ONLINE LABOR REDISTRIBUTIONS (OLR)

Reference Manual

Rice University – Administrative Systems, Research & Cost Accounting, and Payroll Department

READ ME FIRST

If you or your department are about to become trained on this process, PLEASE read the following before you start on your adventures:

Appendix A, Page 48
Appendix B, Page 50
Appendix C, Page 52
Appendix D, Page 53
Helpful Hints, Page 44

Compiled and Created by James Smolen
Edits and Changes in this Version

Version 1.4:
1. Emphasis on importance of Signing Off after using OLR system, in order to prevent locking out other users (page 46 and others).
2. Comments in Batches – how to make them work (page 19).
3. Addition of this “Edits and Changes” page.
4. Multiple fixes of internal page references and header/footers.

Version 1.5:
1. Updated ESTHER screenshots (p. 9)
2. Updated contact information for help (p. 10)
3. Warning that calendar function does not work properly (p. 15)
4. A section about the new email notification system has been added (p. )
5. Problems with “broken” or incomplete batches (p. 29).
6. “Ghost” or Doubled Pay Periods for High Level Approvals (p. 31)
7. Problems caused by deferred pay being presented as default earn code (p. 32).
8. Discussion of Earn Codes (p. 34) and listed in an Appendix (p. 63).
9. New Initiator Dashboard (p. 35)
10. New Approver Dashboard (p. 38)

Version 1.6:
1. Updated description of automation of entry of Payroll information into Banner financial ledgers (p. 8).
2. Contact Information (p. 10)
3. References to frequency of approver emails corrected (p. 38)
4. Discussion of Fiscal Year End Procedures (p. 43)
5. Handling Changes in Approvers (p. 45).

Version 1.7:
1. Contact Information (p. 10)
I. Introduction ................................................................................................... 7

II. Accessing the System ..................................................................................... 9
   A. Rice University Operating Procedures ..................................................... 10
      1. Initiators ............................................................................................... 10
      2. Approvers ............................................................................................. 10
      3. Comments ............................................................................................ 10

III. Initiating Labor Redistributions for an Employee ......................................... 11
   A. Introduction............................................................................................. 11
   B. Person Search for Labor Redistribution ................................................... 11

IV. Updating Labor Distributions ....................................................................... 14
   A. Introduction............................................................................................. 14
   B. Current Distributions ............................................................................... 14

V. Adding Labor Redistribution Comments ...................................................... 19
   A. Introduction............................................................................................. 19
   B. Comments ............................................................................................... 19

VI. Disposition Codes ......................................................................................... 21

VII. Approving or Returning a Labor Redistribution ........................................... 22
    A. Steps to Approve Redistribution ........................................................... 22
    B. Steps to Return Redistribution ............................................................. 23

VIII. Acting as a Proxy ...................................................................................... 24
     A. Introduction............................................................................................. 24
     B. Proxy ....................................................................................................... 24

IX. Example of Routing Queue ........................................................................... 26

X. Considerations with Batch Processes and Multiple Positions/Earn Codes.... 28
   A. Change Multiple Pay Periods with one Action ........................................ 28
   B. Large Groups of Pay Periods that do not form Complete Batches ........... 29
   C. Approving Multiple Pay Periods with one Action................................... 29
D. “Ghost” Pay Periods for Higher Level Approvers ........................................ 31
E. Twelve Month Faculty Pay ........................................................................... 32
F. Employees with Multiple Positions ............................................................ 33
G. Earn Codes ................................................................................................. 34

XI. Initiator Dashboard ..................................................................................... 35
XII. Approver Dashboard ................................................................................ 38
XIII. Advanced Topics ....................................................................................... 40
     A. Additional Criteria .................................................................................. 40
     B. Find Replace .......................................................................................... 41
     C. “On the Fly” Approvers ........................................................................ 41

XIV. Calendar for Labor Redistributions ............................................................ 42

XV. Labor Redistributions – Helpful Hints ........................................................ 44
    1. Initiators ............................................................................................... 44
    2. Approvers ............................................................................................. 45
    3. Queue ................................................................................................... 45
    4. Sign Out ................................................................................................. 46

XVI. Appendices ............................................................................................... 47
I. Introduction

As a general rule, Payroll changes can be made for past pay that has been posted in the ledger or for future allocations of paid effort. Rice University has several mechanisms, forms, and procedures that accomplish these tasks. The payroll distribution procedure, whether it is done on traditional paper forms or online, is only used to change the particular funds or FOAPAL coding for PAST pay periods. Total amounts of pay are not changed in this process, only the distribution of funding sources.

PERFORM REDISTRIBUTIONS WHEN YOU ARE MAKING:

- Retroactive changes to salary distributions that have already posted (without changing total amount of pay per period).
- Corrections for FOAPAL coding errors in posted payroll.
- Changes in cost sharing in posted payroll.

DO NOT TO PERFORM REDISTRIBUTIONS:

<table>
<thead>
<tr>
<th>When You Are Making Changes To:</th>
<th>Instead Use:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Salary distributions going forward</td>
<td>Time Allocation Report or Graduate PAF’s</td>
</tr>
<tr>
<td>• Employee status (e.g., hiring, termination, position change)</td>
<td>Personnel Action Form</td>
</tr>
<tr>
<td>• Salary AMOUNTS (e.g., rate of pay, one-time pays)</td>
<td>Personnel Action Form</td>
</tr>
<tr>
<td>• Faculty academic year time or summer salary</td>
<td>Faculty Academic Year Form or Faculty Summer Salary Form</td>
</tr>
</tbody>
</table>

At its most basic, the redistribution process involves a departmental initiator who records the funding information of a payee for one or more pay periods and then describes what changes are desired. This form must be approved at several levels.
and may require supporting documentation. When it reaches central administration, it may be further examined by Research & Cost Accounting and/or Payroll before being posted into the Banner ledger.

The paper system has a number of serious weaknesses that are corrected by the online system. Such paper forms are:

- routed by mail or courier, either of which consume valuable time or resources.
- easily lost.
- manually routed and may be held up at any point in the approval chain without any record of their whereabouts.
- manually transcribed into Banner, with rare but inevitable keypunch errors that take much effort to ferret out and correct.

With the online system, the departmental initiator is assured of having access to the most current pay data. Changes requested by the initiator can be rapidly moved along the approval queue and the initiator (plus prior approvers) can track their progress. They will always be able to determine whose "desk" it is lying on. Once the properly coded transactions reach Payroll, they will be entered into Banner without any keypunch errors. We have automated the interface from Payroll to Finance ledgers so that it feeds nightly, and faculty and staff can view the results of the redistributions in WebApps promptly.
II. Accessing the System

To access the Banner Labor Redistribution system, log into Esther (under quick links on Administrative Systems homepage) using your Esther User ID and pin. Find and select the Employee menu.

Click on the Labor Redistributions item under the Employee Menu.
A. Rice University Operating Procedures

1. Initiators
The labor redistribution initiator and the departmental approver should normally be different employees. However, under certain circumstances, both roles can be accomplished by the same person, but will require two separate steps. To obtain access to the system, complete the Banner access request form and request access to the labor redistribution initiator role. The initiator role requires HR home ORG security access. The labor redistribution approver roles are assigned by the Controller’s Office.

2. Approvers
Each labor redistribution transaction is routed through a series of approvals. For non grant related funds, the transaction is routed through the department approval and central payroll approval only. For grant related funds, the transaction is routed through department and central payroll approvals and if over 90 days it is routed through the Department Chair (or One-Over), and by Research and Cost Accounting (RCA). The Principal Investigator (PI) is in the approval routing for informational purposes only. The PI is not notified by email and does not have to approve.

3. Comments
All labor redistribution transactions entered by the initiator should have a comment entered that explains why the transfer is necessary. For transactions over 90 days old, the redistribution must be supported by a comment that fully explains how the error occurred. An explanation merely stating that the transfer was made "to correct error" or "to transfer to correct project" is not sufficient. Furthermore, an explanation of the steps being taken to avoid a recurrence must be included. Failure to fully comply with Rice Redistribution Policy will result in transactions being returned to the initiator.

