individual. Verification could be in the form of a dated fax, memo, letter or email, signed or electronically authenticated, to the designee or a documented phone conversation between the individual and designee stating that the charges were reasonable in relation to the work performed. This documentation, regardless of medium, must be available and accessible at all times for audit purposes. To request the reassignment, the department administrator must send a documented request to OCGA (for University) or Department of Finance, Academic & Research Enterprise (for VUMC) stating the individual’s name, the reason for reassignment, to whom to reassign the certification, and how the designee obtained verification of the work performed.

The PA Workflow Administrator role, assigned to central office personnel, has been established to reassign a PAC. In order to reassign an EDC or RDC, the PAC must be in a Pending Certifier Approval status. Reassigning certification of effort for an Annual Certification Request (ACR), Final Certification Request (FCR), or EDC (effort only) is done using the Proxy Tab. Reassigning the EDC (plan) or RDC is done on the PACs Earnings Distribution Summary screen. Contact your central accounting office if a reassignment on a PAC is necessary.

Appendix A – ePAC Role Glossary

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
<th>Responsibilities</th>
<th>User Type Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PA Initiator</td>
<td>Personnel Action Initiator</td>
<td>Initiate PACs</td>
<td>This person creates the personnel action change and starts the</td>
</tr>
<tr>
<td>Role</td>
<td>Role Description</td>
<td>Approval Process</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>-----------------------------------------------</td>
<td>----------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>PA Reviewer (O)</td>
<td>Personnel Action Reviewer – Optional</td>
<td>Agree or disagree with PACs This person provides a level of review that may or may not be utilized by the department. ePAC does not require this approval to complete the workflow process of a PAC.</td>
<td></td>
</tr>
<tr>
<td>PA Reviewer (R)</td>
<td>Personnel Action Reviewer – Required</td>
<td>Approve or reject PACs This person provides a level of review that may or may not be utilized by the department. ePAC does require this approval to complete the workflow process of a PAC.</td>
<td></td>
</tr>
<tr>
<td>SigAuth PAF</td>
<td>Signature Authorization Personnel Action Form</td>
<td>Approve or reject PACs on assigned centers This person has the authority to approve or reject the PAC as it impacts their center(s).</td>
<td></td>
</tr>
<tr>
<td>PA HD Executor</td>
<td>Personnel Action Home Department Executor</td>
<td>Approve or reject PACs on assigned home departments This person provides the final departmental approval on the PAC, which completes departmental workflow and allows necessary federal certification to occur.</td>
<td></td>
</tr>
<tr>
<td>PA Ctr Admin</td>
<td>Personnel Action Center Administrator</td>
<td>Assign: PA Reviewer (O, R) This person can assign the PA Reviewer (O, R) role on any centers and/or sumto centers in a center based tree in PM.</td>
<td></td>
</tr>
<tr>
<td>PA HD Admin Low</td>
<td>Personnel Action Home Department Administrator Low</td>
<td>Assign: PA Initiator, PA Reviewer (O, R) This person can assign the PA Initiator and PA Reviewer (O, R) roles on the home department tree in PM.</td>
<td></td>
</tr>
<tr>
<td>PA HD Admin High</td>
<td>Personnel Action Home Department Administrator High</td>
<td>Assign: PA Initiator, PA Reviewer (O, R), PA HD Executor (PAF Responsible Person), PA HD Admin Low This person can assign the PA Initiator, PA Reviewer (O, R), PA HD Executor and PA HD Admin Low roles on the home department tree in PM.</td>
<td></td>
</tr>
<tr>
<td>PA Workflow Administrator (E)</td>
<td>Personnel Action (Effort) Certification Administrator</td>
<td>Reassign Effort Certification This person can assign additional certifying faculty/staff to a certification record in ePAC, allowing someone to certify for a faculty/staff member who is not available to certify their own effort.</td>
<td></td>
</tr>
<tr>
<td>PA Workflow Administrator (p)</td>
<td>Personnel Action (Payroll) Administrator</td>
<td>Authorize Entry of the New Distribution portion of incomplete PACs to PeopleSoft at Payroll Deadline. This person has the ability to approve an earnings distribution that has department administrative approval but lacks faculty/staff certification.</td>
<td></td>
</tr>
<tr>
<td>PA Workflow Administrator (HR)</td>
<td>Personnel Action (Human Resources) Processing Administrator</td>
<td>Enter and maintain the ePAC Days before Processing This person can set the ePAC Processing Deadline Date for the enterprise</td>
<td></td>
</tr>
<tr>
<td>PA Accountant</td>
<td>Personnel Action Accountant</td>
<td>Approve or Reject Retroactive Distribution Changes. This person provides staff accounting review for retroactive earnings distribution changes.</td>
<td></td>
</tr>
<tr>
<td>PA Cost Transfer</td>
<td>Personnel Action Cost</td>
<td>Approve or Reject Retroactive This person provides central</td>
<td></td>
</tr>
<tr>
<td>Approver</td>
<td>Transfer Approver</td>
<td>Distribution Changes</td>
<td>accounting approval for retroactive earnings distribution changes. Their approval completes the cost transfer.</td>
</tr>
<tr>
<td>-------------------</td>
<td>-------------------</td>
<td>----------------------</td>
<td>------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>PA Initiator Central</td>
<td>Personnel Action Initiator Central</td>
<td>Initiate Retroactive Distribution Changes that bypass departmental workflow and advance directly to the PA Accountant</td>
<td></td>
</tr>
<tr>
<td>PA Ctr Mng Admin</td>
<td>Personnel Action Center Managing Administrator</td>
<td>Assign: PA Ctr Admin</td>
<td>This person can assign the PA Ctr Admin role on any Center based tree in STAR. This person has no other role in the application.</td>
</tr>
<tr>
<td>PA HD Mng Admin</td>
<td>Personnel Action Home Department Managing Administrator</td>
<td>Assign: PA Comp Executor, PA Workflow Admins, PA Central Initiator, PA HD Admin High and Low</td>
<td>This person can assign the PA HD Admin Low and PA HD Admin High roles on the home department tree in PM. This person has no other role in the application.</td>
</tr>
<tr>
<td>PA JPP Executor</td>
<td>Personnel Action Job, Position, Pay Rate and Standard Hours Executor</td>
<td>Approve or reject a PAC with Job Code, Position, Pay Rate and Standard Hours changes.</td>
<td>This person has the authority to approve or reject the PAC as it impacts their entity (ie School of Medicine or Deans Office).</td>
</tr>
<tr>
<td>PA Comp Executor</td>
<td>Personnel Action Compensation Executor</td>
<td>Approve or reject a PAC with job code changes. Job codes are flagged in PeopleSoft.</td>
<td>This person has the authority to approve or reject the PAC as it impacts flagged Job Codes.</td>
</tr>
<tr>
<td>PA BRET Executor</td>
<td>Personnel Action Biomedical Research Education and Training Executor</td>
<td>Approve or reject a PAC on BRET job codes. Job codes are flagged in PeopleSoft</td>
<td>This person has the authority to approve Terminations, Job Code, Pay Rate and Standard Hours changes for Post-Doc, Visiting Research, Research Intern Undergrad, and Research Intern Graduates.</td>
</tr>
<tr>
<td>PA GME Executor</td>
<td>Personnel Action Graduate Medical Education Executor</td>
<td>Approve or reject a PAC on GME job codes. Job codes are flagged in PeopleSoft</td>
<td>This person has the authority to approve Terminations, Job Code, Pay Rate and Standard Hours changes for Residents and Clinical Fellows.</td>
</tr>
</tbody>
</table>
## Appendix B – Glossary of ePAC Statuses

