HRIS/P1 Overview

Human Resource Assistant Training, April 2016

Helpful Links for Completing P1s

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- The *HR Information for Human Resources Associates* page contains helpful resources for navigating HRIS and completing P1s.
- Some of the resources on this page include:
  - A list of all available P1 and M5 types, and the levels of approval required.
  - A document titled "When to Process an M5 or a P1" that explains when a P1 is required after an M5 has processed.
  - A list of the documents that must be sent to Pre-Audit and Centralized Payroll staff prior to P1 approval, "Documentation Required by Pre-Audit."
  - Pre-Audit Calculators to calculate increases, payouts, and date and pay adjustments.

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Hires

This section covers general hire information, permanent hires, temporary hires, the differences between reemployment and reinstatement, board members, statutory hires, transfers, promotions, demotions, and reclassifications.

General Hire P1 Information   4

- Complete all BrassRing requirements prior to submitting P1 for approval. Refer to the BrassRing Requirements document.
- List the BrassRing number (if applicable) in both the P1 remarks and the Cert Number field of all hire P1s.
- Employee's home address must be 20 characters or less (cannot go past the "G" in "PAGE") or the P1 will reject.
- Home address must also be USPS compliant. Refer to the Postal Service Abbreviations document.

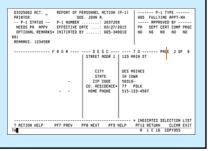## General Hire P1 Information - Continued   5

Address

- Must be 20 characters or less (cannot go past the "G" in "PAGE") – applies to all hire P1 types.
- Use postal service abbreviations for street names (including directions), but do not abbreviate city names.
    - Examples:
      ST for Street, AVE for Avenue, etc.
      Fort Dodge, not Ft Dodge
- County code for out-of-state addresses must be "00".

General Hire P1 Information - Continued   6

- The State Code cannot be "51 Iowa – Non-Taxable" on the hire P1. Enter the applicable state code and if the employee is claiming exempt write a 239 Tax Status Change P1 after the hire P1 has processed, and send a copy of the W-4 to Centralized Payroll.
- Always follow the Step Increase Date Schedule to set the step increase date for permanent hires, promotions, and upward reclassifications.

General Hire P1 Information - Continued 7

- Refer to the HRIS Cheat Sheet and HRIS Table of Codes documents for completing fields such as Mode of Pay, Employee Status, Condition of Employment, Retirement Indicator, etc.
- Refer to the Dates Cheat Sheet document for instructions on how to complete the various P1 date fields.

Permanent Hires 8

- The information on the "Permanent Hires" slides applies to the following P1 types:
  - 005 Full-time New Hire
  - 015 Part-time New Hire
  - 069 Reemployment
  - 099 Reinstatement

Permanent Hires - Continued 9

- Base salary for permanent full-time or part-time new hires, reemployments, or reinstatements must be set to the **minimum** of the pay grade, unless an advanced appointment rate has been approved. This applies to both merit and non-merit positions.
- Mode of Pay should be set to the following:
  - Full-time: 03 Biweekly
  - Part-time: 01 Hourly

Permanent Hires - Continued 10

Base Salary & Mode of Pay

- Salary must be set to the minimum of the pay grade unless an advanced appointment rate is approved.
- Base Step should equal "MN", but may show "00" or "AA" if pay grade has a percentage after it or is a minus-step. For example:
- Base Step "00" = Transport Driver, pay grade 18 +13.5%.
- Base Step "AA" = Accountant 2 (non-contract), pay grade 26(-04).
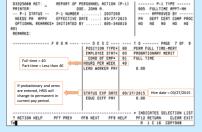

Permanent Hires - Continued 11

- The Employee Status must be set to:
  - 03 Probationary (Merit) for merit-covered new hires and reemployments.
  - 01 Probationary (Non-merit) for non-merit, contract-covered positions.
  - 11 Permanent (Non-merit) for non-merit, non-contract positions.
  - Employee Status for Reinstatements at the discretion of appointing authority.
- Hours per week for full-time employees must be 40.
- Hours per week for part-time employees must be less than 40 or holidays will not pro-rate correctly.
- The Status Expiration Date should be set to 6 months from the date of hire.

Permanent Hires - Continued 12

Employee Status, Hours Per Week & Status Expiration Date

- If employee is serving a probationary period, the status expiration date should be set to six months from the date of hire. This date is when the employee will become permanent. A P1 to change the Employee Status to permanent will automatically generate in the pay period in which the expiration date falls.

Permanent Hires - Continued

- The Employment, Seniority, and the Vacation Anniversary date should all be set to the employee's start date. The only exception is the Vacation Anniversary Date if an employee is reinstated (see next slide).
- The retirement indicator should be left blank. HRIS will automatically populate the retirement indicator code based on the employee's job class code when the P1 is processed.

Reemployment vs. Reinstatement

Reemployment vs. Reinstatement

	Reemployment	Reinstatement
Eligibility	Any former state employee can be reemployed. It does not matter whether the employee previously had probationary or permanent status, or was temporary, part-time or full-time.	Only a former permanent executive branch state employee (who terminated for other than just cause and did not retire) can be reinstated. It is up to the hiring authority to decide whether they want to reemploy or reinstate an employee who meets these criteria.
Hiring	If hired into a merit-covered position, the employee must come off a BrassRing list.	The employee does not have to come off a BrassRing list, but the position must clear recall before the employee is hired.
Employee Status	An employee hired into a merit covered position should have an employee status of "03 Probationary (Merit)" even if the employee had permanent status when they previously worked for the state.	The hiring authority can decide whether the employee will serve a 6 month probationary period, or will be reinstated with permanent status.
Vacation Anniversary	The vacation anniversary date should be set to the employee's date of reemployment.	The employee will accrue vacation at the same rate as when they separated from state employment. The previous vacation anniversary date will be restored, but adjusted for the length of time gone from state employment.

Other notes:
- Both reemployments and reinstatements must have an approved Special Pay/Appointment Action form (M40) in order to be hired above the minimum of the pay grade.

- P1 types:
  - 069 Reemployment
  - 099 Reinstatement

Temporary Hires

- The information on the "Temporary Hires" slides applies to the following P1 types:
  - 039 Temporary Appointment
  - 049 Internship Appointment
  - 065 Temporary Reemployment
  - 083 Temp to Temp Appointment

Temporary Hires - Continued   16

- DAS and/or DOM approval must be noted in P1 remarks.
- Base salary for temporary or internship employees can be set to any rate in the pay grade.
- Mode of Pay should be 01 Hourly for temporary employees and internships.