For questions and assistance with labor redistributions, please the Payroll Department at payroll@rice.edu, Administrative Systems at admsys@rice.edu, or Roxie Woodward in RCA at 713 348-3228 or grw1@rice.edu.
III. Initiating Labor Redistributions for an Employee

A. Introduction
As a Labor Redistribution Initiator, use the Labor Redistribution Person Search view to open and initiate a labor redistribution transaction. Banner Human Resource module security is implemented on the Person Search page (by home organization code for the employee). If you do not have appropriate HR security access, the entered query may not yield any records. You will not get any error messages regarding invalid security.

B. Person Search for Labor Redistribution

To initiate Labor Redistribution for an employee.

1. From the Person Search view, it is recommended that an Advanced Search be done instead of a Search by ID field alone. The ID (“E” or “S” Number), Pay ID (SM, B1, B2, GR), From Pay Year (calendar year), To Pay Year (calendar year), From Pay Number (1-24), and To Pay Number (1-24) must be entered when performing an advanced search and then click on Go. Dropdown tabs also permit
searches using First and Last Names. The search by ID alone is usually very slow and is not recommended.

2. Once the results are displayed, select the employee and pay event you want to adjust, click the **Open** icon. You can also double-click the employee and pay event transaction. To select multiple pay events, hold down the Control key and select the employee’s pay events and click the **Open** icon.

3. Select the Pay Period from the **Pay Period and Earn Codes** sidebar. You can navigate between pay events in this sidebar. Toggle the drop down arrow in the Pay Event sidebar to open and close pay events. Make sure the correct position is selected.

4. Navigate between the position/suffix, earn code, shift and effective date.

5. Highlight the position/suffix, earn code, shift, and effective date you need to change.
6. Click the **Edit** icon (yellow pencil) to access the Update Distributions window, see instructions in next section to complete transaction.

7. **ALWAYS Sign Out** (orange arrow on previous page) after you are done with the OLR system. Failure to do this will lock out other persons who wish to view the payroll you were accessing. To fix such a situation, access the locked out pay periods and then sign out normally.

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**NOTE:**

On occasion, an attempt to login from the ESTHER main page leads to an error message requesting a repeated login. This is a known glitch in the system. The best work around is to press your browser's BACK PAGE button a few times.

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**Another NOTE:**

The **Pay Period and Earn Codes** sidebar is very important. The pulldown portion allows the user to select a single pay period to be viewed among those that were selected after the Person Search. Furthermore, the box below the pay period pulldown may contain more than one entry if the employee has multiple earn codes or positions. **It is essential that the user understand which data are being viewed and edited.**
IV. Updating Labor Distributions

A. Introduction
After selecting one or more pay periods, the user employs the Update Distributions view to make required changes to a distribution. The sum of the redistributed values for the Earnings Labor Distributions fields (Hours, Percent, and Amount) must be equal to the corresponding sum of the values in the original distribution. To view a list of valid values for a particular field, use the Search feature for that field and select a value.

B. Current Distributions

1. From the Current Distributions window, click the Edit icon (pencil).

2. Click the calendar icon in the Posting Date field and enter a new date (if necessary). The posting date is the date that the redistributed records are posted to Finance. The system supplies the system date as the default date for this field. You can over-ride the date, but the new date must fall in an open accounting period. The current date should be entered here. If a prior labor redistribution has occurred for the pay event, the transaction date of the previous change normally defaults into this field and the user gets an error message after clicking the OK Changes that says "accounting period closed, re-enter a new posting date". The user should change the date to today's date.

![Current Distributions Table]

<table>
<thead>
<tr>
<th>COA</th>
<th>Index</th>
<th>Fund</th>
<th>Orgn</th>
<th>Account</th>
<th>Program</th>
<th>Additional Components</th>
<th>Hours</th>
<th>Percent</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>DM8107</td>
<td>40200</td>
<td>60570</td>
<td>DM8107</td>
<td>IDR1</td>
<td></td>
<td>45.34</td>
<td>50</td>
<td>1105.83</td>
</tr>
<tr>
<td>1</td>
<td>RO2060</td>
<td>40200</td>
<td>60570</td>
<td>RO2060</td>
<td>RCM</td>
<td></td>
<td>45.33</td>
<td>50</td>
<td>1105.84</td>
</tr>
</tbody>
</table>
3. (Optional) Check the **Change All** checkbox to search for all records identical to the old version of the changed records and make the same changes to all matching records. **Change All** applies only for FOAPAL fields or percentages. For example, you can change all of a single pay-event record or a selected field in all pay event records. Also, you can make the same distribution change in all pay-event records. If the FOAPAL is different on any transactions (example: fund or account), the different pay events will not be selected under the **Change All** option. Use of the **Change All** option is a very convenient way of producing a **Batch** of identical pay periods for redistribution. However, processing of batches can be tricky – please see the section under Helpful Hints at the end of this document (Page 44).

**WARNING:** The calendar feature of the Posting Date does not work as expected (problem has been logged with Ellucian). If tabbing out of the calendar does not achieve the desired result, simply type in the current date in the box, using a format such as “May 22 2013” or “5/22/2013”. Use tab to exit.
4. Click the drop down arrow and enter the FOAPAL component (Fund, Organization, Account, Program, Activity, and Location) you want (Index, Project and Cost are Banner fields that are not used at Rice). A list of valid values for the FOAPAL can be selected by clicking on the "..." (red arrow below). Note: The system displays all records for that FOAPAL component, 100 rows at a time. Use the arrows to move to the next or previous list. You can also search for a code or description by providing a string of at least three characters, followed by the wildcard asterisk (*).

5. Enter a new value in the Percent field. The system calculates the Hours and Amount field. Changes were made as designated by the purple oval.

6. Enter a new value in the Hours field. The system calculates the Percent and Amount fields.

7. Enter a new value in the Amount field. The system calculates the Hours and Percent.

8. Preferred Method for Entering New FOAPAL -- Click the Add Line button to display a new line on which to add your desired FOAPAL values. Enter the hours, amount, or percent and the system will calculate the other two. The new empty line has the particular advantage that default ORGs and PROGs will automatically be inserted after the addition of the fund number.
9. To remove a line, click the Delete icon.

10. It is recommended that the user click the Round button after changes are made prior to saving. The rounding occurs on the last fund that was being edited. Alternatively, one of the fund lines can be selected and the Round function will be applied to that line.

11. Click the OK Changes button to commit the changes. This will close the window and return you to the initiator page. The records are now marked for change. The system alerts you to any errors. If the sum of the redistributed values for one or more of the three Earnings Labor Distributions fields (Hours, Percent, and Amount) is not equal to the corresponding sum of the values in the original distribution, take one of these corrective actions: manually change one of the records so that the sum of the each of the three fields is correct, or click Round to have the system correct the condition by modifying the record in which the cursor is located.

12. At this point, if the user logs out of the system, the changes will not be saved.

13. Click the Save button (next page). This creates the disposition 47 transaction. The Erase becomes re-enabled and Save becomes disabled. If the user logs out of
the system at this point, the changes are saved and can be submitted when the user logs back into the system.

14. Click **Submit** button if there are no further changes are required. At this point the redistributed pay events are at disposition 48, Pre-Approve Update. The “X” next to the pay period will change to a “P”. This step creates the routing queue for the labor redistribution.

15. Click the **Close** icon to close the transaction.

16. **ALWAYS** Sign Out after you finish using the OLR system. Failure to do this will lock out other persons who wish to view the payroll you were accessing. To fix such a situation, access the locked out pay periods and then sign out normally.
V. Adding Labor Redistribution Comments

A. Introduction

For tracking purposes during the labor redistribution process, the system can record a notation for each adjustment or modification made to a distribution transaction. Any member of the routing queue can add explanatory comments for a transaction. Comments cannot be deleted or updated. You can add up to 4000 characters of free-form text. The system displays all comments in reverse chronological order.