The table below details the glossary of the various ePAC distribution statuses.

<table>
<thead>
<tr>
<th>Status</th>
<th>Status Definition</th>
<th>Previous Possible Status</th>
<th>Next Possible Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Saved</td>
<td>This status signifies that a PAC has been initiated and changes to the ePAC Distribution Edit page have been saved. At this point the PAC has not been submitted into workflow for approval. A PAC in &quot;Saved&quot; status can be Submitted, Edited, or Deleted.</td>
<td>(no status), Rejected</td>
<td>Pending Review, Pending Executor Approval, Invalid (RDCs only)</td>
</tr>
<tr>
<td>Pending Review</td>
<td>This status signifies that a PAC has been initiated and submitted into workflow for approval. Certain home departments and centers require approval by Required Reviewers before the center and home department Executors can approve the PAC. [Note: One Required Reviewer for each center and/or home department that requires reviewer approval must approve the PAC in order for a PAC to move to &quot;Pending Executor Approval&quot; status.] A PAC in &quot;Pending Review&quot; status can be approved or rejected by the Required Reviewers, or auto-rejected (EDC only) by the system.</td>
<td>Saved, Rejected</td>
<td>Pending Executor Approval, Rejected, Auto-Rejected (EDCs only)</td>
</tr>
<tr>
<td>Pending Executor Approval</td>
<td>This status signifies that a PAC has been initiated and submitted for approval. If any changed centers or the home department had Required Reviewers, they have already approved the PAC. Executors include both SigAuth PAFs and the Home Department Executors. One Executor for each center and the home department</td>
<td>Pending Review, Saved</td>
<td>Pending Certifier Approval, Pending PA Accountant Approval (RDCs only), Completed, Rejected, Auto-Rejected (EDCs only)</td>
</tr>
</tbody>
</table>
must approve the PAC before it is available for the next round of approval or completed. A PAC in "Pending Executor Approval" status can be approved or rejected by a SigAuth PAF or HD Executor, or auto-rejected (EDC only) by the system.

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
<th>Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pending Certifier Approval (EDC)</td>
<td>This status signifies an EDC for a Faculty or exempt staff with changes to at least one federal center has been created and submitted for approval. All Required Reviewers and Executors have approved the PAC. At this point, the Certifying Faculty/Staff member must approve the new distribution plan to complete the PAC. They will also be prompted to certify or reject any uncertified effort as recorded for prior periods. An EDC in &quot;Pending Certifier Approval&quot; status can be approved or rejected by the Certifying Faculty/Staff, auto-rejected by the system, or reassigned or approved by the PA Workflow Admin. When an EDC in Pending Certifier Approval status is approved, the PAC status will change to Completed.</td>
<td>Pending Executor Approval, Rejected, Auto-Rejected, Completed</td>
</tr>
<tr>
<td>Pending Certifier Approval (RDC)</td>
<td>This status signifies a RDC for a Faculty or exempt staff employee with changes to at least one federal center has been created and submitted for approval. All Required Reviewers and Executors have approved the PAC. At this point, the Certifying Faculty/Staff member is prompted to certify the change to their effort included on the RDC. A RDC in &quot;Pending Certifier Approval&quot; status can be certified or rejected by the Certifying Faculty/Staff, or reassigned or approved by the PA.</td>
<td>Pending Executor Approval, Rejected or Pending PA Accountant Approval</td>
</tr>
<tr>
<td>Status Description</td>
<td>Details</td>
<td>Actions</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>Workflow Admin. After the certifying faculty/staff individual certifies the RDC, the PAC will advance to the next appropriate status.</td>
<td></td>
<td>None</td>
</tr>
<tr>
<td>Pending PA Accountant Approval (RDC only)</td>
<td>This status signifies that a RDC has been approved through the departmental workflow and the Certifying Faculty/Staff individual has certified their effort (if applicable). The RDC is now awaiting approval by a central PA Accountant. A RDC in &quot;Pending PA Accountant Approval&quot; status can be approved or rejected by the PA Accountant. When all PA Accountants have approved the RDC, the PAC status will advance to the next appropriate status.</td>
<td>Pending Executor Approval or Pending Certifier Approval or Rejected or Pending Cost Transfer Approval</td>
</tr>
<tr>
<td>Pending Cost Transfer Approval (RDC only)</td>
<td>This status signifies that a RDC has been approved through the departmental workflow and the Certifying Faculty/Staff individual has certified their effort (if applicable). The RDC has also been approved by the PA Accountants if required for the centers. A RDC in &quot;Pending Cost Transfer Approval&quot; status can be approved or rejected by the Cost Transfer Approver. When all Cost Transfer Approvers have approved the RDC, the PAC status will change to &quot;Completed&quot;.</td>
<td>Pending Executor Approval, Pending Certifier Approval, Pending PA Accountant Approval or Rejected</td>
</tr>
<tr>
<td>Completed (EDCs)</td>
<td>This status signifies that a PAC has been submitted and approved by all Required Reviewers and Executors of affected centers and the home department. If a faculty/exempt staff was paid on a federal center, the new distribution was approved and any past effort that was presented, should be certified or rejected by the faculty/staff individual affected. A</td>
<td>Pending Executor Approval, Pending Certifier Approval or Rejected</td>
</tr>
</tbody>
</table>
PAC in "Completed" status is no longer available for further action, and it can only be accessed via the Distribution Search tab. If a Certifier approves the EDC but rejects any or all of the past effort certification periods, the certification periods will be in "Rejected" status. Certifiers can access rejected periods via the Certifications Tab and later decide to certify any or all of these periods. An Initiator must follow-up by submitting a RDC to correct any prior periods so that effort may be reflected accurately and be certified by the faculty/exempt staff member.

