

Prerequisite access for this procedure

- FMS (Workday) access,
- ERA access,
- PeopleSoft access with OR_ id, with the HCM ORSPA View 3 role assigned, and
- Dropbox access.

Introduction to Approval role

- In this section, the person referred to as “Approver” is the person with an HCM ORSPA View 3 (ORSPA Redistribution Approval) role who is in charge of approving the electronic payroll redistribution transactions for sponsored fund accounts within PeopleSoft. This role is assigned to various individuals, and all approvers can see the same work queue. Any approver can act on each transaction. When multiple people are handling the queue it is important to delineate who is working on which transactions in order to avoid confusion.
- Payroll Redistribution Questions are sent to PayrollRD-q@asu.edu.

Reviewing payroll redistributions

The following instructions refer to the manual way of reviewing payroll redistributions. A Python script has been developed that automates much of the following review process and provides an Excel spreadsheet allowing quicker review of transactions; however, knowledge of the following information is necessary in order to properly review redistributions. Separate instructions are in place for running the Python script, which requires Python to be installed on the Approver’s computer/laptop. Only FOT GCO Approvers have this access.

Accessing the PeopleSoft system, redistribution approvals

1. Log into the PeopleSoft system under the OR_ ID.
2. Follow this navigation to the redistribution approval screen:

ASU Customizations -> ASU HCM Custom -> ASU Position Mgmt -> ORSPA Redistribution Approval.
3. Input “U” (which stands for unapproved) in the Approval Status search field, and press ‘Search’ to pull up all the transactions that are ready for ORSPA approval.

Determine which transactions exceed the 90 day limit

1. Use the [Committed Accounting](#) Page to verify the posting month of pay periods. Determine earliest allowable pay period for which the charges posted three months

prior to the current month. For example, if today's date is in April, determine the earliest payroll end date to post in January. <https://cfo.asu.edu/FMS-Calendars>.

- 1.1. Search for Pay Period End Date < the earliest allowable pay period end.
- 1.2. Open each transaction for pay periods which potentially exceeds 90 day limit.
- 1.3. Check the signer approval date vs. the posting month for the pay period end date.

Note: Determining 90 days: Count 90 days from FMS (Workday) calendar close date of the month in which the last pay period of the related semester posted. A 90-Day Calculator is available [here](#).

Review transactions which exceed the 90 day limit

1. Return if the date of the **Signer's** approval is not within 90 days after payroll post month unless any of the exceptions below are met.
 - 1.1. Note in the ORSPA Notes box and send an email to the Submitter stating: the redistribution has been returned as it is past the 90 day limit allowed by ASU policy RSP 506-02.
 - 1.1.1. An email will be automatically generated if using the Returns Python script to return redistributions.
2. Allowable exceptions (make sure all questions are answered appropriately if an exception applies):
 - 2.1. Request for redistributing costs to a non-sponsored account.
 - 2.1.1. Approve the transaction.
 - 2.2. Request for changes on the same account for the same employee.
 - 2.2.1. Approve the transaction.
 - 2.3. Request for redistribution within a project family.
 - 2.3.1. Check Workday or ERA to determine if the accounts are related projects.
 - 2.3.2. Verify with the AMT GCO if intra-award relationship cannot be confirmed.
3. If the Fiscal Oversight Assistant Director grants an exception: note the AD's approval of a 90 day exception and the date of approval in the ORSPA Notes box; then copy and paste the AD's approval email along with the unit's justification email in the ORSPA Notes Add'l Text box.

Review transactions within the 90 day limit

1. Search on Approval Status = U.
2. Verify that the signer date month is within 90 days after payroll post month.
3. Verify only acceptable 90 day exceptions are in the list for further review.

4. Confirm that an appropriate cost transfer worktag is being used (see <https://researchadmin.asu.edu/cost-transfers/cost-transfer-worktags> for details)
5. Confirm justifications are appropriate, and approve any redistributions to non-sponsored accounts.
6. Follow the process listed below for redistributions to/on sponsored accounts.
7. Open the following programs to assist with verifications:
 - 1.7.1. ERA,
 - 1.7.2. Workday > Grant Administrator Reports > Budget to Actuals – Grant report, and
 - 1.7.3. an Excel workbook to track sponsored account amounts and begin/end dates. (Note: This is an optional method – it helps to prevent putting the account in deficit.)
8. Confirm that an After the Fact Acknowledgement has not already been completed by the PI for the impacted semester for non-intra award transfers.
 - 1.8.1. Ensure a daily scheduled email is sent to PayrollRD-q@asu.edu from the KE Analytics Team with the following download: ATF Data Export Final Acknowledged Reports.
 - 1.8.2. Check this download for any destination awards that are associated with the payroll redistributions under review.
 - 1.8.3. For any payroll redistributions associated with the report, an exception from FOT AD is required before proceeding.
9. Confirm that the expense meets the requirements found in the [Sponsored Projects Allowability Job Aid](#).
10. Check that funds have been budgeted for Salaries or Wages object codes.
11. Check that the Close Dates for the transaction are within the award start date and award end date. (Note: if the Award Date and Start Date are different, it is acceptable to use the Start Date.) Enter begin/end dates on excel worksheet (optional).
12. Make sure the entire pay period is within the start/end dates or that the pay has been prorated appropriately.
 - 1.12.1. For instance, if an award starts 12/10 and the pay end date is 12/13, 100% of the pay period cannot be transferred on to the sponsored account.