Emails can be copied and pasted into the comments form. It is suggested that the user forward the email (so that “from”, “to”, “date” are captured), then highlight the email, Ctrl-C (to copy), go to the comment tab, click Add Comment, and Ctrl-V (to paste). This can be done if a project investigator sends an email requesting a labor redistribution with detailed information as to why the redistribution needs to be performed.

B. Comments

Follow these steps to add a comment to a labor redistribution transaction. Enter the comment after the redistribution transaction has been saved or submitted.

1. Click on the Comments link or open comments from the More Actions dropdown box.

Comments in Batches

1. If an initiator forms a batch, and enters a comment after pressing SAVE but before pressing SUBMIT, then the comment will be placed in all pay periods. This is a time-saving convenience.
2. If an approver selects a batch (all check boxes highlighted), their comment should similarly be saved to all pay periods.
3. If a series of pay periods do not or cannot form a batch, then comments must be entered individually, usually by copy and paste.
4. If a batch has been formed, but has not been selected and opened as a batch, then comments must be entered individually.
2. Click the Add Comment button. You can also click More Actions to select the Add Comment window.

3. Enter any pertinent comments, then click the Save button.

4. Click the Cancel button to return to the labor redistribution without saving the comments.

Comments entered by the initiator are attached to all transactions. Comments added by the approver are only attached to the single transaction, so the best practice is for initiators to enter comments. A future enhancement has been requested to make approver comments function in the same manner as initiator comments.
VI. Disposition Codes

Disposition codes provide the status of a labor redistribution from the time the initiator first enters the transaction through the final step of posting to the finance fund. Below is an explanation of the frequently seen disposition codes while using the labor redistribution system.

<table>
<thead>
<tr>
<th>Disposition Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>47, Pre-Balance Update</td>
<td>Redistribution has been entered by the initiator and saved, prior to being submitted.</td>
</tr>
<tr>
<td>48, Pre-Approve Update</td>
<td>Waiting for approvals to occur.</td>
</tr>
<tr>
<td>60, Finance Extract</td>
<td>All approvals have been done and transaction is waiting to interface to the finance system. This occurs weekly as of this writing.</td>
</tr>
<tr>
<td>70, Complete</td>
<td>All processes complete, including interface to the finance fund.</td>
</tr>
</tbody>
</table>
VII. Approving or Returning a Labor Redistribution

When a new level of approval is needed, all of the approvers at that level will receive automatic emails informing them that their attention is required. The email notification interface (p. 38) will permit the approver to control both the frequency of notification and the information provided.

The approver should use the redistribution Approvals view to select a labor distribution transaction to approve, or return for correction. This view displays the specific transactions associated with the pay events, in alphabetical order by last name. All members of the routing queue can access this view.

A. Steps to Approve Redistribution

Follow these steps to approve the labor redistribution. Don’t forget to Sign Out when you are leaving the OLR system.

1. Select the redistribution transaction to approve or return for correction.
2. Highlight the line and click the Open icon to open the Current Distribution view.
3. Select the Comments tab to review the comment.
4. Click the Add Comment button to open the Comments window to add backup material.

5. Click the Approve button to approve the transaction or click the Return for Correction button to return the transaction to its originator.

B. Steps to Return Redistribution

Follow these steps to return the labor redistribution transaction to its originator.

1. Select the redistribution transaction to approve or return for correction.

2. Highlight the line and click the Open icon to open the Current Distribution view.

3. Click the Return for Correction button to return the transaction to its originator at disposition 47. You will be required to add an explanation for returning the transaction.

4. The originator makes the necessary changes to the previous work (the distribution does not have to be started afresh), after which it can be re-submitted for approval up the queue as before.

**Approvers:** If more than one of “your” funds is changed in any pay period, you will see more than a single line needing approval for that period. See Page 29, “Approving Multiple Pay Periods with One Action”
VIII. Acting as a Proxy

A. Introduction

Use the Labor Redistribution Proxy view to establish yourself as a proxy for another person or to create proxy for yourself. A labor redistribution proxy can act on behalf of another administrator in that person’s absence. When you choose to act as a proxy for another administrator, the sidebar displays whether you are acting as a proxy. You can collapse the sidebar to hide all but the title, or expand it with the down arrow.

B. Proxy

Follow these steps to serve as a proxy for another approver. The employee that you are acting as proxy for must first assign you as proxy for them on their UserID.

1. Select the individual for whom you wish to Act as Proxy from the drop down list and press the save button (important!!). Note: You are ready to access either the Person Search page and create, apply, or submit labor redistribution transactions. Or you can access the Approvals page and approve, return or acknowledge any outstanding labor redistribution transaction where the person you are acting as is in the routing queue and has outstanding actions.

2. Click the Sign Out link after your actions are completed. Note: Or come back to the Proxy page and switch the Act as Proxy for back to SELF, and press the save button.

3. To assign a Proxy who can serve in your stead, press the Add Proxy button. Start typing the proxy’s name in the box. This will bring up a potential list of proxies. Select the desired person.
in the dialog box, and press the SAVE button on the dialog box. Finally, press the save button at the bottom of the page (yes, this means pressing two separate “SAVE” buttons). Each approver can designate as many proxies as desired.

4. Proxies can and should be created before they are actually “needed”. Once created, a proxy can serve in your stead until removed from that role. Note that proxies can be created remotely, as long as access to ESTHER is available.

5. To delete a proxy, select the box before their name in the list and then press the save button at the bottom of the page.

6. To ensure that there is always someone available to conduct approvals, it is important that each approver (including Chairs and Deans) have at least TWO proxies.
IX. Example of Routing Queue

Routing queues are generated after the initiator submits the redistribution and can be consulted by the initiator as well as the various approvers. Initiators and approvers can also add other individuals to the queues at any levels using “On The Fly” additions. As approvals are obtained by individuals in the queue, the status code of each level will be marked as follows:

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>🔺 Posted on March 12, 2012 at 08:39 AM</td>
<td>Green check mark means the action such as an approval is complete</td>
</tr>
<tr>
<td>🔴 Posted on March 12, 2012 at 08:26 AM by</td>
<td>Red stop sign means the action has stopped (such as returned for correction)</td>
</tr>
<tr>
<td>🔴 Pending</td>
<td>Yellow triangle means an action is pending such as waiting on approval</td>
</tr>
</tbody>
</table>

The next page shows a typical routing queue in which the various roles were played by members of the alpha testing group. This particular redistribution included funds from two different departments, so both departments were included in the queue.

When a new level of approval is needed, all of the approvers at that level will receive automatic emails informing them that their attention is required. Page 38 will cover the frequency and content of these email notifications.

The e-mail function shown on the Routing Queue (next page) will bring up a generic “Write Message” window from your default email browser. It will contain no special addressing or content.
Online Labor Redistributions

Example of Routing Queue

Claudia Murray
Additional Bioengineering
Sequence 1.00  Approve
⚠ Pending  |  E-mail

Genia Woodward
Additional Biochemistry & Cell Biology
Sequence 1.00  Approve
⚠ Pending  |  E-mail

Oleg Igoshin
Principal Investigator, Whitaker 04 subfund Igoshin
Sequence 2.00  FYI
⚠ Pending  |  E-mail

Patricia Bosarge
Department Chair or Dean, Whitaker 04 subfund Igoshin
Sequence 3.00  Approve
⚠ Pending  |  E-mail

Thien Ha
Research Accounting, Whitaker 04 subfund Igoshin
Sequence 4.00  Approve
⚠ Pending  |  E-mail

Keith Kerr
Group Payroll Department
Sequence 99.00  Approve
⚠ Pending  |  E-mail

Stephanie Turner
Group Payroll Department
Sequence 99.00  Approve
⚠ Pending  |  E-mail

Departmental Approvers

PI Information (“FYI” -- no approval required)

Chair Approval (for > 90 days)

Research & Cost Accounting Approvers

Payroll Approvers
X. Considerations with Batch Processes and Multiple Positions/Earn Codes

A. Change Multiple Pay Periods with one Action

Multiple pay periods can be changed with one action if the funding is the same in all pay events selected. Select the multiple pay periods, edit the funding, check the "Change All" box, click the "OK Change" button. Then go to the upper right corner of the screen and click the down arrow under the "Pay Periods & Earn Codes" title. This will display all of the pay periods that were selected for change.