<table>
<thead>
<tr>
<th>Completed (RDCs)</th>
<th>Pending Executor Approval, Pending Certifier Approval, Pending PA Accountant Approval, Pending Cost Transfer Approval</th>
<th>None</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rejected</td>
<td>Pending Review, Pending Executor Approval, Pending Certifier Approval, Pending PA Accountant Approval, Pending Cost Transfer Approval</td>
<td>Saved, Pending Review, Pending Executor Approval</td>
</tr>
<tr>
<td>Auto-Rejected (EDC only)</td>
<td>Pending Review, Pending Executor Approval, Pending Certifier Approval</td>
<td>Saved, Pending Review, Pending Executor Approval</td>
</tr>
<tr>
<td>-------------------------</td>
<td>--------------------------------------------------------------------</td>
<td>-----------------------------------------------</td>
</tr>
<tr>
<td>This status signifies that the ePAC deadline date for the current pay period has been reached and all submitted EDCs previously in a status of &quot;Pending Review&quot;, &quot;Pending Executor Approval&quot;, or &quot;Pending Certifier Approval&quot; have been automatically rejected. The auto-rejected EDC will be returned to the PA Initiator's Worklist. An EDC in &quot;Auto-Rejected&quot; status can be resubmitted into the workflow with a new effective date and/or other edits by the Initiator. A RDC may be required to correct the distribution for the missed pay period in addition to the resubmission of the auto-rejected EDC.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Invalid</td>
<td>All but Completed</td>
<td>Start new RDC</td>
</tr>
<tr>
<td>Identifies out of date Rejected or Saved status RDCs. Only MIS can delete PACs with this status.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Appendix C – Email Notifications

The table below shows the roles and when those roles are notified for the various email notifications.

<table>
<thead>
<tr>
<th>Email Notification Grid</th>
<th>Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Timesheet Approver</td>
</tr>
<tr>
<td>EDC – Pending Certifier Approval</td>
<td>X</td>
</tr>
<tr>
<td>EDC – 48 hr and 24 hr prior to HR Forms Due Date reminders</td>
<td>X</td>
</tr>
<tr>
<td>EDC – 4 days before paycheck date</td>
<td>X</td>
</tr>
<tr>
<td>EDC Triggered Effort Rejected by Federal Certifier</td>
<td>X</td>
</tr>
<tr>
<td>Reassignee Action on EDC Triggered Effort</td>
<td>X</td>
</tr>
<tr>
<td>RDC – Pending Certifier Approval</td>
<td>X</td>
</tr>
<tr>
<td>ACR Triggered Effort</td>
<td>X</td>
</tr>
<tr>
<td>ACR Rejected Effort</td>
<td>X</td>
</tr>
<tr>
<td>FCR Triggered Effort</td>
<td>X</td>
</tr>
<tr>
<td>FCR Rejected Effort</td>
<td>X</td>
</tr>
<tr>
<td>TCR Rejected Effort</td>
<td>X</td>
</tr>
<tr>
<td>Proxy Action on Effort</td>
<td>X</td>
</tr>
</tbody>
</table>

The table below details the situations when the system generates an email notification regarding effort certification.

<table>
<thead>
<tr>
<th>Notification</th>
<th>Email Message</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EDC in Pending Certifier Approval Status</strong></td>
<td>Subject: Effort Certification Required</td>
</tr>
</tbody>
</table>
| **Attention Electronic Personnel Action Change (ePAC) Application User ** | This message is a notification that your action is needed in the effort certification web application. In order to comply with federal effort reporting regulations, please login to the application by clicking here: [https://webapp.mis.vanderbilt.edu/epac](https://webapp.mis.vanderbilt.edu/epac).
| | If you have any questions regarding this important certification responsibility or the use of the effort certification web application, please contact your department administrator, the VUMC Department of Finance (2-3293) or the University Office of Contract and Grant Accounting (3-6655).
| | NOTE: You may also find easy to follow instructions at the ePAC Website at [https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf](https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf)
| | **** Please do not reply to this message **** |
| **EDC in Pending Certifier Approval Status – 48 hr Reminder** | Subject: ePac Certification Requires Attention |
| **Attention Electronic Personnel Action Change (ePAC) Application User ** | This message is a reminder that you have federally-funded effort that is ready to be certified in the
effort certification web application. In order to comply with federal effort reporting regulations, please login to the application by clicking https://webapp.mis.vanderbilt.edu/epac

If you have any questions regarding this important certification responsibility or the use of the effort certification web application, please contact your department administrator, the VUMC Department of Finance (2-3293) or the University Office of Contract and Grant Accounting (3-6655).

