


Use this task to enter retroactive changes to pay distributions directly in the accounting entries.

Navigation: PeopleSoft Menu > Payroll for North America > Payroll Distribution > UC Customizations > **Process Direct Retro**

Note: This page may also be available in **Workcenter** depending on your security access.

| Step | Action |
|------|---|
| 1. | <p>When you navigate to the Process Direct Retro component, the system displays the Find an Existing Value tab. Begin the steps for entering a direct retro transaction on the Add a New Value tab.</p> <p>Click the Add a New Value tab.</p> <p><input type="button" value="Add a New Value"/></p> |

| Step | Action |
|------|---|
| 2. | <p>Notice that the Run Control ID displays a default value of NEW. You cannot update this value; when you successfully submit the transaction, the system automatically assigns your request a Direct Retro ID number.</p> |

| Step | Action |
|------|---|
| 3. | Click the Add button.  |

| Step | Action |
|------|---|
| 4. | The system defaults the Set ID based on your user ID. |
| 5. | The Processing Option section value defaults to All . You cannot update this value. |
| 6. | In the Earnings End Dates section, the system defaults the dates to the begin and end date of the current fiscal year. The fields are editable so transactions can be made to the prior fiscal year distributions. Enter the appropriate date range to locate the pay distributions you want to update. |

| Step | Action |
|------|--|
| 7. | For this example, click in the Begin Date field. <input type="text" value="07/01/2017"/> |
| 8. | Enter the desired information into the Begin Date field. For this example, enter 02/01/2017. |
| 9. | Click in the Empl ID field. <input type="text"/> |
| 10. | Enter the desired information into the Empl ID field. For this example, enter 10001048. |
| 11. | Notice that there is also an Empl Record (employee record) field. If the employee has multiple jobs, select the appropriate job record. The system allows you to update only one job earnings in a direct retro transaction. If all jobs require updating, enter multiple direct retro transactions (one for each job requiring a redistribution). In this example, the employee has only one job; accept the default Empl Record of 0. |
| 12. | Click the Search button. <input type="button" value="Search"/> |

| Step | Action |
|------|---|
| 13. | The system displays a list of available payroll dates (within the date parameters you entered). In this example, there is only one result. |
| 14. | Click the Selected option for each applicable payroll date for which you must update the selected employee's earnings distributions. <input type="checkbox"/> |
| 15. | Click the Save button. <input type="button" value="Save"/> |

Process Direct Retro Distribution

Direct Retro ID: DR0000000742

*Set ID: UCOPT

Processing Option: All

Apply to Transactions: All

Earnings End Dates

*Begin Date: 02/01/2017 *End Date: 06/30/2018

Search Employee

*Emp ID: 10001043 Queen, Sydney

Emp Record: PROJECT POLICY ANL 3

Search

| Selected | Pay Group | Pay Run ID | Pay End Date | Off Cycle ? | Sep Chk | Earnings | Department | Title |
|-------------------------------------|-----------|------------|--------------|--------------------------|---------|-------------------------------------|----------------------|-------|
| <input checked="" type="checkbox"/> | MME | 170228MIX | 02/28/2017 | <input type="checkbox"/> | D | 8725 87 INNOVATION ALLIANCES & BRVC | PROJECT POLICY ANL 3 | |

| Step | Action |
|------|--|
| 16. | After you click Save , if there are no errors, the system displays a unique Direct Retro ID at the top of the page. |
| 17. | <p>Upon successfully saving the transaction, there is open activity on these pay periods for the selected employee. No one else can make changes to the employee's pay period data until this transaction is complete and updates are made to the distribution lines.</p> <p>If necessary, you can click the Cancel button to close the transaction without submitting for processing, and the periods become available for updating.</p> <p>In this example, you will continue to the page on which you enter retro changes.</p> |
| 18. | <p>The Run button initiates a process that provides data for the next action, which takes place on the Retro Distribution component.</p> <p>This process may take a minute or longer to run; the process is complete when a new page appears.</p> <p>Click the Run button.</p> <p><input type="button" value="Run"/></p> |

Retro Distribution Transaction

Run Cntl: DR0000000742 Created By: 10000360 Mettr,Ronaldo Created: 08/01/2017
 Trans Type: Direct Date of Pay: 05/06/2017
 Processing Status: Initiated Request Status: In Progress

Check Earnings

Empl ID: 10001048 Queen,Sydney
 Company: UCS Pay Group: MME Pay Begin Date: 02/01/2017 Pay End Date: 02/28/2017
 Pay Run ID: 170228M0X Off Cycle

Old Data

| Emp# Rec#r | Earnings Code | Sub/Objct | Combination Code | Location | Account/CC | FS Dept | Fund | Project | Sub | GL Base Unit |
|------------|---------------|-----------|------------------|----------|------------|---------|-------|---------|-----|--------------|
| 1 | 0 REG | 011100 | 00000718 | M | 665605 | 8111 | 68800 | | | UCOPF |