Click on the various pay events one at a time to display the results as shown below.
Ensure that each pay event has the "X" indicating it will be changed in front of the position number. Scroll through each pay event to ensure that all transactions will be changed. If a pay event is not referenced with the "X", it will have to be changed individually because the funding is different and it cannot be changed with the "Change All" feature.

A Batch ID is assigned to the group of transactions changed with the one action. Below is an example where pay number 21 through 22 were changed with "change all" feature and a Batch ID of 541 was assigned. This assists the approver in doing a mass approval for all transactions in the group instead of having to approve each one individually.

B. Large Groups of Pay Periods that do not form Complete Batches

There are often times when an initiator is trying to batch together a large number of pay periods that appear at first glance to be identical, but prove not to be. If any of those payrolls are different than the others, then they will not be included in the main batch. The best approach is to accept the current batch and then try to set up another batch with the remaining payrolls. This process can be repeated as often as necessary. The goal is to concentrate the large group of pay periods into the minimum number of batches, without necessarily finding the differences (which could be quite subtle) that are “breaking the batches”.

C. Approving Multiple Pay Periods with One Action

Multiple pay periods can be approved with one action if the initiator used the "Change All" feature to produce a batch. Below is an example of transactions waiting for approval where the "Change All" feature was used.
The approver selects one of the transactions with a **Batch ID** number by selecting it (highlighting) or by clicking in the Select box to place a check mark there, and then select the **Select Batch** button. This will place a check mark in **Select** column where the **Batch ID** is the same. Select the **Open** icon which will open the window to view the current and updated distributions. The approver should review the pay events being changed in the side window on the right under "**Pay Period & Earn Codes**". The individual pay events along with the suffix/positions changed can be scrolled through to view changes in the "updated distributions" section of the window.
Once the approver has reviewed the changes, they can be approved or returned for correction by selecting the buttons at the bottom of the screen. All transactions will be approved or returned for correction with this one action.

D. “Ghost” Pay Periods for Higher Level Approvers

One known problem (reported to Ellucian) is that higher level approvers may encounter doubled up pay periods. The next image gives an example of three batches awaiting approvals. Batches 1049 and 1051 (delineated by the red boxes), have doubled pay periods…batch 1045 is normal. If an approver attempts to approve all of the items in a batch that includes duplicates, they will receive an error message.

The way to handle this situation is to:

1. Check only the FIRST box of each pair of pay periods (red arrows on next illustration).
2. Open the partial batch and either Approve or Return them as a group, as described in the section above.
3. Return to the Approvals Screen and press the GREEN Refresh icon as shown on the next illustration.
4. The remaining “ghost” pay periods should disappear, and the batch will be correctly processed.

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E. Twelve Month Faculty Pay

For faculty who are paid over a period greater than 9 months, there are two separate earnings each pay period during the academic year. Each such employee has a regular pay (REG) and a deferred pay (DPA). The normal procedure is to select the REG earn code and then check the "Change All" box in the edit screen and this will automatically redistribute the DPA earn code at the same time.

However, as shown in the succeeding illustrations, the Earn Codes are sorted such that DPA comes up as the default. Unless the user recognizes this situation and purposefully changes to the REG earn code, the labor redistributions will only affect the DPA pays. This will be apparent in the box in the upper right corner of the screen, in which the earnings types are displayed along with an "X" prefix for the items that were changed. In the example below, the DPA code alone was
selected and only the deferred pay amount would be changed as indicated by the "X" before the position.

To correct this situation where the intent was to change both earn code positions, prior to Save and Submit, the user can edit the change (using the REG rather than DPA pay) and select the "Change All" box and then "OK Changes". After doing this, both earning types will have the "X" in front of them.

F. Employees with Multiple Positions

Employees may have multiple positions. An example is a Postdoctoral Fellow with both B and K positions who needs a labor redistribution. The regular position has a suffix code of 00 and the other position may have an 01 suffix. When the redistribution is entered in Banner, choose the regular position (00 suffix position) and then on the edit screen check the "Change All" box and this will automatically make the changes for the 01 position and the 00 position as long as the funding is the same as the regular position.

The "X" in front of each position number indicates that the redistribution is effective for both positions.

If the employee has a 00 suffix position and a 01 suffix position with the same funding and only one suffix requires redistribution for a range of pay periods, the "Change All" function cannot be used. The changes must be made individually by pay period.
After the changes are saved and ready to be submitted, the "X" in front of each position number changes to a “P” (below).

**G. Earn Codes**

Online Labor Redistributions now require that departmental administrators have greater familiarity with earn codes than in the past. On the one hand, the initiators need to understand fully how an employee might be paid under different circumstances, and the earn codes that reflect those differences. On the other hand, the initiator is now given direct the capability of ensuring that the desired results are achieved.

Appendix H provides a list of the earn codes that users or the OLR system might encounter.
XI. Initiator Dashboard

A dashboard has been provided to provide an easy way for initiators to keep track of the progress of their redistributions through the approval queues and to determine when these redistributions have been completed and entered into the financial ledger. This dashboard also allows other initiators/approvers with the same Home ORG access to view these data and to review the accuracy of the OLR requests.

The Initiator Dashboard is accessed under the Employee section of ESTHER, see green arrow below.

![Dashboard Screenshot]

This link brings up the following

![Dashboard Interface]

**Tip: To optimize query response time, please minimize the Date Range.**

- **LABOR REDISTRIBUTION (LR) ACTIVITY DATE (mm/dd/yyyy)**
  - Begin Date: [Field]
  - End Date: [Field]
  - **OR**
  - **FINANCE POSTING DATE (mm/dd/yyyy)**
  - Begin Date: [Field]
  - End Date: [Field]
  - **OR**
  - **SEARCH BY EMPLOYEE**
  - Employee ID: [Field]
  - Clear
  - Submit
From this interface, the user can look at all OLR’s, both complete and incomplete, according to the dates that they were entered into the OLR system (top), or the dates on which they were posted in the financial ledger (middle). An OLR of an individual employee’s payroll can also be tracked (bottom).

The Initiator can see the OLR as long as ONE of the following criteria is satisfied:
1) The Initiator is the originator of the OLR, or
2) The Initiator has the HR org access to the Employee's Home ORG, or
3) The Initiator has the HR org access to the Funding Source's ORG.

The figure below shows a query for Sammy Owl. As can be seen, a large amount of data is returned. However, to manage the data, the columns can be sorted, individually or in combination. The bar at the top (red arrow) contains very useful tools.

The search filter narrows down the results returned by screening all fields for the characters entered. For example, “turn” would retrieve the OLR’s initiated by Stephanie Turner. The “View All” button deletes the filter contents. “View Pending Items” shows only those OLR’s at dispositions 47 through 60. The next
two tabs allow the page to be printed using the format as currently prepared, and to launch the OLR application. Finally, the last two buttons on the right download the data into Microsoft Excel or Word.

In the near future, we will prepare a dashboard that will allow initiators to spot the most common types of coding errors, so that they can be fixed before they enter the financial ledger.
XII. Approver Dashboard

Administrative Systems has prepared a dashboard that will allow approvers to review role assignments and track OLR documents that are awaiting their approvals. As of this writing, the dashboard is in Preproduction, but should be operating normally by the time you read this document.

The Approver Dashboard is entered through ESTHER at a link just below the Labor Redistributions link (see red arrow).

