Payroll Off Cycle Adjustments Report
Payroll Off Cycle Adjustments Report

Core Office Collaboration
Agenda

- Welcome and Agenda Overview
  Marie Chestnut, HSC Faculty Contracts

- Review of the Payroll Audit
  Theresa Ramos, Office of Equal Opportunity

- UBPPM #2000, Responsibility and Accountability for University Information and Transactions
  Denise Montoya, Human Resources

- Results of the Payroll Audit
  Brian Malone, Student Financial Aid Office

- Payroll Off Cycle Adjustments Report Expectations and Accountability
  Josie Abeyta, Payroll
Agenda (continued)

- Hyperion Report Content and Demonstration
  *Edwina Salazar, Office of Graduate Studies*

- ePrint Report Content and Demonstration
  *Rita Abeyta, Main Campus Faculty Contracts*

- Summary and Additional ERP Initiatives Supporting the Selected Payroll Processes Audit
  *Joyce McCarthy, Human Resources*

- Conclusion and Q & As
  *Marie Chestnut, HSC Faculty Contracts*
Review:
Audit of Selected Payroll Processes

- Completed in January 19, 2011
- Called for reduction of Payroll adjustments and off cycle payrolls due to late paperwork
- Required core offices to provide better guidelines, instructions, and published deadlines
- Required an increase in University accountability related to employment transactions
Review: Audit of Selected Payroll Processes

- Resulted in Employment Areas, Office of Equal Opportunity, and Payroll forming task force
- Goal: To work collaboratively to provide support to departments for employment transactions
- Addresses:
  - Communication
  - Improving processes
  - Consolidating forms
UBPPM #2000, Responsibility and Accountability for University Information and Transactions

- Originally created during the implementation of Banner Finance
- Beginning of automation of approval processes
- Revised as a result of the Audit of Selected Payroll Processes (2010-07)
  - Audit focused on the need to improve the quality, accuracy, and timeliness of employment transactions University wide
What does your signature or approval represent?

- UBPPM #2000 defines specific responsibilities
- Deans/Directors/Department Heads
  - Responsible for defining departmental approval processes and designating individuals in their organizations who are authorized to process business and administrative transactions.
  - Responsible for exercising good judgment, upholding ethical standards, and should have internal procedures in place to ensure periodic review of designations and related training.
What does your signature or approval represent?

- **Requestors**
  - Responsible for determining the validity and appropriateness of the transaction; and evaluating the transaction for compliance with contractual requirements.
  - Accountable for fulfilling the above responsibilities, exercising good judgment, and upholding ethical standards.
What does your signature or approval represent?

- Initiators/Originators
  - Responsible for ensuring the electronic transaction and/or form is complete and accurate; verifying all backup documentation; notifying approvers and requester if a transaction will cause an account to go over budget; ensuring compliance with administrative processes; and ensuring deadlines are adhered to in submission of the transactions.
  - Accountable for fulfilling the above responsibilities, exercising good judgment, and upholding ethical standards.
What does your signature or approval represent?

- **Departmental Approvers**
  - Responsible for conformity with budget; verifying the appropriateness of the transaction; and ensuring compliance with University policies and procedures.
  - Primarily responsible for acceptance of the added risk associated with high dollar and/or risk transactions. Approvers will be accountable for fulfilling the above responsibilities, exercising good judgment, and upholding ethical standards.
What does your signature or approval represent?

- Core Offices
  - Responsible for verifying proper transaction processing; and verifying compliance with University policies, federal and state laws and regulations, and administrative processes; and periodic review of transactions including trend analysis, internal controls, and review of departmental approval processes.
  - Accountable for fulfilling the above responsibilities, exercising good judgment, and upholding ethical standards.
A memo to Vice Presidents/Deans/Directors and Chairs was issued regarding University-wide employment transaction improvements.

University Business Policies and Procedures Manual #2000, Responsibility and Accountability for University Information and Transactions was modified.

The OneSource website was created to provide instructions on employment transactions, forms, and published deadlines.