NOTE: You may also find easy to follow instructions at the ePAC Website at https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf

**** Please do not reply to this message ****
| **EDC Triggered Effort Rejected by Federal Certifier** | **Subject:** Certification Rejected  
**Attention Electronic Personnel Action Change (ePAC) Application User**  

One or more periods of effort whose certification was triggered as a result of the EDC you initiated for Tripp, Rita L have been rejected. A RDC will be required to correct these incorrect periods of effort. If you determine the rejected periods of effort are actually correct, you may contact the federal certifier and have him/her certify the rejected effort report.  
You can access the ePAC application to create a RDC at [https://webapp.mis.vanderbilt.edu/epac](https://webapp.mis.vanderbilt.edu/epac).  

**NOTE:** You may also find easy to follow instructions at the ePAC Website at [https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf](https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf)  

**** Please do not reply to this message **** |
| **Reassignee Certified EDC/RDC Triggered Effort** | **Subject:** Certification Completed  
**Attention Electronic Personnel Action Change (ePAC) Application User**  

This message is a notification that your federally-funded effort was certified and/or your planned effort for the future was approved in the effort certification web application by Martin, Ashley M on your behalf.  
If you have any questions or concerns regarding this action taken on your behalf or the use of the effort certification web application, please contact your department administrator, the VUMC Department of Finance (2-3293) or the University Office of Contract and Grant Accounting (3-6655).  

**NOTE:** You may also find easy to follow instructions at the ePAC Website at [https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf](https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf)  

**** Please do not reply to this message **** |
| **Reassignee Rejected EDC/RDC Triggered Effort** | **Subject:** Certification Rejected  
**Attention Electronic Personnel Action Change (ePAC) Application User**  

This message is a notification that your federally-funded effort was rejected in the effort certification web application by Martin, Ashley M on your behalf.  
If you have any questions or concerns regarding this action taken on your behalf or the use of the effort certification web application, please contact your department administrator, the VUMC Department of Finance (2-3293) or the University Office of Contract and Grant Accounting (3-6655).  

**NOTE:** You may also find easy to follow instructions at the ePAC Website at [https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf](https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf)  

**** Please do not reply to this message **** |
<table>
<thead>
<tr>
<th>RDC in Pending Certifier Approval Status</th>
<th>Subject: Effort Certification Required</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Attention Electronic Personnel Action Change (ePAC) Application User</strong></td>
<td></td>
</tr>
<tr>
<td>This message is a notification that a retroactive earnings distribution has been processed to change your effort distribution for a historical payroll period. As a result of this retroactive earnings distribution, you now have federally-funded effort that is ready to be certified in the effort certification web application. In order to comply with federal effort reporting regulations, please login to the application by clicking here: <a href="https://webapp.mis.vanderbilt.edu/epac">https://webapp.mis.vanderbilt.edu/epac</a>.</td>
<td></td>
</tr>
<tr>
<td>If you have any questions regarding this important certification responsibility or the use of the effort certification web application, please contact your department administrator, the VUMC Department of Finance (2-3293) or the University Office of Contract and Grant Accounting (3-6655).</td>
<td></td>
</tr>
<tr>
<td>NOTE: You may also find easy to follow instructions at the ePAC Website at <a href="https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf">https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf</a></td>
<td></td>
</tr>
<tr>
<td>**** Please do not reply to this message ****</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ACR Triggered Effort</th>
<th>Subject: Annual Certification Due</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Attention Electronic Personnel Action Change (ePAC) Application User</strong></td>
<td></td>
</tr>
<tr>
<td>This message is a notification that you have federally-funded effort that is ready to be certified in the effort certification web application. In order to comply with federal effort reporting regulations, please login to the application by clicking <a href="https://webapp.mis.vanderbilt.edu/epac">https://webapp.mis.vanderbilt.edu/epac</a>.</td>
<td></td>
</tr>
<tr>
<td>If you have any questions regarding this important certification responsibility or the use of the effort certification web application, please contact your department administrator, the VUMC Department of Finance (2-3293), or the University Office of Contract and Grant Accounting (3-6655).</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>ACR Triggered Effort Rejected</th>
<th>Subject: Annual Certification Rejected</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Attention electronic Personnel Action Change (ePAC) Application User</strong></td>
<td></td>
</tr>
<tr>
<td>One or more periods of effort whose certification was triggered as a result of an ACR for Tripp, Rita L have been rejected. A RDC will be required to correct these incorrect periods of effort. If you determine the rejected periods of effort are actually correct, you may contact the federal certifier and have him/her certify the rejected effort report.</td>
<td></td>
</tr>
<tr>
<td>You can access the ePAC application to create a RDC at <a href="https://webapp.mis.vanderbilt.edu/epac">https://webapp.mis.vanderbilt.edu/epac</a>.</td>
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<td></td>
</tr>
<tr>
<td>FCR Triggered Effort</td>
<td>Subject: Final Certification Due</td>
</tr>
<tr>
<td>----------------------</td>
<td>----------------------------------</td>
</tr>
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<td><strong>Attention Electronic Personnel Action Change (ePAC) Application User</strong></td>
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<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FCR Triggered Effort Rejected</th>
<th>Subject: Final Certification Rejected</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Attention electronic Personnel Action Change (ePAC) Application User</strong></td>
<td></td>
</tr>
<tr>
<td>One or more periods of effort whose certification was triggered as a result of an FCR for Tripp, Rita L have been rejected. A RDC will be required to correct these incorrect periods of effort. If you determine the rejected periods of effort are actually correct, you may contact the federal certifier and have him/her certify the rejected effort report.</td>
<td></td>
</tr>
<tr>
<td>You can access the ePAC application to create a RDC at <a href="https://webapp.mis.vanderbilt.edu/epac">https://webapp.mis.vanderbilt.edu/epac</a>.</td>
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<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TCR Rejected Effort</th>
<th>Subject: Timesheet Certification Rejected</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Attention electronic Personnel Action Change (ePAC) Application User</strong></td>
<td></td>
</tr>
<tr>
<td>One or more periods of effort whose certification was triggered as a result of a TCR for Tripp, Rita L have been rejected. A RDC will be required to correct these incorrect periods of effort. If you determine the rejected periods of effort are actually correct, you may contact the federal certifier and have him/her certify the rejected effort report.</td>
<td></td>
</tr>
</tbody>
</table>
You can access the ePAC application to create a RDC at https://webapp.mis.vanderbilt.edu/epac.