Temporary Hires - Continued   17

- Employee Status and Condition of Employment should be set to:
  - For temporary positions:
    - Employee Status: 12 Temporary
    - Condition of Employment: 11 Not to Go Over 780 Hours
  - For internship positions:
    - Employee Status: 10 Internship
    - Condition of Employment: 14 Internship
  - For seasonal positions:
    - Employee Status: 09 Seasonal
    - Condition of Employment: 06 Seasonal

Temporary Hires - Continued   18

Retirement Indicator

- For new and reemployed temporary employees, and Americorps employees, the Retirement Indicator should always be manually entered as "0" (zero). Do not leave the field blank.
- If a current temporary employee is moving to another temporary position, the Retirement Indicator must stay the same (see example on right).
  - If the "From" side of the P1 has a Retirement Indicator of "0", re-enter "0" on the "To" side of the P1.
  - If the "From" side is blank, enter "1" or the applicable retirement code on the "To" side of the P1.

Board Member Hires 19

- The information on the "Board Member Hires" slides is applicable to the 14000 Board Member class code only and applies to the following P1 types:
  - 025 Board Member New Hire
  - 064 Board Member Reemployment

Board Member Hires - Continued 20

- A copy of the appointment letter must be sent to Pre-Audit.
- Must include beginning and end date of appointment in remarks.
- Base salary for board and commission members should be set to $500.00 ($50/day).
- Mode of Pay should be 02 Daily.

Board Member Hires - Continued 21

Base Salary & Mode of Pay

- Applies to 14000 Class Code only
- Base Salary should be $500.00 and Mode of Pay should be 02 Daily.

Temporary to Permanent   22

- The information on the "Temporary to Permanent" slides applies to the following P1 types:
  - 086 Temporary to Permanent

Temporary to Permanent - Continued   23

- Base salary must be set to the minimum of the pay grade unless an advanced appointment rate has been approved. This applies to both merit and non-merit positions.
- Mode of Pay should be set to the following:
  - Full-time: 03 Biweekly
  - Part-time: 01 Hourly

Temporary to Permanent - Continued   24

- Status expiration date should be set to six months from the date of hire in the permanent position.
- Date of Employment can remain the same if there was no break in service.
- Seniority Date can remain the same if the employee is hired into the same job class and there was no break in service.
- Vacation Anniversary Date will be new based on the employee's date of hire in the permanent position.

Temporary to Permanent - Continued 25

Retirement Indicator

- Retirement Indicator should be set to 1 (IPERS) or the retirement code applicable to the employee's job class.
- If the retirement indicator is 0 None, it must be changed to 1, or the applicable retirement code for the employee's job class. If left blank, the system will carry over the "0" from the "From" side of the P1.

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D3325070 ACT: _    REPORT OF PERSONNEL ACTION (P-1)    ------- P-1 TYPE -------
PRINTER:                                               086 TEMP TO PERM APPT
-- P-1 STATUS --   P-1 NUMBER ........:                ----- APPROVED BY ------
   PROCESSED       EFFECTIVE DATE ...: 04/10/2015      PA   DEPT CERT COMP PROC
OPTIONAL REMARKS• INITIATED BY .....: 582-151125       YES  YES  YES  YES  YES
001
REMARKS: APPROVED BY DAS & DOM 150628R.OK.VM

------------- F R O M ---- ---- D E S C ---- ---- T O -------- PAGE  9 OF  9
              YES    FICA CODE    YES



              70864  EMPLOYEE NUMBER
    NONE       0   RETIRE IND•   1   IPERS
-------------------------------------------------- ■ INDICATES SELECTION LIST
? ACTION HELP    PF7 PREV    PF8 NEXT    PF9 HELP   PF12 RETURN    CLEAR EXIT
T■                                                 R  1 C 16  COPY928
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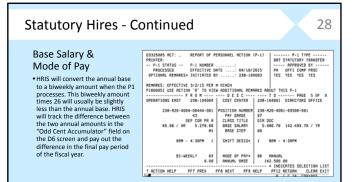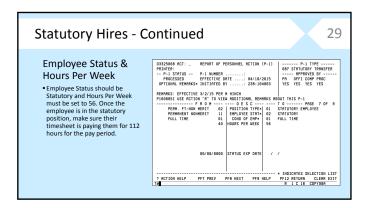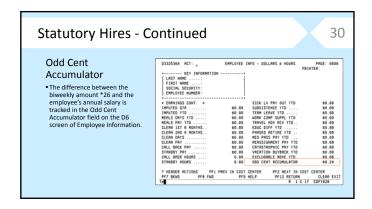
Statutory Hires 26

- The information on the "Statutory Hires" slides applies to the following P1 types:
  - 004 Statutory New Hire
  - 027 Annual Salary Board Member
  - 066 Annual Reemployment
  - 087 Statutory Transfer
- Statutory employees include department directors, elected officials and certain board members (such as Parole Board and Public Employment Relations Board members).

Statutory Hires - Continued 27

- Mode of Pay should be 06 Annual.
- Salary is usually set by the Governor's Office. Must have an offer letter or email from IGOV confirming the salary and provide a copy to Pre-Audit.
- Employee Status should be 02 Statutory and Condition of Employment should be 01 Full Time.
- Hours per week must be 56.
  - This is because Statutory employees are also paid for Saturday and Sunday. The weekend should always reflect time type 010 Regular Time, even if the employee was on vacation or sick.

Statutory Hires - Continued 28

Base Salary & Mode of Pay

• HRIS will convert the annual base to a biweekly amount when the P1 processes. This biweekly amount times 26 will usually be slightly less than the annual base. HRIS will track the difference between the two annual amounts in the "Odd Cent Accumulator" field on the D6 screen and pay out the difference in the final pay period of the fiscal year.

Statutory Hires - Continued 29

Employee Status & Hours Per Week

• Employee Status should be Statutory and Hours Per Week must be set to 56. Once the employee is in the statutory position, make sure their timesheet is paying them for 112 hours for the pay period.

Statutory Hires - Continued 30

Odd Cent Accumulator

• The difference between the biweekly amount *26 and the employee's annual salary is tracked in the Odd Cent Accumulator field on the D6 screen of Employee Information.

Position Changes 31

- The information on the "Position Changes" slides applies to the following P1 types:
  - 088 Transfer
  - 662 Promotion
  - 669 Demotion
- Definitions for this section:
  - Lateral = Move to a position in the same pay grade (may be a different job class or pay plan)
  - Promotion = Move to a position in a higher pay grade.
  - Demotion = Move to a position in a lower pay grade.