The approver will receive an output similar to the one shown below. As with the Initiator Dashboard, large amounts of pertinent payroll information are returned. These data can be restricted by using the Search Filter function (green arrow). In the case below, the filter “owl” returned only those OLR’s referring to Sammy Owl.

Also in the top row (green arrow) are buttons that allow the page to be printed using the format as currently displayed, and to launch the OLR application. Finally, the last two buttons on the right download the data into Microsoft Excel or Word.

The section below the filter bar allows the user to determine their email notification preferences (purple arrow). The user can select how many times per
day they wish to be notified about the presence of pending approvals and also how much information should be provided in those emails.

The next row, denoted by the orange arrow, provides the approver with information concerning the ORGs and groups over with they have approver privileges.

The final two blocks (red arrows) show the data of OLRs that are in the viewer’s approval queue (top) or for which they have FYI privileges (bottom). In this particular example, James Smolen (the approver) has no items pending approval, but has several OLR’s available for inspection on an FYI basis.
XIII. Advanced Topics

The search screen has two addition buttons that can be extremely useful. After a Person Search is performed, the following appears in the lower right corner of the retrieval screen:

A. Additional Criteria

This option allows one to “fine-tune” their searches. For example, one can enter a particular fund number, after which only those pay periods containing that fund number will be returned. This is also a handy way of selecting only particular Positions, Suffixes, or Earn Codes, should an employee have more than one.
B. Find Replace

This function allows the user to systematically replace one or more FOAPAL elements in the retrieved set of pay periods. This is particularly useful for changing ORG or PROG errors. After the function is saved (and run), a batch will be created much as with the “Change All” function described above. However, one key difference is that a batch prepared with Find/Replace is that Comments cannot be entered simultaneously, but rather added one at a time to each of the pay periods.

C. “On the Fly” Approvers

Both approvers and initiators can add unscheduled, “on the fly” approvers from the Routing Queue display. This is done using the “Add Member button that can be found in the lower right of this display. This will bring up a menu that allows an additional approver to be selected, added to any numerical position in the queue, and be given either “Approve” or “FYI” responsibilities.

CAUTION: While in some ways very useful, this feature does NOT send warning emails to the new approver (which must be accomplished by the assigner) and must be performed for each individual pay period (not useful in batches).
XIV. Calendar for Labor Redistributions

A schedule is posted on the Payroll Office website that shows the last day that a labor redistribution can be entered by a department for a particular pay period so that it interfaces to Banner finance within a particular payroll cycle. The transactions must have all approvals completed by the date on the schedule before it can interface to Banner Finance. An up-to-date schedule can be found on the Payroll Office website under Payroll Schedules at http://professor.rice.edu/professor/Calendar10.asp. This schedule covers all payrolls: salary, wage, and fellowships. In addition to these interface dates, a special salary payroll interface for labor redistributions is done the next to the last business day of each month except for June.

Please note that efforts will be made to ensure that approved transactions are applied as indicated above, however; central office deadlines are occasionally adjusted due to unforeseen circumstances which could affect the posting of labor redistributions. We encourage you to process redistributions as early in the designated pay period timeframe as possible, ensure appropriate time for all necessary review and approvals. If an approved redistribution is not posted in Banner Finance with the desired pay period, it will post during the following pay cycle or the next scheduled interface.
XV. Fiscal Year End Procedures

In order to ensure that both the Payroll and Financial ledgers agree at year end, the following procedures are currently in place. ALL OLR’s that must take place in the fiscal year about to close must be fully approved by all stages of the queue, including Payroll, by 5 PM on June 30. For one week after that, the OLR system will only be used by members of the Controller’s Office for the purpose of reconciling the Payroll and Financial ledgers of the closing year. OLR’s initiated by the general university community will not be completed during this period. Starting the second week in July, the OLR system will be reopened for the University community with all transactions having dates in the new fiscal year. The exact dates of these changes in access to OLR will be published by the Controller’s Office.

Please note that it is essential that all funds ending at fiscal year close, such as A1 funds, have their OLR’s fully completed by June 30.
XVI. Labor Redistributions – Helpful Hints

1. Initiators

- A labor redistribution initiator can only enter labor redistributions for employees for which he/she has access in the Banner Human Resources system. The home department of the employee is used to determine if the initiator has the appropriate access to make the labor redistribution. If the initiator does not have access to this ORG, the query process will not return this employee. There will be no error message.

- Initiators who have the same home organization access in the Banner security system can complete a saved labor redistribution that was started and saved by another initiator.

- A labor redistribution initiator can use any funding on the redistribution (not restricted to only funds in their organization code). The redistribution will be routed electronically to the approvers in the organization codes that are being charged on the labor redistribution. All organizations that are being charged will have to approve the transaction prior to it completing in the system and interfacing to Banner Finance.

- All labor redistribution transactions entered by the initiator should have a comment entered that explains why the transfer is necessary. If the redistribution is greater than 90 days after the pay period, it must be supported by a comment that fully explains how the error occurred and other information to comply with Rice policy. An explanation merely stating that the transfer was made "to correct error" or "to transfer to correct project" is not sufficient.

- PA's (paper based or electronic) or Time Allocation Reports will still be required for current/future funding changes.

2. Considerations when using batches.
   a. Batches cannot be formed among pay periods that have ANY difference, no matter how slight, in FOAPAL coding.
   b. Always check EACH pay period in a batch to make sure it has an “X” next to it and has been corrected appropriately.
   c. For the addition of On the Fly approvers, EACH pay period must be set up for that approver. This feature will be addressed in the future with a vendor update.
d. If an initiator forms a batch, and enters a comment after pressing SAVE but before pressing SUBMIT, then the comment will be placed in all pay periods.

e. If an approver selects a batch (all check boxes highlighted), their comment should similarly be saved to all pay periods.

2. Approvers

• Whenever the approval queue reaches a new level, all of the approvers at that level will receive automatic emails informing them that their attention is required. Due to system restraints, there will be individual emails for each pay period that must be addressed. This means that the redistribution for a single individual can generate many emails. We strongly suggest that approvers make use of the filtering capabilities of their email browsers to automatically route these notices to a separate folder. It is recommended that the approver use the Approver Dashboard (p. 38) to adjust the frequency of the email notifications.

• If redistribution involves multiple “R” funds, the redistribution must be approved by each ORG involved. At the Chair approval level and above, each pay period must be approved for each R fund. This feature permits specific handling for each fund.

3. Queue

• An additional approver can be added to the approval routing by an initiator or another approver. The additional approver will not take the place of an existing approver. It will only be in addition to existing approvers. The user would go to the "routing queue" tab for a transaction that is awaiting approvals and click on the "Add Member" button in the bottom right. Enter the desired approver in the request box along with a sequence number of that will place them in the desired position in the queue and then save. The routing queue will show the added approver as "On The Fly ".

• Normally, labor redistributions are not done on Academic Faculty for pay periods 10 through 15 because these employees are paid from the deferred pay fund or summer salary during this time period and the departmental funds are not charged for salary expenses.

4. “Stuck” Queue

• Approvers change regularly at any institution. Administrators may leave Rice or change Home Orgs. Departmental chairs are replaced periodically. If
the replacements for these key individuals are set up in the OLR system after the personnel changes have been accomplished, any OLR’s that they failed to approve before they left their positions will remain. This means that the approval queues will stagnate at their level and there will be no way for the OLRs to be handled.

• Ideally, these situations should be prevented by ensuring that the replacement personnel are trained and participating in the OLR system prior to the approver’s departure. The approver, in turn, must approve all items in their queue by their last day of work, while they still have the required permissions.

• Should an administrator leave with outstanding items in their queue, those items should be disapproved by an earlier member of the queue if this is possible.