NOTE: You may also find easy to follow instructions at the ePAC Website at https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf

**** Please do not reply to this message ****

## Proxy Action on Effort

Subject: Certification Action on Your Behalf

** Attention Electronic Personnel Action Change (ePAC) Application User **

This message is a notification that your federally-funded effort was acted upon in the effort certification web application by Head, Irene J on your behalf.

If you have any questions or concerns regarding this action or the use of the effort certification web application, please contact your department administrator, the VUMC Department of Finance (2-3293) or the University Office of Contract and Grant Accounting (3-6655).

**** Please do not reply to this message ****

## RDC Reassignment

Subject: Effort Certification Required

** Attention Electronic Personnel Action Change (ePAC) Application User **

This message is notification that the certification responsibility on a retroactive earnings distribution has been reassigned to you. The RDC is in process to change an employee’s effort distribution for a historical payroll period. As a result of this retroactive earnings distribution, you now have federally-funded effort that is ready to be certified in the effort certification web application. In order to comply with federal effort reporting regulations, please login to the application by clicking here: https://webapp.mis.vanderbilt.edu/epac.

If you have any questions regarding this important certification responsibility or the use of the effort certification web application, please contact your department administrator, VUMC Department of Finance (2-3293), or the University Office of Contract and Grant Accounting (3-6655).

NOTE: You may also find easy to follow instructions at the ePAC Website at
Subject: Effort Certification Required

** Attention Electronic Personnel Action Change (ePAC) Application User **

This message is a notification that your action is needed in the effort certification web application. An EDC for an employee has been reassigned to you. In order to comply with federal effort reporting regulations, please login to the application by clicking here: https://webapp.mis.vanderbilt.edu/epac.

If you have any questions regarding this important certification responsibility or the use of the effort certification web application, please contact your department administrator, VUMC Department of Finance (2-3293), or the University Office of Contract and Grant Accounting (3-6655).

NOTE: You may also find easy to follow instructions at the ePAC Website at https://dof.mc.vanderbilt.edu/fs/Documents/vu/ePACEffortCertTipSheet.pdf

**** Please do not reply to this message ****
## Appendix D – Glossary of ePAC Certification Statuses

<table>
<thead>
<tr>
<th>Certification Status</th>
<th>Certification Status Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cancelled</td>
<td>A certification row already existed for the pay period when this certification row was created. This certification row does not need to be certified and is therefore cancelled.</td>
</tr>
<tr>
<td>Certified</td>
<td>The certifying employee has electronically agreed with the past effort being certified on an EDC. For RDCs, the certifying employee has electronically agreed to the effort change(s) made to prior pay periods.</td>
</tr>
<tr>
<td>Uncertified</td>
<td>No action has been taken on the certification row.</td>
</tr>
<tr>
<td>Rejected</td>
<td>The certification has been rejected by the employee or a proxy certifier.</td>
</tr>
<tr>
<td>Invalid</td>
<td>An RDC has been completed to correct the employee’s effort for the pay period. A new certification row was created for the pay period when the RDC was completed.</td>
</tr>
</tbody>
</table>
Reassignment of an EDC Plan

The PA Workflow Administrator role is the only role in ePAC that can authorize an alternate individual to certify the effort or approve the new distribution (plan) for an unavailable certifying faculty/staff member.

- Reassignment for planned effort on an EDC can only occur when the PAC has a status of Pending Certifier Approval.

The steps to reassign the approval of the EDC Plan:

1. As a PA Workflow Administrator, click on the Distributions Search tab in the header to perform a PAC Search. There are four fields used as search criteria: Initiator Name, Employee Name, Employee Id and Status. If a name is used, at least two letters of the last name is required to return results. In the example below, the search for the EDC requiring reassignment used Status Equals Pending Certifier Approval.
2. When the search result has more than one PAC, the user will click on the Employee Name field of the person needing reassignment.

![Image of search interface]

3. By selecting the Employee Name with the Distr Type of EDC shown above, the Earnings Distribution Summary screen will display.

4. The PA Workflow Administrator will enter the VUnetID of the suitable substitute certifier and click the Reassign button (see below).

![Image of approval interface]
5. A confirmation message will appear on the screen indicating a successful reassignment of this PAC.

6. The reassigned planned approver can then log into ePAC and access the EDC for approval through the Distributions Search tab (see Section 2.1).

7. The reassigned EDC plan approver will be notified via email that effort certification has been reassigned to her/him and action is required to completed the EDC certification process.

**Reassignment of an ACR, FCR or EDC (Effort Only)**

1. To reassign an ACR, FCR, or EDC (effort only) the PA Workflow Administrator selects the Proxy Assignment tab (see below). The Proxy Assignment tab is used to reassign an employee’s effort for annual certifications (ACR), final certification (FCR), and EDCs that require certification of past effort.