Position Changes - Continued 32

- The 088 Transfer P1 should be used when:
  - An employee is transferring between departments (inter-agency; could be lateral, promotional, or demotional)
    OR
  - An employee is transferring laterally within their current department (intra-agency)
- The 662 Promotion P1 should be used when an employee is promoting within their current department (intra-agency).
- The 669 Demotion P1 should be used when an employee is demoting within their current department (intra-agency).

Position Changes - Continued 33

- To set an employee's salary, the following rules apply:
  - For lateral transfers, the employee's salary should carry over.
  - For promotions, the salary is dependent on whether the employee's new class is non-contract or contract-covered:
    - Employees promoting to a non-contract position can receive any percent increase in pay.
    - Employees promoting to a contract-covered position can receive a 5% increase, or be brought to the minimum of the pay grade, whichever is greater.
  - For demotions, the new salary cannot exceed the employee's salary at the time of demotion.
    - Exception: If an employee demotes from a non-contract class to a contract-covered class and has a past-due increase date **and** the employee is below the max of the new pay grade, then the employee must receive a merit increase and the step increase date should be set to one year from the effective date of the demotion.

Position Changes - Continued 34

- Other important notes regarding promotions:
  - An employee cannot be promoted during the probationary period unless they have been hired from an all-applicant list.
  - Employees who promote internally can serve a probationary period at the discretion of the appointing authority, but it cannot be tracked in HRIS (must be tracked by the agency).

Position Changes - Continued 35

Extra Pay Screen

- All extra pay should be reviewed to determine if it is applicable to the employee's new position. You can see what extra pay an employee is receiving by going to the "SP" screen of Employee Information.

- If the employee was receiving pay, but it is not applicable to the new position, complete a P1 to zero it out.

Moving Between Branches 36

- Refer to the following document:
  - Employees Moving Between Branches
- For employees coming from Legislative or Judicial Branch, Regents, or Community Based Corrections with no break in service:
  - Pay should be the minimum of the pay grade unless an Advanced Appointment is approved.
  - Step increase date shall be set the same as any other new hire.
  - Employee Status, dates and sick and vacation balances will generally transfer.

Coming from the Dept. of Transportation 37

- Refer to the following document:
  - Employees Coming From/To the Department of Transportation
- For employees coming from the Department of Transportation with no break in service:
  - Follow the rules for promotion, demotion, or lateral transfer when determining the employee's salary and step increase date.
  - The Employee Status, dates and sick and vacation balances should transfer over. You will need to contact the HRA's at the DOT for this and other information.

Reclassifications 38

- The information on the "Reclassifications" slides applies to the following P1 types:
  - 692 Reclassification
  - 693 Trainee/Journey Reclassification
- A reclassification changes an employee's position into another position (typically a change in classification).
  - This differs from a Promotion, Demotion, or Transfer where an employee is moved into an existing vacant position and the employee's old position then becomes vacant.
  - A reclassification will never result in a position being vacated (unless the position being reclassified is currently vacant).

Reclassifications - Continued 39

- A 210 Reclassification M5 must be completed first. Once that has processed, a 692 Reclassification P1 (or 693 P1 if trainee/journey) must be written to update the employee's record, if the position is occupied. The M5 and P1 must be done in the same pay period.
- **IMPORTANT**: If a terminating employee's position will be reclassified, you must wait until the rewrites window or the following pay period to do the reclassification M5, otherwise the terminating employee will not be paid. This is because an employee who terminates remains in their position until rewrites process, regardless of when in the pay period they terminated. If a position is reclassified too early another M5 must be done to reclassify the position back to what it was originally.

Reclassifications - Continued 40

- When entering the employee's new position number on the reclassification P1, use the position number at the top of the processed reclassification M5. HRIS will sometimes change the seat number if the seat number entered on the M5 is already an existing position.
- To set the employee's pay and step increase date, refer to the rules on promotion, demotion, or lateral transfer based on whether the employee's new job class is in a higher, lower, or the same pay grade as the previous job class.

Reclassifications - Continued 41

Reclassification M5

- Use the position number at the top of the M5 when entering the employee's new position number on the reclassification P1. This is the position number that the system has reclassified the old position to.
- In this case, the agency entered seat 001 on the "To" side, but that position number already existed, so the system chose the next available seat number.

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Leaves of Absence

This section covers placing an employee on leave, leave codes, donated leave and catastrophic pay, and returning an employee from leave.

Leave of Absence

43

- The information on the "Leave of Absence" slides applies to the following P1 types:
  - 501 Leave of Absence
  - 502 Leave Code Correction

- To put an employee in an initial leave code, use the 501 Leave of Absence P1.
- To change the leave code of an employee who is currently on leave, use the 502 Leave Code Correction P1.

Leave of Absence - Continued

44

- Refer to the Leave Code Chart and Definitions document for guidance on leave codes and leave processes.
- With or Without Pay Codes:
  - 40 – Military Leave With Pay
  - 44 – Educational Leave (With or Without Pay)
  - 53 – FMLA for Family Member
  - 57 – Medical Intermittent Leave
- Without Pay Codes:
  - 41 – Military Leave Without Pay
  - 50 – Leave Without Pay
  - 54 – Medical Leave Without Pay

Leave of Absence - Continued

45

- The without pay codes listed on the previous slide only allow an employee to be paid for hours on the timesheet or PAYN in the pay period in which the leave of absence (LOA) date falls.
- For employees on continuous leave without pay, it is critical that you continue to generate timesheets reflecting the leave without pay, or enter zero hours in PAYN for Affordable Care Act reporting purposes.

Leave of Absence - Continued 46

- Military Leave Process:
  - When an employee in the military is in training or deployed for a continuous period and is not working any regular hours or using any available balances, write a 501 Leave of Absence P1 to put the employee in leave code 41 Military Leave Without Pay.
  - At the beginning of the calendar year (the pay period in which January 1 falls), any employee who is on military leave without pay must have a 502 Leave Code Correction P1 written to move the employee to leave code 40 Military Leave With Pay. The employee should then be paid 30 days of paid military leave via the timesheet or PAYN.
  - Once the 30 days of paid military leave have been given, another 502 Leave Code Correction P1 must be written to return the employee to leave code 41 Military Leave Without Pay.