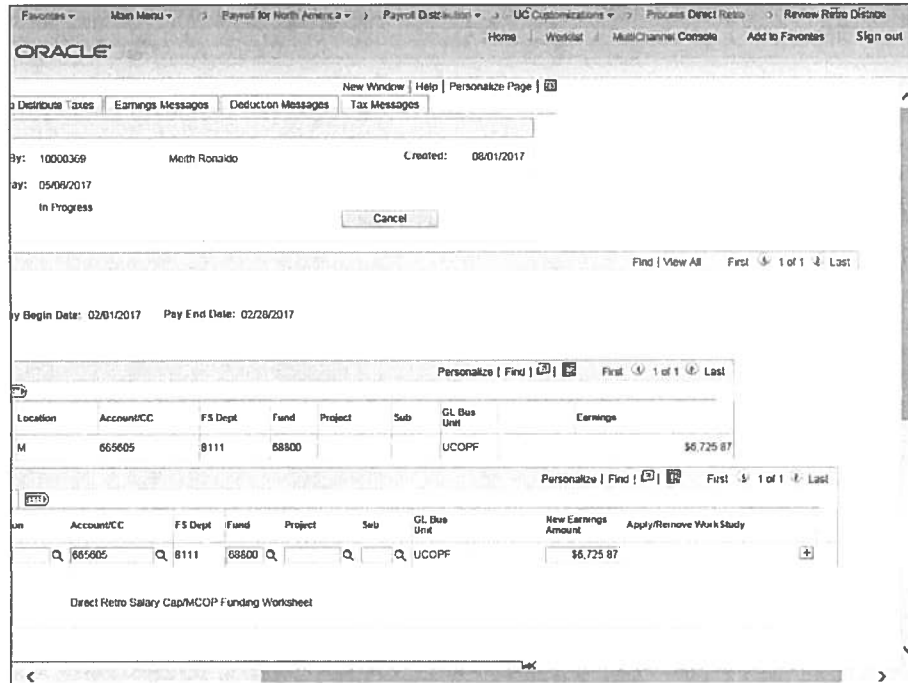
New Data

| Emp# Rec#r | Earnings Code | New Sub/Objct | New Combo Code | Location | Account/CC | FS Dept | Fund | Project | Sub | GL Base Unit | New Amo |
|------------|---------------|---------------|----------------|----------|------------|---------|-------|---------|-----|--------------|---------|
| 1 | 0 REG | 011100 | 00000718 | M | 665605 | 8111 | 68800 | | | UCOPF | |

Total: \$6,725.87
 Balance: \$0.00 Direct Retro Salary Cap/MCOP Funding Worksheet


Initiator Comment

| Step | Action |
|------|--|
| 19. | <p>There are six data pages within the Retro Distribution component. The only page with editable fields is the Retro Distribute Earnings page.</p> <p>UC currently uses the direct retro process for earnings only. The funding for the deductions and taxes follow the earnings funding for payroll distribution. Therefore, the Retro Distribute Deductions, Retro Distribute Taxes, Earnings Messages, Deduction Messages and Tax Messages pages display informational data only.</p> |
| 20. | <p>The Old Data section displays the current funding detail. In the New Data section, enter the funding update(s) and then click Check Balance.</p> <p>Scroll right to display additional fields on the Retro Distribute Earnings page.</p> |
| 21. | Click the scroll bar. |



| Step | Action |
|------|--|
| 22. | There is only one pay check earnings period within the example shown here. When you select multiple pay runs, best practice is to use the View All functionality, which displays all individual data sets into a single list to ensure updates occur on each of the selected pay earnings. |
| 23. | <p>There are several update scenarios:</p> <ol style="list-style-type: none"> 1.) Multiple lines under the old data are consolidated into a single fund line in the new data. 2.) A single fund line can be updated for a different fund source. So both the old and the new will have a single row but the funding details (account, fund, project and so on) are different. 3.) A single fund line can be split into multiple rows in the new data. 4.) Many rows can be split, consolidated or updated, so that you have the same number of rows but a different distribution in the new data. <p>Make the necessary funding distribution updates in the New Data section.</p> <p>In this example, a project code will be added to the existing funding row.</p> |
| 24. | Click in the Project field. <input type="text"/> |
| 25. | Enter the desired information into the Project field. For this example, enter 17D001. |

| Step | Action |
|------|--|
| 26. | <p>Scroll left to display additional fields and page options.</p> <p>Click the scroll bar.</p> |

| Step | Action |
|------|---|
| 27. | <p>After entering all necessary updates in the New Data section, check the balance.</p> <p>Click the Check Balance button.</p> <p style="text-align: center;"></p> |
| 28. | <p>When the old data total does not match the new data total, the system displays an error message. The earnings must balance in order to save or submit.</p> <p>If the system displays an error message, go back to fix the balance. In this example, there are no errors.</p> |
| 29. | <p>If necessary, scroll down to display additional fields and page options.</p> <p>Click the scroll bar.</p> |