2. Clicking the Proxy Assignment tab will open a screen where Proxy reassignments can be managed. In the first box, the PA Workflow Admin will enter the Employee Id of the person whose certification has to be reassigned (see below). In the second box, the PA Workflow Admin will enter the VUNet Id of the person who will certify the effort. The reassignment is completed once the Reassign button is clicked. The reassignment will be added to the Current Reassignments box.
3. Once the certification has been completed, the reassignment should be manually removed in the system by checking the box in the “Remove Assignment” column next to the appropriate Reassigned Name and clicking the Remove button as the message below states. Any reassigned names showing in the Current Reassignments section will be recognized in the system until the reassignment is manually removed.

4. The PA Workflow Admin will need to notify the reassigned proxy approver in order to certify the reassigned effort.

**Reassignment of a RDC**

The PA Workflow Administrator role is the only role in ePAC that can authorize an alternate individual to certify the effort on a RDC for an unavailable certifying faculty/staff member.

- Reassignment for the RDC can only be done on PACs with a status of Pending Certifier Approval.

The steps to Reassign a RDC:
5. As a PA Workflow Admin, click on the Distributions Search tab in the header to perform a PAC Search. There are four fields used as search criteria: Initiator Name, Employee Name, Employee Id and Status. If a name is used, at least two letters of the last name is required to return results. In this case, we chose Status Equals Pending Certifier Approval (see below).

6. The search result has more than one PAC so the user will click on the Employee Name field of the person needing reassignment.

7. By selecting the Employee Name with the Distr Type of RDC shown above, the Effort Certification Summary screen will display.

8. The PA Workflow Administrator will enter the VUnetID of the alternative certifier and click the Reassign button.
9. A confirmation message will appear on the screen indicating a successful reassignment of this PAC.

10. The reassigned RDC approver can then log into ePAC and access the RDC for approval through the Distributions Search tab (see Section 2.3).
11. The reassigned RDC approver will be notified via email that effort certification has been reassigned to her/him and action is required to complete the RDC.

In Summary:
1. Reassigning **Effort for an EDC** in the status of Pending Certifier **Approval** is done using the Proxy Assignment tab.

2. Reassigning **Effort for an ACR or a FCR** is done using the Proxy Assignment tab.

3. Reassigning the **Plan Approval for an EDC** is done on the Earnings Distribution Summary screen.

4. Reassigning **Effort for a RDC** in the status of Pending Certifier **Approval** is done on the RDC Effort Certification Summary screen.

**Appendix F – Central Administration Activities**
### Appendix G – Workflow Admin Roles

<table>
<thead>
<tr>
<th>Name</th>
<th>Resource</th>
<th>Attributes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Michelle Vazin</td>
<td>Provost</td>
<td>Effort Certification Admin</td>
</tr>
<tr>
<td>Tanya Paul</td>
<td>Provost</td>
<td>Effort Certification Admin</td>
</tr>
<tr>
<td>Donna Kilpatrick</td>
<td>School of Medicine</td>
<td>Effort Certification Admin</td>
</tr>
<tr>
<td>Steve Todd</td>
<td>School of Medicine</td>
<td>Effort Certification Admin, PA Payroll Admin</td>
</tr>
<tr>
<td>Paula Yarbrough</td>
<td>School of Medicine</td>
<td>Effort Certification Admin, PA Payroll Admin</td>
</tr>
<tr>
<td>Lynn Capps</td>
<td>School of Medicine</td>
<td>Effort Certification Admin, PA Payroll Admin</td>
</tr>
<tr>
<td>Eric Ingram</td>
<td>School of Medicine</td>
<td>Effort Certification Admin, PA Payroll Admin</td>
</tr>
<tr>
<td>Andy Koepke</td>
<td>School of Medicine</td>
<td>Effort Certification Admin, PA Payroll Admin</td>
</tr>
<tr>
<td>James Mizell</td>
<td>School of Medicine</td>
<td>Effort Certification Admin, PA Payroll Admin</td>
</tr>
<tr>
<td>Tesha Garcia-Taylor</td>
<td>School of Medicine</td>
<td>Effort Certification Admin, PA Payroll Admin</td>
</tr>
<tr>
<td>Terri Phillips</td>
<td>School of Medicine, Chancellor</td>
<td>Payroll Admin, PA Processing</td>
</tr>
<tr>
<td>Jodi Johnson</td>
<td>Hospital, VMG</td>
<td>Effort Certification Admin</td>
</tr>
</tbody>
</table>

### Appendix H – ePAC FAQs

**ePAC Frequently Asked Questions (FAQs)**

110
General FAQ

1. Are students being processed through EPAC?
Job and position data changes are currently not processed through ePAC for any student groups (undergraduate, graduate fellows, post docs, residents, etc.) EDC changes for University students are currently not processed through EPAC but RDC changes may be processed through ePAC. The process to support EDC changes for University home departments in ePAC are currently under consideration. EDC and RDC distribution changes for Medical Center students, fellows, post docs, and residents must be initiated in EPAC as ePAC supports the effort certification process for all faculty and monthly paid staff and students.

2. I am receiving an error message when entering a center number in ePAC (may be EDC or RDC). The system is giving me the following message “This center is not valid in the general ledger.”
ePAC will not allow the entry of invalid or inactive cost center numbers. Please confirm the cost center number from the source that provided it first. If the cost center number seems to be correct, contact the central office representative for your area to confirm the validity of the cost center number.

3. How do I enter information about the cost share funding center(s)?
For an EDC and a RDC, enter a valid 10 digit center number and percentage that the center will be funding the cost share in the "Cost Share Funding Source" section. This section appears when a cost share job code is a part of the salary distribution or selected as part of the distribution change.