Leave of Absence - Continued 47

- Medical Leave Without Pay Process:
  - Applies to employees being put in leave code 54 Medical Leave Without Pay, or leave code 53 FMLA for Family Member, if the leave is continuous.
  - An employee who is going on continuous medical leave without pay should be put on leave in the pay period in which they are exhausting all available balances. The LOA date must be in the current pay period for the employee to be paid for any timesheet/PAYN hours.
  - In the following pay period, the accruals earned on the prior pay period's hours must be paid out on an 846 P1 in the "Reg Oth Pay Adj" field and a 271 Leave Balance Correction P1 must be done to zero out the balances. Balances should be paid out in full. **Do not put the hours on the timesheet or in PAYN as HRIS will not allow them to be paid**.

Leave of Absence - Continued 48

Medical Leave Without Pay – Timesheet Example

- Employee has had 80 hours until the current pay period. If we look at the current pay period timesheet we would see the employee is exhausting her remaining balances and so should be put in a leave without pay code.

Leave of Absence - Continued — 49

Medical Leave Without Pay – Timesheet Example

- Current pay period timesheet showing the employee exhausting her remaining balances in week one of the pay period. Her first full day of leave without pay is 04/16/2015.
- Any accruals earned on these 30.26 hours will be paid out on an 846 P1 in the following (04/24) pay period.
- We would also look at past timesheets to verify the last day the employee actually worked.

Leave of Absence - Continued — 50

Medical Leave Without Pay – Timesheet Example

- Last Work Day: Last day the employee physically worked.
- Leave Reason: Refer to Leave Code Chart and Definitions document.
- LOA Date: First full day of leave without pay (may vary for intermittent leave). For employees on leave without pay, must be in current pay period for employee to be paid for any current timesheet/PAYN hours.
- LOA Return Date: Must be in a future pay period or P1 will reject.

Donated Leave/Catastrophic Pay — 51

- The information on the "Donated Leave/Catastrophic Pay" slides applies to the following P1 types:
  - 275 Donated Leave
  - 846 Catastrophic Pay

Donated Leave/Catastrophic Pay - Cont.   52

- The employee who will be receiving donations (recipient) must be put in an applicable leave code or the system will not allow 275 Donated Leave P1s for the recipient.
- Leave codes that allow an employee to receive donated leave are:
  - 50 Leave Without Pay
  - 53 FMLA for Family Member
  - 54 Medical Leave Without Pay
  - 57 Medical Intermittent Leave

Donated Leave/Catastrophic Pay - Cont.   53

- Completing the 275 Donated Leave P1 (for donor):
  - Recipient's Social Security Number is required on the 275 P1.
  - A 275 Donated Leave P1 cannot be approved until after rewrites for the prior pay period have processed.
  - Employees can donate different types of leave depending on their bargaining status.
    - Non-contract = Vacation only.
    - AFSCME = Vacation, comp, holiday comp, or banked holiday.
    - IUP = Vacation or comp.

Donated Leave/Catastrophic Pay - Cont.   54

- Completing the 275 Donated Leave P1 (for donor) - Continued:
  - The 275 P1 deducts the donated hours from the employee's balance as soon as the P1 processes. You cannot override a donated leave P1 that has already processed by writing another donated leave P1.
  - If an employee wants to donate more hours after they have already donated/had a P1 processed, you will need to do another 275 P1 for the additional hours the employee wishes to donate.
  - If more hours than needed were taken from an employee for a donation, you will need to do a 271 P1 to restore whatever hours weren't needed to the employee's balance(s).

Donated Leave/Catastrophic Pay - Cont. 55

- Completing the 846 Catastrophic Pay P1 (for recipient):
  - The recipient must exhaust all balances before they are eligible to receive catastrophic pay/donated leave.
  - Shift differential, med passer and other pays should **never** be included in the calculations.
  - Include good remarks in the 846 P1, listing the recipient's salary, and the names of all donors and the number and type of hours donated.
  - The total number of donated hours paid, plus any hours/wages paid on the timesheet/PAYN + workers comp lost time benefits received, cannot exceed the recipient's normal gross biweekly pay.

Donated Leave/Catastrophic Pay - Cont. 56

- Completing the 846 Catastrophic Pay P1 (for recipient) - Continued:
  - If a new donation comes in after an employee's P1 has processed, you will need to write a new 846 P1. The value of the new donation(s) should be added to the value of the donation(s) that have already processed and the total is the amount that should be entered in the Catastrophic Pay field.
  - An employee can still receive donations in the pay period they are returned from leave.

Donated Leave/Catastrophic Pay - Cont. 57
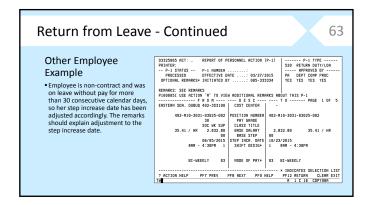
Catastrophic Pay Example

- Example of what the remarks of the 846 Catastrophic Pay P1 should look like.
- This employee is also having their remaining sick and vacation balances paid out on the P1.
- The catastrophic pay should be entered on the "Catastroph Pay" field and the sick and vacation payout should go in the "Reg Oth Pay Adj" field.

19

Return from Leave 58

- The information on the "Return from Leave" slides applies to the following P1 types:
  - 520 Return from Leave

- Employee should be returned from leave in the pay period in which they return to work.
- The return date entered on page three of the P1 must be in the current or a prior pay period, or the P1 will reject.

Return from Leave - Continued 59

- Employees on leave will automatically receive any applicable Across-the-Board increases during the pay period in which the ATB is effective.
- If an employee missed a merit increase while on leave (step increase date is in the past at time of return and the employee is not at the maximum of the pay grade), the following applies:
  - Contract-covered: You must give the missed increase upon return. This can be done directly on the return from leave P1.
  - Non-contract: Supervisor can decide whether or not to give missed increase. Non-contract increases are discretionary and may be delayed.

Return from Leave - Continued 60

- Adjusting the step increase date:
  - *Military leave*: Step Increase Date should be restored and not adjusted. If an employee receives a missed merit increase upon return from leave, the step increase date should be set to one year from the old date.
  - *AFSCME employees*: The step increase date must be adjusted forward by the length of time on leave without pay if the employee was on leave without pay **and** did not receive donations for more than 30 consecutive calendar days.
  - *All other employees*: The step increase date must be adjusted forward by the length of time on leave without pay if the employee was on leave without pay for more than 30 consecutive calendar days.
- **You must include remarks showing the calculations for any adjustments to pay or step increase date.** Refer to the Pre-Audit Calculators spreadsheet.