The Payroll Off Cycle Adjustments Report is NOW available in ePrint and Hyperion that highlight late employment transactions creating payroll adjustments and/or off cycle payrolls to be run.
Report

- Developed in collaboration with all the Employment Areas, Office of Equal Opportunity, and Payroll

- ePrint Report:
  - PZROPTRD - Payroll Transactions Processed on Off-Cycle Adjustments (detail)

- Hyperion Report:
  - PHRHO025 - Payroll Off-Cycle Adjustments Summary
Department Expectations and Accountability

- Review reports at the Banner Org Level 3 on a quarterly basis.
- Intent is to increase accountability by improving processes ensuring quality, accuracy, and timeliness of all employment transactions.
- Collaborate with the appropriate stakeholders in your organization and employment areas, review internal processes and approvals, and ensure appropriate training is completed to address these late transactions and minimize them in the future.
Core Office Expectations and Accountability

- Employment Areas, Office of Equal Opportunity, and Payroll will continue to analyze and develop tools that will allow us to work together to improve our shared processes ensuring compliance.
# PZROPTRK – Payroll Adjustment Key

<table>
<thead>
<tr>
<th>ADJ REASON</th>
<th>DESC.</th>
<th>DEFINITION/EXAMPLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1EMP</td>
<td>Employee</td>
<td>Employee submitted documentation past deadline (Ex. timesheets, exception report, I-9, etc.)</td>
</tr>
<tr>
<td>2DTE</td>
<td>Department time entry</td>
<td>Department submitted past deadline (i.e. failed to enter time, approver failed to approve, late paperwork)</td>
</tr>
<tr>
<td>3DPT</td>
<td>Department</td>
<td>Department submitted paperwork to EDC past EDC deadline. (other examples incomplete, missing signatures)</td>
</tr>
<tr>
<td>4EDC</td>
<td>EDC</td>
<td>EDC submitted paperwork to Payroll past Payroll deadline. (other examples incomplete, missing signatures)</td>
</tr>
<tr>
<td>5DAE</td>
<td>Department and EDC</td>
<td>SEE 3DPT and 4EDC</td>
</tr>
<tr>
<td>6ISE</td>
<td>Input/setup errors</td>
<td>EDC makes data entry error(s) during input/setup</td>
</tr>
<tr>
<td>7PYE</td>
<td>Payroll error</td>
<td>Payroll makes error during processing, etc.</td>
</tr>
<tr>
<td>8RTP</td>
<td>Routine procedures</td>
<td>Necessary and routine adjustments (i.e. deceased payouts, leave payouts, settlements, etc.)</td>
</tr>
<tr>
<td>9MSC</td>
<td>Misc or Unknown</td>
<td>Use this code when the error is outside other reason codes.</td>
</tr>
<tr>
<td>10BE</td>
<td>Benefits error</td>
<td>Benefit Office makes error during processing, etc.</td>
</tr>
<tr>
<td>11BL</td>
<td>Benefits late</td>
<td>Benefit Office submitted paperwork to Payroll past payroll deadline. (other examples incomplete, missing signatures)</td>
</tr>
</tbody>
</table>
Hyperion Report Content and Demonstration

PHRHO025 – Payroll Off-Cycle Adjustments Summary

This report summarizes payroll adjustments within a date range.
Department of Human Resources

PHRHO025 - Payroll Transactions Processed on Off-Cycle Adjustments

This quarterly report is used to identify transactions that were submitted to the employment areas and payroll late resulting in off cycle payroll and/or payroll adjustments. The report will be submitted to leadership in an effort to decrease off cycle payroll and/or payroll adjustments. Organization will be required to implement corrective action that reflects improvement in their employment transaction processes.

1. Choose from list:
- ABM: School of Architecture Planning
- ABN: University Libraries
- ABC: Continuing Education Cont Ed
- ABP: Extended University Ext Univ
- ABC, VP Research & Econ Development
- ABR: Academic Affairs Monitoring
- ACA: VP Student Affairs Administration
- ACB: VP Student Affairs Independent Dept ID

To select more than one Campus, hold down the CTRL key while clicking on each campus.