13. Ensure there are adequate funds in the account and that the redistribution will not put the account over budget (Budget LTD – Expenses LTD). Enter sum of these two amounts on Excel worksheet (optional).
 - 1.13.1. The balances may not always be “live” as there may be a day or two lag for posting of previous redistributions, etc.
 - 1.13.2. Overspending up to \$300 is allowed by AMT, however, it is best practice to keep redistribution approvals to no more than \$200 overspent.
 - 1.13.3. Use the Excel spreadsheet to note the cumulative amount of the transactions by account (optional).
 - 1.13.4. Before returning the transaction if the account will be put over budget, do the following:
 - 1.13.5. Communicate with the AMT GCO to determine if future funding is being allotted to the account that would cover the payroll expense. If there is, hold the redistribution and approve once additional funds have been loaded.
 - 1.13.6. If the answer to the previous step is “no”, send the department an e-mail asking if they are aware of future funding that will cover the expense. The email will include a note that if there is no response to the inquiry within three business days, the transaction will be returned. If future funding is coming, the transaction will be held in the queue and approved once additional funds have been loaded. If no response has taken place and there are still no funds to cover the expense, e-mail the department to inform it that the transaction is being returned. Return the transaction.

OR
 - 1.13.7. Return the transaction if the volume of transactions is too high to hold redistributions in the queue.
14. Approver checks the justifications for professional, clear, complete responses. If any of these answers are unacceptable, the approver should then draft an email to the submitter and note all returned transactions and expectation for correction. The approver should enter a comment with expectations for what answers need corrected on each transaction (sample verbiage is available) and click “Return to User”.
 - 1.14.1. Reason why payroll expenses are being transferred.
 - 1.14.1.1. This must state that there was a mistake and why.

- 1.14.1.2. There cannot be wording that expresses any intent to mischarge a sponsored project account - i.e., to use a sponsored account to “hold” charges.
 - 1.14.1.3. Unprofessional responses (ex. complaints about ASU personnel, departments or sponsors) are not acceptable.
 - 1.14.1.4. Department should clearly note if redistribution is the department’s procedure when employee/student worker works on multiple projects during a pay period.
 - 1.14.2. What corrective action will be taken to avoid this type of error in the future?
 - 1.14.2.1. The action should state what corrective action will be implemented in order to avoid the above type of error going forward.
 - 1.14.2.2. If the corrective action does not make sense, Approver should return redistribution.
 - 1.14.2.3. Ensure appropriate note if redistribution is the result of department procedures.
 - 1.14.2.4. Not required if payroll is being transferred off sponsored account.
 - 1.14.3. Describe why all costs transferred to new accounts are allowable, allocable, and reasonable charges. Additionally, if a sponsored account, describe why costs are appropriate and necessary to the performance of the sponsored project.
 - 1.14.3.1. If transferring onto a sponsored project, this answer should clearly indicate the scope of work the person performed on the project during the time period.
 - 1.14.3.2. Not required if payroll is being transferred off sponsored account.
 - 1.14.4. ORSPA Comments.
 - 1.14.4.1. Section to insert any relevant comments or approvals from ORSPA.
15. Check the end date of sponsored accounts in Workday or ERA. If redistribution is received after the end date, notify AMT GCO before approving to ensure a final invoice/draw has not yet occurred.
16. Check Earning Codes for Allowability.

- 1.16.1. HNR, ICS, ISP, & STI (exempt only) are allowed only if approval is noted in ERA. (Prior approval and recording by FOT GCO is required.)
 - 1.16.1.1. To view approval in ERA:
 - 1.16.1.1.1. Go to award,
 - 1.16.1.1.2. Click on Printer Version,
 - 1.16.1.1.3. Scroll down to section 7.0 Special Review;
OR
 - 1.16.1.1.4. Click on View Award and Jump To section 7.0.
 - 1.16.2. HSG, MOV, & SDM are allowed only if pre-approved by the FOT GCO.
 - 1.16.2.1. To verify go to the award in ERA, select the GCO Notes tab, scroll down to the General Notes section.
 - 1.16.3. ADS, ASB, AWP, BNN, BNS, CAR, CIP, CMS, CPO, FSB, MVN, RCC, RET, SOE, STB, SUP, TFB, UNI, & VPO are **not allowed** on sponsored accounts.
 - 1.16.4. TEC and TSN are sometimes allowed on sponsored accounts. Verify with the Submitter before approving.
17. Verify that partial charges were appropriately prorated for start/end dates.
 - 1.17.1. Go to PeopleSoft "Workforce Administration" to verify their pay, or verify with the Submitter.
 18. Verify the employee whose pay is being redistributed is different from the Submitter or Signer. (An employee is not allowed to submit and approve his/her own payroll redistribution as this creates an internal controls audit risk.)
 19. For each account: $(\text{Budget} - \text{Expenses}) > (\text{Payroll transfers} + \text{ERE} + \text{F\&A})$.
 - 1.19.1. Quick estimate, use highest F&A and ERE rates.
 - 1.19.1.1. Remember that you are just confirming the number – the submitters should have already done the math as accurately as possible.
 - 1.19.2. Use real ERE for each person and real F&A for the account if estimate exceeds available balance.
 20. If everything is okay with the submitted redistribution, the transaction can be approved.

- 1.20.1. Remove any comments from previously returned transactions from the ORSPA comments section.
 - 1.20.2. Add comments if the AMT GCO/FOT AD has given permission to process the transaction.
 - 1.20.3. Click 'Approve' button.
 - 1.20.4. Use "Next in List" to proceed through the transactions. Please note that if you engage a new search, you may possibly encounter newly submitted transactions.
21. For ERE (Power) redistributions see instructions under "Cost Transfers" heading here: <https://researchadmin.asu.edu/procedures/execute-project/wi-ep-60>