Return from Leave - Continued 61

AFSCME Employee Example

- Employee is AFSCME-covered and missed a merit increase while on leave. The missed increase is being given upon return and the step increase date has been adjusted. The remarks should explain the increase in pay and adjustment to step increase date.

Return from Leave - Continued 62

AFSCME Employee Example - Continued

- Remarks show calculations for the missed step increase and explain adjustment to step increase date.
- Normally, the step increase date would have been adjusted forward by 4 pay periods (02/24-04/14 = 49 days on LWOP), but the employee received donated leave while she was on LWOP, so no adjustment was needed. Her time on LWOP is considered 03/04 to 03/27 since the donations count as "paid" time, which is less than 30 days.

Return from Leave - Continued 63

Other Employee Example

- Employee is non-contract and was on leave without pay for more than 30 consecutive calendar days, so her step increase date has been adjusted accordingly. The remarks should explain adjustment to the step increase date.

Return from Leave - Continued 64

Other Employee Example - Continued

- Remarks show calculations for the adjustment to the step increase date.

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D3449615  ACTION: _      PERSONNEL ACTIONS (P-1S)          PAGE: 0001 OF 0001
PRINTER ID:                       REMARKS

EE HAS BEEN ON LWOP. FIRST FULL DAY LWOP WAS 11/13/2014. EE RETURNED
ON 03/31/2015. EE WAS GONE 138 DAYS ROUNDED TO 10 PAY PERIODS.
OLD STEP INCREASE DATE WAS 06/05/2015. NEW STEP INCREASE DATE IS
10/23/2015




LINE ACT: .I9  .R9  .M9  .C9  .D9  .D*  .MM  .CC  .DD  .A  .B  .F99 |
H HARD COPY   UP UPPER CASE   MX MIXED CASE   ST SAVE TEXT  RT RESTORE TEXT
PF1 EXIT NO SAVE  PF5 SAVE  PF7 BKWD PF8 FWD  PF9 HELP  PF12 RETURN  CLEAR EXIT
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65

Terminations/Retirements

This section covers general termination/retirement information, Employee Separation forms, permanent terminations, retirements, sick and vacation payouts, and temporary terminations.

General Termination/Retirement P1 Info 66

- The termination date must be in the current pay period for the employee to be paid for any hours or payouts.
  - If the employee terminated in a prior pay period, set the term date to the first day of the current pay period. Then in the next pay period, write a 490 Termination Correction P1 and enter the actual term date.
- The last work day should be the last day the employee physically worked.
- Submit the payout P1 (if applicable) at the same time as the termination/retirement P1 as we cannot approve one without the other.
- Vacation shall not be granted after the employee's last day of work per Administrative Rule 63.2(2)e.

General Termination/Retirement P1 Info — 67

- Refer to the HRIS Table of Codes for a complete list of termination codes and the Termination Code Guidance document for an explanation of the various termination codes.
- Termination code notes:
  - With dismissal codes, make sure you are choosing the correct code based on the person's merit status and whether the person is probationary or permanent.
  - If an employee is being terminated after exhausting a 90 day medical LWOP, code 92 Medical Dismissal should be used.
  - For employees being returned to recall, write a 404 Layoff P1 and use code 69 Return to Recall.
  - No term code is entered on the 452 LTD Termination P1. The system will populate the term code when the P1 processes.

Employee Separation Forms — 68

- An Employee Separation form must be completed for every employee who separates from State employment, except for temporary employees.
- Please send the separation form at the same time as the other separation documentation (resignation letter, discharge letter, LTD approval letter, etc).
- Do not advise the employee about their future employment eligibility with the State. DAS' final eligibility decision may differ from your department's recommendation or internal policy.

Permanent Terminations — 69

- A "Permanent Termination" will occur on one of the following P1 types:
  - 401 Termination
  - 404 Layoff
  - 409 Statutory Termination
  - 452 LTD Termination
- A copy of the termination letter and Employee Separation form must be emailed or faxed to Pre-Audit.
- Refer to the Terminations Checklist for the steps to complete.

Retirements

70

- The information on the "Retirements" slides applies to the following P1 types:
  - 402 Retirement

- If the employee is a regular retiree, email/fax a copy of the termination letter and Employee Separation form.
  - Refer to the Regular Retirements Checklist for the steps to complete.
- If the employee is a SLIP retiree, email/fax a copy of the SLIP Enrollment form (both pages) and Employee Separation form.

Retirements - Continued

71

- Employee must be age 55 on their last work day to be eligible to retire.
- Employee must file with IPERS to be considered a retiree. The IPERS file date must be included on the retirement and payout P1. To obtain the IPERS file date, email **Alyson DeBerg** with the employee's name and last four digits of their SSN.
- If an employee does not file with IPERS or takes an IPERS refund, they are not eligible to be a retiree from the State and will be considered a regular resignation. The employee will not be eligible for retiree insurance or the $2,000 sick leave payout.

Retirements - Continued

72

- Use term code 89 Voluntary Retirement for regular retirements and term code 90 SLIP Retirement for employees retiring under SLIP.
- To be eligible for SLIP, the employee must be age 55 to 64, and have a sick balance value that is greater than $2,000 plus the cost of at least one month of the employer share of the state health insurance premium.

Vacation & Sick Payout Info — 73

- There is no minimum balance required for a payout. If the employee has a balance greater than zero it must be paid out.
- Current vacation and sick balances can be found on the D7 screen of Employee Information.
- The employee's vacation maximum is the total of the "Vac Accrual Maximum" and "Vac Conversion Ceil" amounts on the D7 screen.
- Comp, Holiday Comp and Banked holiday balances, if not used in the final pay period, must be paid out on the employee's timesheet (or PAYN) with the appropriate time types (600, 601, 610, 615) entered on the first day of the pay period.

Vacation & Sick Payout Info - Continued — 74

D7 Screen:
Hours & Balances

- To determine the employee's maximum vacation balance, add together the "Vac Conversion Ceil" and "Vac Accrual Maximum" amounts.
- Make sure to check for any other balances that must be paid out in the employee's final pay period.

Vacation & Sick Payout Info - Continued — 75

- An employee must have received other pay (such as shift, med passer, or standby) for at least three of the last six pay periods for the pay to be included in the payout calculations. This comes from Administrative Rule 63.2(2)e.
- An exception to the above would be an employee who has not been working long. If the employee is assigned 2nd or 3rd shift, but hasn't worked six pay periods at the time of termination, shift would still be included in the payout if the employee received it every pay period they worked.