To select a continuous group of campuses, click on your first selection, hold down the SHIFT key, then click on the last selection.

2. Enter a Date Range
Use the following Date Format:

MM/DD/YYYY

For Example: 01/01/2007

04/01/2012 06/03/2012

[Process]
PHRHO025 – Payroll Transactions Processed on Off-Cycle Adjustments
### Payroll Transactions Processed on Off-Cycle Adjustments Summary

**Date Range:** 04/01/2012, 06/03/2012

**Total Adjustments for Date Range:** 5

#### VP Resrch & Econ Devpmnt

- **Faculty Contracts**
  - **Adjustment Code**: 3DPT
  - **Adjustment Code Desc**: Department
  - **Count**: 1
  - **Total Adjustments**: 2

  - **Adjustment Code**: 7PYE
  - **Adjustment Code Desc**: Payroll error
  - **Count**: 1

#### Human Resources

- **Total Level 3 Adjustments**: 5
  - **Total Adjustments**: 2

#### Office of Graduate Studies

- **Total Adjustments**: 1

<table>
<thead>
<tr>
<th>Adjustment Code</th>
<th>Adjustment Code Desc</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>3DPT</td>
<td>Department</td>
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06/04/12 12:55 PM

PHRHO025
ePrint Report Content and Demonstration

PZROPTRD – Payroll Transaction Processed on Off-Cycle Adjustments

<table>
<thead>
<tr>
<th>Report</th>
<th>Description</th>
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<tbody>
<tr>
<td>PZROPTRD</td>
<td>Payroll Transactions Processed on Off-Cycle Adjustments</td>
</tr>
<tr>
<td>PZROPTRK</td>
<td>Payroll Adjustment Key</td>
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PZROPTRD – Payroll Transactions Processed on Off-Cycle Adjustments

hrp_banp - HR/Payroll Reports - Production (banp) : PZROPTRD

<table>
<thead>
<tr>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payroll Transactions Processed on Off-Cycle Adjustments Detail</td>
</tr>
</tbody>
</table>
PZROPTRD – Payroll Transactions Processed on Off-Cycle Adjustments

PZROPTRD

UNIVERSITY OF NEW MEXICO
Payroll Transactions Processed on Off-Cycle Adjustments
Detail
Fiscal Quarter: 01-APR-2012 to 30-JUN-2012

Level3Org: ABG
Org Code: S68A
College of Fine Arts CFA
Cinematic Arts Department

<table>
<thead>
<tr>
<th>Code</th>
<th>UNM ID</th>
<th>Employee Name</th>
<th>Check Date</th>
<th>Pay Yr</th>
<th>PayNo</th>
<th>PaySt</th>
<th>Position</th>
<th>ST</th>
<th>RC</th>
<th>JCRR</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>SDAE</td>
<td></td>
<td></td>
<td>04/09/12</td>
<td>2012</td>
<td>SR3</td>
<td>P90998</td>
<td>SI</td>
<td>F9</td>
<td>ADDSC</td>
<td></td>
<td>SDAE - HDC received 2/21/12, Payroll received 4/4/12, True effective date 8/1/11. Pay installment of $4000 for SR08-SR01.</td>
</tr>
</tbody>
</table>
## PZROPTRD – Payroll Transactions Processed on Off-Cycle Adjustments