4. Why do I sometimes approve twice and sometimes only once?
If a user has a required reviewer role and an executor role (Sig Auth PAF or HD executor), the user may have to approve twice as all required reviewers must approve before executor approvals can be applied. If a user has both a Home Department and Cost Center based (Sig Auth PAF) approver role, both approvals will be recognized at the same time.

5. Which PACs can be accessed from the Distribution Search?
Any EDC or RDC PAC in any status for which a user has an approval role (direct or inherited) can be accessed through the Distribution Search.

6. Can non-distribution PACs be accessed through the Distribution Search Tab? If not, how are other types of PACs accessed?
Non-distribution PACs can be viewed through BO reports.

8. Where do I find a link to change ePAC roles?
ePAC roles are changed in the Privilege Management system through the following link: https://webapp.mis.vanderbilt.edu/privmgmt/

9. Where do I find the cost transfer policy? This policy can be found through the following link: http://www.vanderbilt.edu/ocga/vupolicies/costtransfers/costtransfer.htm

Where do I find the effort reporting policy? This policy can be found through the following link: http://www.vanderbilt.edu/ocga/vupolicies/effortreporting/Final%20Effort%20Reporting%20Policy%2011410.pdf
EDC FAQ

1. I submitted an EDC one week ago and am now submitting a pay rate change (or any other job data change) with the same effective date. How do I know that the system will recognize or retain my first change?
Multiple actions with the same effective date may be processed through the system. The system will insert a new sequence number with the same effective date and build upon the previous record. ePAC should help facilitate fewer errors in processing as the system is only updating to the fields associated with the respective action as chosen by the user department. Because these two actions are distinctly different, i.e., a pay rate change only updates the pay information and a distribution change only updates the salary distributions, the order in which the system receives completed transactions with the same effective date does not matter. The restriction with this is that only one action can be active in workflow at a time.

2. What is the deadline for submitting an EDC for a respective payroll period?
An EDC must be in the “Completed” status 4 days before the current open pay period for the pay group is processed.

3. If a future record (non-benefit) is already in PeopleSoft, does EPAC let the user know and give any details of future dated record?
EPAC will give you the following message if a future dated EDC (one that is effective dated for a future period greater than the one currently being initiated) is in the HRMS system:

WARNING: A distribution already exists with a future effective date. The Earnings Distribution Change you are about to submit will be changed by the future dated distribution already in the system. Note: You will need to change the future dated distribution if you do not want this distribution change to be altered on the future effective date.

A user can look up future dated distributions through the Distribution Search Tab to determine the effective date and the distribution details or through Business Objects reporting.

RDC FAQ

1. I am trying to process an RDC for an employee and they have changed paygroups during the period of the RDC. The application is not allowing me to continue the RDC.
The journal entry will need to be split to include the periods associated with each of the two paygroups separately. If, for example, the first paygroup was VTS, choose the periods associated with the VTS paygroup and complete the RDC. Then begin a new entry for the additional pay periods which require a change in distribution and are associated with the second paygroup.

2. How often do RDCs post to the general ledger?
ePAC interfaces to the general ledger nightly on all business days. If a RDC is in completed status before 6:30 - 6:50 pm on any business day, it will be included in the
3. I am not seeing my RDC (journal entry) as having posted to the general ledger. What do I do?
First, confirm that the RDC is in completed status. If you are the initiator and the RDC is not completed, it will still be on your workflow. Review the drop down approvals list to confirm that all approvals are complete. If all approvals are not complete, you may wish to contact the appropriate area to request they complete the approval process. You may also access the transaction through the search tab. The user can compare the "Approvals" and "Approvers" section by node or cost center to understand the approvals that have been completed and those that are still outstanding. Second, ePAC interfaces to the general ledger nightly on all business days. If an RDC is in completed status before 6:30 – 6:50 pm on any business day, it will be included in the general ledger posting for that evening. If an RDC is completed after 7 pm on any business day or on a weekend, it will be included in the next business day.

4. How do I complete a journal entry for multiple periods?
If all periods returned in the search have the same center/job code distributions, an "Apply All" button will appear with the first period. After making adjustments to the first period and clicking "Apply All", the same changes will be applied automatically to the remaining pay periods. If all periods returned in the search do not have the same Center/Job Code distributions, each period must be adjusted separately by the initiator.

5. When a new department begins using ePAC, what pay periods can be adjusted through the ePAC RDC module?
RDCs can be created through ePAC for pay periods ending on or after 12/1/2005 for the School of Medicine, School of Nursing, and University. Journal entries have been processed through the application for these areas since this date. Hospital, Clinic, and MCO departments may begin to use ePAC to process journal entries beginning with the month of their ePAC go-live.

6. I am processing a RDC for an employee that has left Vanderbilt and there is an effort certification involved. How does the certification get completed?
If the employee still has an active VUnetID they can log into ePAC to complete the certification. If not, there is a function in ePac that allows there assignment of effort to another individual for these types of circumstances. Once the RDC is in the "Pending Certifier Approval" status, you can contact a central office representative of your area. Provide them with the employee’s name and employee ID, the VUnet ID of the person to whom you will be reassigning the certification and the reason for the certification reassignment. The effort certification can be reassigned to the Principal Investigator or to an individual who has suitable means of verification of the work performed by the employee.

Certification FAQ

1. What events trigger a request for certification by faculty or exempt staff?
a. EDC - Earnings Distribution Change made for Federal Centers. (Note - Future effective dated EDCs may not have effort associated with them, as the effort report is a retrospective confirmation and is displayed based upon the periods that have elapsed at the time of approval of the plan by the Certifier.

b. RDC - Retroactive Distribution Change on an employee and period where some percent of effort is charged to a federally funded cost center (for periods that can be submitted through EPAC)

c. ACR - Annual Certification Request for any pay period with no certification over the last 11 months.

d. FCR - Final Certification Request for any periods of uncertified effort at the time the termination record is processed.

e. TCR - Timesheet Certification Request for any pay period for a nonexempt employee with no certification over the last month.