Vacation & Sick Payout Info - Continued 76

- If the employee receives a different amount of shift and/or med passer pay each pay period, calculate the average of the last six pay periods.
- Do not include current pay period when calculating the average of the last six pay periods. Use the six pay periods prior to the current pay period because an employee will not always work full hours in their final pay period.
- In addition to shift, med passer, and standby pay, any pays found on the "sp" screen of Employee Information should be included in the payout calculations.

Non-SLIP Vacation & Sick Payouts 77

- The information on the "Non-SLIP Vacation & Sick Payouts" slides applies to the following P1 types:
  - 846 Cat/Other Pay & Term Leave/Sick Pay

- For standard terminations (voluntary or involuntary) and regular (not SLIP) retirements, the 846 P1 should be used to pay out the employee's remaining vacation and sick (if retiring) balances.

Non-SLIP Vacation & Sick Payouts - Cont. 78

- Enter the employee's vacation payout in the "Term Leave Pay" field, and the sick leave payout (if applicable) in the "Sklv Payoff Pay" field.
- An employee is only eligible for a sick payout if they are retiring, or are age 55 or older and pass away.
- Use the "Regular Vac-Sick Payout" tab of the Pre-Audit Calculators to calculate the payout(s) owed to the employee.

Non-SLIP Vacation & Sick Payouts - Cont. 79

Non-SLIP Payout Example

- This is an example of a vacation only payout.
- If the employee were retiring, or age 55 or older and passed away, the employee would also be eligible for a sick payout (entered in the "Sklv Payoff Pay" field).

```
D3325178 ACT: _    REPORT OF PERSONNEL ACTION (P-1)   ------- P-1 TYPE ------
PRINTER:                                               840 CAT/OTH/TERM/SICK
-- P-1 STATUS --   P-1 NUMBER .......:                ------ APPROVED BY ------
   PROCESSED       EFFECTIVE DATE ....: 04/10/2015     PA   DEPT COMP PAYL PROC
OPTIONAL REMARKS* INITIATED BY ......: 243-101109      YES  YES  YES  YES  YES

REMARKS: RESIGNED  LDW 4/17/15
P160005I USE ACTION "R" TO VIEW ADDITIONAL REMARKS ABOUT THIS P-1
----------------- F R O M ----- ---- D E S C ---- ---- T O ------- PAGE  1 OF  1



                    CATASTROPH PAY        0.00

                    REG OTH PAY ADJ       0.00
                    SKLV PAYOFF PAY       0.00
                    TERM LEAVE PAY    2,006.60

--------------------------------------------------- * INDICATES SELECTION LIST
? ACTION HELP       PF7 PREV       PF8 NEXT    PF9 HELP   PF12 RETURN   CLEAR EXIT
T:_                                                        R  1 C 16  COPY920
```

Non-SLIP Vacation & Sick Payouts - Cont. 80

Non-SLIP Payout Example

- Example of remarks that should be included the payout P1.
- Include biweekly/hourly pay, current balances, number of hours in final pay period, vacation or sick leave hours used, and calculations for accrual and payout.
- Current balances and accrual rates can be found on the D7 screen of Employee Information.

```
D3449815  ACTION: _       PERSONNEL ACTIONS (P-1S)       PAGE: 0001 OF 0001
PRINTER ID:                          REMARKS

EMPLOYEE HAD SECOND OR THIRD SHIFT DESIG. WHEN P-1 WAS INITIATED

$1574.40 + $52.00 + $XX.XX + $XXX.XX = $1626.40 /80 = $20.33
BIWEEKLY    SHIFT    MED PRSS OTHER+                 HOURLY

VACATION BALANCE ...  98.5668   VAC. ACCRUAL RATE ..  3.692307
SICK BALANCE .......  117.4154  SICK ACCRUAL RATE ..  5.538462
LAST DAY: 4-17-15    HRS IN FINAL PP: 48.25   VACATION CEILING: 192

VAC BAL: 98.5668 + EARNED: 2.134015 - USED:  0.00 + CONVERTED: 0.00
= FINAL BAL: 98.701415 * HOURLY: $20.33 = $2006.60 VACATION PAYOUT

SICK BAL: 117.4154 + EARNED: 3.201923 - USED: 0.00 - CONVERTED: 0.00
= FINAL BAL: 112.617323 * HOURLY: $20.33 = $2289.51 SICK PAYOUT
EE NOT ELIGIBLE FOR SICK PAYOUT/RESIGNED *         (MAX $2.000)


LINE ACT: .19   .R9   .M9   .C9   .D9   .D*   .MM   .CC   .DD  .R  .B  .F99  ]
H HARD COPY   UP UPPER CASE   MX MIXED CASE   ST SAVE TEXT  RT RESTORE TEXT
PF1 EXIT NO SAVE  PF5 SAVE  PF7 BKWD PF8 FWD  PF9 HELP  PF12 RETURN  CLEAR EXIT
T:_                                                        R 17 C 66  COPY920
```

SLIP Vacation & Sick Payouts 81

- The information on the "SLIP Vacation & Sick Payouts" slides applies to the following P1 types:
  - 470 SLIP Calculation

- For employees retiring under the Sick Leave Insurance Program (SLIP), use the 470 SLIP Calculation P1 to pay out the employee's vacation and sick balances.

SLIP Vacation & Sick Payouts - Continued   82

- The 470 SLIP Calculation P1 cannot be approved until after rewrites for the prior pay period have processed.
- Use the "SLIP Vac-Sick Payout" tab of the Pre-Audit Calculators to calculate the payouts owed to the employee.
- If the employee has an other pay adjustment in the pay period they are terminating, the 846 P1 must process before the SLIP Calculation P1 is approved, otherwise you must enter the $2,000 sick leave payout and vacation payout on the 846 P1 as well. Because the 470 and 846 P1 both have the sick leave payout and vacation payout fields, the 846 P1 could potentially override/zero out the payout amounts from the 470 P1.
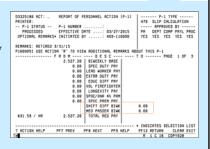

SLIP Vacation & Sick Payouts - Continued   83

SLIP Calculation P1 Example

- **Page 1**: If the employee receives shift and/or med passer pay, enter it in the applicable field.
- If the employee has received standby pay for at least three of the last six pay periods, calculate the average and enter it in either the shift or med passer pay field (you may need to add standby to one of the pays if the employee is receiving all three).