• If the administrator has left without replacement and OLR’s are accumulating at their level, then:
  o ORG must stop initiating any new OLR’s, as these will simply create more items with the former person in the queue.
  o ORG must work with RCA and Administrative Systems to re-establish a functional set of approvers
  o Payroll should then be contacted and asked to return (disapprove) all of the OLR’s that were “stuck” at the prior administrator’s position
  o All previously “stuck” OLR’s can now be resubmitted and a working approval queue will be reformed.

5. Sign Out

• ALWAYS sign out after you are done with the OLR system. Failure to do this will lock out other persons who wish to view the payroll you were accessing. To fix such a situation, access the locked out pay periods and then sign out normally.
XVII. Appendices

A. My Department Will be Training for OLR Next Week. What Do We Need to Do?

B. We Have Just “Gone Live”. What Will Happen Now?

C. Coordinating with Organizations that are NOT Participating in the OLR Process (YET)

D. Quick Procedures Guide

E. Guidelines for Coding Graduate Student Stipends

F. Cost Sharing

G. Glossary

H. Payroll Earn Codes
Appendix A

My Department Will be Training for OLR Next Week. What Do We Need to Do?

We realize that reading the manual prior to training is unlikely to fit into the busy schedule of a Department Administrator. But there are some steps that must be performed to prepare for the big event.

1) Setting Up Proxies: The single MOST important thing to do prior to training is to identify proxies for the approvers in your department, especially the Chair. It is inevitable that one or more of your approvers will be unavailable from time to time and their approver roles must be picked up by other department personnel. Each approver must have at least TWO proxies, although more can be assigned that role.

To create a proxy, have the approver log into ESTHER and the OLR system as described in “Accessing the System” on page 9 of this manual.

To set up the proxies, first select the “Proxy or Superuser” tab as described in “Acting as a Proxy” on page 24. To assign a Proxy who can serve in the place of the Approver, press the Add Proxy button. Start typing the proxy’s name in the box. This will bring up a potential list of proxies. Select the desired person and then and press the save button.
2) **Create a List of Initiators and Approvers:** Be sure to provide the list of initiators and approvers in your department (plus their user ID’s) to the team that will be providing OLR training. Stipulate which ORGs for which they will have initiator/approver privileges. Do this as early as possible. The training team will want to set up the user accounts in the test bed for Banner, so that the training process will be safe. They will also use this for setting up accounts in the “real” system.

3) **Security:** Check with your Chair to make sure that they have security to use WebApps. If not, obtain that security access as soon as possible and also inform the OLR trainers of this fact. They can make a temporary workaround so that the Chairs can approve in the system.
Appendix B

We Have Just “Gone Live”. What Will Happen Now?

APPROVERS: Prepare for a shock. Now that your department has been assigned an approver in the OLR system, you have become part of the established queue. You will now start getting emails requesting your attention...perhaps LOTS of emails. This is because the system will automatically send out notification emails for EACH pay period that needs your attention. If an individual pay period has more than one of “your” funds involved, then you will receive even more emails.

DON’T PANIC!

In all likelihood, only a few individuals are involved and many of the pay periods are probably organized in batches, so that approvals will be quick and easy.

In order to handle the many emails you will receive, we strongly suggest that you use the filtering capabilities of your email browser. You can configure it so that OLR system emails are automatically sent to a separate folder, where they can be

Douglas Adams

“A Hitchhiker’s Guide to the Galaxy”
examined, acted upon, and then discarded as required. This is similar to the way many people put SPAM aside for later examination. You should also use the Approver Dashboard (p. 38) to provide the optimum frequency of approval notifications for your needs.

These many emails will likely start BEFORE your Initiators even produce a single entry. This is because other Rice organizations, particularly Payroll, are entering redistributions that involve your department. Payroll may still be entering some of the paper-based redistributions, from TAR’s, PAF’s, Summer Salary, and AYT forms. Even though these might have been reviewed on paper, the moment that Payroll enters the transactions, they fall to the bottom of the queue for approval...that means your department. Redistributions entered by Payroll will include a comment saying that the data are pre-approved on the paper form. This will allow you to temper your level of scrutiny for these secondary approvals.

As your department uses fewer paper forms for redistributions, the redistributions will come more and more from your own department and less from Central Administration. This will reduce the need for duplicative approvals.

**INITIATORS:** Remember that any errors made in the redistributions cannot be corrected by others in the queue. All errors will be returned to you for correction and must be approved again by several parties. You will receive an automatic email telling you that there is an error to be corrected. This message will have a different header from the approval email and should not be ignored.

Also, try to make sure that the redistribution portions of TAR’s and PAF’s are performed using OLR, and that these two paper instruments are only used to change payroll “going forward”. This will greatly reduce the workload of the approver community.
Appendix C

Coordinating with Organizations that are NOT Participating in the OLR Process

Almost every ORG at Rice University is participating in the OLR system. However, there are some that are too small and/or use redistribution too rarely to require their training. Furthermore, several new ORGs are created (or eliminated) each year. Redistributions that involve ORG’s that are not yet involved in OLR present a problem for approvals in the system. Without an established approver, they will have no place in the queue and transactions for their ORGs will be automatically “approved”. To prevent that from occurring, it is essential that departmental initiators know what to do with transactions that involve non-participating ORG’s.

Determining Participating Organizations

A list of current participating ORG’s will be maintained on ESTHER as shown below.

- Enter an online payment on employee account
  - Employee Reimbursement Information
  - Time Sheet
- Web Time Entry - currently being rolled out for non-exempts, by department
  - Leave Balances
  - Leave accruals - currently being rolled out for non-exempts, by department, with Web Time Entry
  - Proxy Set Up
- Approvers set up proxy (backup approver) here
  - Labor Redistributions
  - For a list of all ORGs that are currently using the online system, click on the following link: Active ORGs
  - For all other ORGs, you must get authorization from the department before submitting an online Labor Redistribution.

[ Contact HR | Contact Benefits | Contact Payroll ]

RELEASE: 8.8.1

If an initiator determines that a non-participating ORG will have some funds affected by OLR, the initiator must obtain email permission from that ORG to proceed. This “approval” email should be copied into the Comments field of the redistribution. Any redistributions that do not have this backup approval will be returned for correction.
Quick Procedures Guide -- Appendix D

A. Login to ESTHER using your ID Number and PIN

B. Connect to the Online Labor Redistribution (OLR) Module
From ESTHER main page, click on “Employee”, then “Labor Redistributions

C. Initiation of an OLR

1. Press “Person Search” tab. Enter employee ID (or use pull-down tab to enter last name), Pay Types, Year range, and Pay Period range.

2. Select Pay periods be changed, using mouse click, CNTRL-click, and/or SHFT-click

3. Press “Open” icon; one pay period will be displayed

4. Use Pay Periods and Earn Codes dropdown on right to examine other pay periods

5. Click Pencil icon to start editing

6. Change posting date to current date, if necessary

7. Press “Change All” to create a batch (assuming all pay periods are identical.

8. Delete unwanted fund lines with the “X” on right

9. Open fund lines for editing with triangle on left

10. Use “Add line” to enter a new fund and retrieve default information.

11. Use “Round” to make current total equal previous total pay

12. Press “OK Changes”, then “Save” and “Submit”

13. Add Comments to each altered pay period


15. Check to ensure that all Positions and Earn Codes have been changed as desired

16. To check on status of an OLR after Submission, use Person Search to find pay and then check the Routing Queue

17. When you are finished with the OLR system, Sign Off properly.
D. Approval of an OLR

1. After login to the OLR page, press the “Approvals” tab on the left
2. Approvals waiting for you in the queue will be displayed, one pay period per line
3. If the pay period is preceded by a solid box, put a check in one of the boxes and press “Select Batch” to handle one complete batch at a time
4. Press the “Open” icon to see the payroll changes, one pay period at a time.
5. Use Pay Periods and Earn Codes dropdown on right to examine other pay periods
6. Inspect the OLR to see that it meets the usual compliance standards and to ensure that the changes are exactly as desired.
7. If the changes are all correct, press the “approve” button. This will send the OLR to the next position in the queue.
8. Add a comment if desired.
9. If the changes are incorrect or if additional documentation is required, press “Return for Correct”. This will send to OLR back to the initiator at disposition 47. The system will prompt you for a comment explaining your action.
10. Use the Proxy tab on the left to set up proxies for yourself or to serve as an approving proxy for another person. That other person must have previously set you up as a proxy for her.
11. When you are finished with the OLR system, Sign Off properly.