2. How does EPAC affect hourly paid employees’ certification responsibilities?

   Hourly paid employees will still certify their effort on federally funded cost centers through timesheets.

3. How is the Effort Certification Report accessed after an EDC is completed or while in a "Pending Certifier Approval" status?

   Administrators can view effort certification history and pending certification information through BO reports. Faculty, nonexempt and exempt staff can view certification history through the certification history tab within the ePAC application.

4. What are Faculty and Exempt Staff’s approval and certification responsibilities when they have effort distribution changes on federally funded centers?

   Upon all departmental approvals of an EDC which includes federal effort distribution changes or an RDC where any period of pay has effort charge to a federally funded center, the EDC or RDC will change its status to "Pending Certifier Approval" and certifiers will need to perform the following actions:

   **For EDCs**
   1. The OMB Circular A-21 requires that the Faculty or Exempt Staff member "Approve" the new planned earnings distribution change as reflective of planned effort for future months (based upon the effective date of the plan change).
   2. The Effort Report is created for certification upon the certifier’s approval action of the new distribution/planned effort change. As the effort report is a retrospective confirmation that effort was charged in accordance with actual work activities for respective period(s), the Effort Report will include all elapsed periods (months) for which a certification has not been completed or an RDC is not in process. The effort report will be aggregated across periods if the effort is the same for all periods to be certified or will be displayed by month if the effort distribution is different in respective months. The certifier may agree or disagree with the historical distribution of effort. If the certifier disagrees with some or all periods, they will be provided with detail...
distribution by month to support the ability to disagree with or reject all periods or to choose one or more periods. Rejected periods are returned to the Initiator for appropriate action.

3. If the certifier agrees with the effort report or one or more periods in the effort report, they periods with which the certifier agrees will be summarized into a final screen for the certifier to "Certify". Please note that if the Certifier subsequently decides some or all periods that were rejected are correct, the Certifier can access the PAC through Certifications Tab to finish their certification. Also, please note that it is important for the Initiator to follow up with the Certifier on any rejected periods to ensure timely resolution of corrections.

For RDCs
1. A Certifier must confirm their agreement with retroactive changes to effort distribution by certifying or rejecting all of the effort periods associated with an RDC.

Please note that it is important for an Initiator to follow up with the Certifier to determine the appropriate action if an RDC is rejected to ensure timely resolution of corrections.

Cost Share FAQ

<table>
<thead>
<tr>
<th>Why was it necessary to make the cost share funding enhancements?</th>
<th>The new process will allow cost share funding to be calculated and recorded at an employee level and then posted to the appropriate funding cost center without the use of prorate tables in the General Ledger that are currently being used. It will help departments determine the appropriate minimum cost share percentage for those individuals paid from centers governed by the NIH Salary Cap when their salary exceeds the cap.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Once the cost share enhancement is deployed, will we be required to enter any new cost share funding information or changes in ePAC?</td>
<td>All cost share funding information will be pre-populated in ePAC upon go-live. The cost share funding information will remain in ePAC and can be edited through the EDC process when necessary.</td>
</tr>
<tr>
<td>What is the current NIH Salary Cap Requirement?</td>
<td>2009 Cap is $196,700 annually for 12-month appointment faculty or $147,525.00 for 9-month faculty. <a href="http://www.vanderbilt.edu/ocga/NIHsalarycap/NIHsalarycap.htm">http://www.vanderbilt.edu/ocga/NIHsalarycap/NIHsalarycap.htm</a></td>
</tr>
<tr>
<td>What new information is displayed in the EDC Panel Header</td>
<td>VA Salary – if applicable (included in VU Comp Rate Current CS% Total Current CS Amt Tot )</td>
</tr>
</tbody>
</table>
### What additional changes were made to the: EDC Edit Screen?

- Total Center effort shows total % for centers with both primary and cost share job code rows.
- Cost Share Funding source Box shows cost share funding distribution for cost share job code row. By clicking “View Cost Share” beside the box, it expands individually. By clicking “View All Cost Share Sections” all cost share Funding Source boxes expand.

For sponsored centers governed by the NIH salary cap and individual’s salary exceeding the cap only:
- Target Center Effort Box allows input of the desired % to allocated to the center
- Target Min CS% calculates the minimum % needed to cost share based on the target center effort entered
- Target Direct Effort calculates the Target Center Effort less the Target Min CS%
- Minimum CS Amount shows the Target Min CS% in dollars

- Only Cost Share Funding Source Boxes with changes will appear expanded, but boxes without changes can be expanded by the user by clicking “View Cost Share” or “View All Cost Share Sections.”

### EDC Summary

<table>
<thead>
<tr>
<th>What additional changes were made to the RDC Edit Screen?</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Total Center effort shows total % for centers with both primary and cost share job code rows.</td>
</tr>
<tr>
<td>- Cost Share Funding Source Box shows cost share funding distribution for a cost share job code row. By clicking “View All Cost Share Sections” all Cost share Funding Source boxes expand. NOTE: Only for pay periods after go-live.</td>
</tr>
</tbody>
</table>

- Only Cost Share Funding Source Boxes with changes will appear expanded, but boxes without changes can be expanded by the user by clicking “View Cost Share” or “View All Cost Share Sections”.

### RDC Summary

<table>
<thead>
<tr>
<th>Will the Cost Share Minimums requirement also be displayed when a Retro-Distribution Change (RDC) is made?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Share minimums cannot be system enforced on a RDC. You will be prompted with a warning message if the change to cost share is adjusted less than originally charged. The warning message will follow the RDC through the entire workflow process.</td>
</tr>
<tr>
<td>How far back can cost share funding source changes be made in ePAC?</td>
</tr>
</tbody>
</table>