SLIP Vacation & Sick Payouts - Continued   84

SLIP Calculation P1 Example

- **Page 2**: Enter the hours accrued for the current pay period and any sick or vacation used. If the employee is converting, you will need to put the number of sick hours being converted in the "Sick Used PP" field, in addition to any sick hours used, and add four hours to the accrual in the "Vac Accrued PP" field.

SLIP Vacation & Sick Payouts - Continued 85

SLIP Calculation P1 Example

- **Page 3**: The system will do the calculations on this page. Confirm the payout amounts match what was calculated on the Pre-Audit Calculator.

SLIP Vacation & Sick Payouts - Continued 86

SLIP Calculation P1 Example

- **Remarks**: Enter the same remarks in the SLIP Calculation P1 as you would for a regular (non-SLIP) payout. Even though the system does the payout calculations, the calculations for the accruals must be shown.

Temporary Terminations 87

- The information on the "Temporary Terminations" slides applies to the following P1 types:
  - 400 Board Member Termination
  - 403 Term Temp Employee

- Pre-Audit does not require any documentation for temporary terminations.

Temporary Terminations - Continued 88

- Temporary employees should be terminated from HRIS when their work is done or when they have hit the 780 hour limit, regardless of whether or not they will be returning in a short period of time. Not terminating temp employees timely could result in incorrect reporting under the Affordable Care Act.
- The term code for a board member may be 98 Term Expired, or other applicable term code.
- The term code for a temporary employee should be 73 Term (Temp Appt), unless the employee has passed away, in which case code 72 Death should be used.

89

Back Pay & Recoupments

This section covers general back pay/recoupment information, settlement pays, the rules for giving back pay, Appeal Board Claims, the rules for recouping pay, and how to calculate pay owed/to recoup.

Regular Other Pay Adjustments 90

- The information on the "Regular Other Pay Adjustments" slides applies to the following P1 types:
  - 846 Cat/Other Pay & Term Leave/Sick Pay

- Catastrophic Pay (Catastroph Pay), Sick Leave Payout (Sklv Payoff Pay), and Vacation Payout (Term Leave Pay) fields were covered on previous slides. Remaining field is the **Regular Other Pay Adjustment** (Reg Oth Pay Adj).

Regular Other Pay Adjustments - Cont. 91

- The Regular Other Pay Adjustment field is used to correct an employee's wages – either to pay the employee missed pay/back pay owed, or to recoup overpaid wages or give the employee a reduction in pay.
- When paying or recouping wages, include a description of the adjustment being made, the employee's biweekly pay, calculations and the pay period/days the adjustment is for in the P1 remarks.
- For negative other pay adjustments, make sure you put a minus sign ("-") in front of the amount on the P1.

Regular Other Pay Adjustments - Cont. 92

- For agencies on time reporting, if an employee is owed missed regular hours (time actually worked that should be paid at the current regular rate of pay), those hours should be paid on the time sheet using time type 500 Prior Pay Period Hours, not on the 846 P1.
  - The Prior Pay Period Hours time type will **not** give the employee any missed accruals, so a 271 Leave Balance Correction P1 must be done if the employee is owed accruals as well.

Regular Other Pay Adjustments - Cont. 93

Regular Other Pay Adjustment Example

- Pay adjustments should be entered in the "Reg Oth Pay Adj" field.

```
D3325178 ACT: _    REPORT OF PERSONNEL ACTION (P-1)    ------- P-1 TYPE ------
PRINTER:                                               846 CAT/OTH/TERM/SICK
-- P-1 STATUS --   P-1 NUMBER ........:                ----- APPROVED BY ------
   PROCESSED       EFFECTIVE DATE ....: 04/10/2015     PR  DEPT COMP PAYL PROC
   OPTIONAL REMARKS* INITIATED BY .....: 252-101109    YES  YES  YES  YES  YES

REMARKS: PAY/CHG 3.33 HR VAC+ACCRUALS 4/7/15
P1600051 USE ACTION "A" TO VIEW ADDITIONAL REMARKS ABOUT THIS P-1
--------------- F R O M ---- ---- D E S C ---- ---- T O ------- PAGE  1 OF  1

                              CATASTROPH PAY       0.00

                              REG OTH PAY ADJ     67.70
                              SKLV PAYOFF PAY      0.00
                              TERM LEAVE PAY       0.00

------------------------------------------------- * INDICATES SELECTION LIST
? ACTION HELP     PF7 PREV    PF8 NEXT    PF9 HELP    PF12 RETURN    CLEAR EXIT
Te█                                                  R  1 C 16  CDPY927
```

Regular Other Pay Adjustments - Cont. 94

Regular Other Pay Adjustment Example

- Remarks explaining the adjustment being made, including the date(s) the adjustment is for.

```
D3449615  ACTION: _      PERSONNEL ACTIONS (P-1S)        PAGE: 0001 OF 0001
PRINTER ID:                        REMARKS

EMPLOYEE IS A THIRD SHIFT OFFICER WHO WAS SHORT 3.33 HOURS OF
VACATION ON 04/07/15 DUE TO A MISSING VACATION LEAVE REQUEST.
WE ARE CORRECTING HER MISSING HOURS AND ALSO DOING A LEAVE
BALANCE CORRECTION P-1.

WHAT EMPLOYEE WAS PAID:
$19.68 HR. RATE X 76.67 REG HOURS = $1508.87
$0.65 X 76.67 HOURS = $49.83 SHIFT DIFFERENTIAL
$1508.87 + $49.83 = $1558.70

WHAT EMPLOYEE SHOULD HAVE BEEN PAID:
$19.68 HR. RATE X 80 REG HOURS = $1574.40
$0.65 X 80 HOURS = $52.00 SHIFT DIFFERENTIAL
$1574.40 + $52.00 = $1626.40

$1626.40 - $1558.70 = $67.70 OWED TO EMPLOYEE

LINE ACT: .I9   .R9   .M9   .C9   .D9   .D*   .MM   .CC   .DD  .A  .B  .F99 ¦
H HARD COPY   UP UPPER CASE   MX MIXED CASE   ST SAVE TEXT   RT RESTORE TEXT
PF1 EXIT NO SAVE  PF5 SAVE   PF7 BKWD PF8 FWD  PF9 HELP   PF12 RETURN  CLEAR EXIT
T█                                                       R  4 C  2  COPY927
```

Settlement Pay 95

- Any back pay owed per a settlement agreement must be paid on P1 type 849 Settlement Pay.
- List the grievance number(s), and State Appeal Board claim number (if applicable), in the remarks of P1 along with a description of the settlement and any calculations.
- Make sure the pay is entered in the applicable field – either as income not subject to retirement (Inc No Subj Ret) or subject to retirement (Reg Oth Pay Adj, or Bck Pay SubjPOR for POR-covered employees). Contact Centralized Payroll if you are unsure which pay field applies to the settlement payment.