Disposition Codes

<table>
<thead>
<tr>
<th>Disposition Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>47, Pre-Balance Update</td>
<td>Redistribution has been entered by the initiator and saved, prior to being submitted.</td>
</tr>
<tr>
<td>48, Pre-Approve Update</td>
<td>Waiting for approvals to occur.</td>
</tr>
<tr>
<td>60, Finance Extract</td>
<td>All approvals have been done and transaction is waiting to interface to the finance system. This occurs weekly as of this writing.</td>
</tr>
</tbody>
</table>
Appendix E

GUIDELINES FOR CODING GRADUATE STUDENT STIPENDS

As used herein, the term “Graduate Student Stipend” refers both to those amounts paid:

1) as compensation for Research Assistant (RA) / Teaching Assistant (TA) services, and
2) for fellowship/trainee purposes that do not require services.

Federal regulations require that graduate students charged to awards for research or non-training purposes be performing services, while graduate students who are trainees / fellows need not perform services. Additionally, for each type of graduate student, the associated cost must be treated the same way, regardless of source of funding. At Rice both account codes and program codes identify the correct coding for graduate students paid via the Graduate Student Payroll Authorization form.

RAs and TAs (account codes 60850 and 60860) must be performing services related to the fund being charged; graduate fellowship stipends (account code 60820) are for trainees and fellows. [Note: Graduate students paid hourly are performing services for the fund to which they are charged. They are paid via timesheets and coded to account code 60880.] Program codes are used to identify which funds require services and which are for trainee-related purposes. Payments to graduate students charged to R funds that default to RCH or OSP2 or non-R funds that default to CTR must be for services rendered and be coded to the RA/TA codes. Payments to graduate students charged to R funds that default to OSP1 are for trainees or fellows and are coded to 60820. See the matrix below for coding guidelines for non-R funds.

The type of graduate student stipend determines the application of student fringe benefits (account code 62801), tuition remission (account code 62840), and tuition waivers (account codes 7245x, 7255x and 7256x). Payments to trainees or fellows are subject to the student fringe benefit rate. Payments to RAs and TAs are subject to the tuition remission rate. This is in accordance with Federal costing guidelines that treat tuition remission as a part of compensation for services rendered. Tuition remission supports the cost of waivers for RAs and TAs. The Office of Graduate & Postdoctoral Studies determines eligibility for tuition waivers. Tuition waivers may be directly charged to departmental funds in accordance with university policy. Tuition waivers may be charged to R funds that are for the purpose of scholarships, fellowships, or student aid, as allowable under the terms of the award.

The matrix below summarizes these restrictions and associated codes.
<table>
<thead>
<tr>
<th>Type of Fund</th>
<th>Fund Program Code Default</th>
<th>Correct Program Code</th>
<th>Services Required or Trainee/Fellow</th>
<th>Graduate Student Account Code(s)</th>
<th>Tuition Remission or Student Fringe Benefits</th>
<th>Tuition Waivers Charged to Fund*</th>
</tr>
</thead>
<tbody>
<tr>
<td>R fund</td>
<td>RCH (Research)</td>
<td>RCH (Research)</td>
<td>Services Required</td>
<td>RA (60850) or TA (60860)</td>
<td>Tuition Remission</td>
<td>NO</td>
</tr>
<tr>
<td>R fund</td>
<td>OSP1 (Training or Fellowship)</td>
<td>OSP1 (Training or Fellowship)</td>
<td>Trainee/Fellow</td>
<td>Fellow (60820)</td>
<td>Student Fringe Benefits</td>
<td>May be allowed per sponsor agreement</td>
</tr>
<tr>
<td>R fund</td>
<td>OSP2 (Other, incl Curriculum Dev / Outreach)</td>
<td>OSP2 (Other, incl Curriculum Dev / Outreach)</td>
<td>Services Required</td>
<td>RA (60850) or TA (60860)</td>
<td>Tuition Remission</td>
<td>NO</td>
</tr>
<tr>
<td>R fund</td>
<td>INST (Sponsored Instruction)</td>
<td>INST (Sponsored Instruction)</td>
<td>Services Required</td>
<td>RA (60850) or TA (60860)</td>
<td>Tuition Remission</td>
<td>NO</td>
</tr>
<tr>
<td>Non-R fund</td>
<td>CTR (Service Center)</td>
<td>CTR (Service Center)</td>
<td>Services Required</td>
<td>RA (60850) or TA (60860)</td>
<td>Tuition Remission</td>
<td>NO</td>
</tr>
<tr>
<td>Non-R fund</td>
<td>RCHU (University Research)</td>
<td>RCHU (University Research)</td>
<td>Services Required</td>
<td>RA (60850) or TA (60860)</td>
<td>Tuition Remission</td>
<td>NO</td>
</tr>
<tr>
<td>Non-R fund</td>
<td>IDR2 (Cost Sharing)</td>
<td>IDR2 (Cost Sharing)</td>
<td>See [A] below</td>
<td>See [A] below</td>
<td>See [A] below</td>
<td>See [A] below</td>
</tr>
<tr>
<td>Non-R fund</td>
<td>All except CTR and IDR2</td>
<td>Default PROG</td>
<td>If services are required</td>
<td>RA (60850) or TA (60860)</td>
<td>Tuition Remission</td>
<td>NO</td>
</tr>
<tr>
<td>Non-R fund</td>
<td>All except CTR and IDR2</td>
<td>AID</td>
<td>If services are NOT required</td>
<td>Fellow (60820)</td>
<td>Student Fringe Benefits</td>
<td>If in accordance with university policy</td>
</tr>
</tbody>
</table>

(*Actual charges for tuition waivers are in accordance with the sponsored award provisions and university policy.)

[A] The coding restrictions of the associated R funds apply to the cost sharing charges. For example, if graduate students are cost shared on CBEN, which defaults to RCH, they must be performing services for CBEN and coded to account code 60850.
Appendix F

COST SHARING SUMMARY

1. **Definition.** Cost sharing is that portion of project costs not borne by the sponsoring agency. Matching has the same meaning as cost sharing. Cost shared effort may also be referred to as contributed effort.

2. **Criteria.** To qualify as cost sharing, funds must meet the following criteria:
   - Be necessary and reasonable for the accomplishment of the project.
   - Must not be derived from Federal sources.
   - Must not have been used as cost sharing for any other project.
   - Be allowable costs.
   - Be verified through the accounting records.
   - Be specifically included in the budget when mandatory.

3. **Project Period.** Cost sharing funds must be expended during the performance period of the funded project. The sponsoring agency must approve use of cost sharing funds beyond the expiration date of the grant.

COMMITTING AND REPORTING COST SHARING AT RICE

Crucial Concepts Related to Labor Redistributions

**Reporting Cost Sharing**

Each PI is ultimately responsible for ensuring that all cost sharing requirements are met and properly reported. The academic department of that PI has the responsibility of oversight for the entire project, including cost sharing. The schedule below summarizes how the most common cost shared expenses are documented.

The Rice general ledger (Banner accounting system) allows for the recording of cost shared direct costs through appropriate coding of the Program and Location...
components of the six-part chart of account number (FOAPAL: Fund - Organization - Account - Program - Activity - Location).

The Program code for cost sharing is IDR2, and the Location code identifies the specific research fund for which cost sharing is being reported.

It is encouraged that a separate fund (usually D or G fund) be set up that defaults to the IDR2 Program code and the appropriate Location code. The Budget Transfer Memo to add a budget to the fund should be requested by the department within 90 days of set up. Contact Crystal Davis (x2478, crystald@rice.edu) for further information or help with setting up a separate fund.