<table>
<thead>
<tr>
<th>Level Org:</th>
<th>ABG Code:</th>
<th>Org Code:</th>
<th>College: Fine Arts CPA Code</th>
<th>UNM ID</th>
<th>Employee Name</th>
<th>Check Date</th>
<th>Pay Yr</th>
<th>Pay No</th>
<th>Posn</th>
<th>SU</th>
<th>EC</th>
<th>JCRE</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>3DPT</td>
<td>S95A</td>
<td>5R4</td>
<td></td>
<td></td>
<td></td>
<td>04/30/12</td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3DPT - EDC received 4/17/12, Payroll received 4/25/12, True effective date 8/1/11. Pay installment of $2250 for SAC for 5R08-5R04.</td>
</tr>
<tr>
<td>4EDC</td>
<td></td>
<td>5R5</td>
<td></td>
<td></td>
<td></td>
<td>05/31/12</td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4EDC - EDC received 4/20/12, Payroll received 5/25/12, True effective date 5/1/12. Pay installment of $4000 for 5R05.</td>
</tr>
<tr>
<td>4EDC</td>
<td></td>
<td>5R5</td>
<td></td>
<td></td>
<td></td>
<td>05/31/12</td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4EDC - EDC received 4/20/12, Payroll received 5/25/12, True effective date 5/1/12. Pay installment of $4000 for 5R05.</td>
</tr>
<tr>
<td>4EDC</td>
<td></td>
<td>5R3</td>
<td></td>
<td></td>
<td></td>
<td>05/21/12</td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4EDC - EDC received notification 2/1/12, Payroll received 4/16/12, True effective date 2/1/12. Employee has fellowship sponsor that does not allow her to accept payment for teaching. Position should have been cancelled and employee should not have received any payment. Employee turned in actual 5R02 check, voided. Employee still owes $750 from 5R03, payment made in payroll via check on 5/9/12.</td>
</tr>
<tr>
<td>5DAE</td>
<td></td>
<td>5R3</td>
<td></td>
<td></td>
<td></td>
<td>04/09/12</td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5DAE - EDC received 2/20/12, Payroll received 4/4/12, True effective date 8/1/11. Pay installment of $3200 for 5R08-5R03.</td>
</tr>
<tr>
<td>6ISE</td>
<td></td>
<td>5R5</td>
<td></td>
<td></td>
<td></td>
<td>05/31/12</td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6ISE - EDC setup with earn code of 204 instead of 203. 204 earn code requires a rate in default earnings which was not added resulting in a $0 pay. Payroll did not receive paperwork until after the final.</td>
</tr>
<tr>
<td>6ISE</td>
<td></td>
<td>5R5</td>
<td></td>
<td></td>
<td></td>
<td>05/31/12</td>
<td>2012</td>
<td></td>
<td></td>
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<td>6ISE - EDC setup with earn code of 204 instead of 203. 204 earn code requires a rate in default earnings which was not added resulting in a $0 pay. Payroll did not receive paperwork until after the final.</td>
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PZROPTRD – Payroll Transactions Processed on Off-Cycle Adjustments

UNIVERSITY OF NEW MEXICO
Payroll Transactions Processed on Off-Cycle Adjustments
Detail
Fiscal Quarter: 01-APR-2012 to 30-JUN-2012

PZROPTRD

Level3Org: ABQ
Org Code: 0698
Code UNM ID Employee Name Check Date Pay Yr PayNo Posn SU EC JCRE Comment
3DPT 59294 05/14/12 2012 5R4 00634 00 SE JBEND

3DPT - Department submitted past deadline; EDC rec’d 4/26/12; Payroll rec’d 4/27/12; true effective date 4/2/12. Adjust to pay April 2012 wages, do not collect insurance premiums, per Benefits, items were sent to BRS for collection.
Goal: Reduce off cycle payrolls by improving processes

Report is available 24/7

Review should take place at minimum on quarterly basis

HR Agents/Deans and Directors will be notified on a quarterly basis

Encourage you to work with core offices to establish process improvements

Opportunity to determine if additional training is needed
Additional ERP Initiatives Supporting the Selected Payroll Processes Audit

Innovative use of technology to improve our processes including:

- Planned automation of all employment transactions
  - ePAF (Electronic Personnel Action Forms)
  - UNMJobs
  - Workflow
- Electronic routing and storage of employment transaction documentation (Extender/BDMS)
- LoboTime
Conclusion and why is it important?

- Ensures compliance with policies, laws, and regulations
- Ensures qualified hires
- Retains valuable employees
- Increases employee morale
- Minimizes cost per hire
- Provides ability to defend decisions
- Improves the overall image of University
- Models effective decision making
Questions?