Settlement Pay - Continued 96

Settlement Pay Example

- If a settlement is to be reduced by unemployment or other wages received, that amount must be entered as a negative adjustment in the "Inc No Subj Ret" field. Wages owed to the employee should be entered in the "Reg Oth Pay Adj" field.
- Always refer to settlement for guidance on whether wages are subject to retirement.
- Remarks should explain settlement award and show any calculations.

```
D3325178 ACT: _     REPORT OF PERSONNEL ACTION (P-1)  ¦ ------- P-1 TYPE ------
PRINTER:                                              ¦ 849    SETTLEMENT PAY
-- P-1 STATUS --   P-1 NUMBER ........:               ¦ ----- APPROVED BY ------
  PROCESSED        EFFECTIVE DATE ....: 04/10/2015     ¦ PA  DEPT COMP PAYL PROC
 OPTIONAL REMARKS* INITIATED BY ......: 240-111109    ¦ YES  YES  YES  YES  YES

REMARKS: SETTLEMENT#14-GA-192   FY2015 BACKPAY
P1600051 USE ACTION "R" TO VIEW ADDITIONAL REMARKS ABOUT THIS P-1
--------------- F R O M ---- ---- D E S C ---- ---- T O ------- PAGE  1 OF  2



                              INC NO SUBJ RET   -17,607.51

                              REG OTH PAY ADJ    37,665.40



------------------------------------------------- * INDICATES SELECTION LIST
? ACTION HELP      PF7 PREV    PF8 NEXT    PF9 HELP   PF12 RETURN   CLEAR EXIT
T█                                                      R  1 C 16  COPY92C
```

Back Pay Rules

97

- Back pay may be given for the current fiscal year per Administrative Rule 53.4(7)a.
- Any back pay owed for a prior fiscal year (including back pay owed per a settlement agreement) must be submitted to the State Appeal Board.
- Back pay for a prior fiscal year can be paid through the pay period with the pay date prior to August 31.
  - For example, back pay for FY 2016 can be paid through the July 29, 2016, pay period, which is paid on August 19, 2016. Back pay for FY 2016 cannot be paid beyond that pay period without first being approved by the State Appeal Board.

Appeal Board Claims

98

- Refer to the Appeal Board Claim process document.
- Agency must complete and submit an Appeal Board Claim form to the State Appeal Board.
- Claim is received at DOM, assigned a claim number, then is sent back to the agency for a recommendation.
- The agency then forwards the claim to DAS-HRE for a recommendation. Once DAS-HRE has reviewed the claim and made a recommendation, the claim is forwarded to DAS-SAE for review and recommendation.
- The State Appeal Board meets once per month, typically on the first Monday of the month.

Recoupment Rules

99

- If an employee is overpaid wages, the amount overpaid must be recouped in the pay period after the overpayment was discovered, or can be recouped over multiple pay periods, but no more than the number of pay periods in which the overpayment occurred.
  - For example, if an employee was overpaid over three pay periods, the amount overpaid must be recouped in three pay periods or less.
  - The employee must be paid at least minimum wage for all hours worked during the pay period(s) in which an overpayment is being recouped.
  - Per Administrative Rule 53.4(7)b.

Calculating Pay Owed/To Recoup — 100

- When calculating back pay owed for a retroactive increase, make sure to check how many hours the employee was paid each pay period. If the employee worked less than 80 hours in a pay period you will need to prorate the back pay for that pay period. If the employee received overtime, you will need to give the employee additional overtime pay.
- If an employee is owed or was overpaid shift, med passer, standby or other pays (see next slide), you will also need to make corrections to overtime, comp, holiday comp, holiday worked, and call back pay, if applicable. Alternatively if an employee is owed overtime, comp, holiday comp/worked or call back pay, you will need to include other pays received in the calculations.
- Refer to the "Pay Adjustments" tab of the Pre-Audit Calculators.

Calculating Pay Owed/To Recoup - Cont. — 101

Hourly Rate Differences

- Difference in hourly rates depending on other pays received.
- Final hourly (yellow arrow) is used for comp, holiday comp and holiday worked and call back pay, and overtime pay (*1.5 if employee receives premium overtime).

102

Other Pay Issues

This section covers lead worker & other special pays, and holiday pay.

Lead Worker & Other Special Pays   103

- A Special Pay/Appointment Action form must be completed to add or renew lead worker, higher rank allowance (SPOC), red-circle and other special pays.
- Pays that are a percentage of an employee's biweekly pay, such as lead worker, extraordinary duty/higher rank pay, and SPOC 4% Premium pay, must be adjusted whenever the employee receives an increase in base pay.
- Expiration date fields have been added in HRIS for lead worker, extra duty, special duty and red-circle pay. Be sure to enter/update the expiration date in HRIS when adding a pay or when a pay has been renewed.
- Run the Expiration Date report in the Data Warehouse to determine when an employee's pay is expiring.
- When removing/zeroing out a special pay, make sure to zero out the expiration date as well.

Holidays   104

- Employee must be in pay status the last scheduled work day before and first scheduled work day after the holiday to be eligible for holiday pay.
- The hours per week for part-time employees must be set to less than 40 and the employee's default timesheet must be correct so that HRIS can pro-rate holiday pay correctly.
- Holidays that fall on an employee's regularly scheduled work day count toward the calculation of overtime. If a holiday falls on an employee's scheduled day off, it does not count toward the calculation of overtime.
  - It is important that the employee's default timesheet is correct so that overtime will be calculated correctly during any weeks with a holiday.
- Holiday worked and premium hours do not count toward the calculation of overtime.

Holidays - Continued   105

Holiday Example – Part-time Employee

Timesheet for part-time employee showing pro-rated holiday.

The system calculates the holiday by taking the hours on the employee's timesheet (24) plus the number of hours scheduled to work on the holiday from the default timesheet (4), which equals 28 hours. The system then divides that number by 10 to get the holiday pay owed to the employee.

Questions?

106

- More information about fiscal year-end processing and timeframes will be forthcoming.
- Contact Information:
  - Elise Mullen: elise.mullen@iowa.gov or (515) 281-6889
  - Velma Matchinsky: velma.matchinsky@iowa.gov or (515) 281-5239
  - Fax: (515) 281-7970