EXAMPLES OF COST SHARING EXPENDITURES

Example: What it looks like….
What it means….

FOAPAL: Fund – Organization– Account– Program– Location % / $

Example: A1 – 700000 – 60110 – IDR2 – R12345 10.00%

This indicates that a professor (Account code 60110) in an academic department (Organization code 700000) is paid from departmental funds (Fund code A1) and 10.00% of his/her salary is cost shared (Program code IDR2) to Location code R12345. Automatically in Banner, fringe benefits are calculated based on the account code used. Therefore, 10.00% of this professor’s salary and fringe benefit charges would be cost shared to R12345.

These expenses are documented via the Time Allocation Report and certified on the Effort Report or Graduate Student Salary Confirmation Report.

Example: D98765 – 700000 – 60540 – IDR2 – R12345 10.00%

This indicates that a research associate (60540) in an academic department (700000) is paid with funds from D98765 and 10.00% of his/her salary is cost shared (IDR2) to R12345. Automatically in Banner, fringe benefits are calculated based on the account code used. Therefore, 10.00% of this research associate’s salary and fringe benefit charges would be cost shared to R12345.
These expenses are documented via the Time Allocation Report and certified on the Effort Report or Graduate Student Salary Confirmation Report.

*Example:*  A1 – 700000 – 75240 – IDR2 – R12345 $3,500.00

This indicates that laboratory equipment (75240) was purchased with departmental funds (A1) in an academic department (700000) in the amount of $3,500.00 and cost shared (IDR2) to R12345.

This expense is documented when a Purchase Order is issued or when a vendor invoice is coded and processed for payment.

Also, it can be corrected by submitting an Expense and Revenue Correction form to the Controller’s Office (MS-70) for an expense previously recorded in Banner but not identified as cost sharing (IDR2 / LOCN).

*Example:*  D98765 – 700000 – 72180 – IDR2 – R12345 $150.00

This indicates that laboratory supplies (72180) were purchased with funds from D98765 in an academic department (700000) in the amount of $150.00 and cost shared (IDR2) to R12345.

This expense is documented when a purchase is made or when a vendor invoice is coded for payment.

Also, it can be corrected by submitting an Expense and Revenue Correction form to the Controller’s Office (MS-70) for an expense previously recorded in Banner but not identified as cost sharing (IDR2 / LOCN).

This type of fund (D98765) can also default to IDR2 – R12345 so that all expenses charged to D98765 will be recorded as cost sharing on R12345. Contact Research & Cost Accounting for more information on setting up these funds.

**How to Calculate Cost Sharing for Salaries & Wages**

Frequently, cost sharing is committed for a given number of months per project year. The commitment in months must be computed as a percentage of effort for monthly time allocation reporting. The following table illustrates these conversions, assuming that effort is worked evenly over the appointment period. Certainly, effort applied to projects changes throughout the project period and
must be appropriately updated through monthly time allocation reporting if the effort percentage is significantly affected, often defined as +/- 5 percentage points.

**Basic formula:**

\[
\text{Effort in Months ÷ Months} = \% \text{ of Time Committed per Month}
\]

<table>
<thead>
<tr>
<th>Effort in Months</th>
<th>Months</th>
<th>Percentage per Month</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty – Academic Year Time</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0.5 months</td>
<td>9 months</td>
<td>5.55%</td>
</tr>
<tr>
<td>0.75 months</td>
<td>9 months</td>
<td>8.33%</td>
</tr>
<tr>
<td>1 month</td>
<td>9 months</td>
<td>11.11%</td>
</tr>
<tr>
<td>2 months</td>
<td>9 months</td>
<td>22.22%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Research Staff – 1.0 FTE</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.5 months</td>
</tr>
<tr>
<td>0.75 months</td>
</tr>
<tr>
<td>1 month</td>
</tr>
<tr>
<td>2 months</td>
</tr>
</tbody>
</table>

Academic Year Time (AYT) is defined as the nine-month period from August 16 and ending with 15 May. ([Rice University Research Policy No. 311-98](https://example.com))

If research staff is included as a cost shared expense, then the 12-month percentage should be used if the effort was applied equally over the time period.

Using the correct percentage on the Time Allocation Report for contributed (cost shared) time will ensure that the employee’s contributed effort is correctly reported in Banner. The Principal Investigator must subsequently confirm that the effort was performed as planned.

Note that salaries and wages charged to, or cost shared on, sponsored agreements must reasonably reflect the work performed during the reporting
period, and may be based on estimates. For someone who normally works 40-hours per week, a commitment of 0.25 months over 12 months would be less than one hour per week, if the effort was applied equally over the time period. Unless a precise time tracking system is in place, effort percentages should not imply a level of precision higher than that normally associated with estimates.
## Appendix G

**GLOSSARY OF COMMON TERMS AND ACRONYMS**

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>AYT</td>
<td>Academic Year Time for Faculty</td>
</tr>
<tr>
<td>Disposition Code</td>
<td>Status code for modification of each pay period. See page 21</td>
</tr>
<tr>
<td>Earn Code</td>
<td>Type of Pay – REG – regular; OVT – Overtime; etc.</td>
</tr>
<tr>
<td>FOAPAL</td>
<td>Banner Fields: Fund/Organization/Account/Program/Activity/Location</td>
</tr>
<tr>
<td>GPAF</td>
<td>Graduate Student Personnel Action Form</td>
</tr>
<tr>
<td>OLR</td>
<td>Online Labor Redistribution</td>
</tr>
<tr>
<td>OTF</td>
<td>“On the Fly” – An ad hoc Approver inserted into the approval queue by either the Initiator or another Approver</td>
</tr>
<tr>
<td>PAF</td>
<td>Personnel Action Form</td>
</tr>
<tr>
<td>Pay ID</td>
<td>Type of Payroll – SM, GR, B1, B2</td>
</tr>
<tr>
<td>Position Code</td>
<td>Employee Position. May have more than one.</td>
</tr>
<tr>
<td>TAR</td>
<td>Time Allocation Report</td>
</tr>
</tbody>
</table>
Appendix H

DEFINITIONS OF EARN CODES

If you’re **salaried** employee on the SM payroll (paid twice per month) and noticed a pay adjustment on your check, it may be one of the following:

AWA- Congrats on your award!
BNS- Congrats on receiving a bonus!
DPA- Re-payment of advanced DPO at FY start and funds for FY end.
DPO- Advanced money for faculty being paid over 12 months.
DSM- Short-term disability pay @ 80% of regular salary.
PR2- Retro-payment for an entire pay period missed.
PRT- Retro-payment.
REG- Regular paycheck earnings.
SEV- A goodbye gift from Rice!
SNR- One-time payment without retirement (usually mobile stipends)
SUP- One time “supplemental” pay.
VEH- Taxable portion of the vehicle stipend you receive.
VPO- Vacation benefits payout.

If you’re an **hourly** employee (paid every two weeks), here are some earning codes you might on your check:

AWA- Congrats on your award!
BEN- Benefit days, for example, vacation, sick time, etc.
BNS- Congrats on your bonus!
BRV- Bereavement pay.
DS2- Short-term disability @ 80% of regular hourly rate.
EVT- Special event pay.
HDF- If you’ve worked on a holiday, you’ll see this “holiday differential” pay code for the hours worked.

HOL- Benefits eligible employees typically get paid for all Rice observed holidays.

JUR- Jury duty payment (benefit eligible employees get paid one day’s work).

OVE- Overtime earnings.

RCS- Recess, for example, Rice closure during the holiday season.

REG- Regular paycheck earnings.

SNR- One-time payment (without retirement).

SP2- Special pay rate, for example, a past timesheet that didn’t get paid on time.

STB- Standby payment (typically used for “on-call” work).

SUP- One time “supplemental pay”.

VPO- Vacation benefits payout.