Oracle UCPath interface showing the 'Direct Retro Salary Cap/MCOP Funding Worksheet' form. The form includes a table with columns for Emp/Rate, Earnings Code, New Sub/Obj, New Combo Code, Location, Account/KC, FS Dept, Fund, Project, Sub, GL Bus Unit, and New Amo. Below the table are sections for 'Initiator Comment' (with a 254-character limit), 'Justification Document Upload' (with buttons for Add Attachment, View Attachment, and Delete Attachment), 'Approver document upload', and a 'Reason Code' dropdown. At the bottom are 'Submit', 'Save', and 'Return to Search' buttons.


| Step | Action |
|------|--|
| 30. | Click in the Initiator Comment field. |
| 31. | Use the Initiator Comment field to enter details related to this update. Enter the desired information into the Initiator Comment field. For this example, enter Retroactively adding project code . |
| 32. | Click the Expand section Questionnaire button. ▶ |

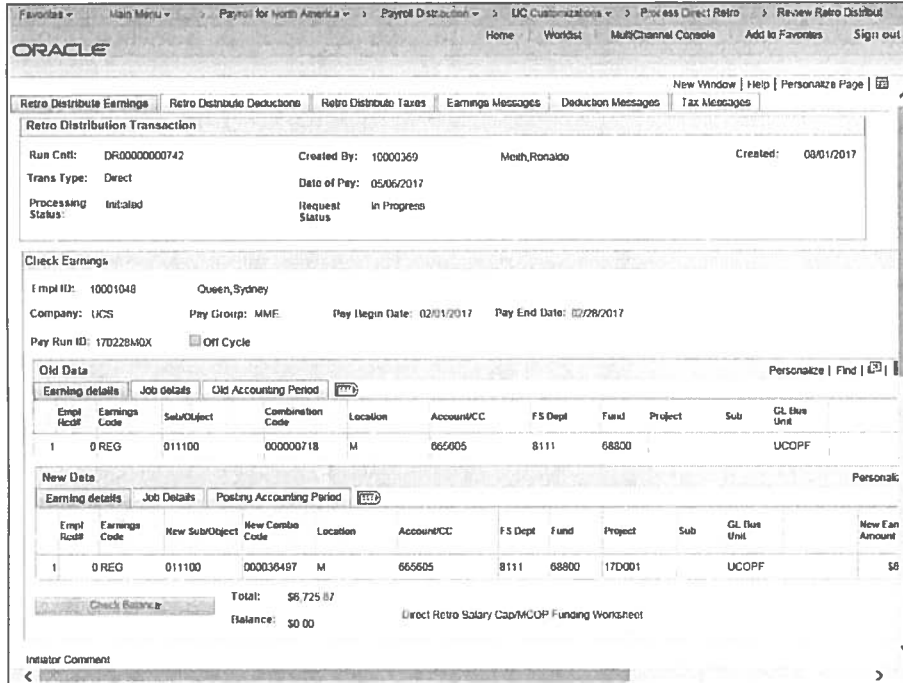
Oracle UCPath interface showing a Direct Retro Funding Worksheet. The interface includes a navigation menu at the top, a table with columns for Earning details, Job Details, and Posting Accounting Period. Below the table, there are input fields for 'Check Balance', 'Total', and 'Balance'. A 'Questionnaire' section follows, containing several text input fields with character limits (221, 254, 254, 254, 254 characters remaining) and instructions for providing details about the transfer.

| Step | Action |
|------|--|
| 33. | <p>Provide answers to the questions/requests as appropriate. The system reviews the transaction for certain conditions. If the transaction meets the conditions for being a high-risk transaction, the questionnaire is required data entry.</p> <p>For this example, there is no requirement to enter data.</p> |
| 34. | <p>Scroll down to display additional fields and page options.</p> <p>Click the scroll bar.</p> |

Oracle UCPath interface showing the 'Process Direct Retro' form. The form includes several text input fields with character limits (254 characters remaining) for providing approval details and justification. It also features buttons for 'Add Attachment', 'View Attachment', and 'Delete Attachment', a dropdown for 'Reason Code', and 'Save' and 'Submit' buttons at the bottom.

| Step | Action |
|------|---|
| 35. | To attach supporting documents, click the Add Attachment button to begin the steps for attaching a justification document. In this example, you will not attach a document. |
| 36. | Next, enter the reason for the update. Click the button to the right of the Reason Code field. ▼ |
| 37. | Select the appropriate reason for the update. For this example, click the Other (Specify in Comments) list item. Other (Specify in Comments) |
| 38. | When are you finished making updates, click the Save button.  |
| 39. | If there are no errors, you can submit the transaction for review and approval. If necessary, scroll down to see the Submit button. Click the scroll bar. |

| Step | Action |
|------|--|
| 40. | Click the Submit button.  |



Oracle HR System - Retro Distribute Earnings Page

Run Ctrl: DR0000000742 Created By: 10000359 Moth,Ronaldo Created: 03/01/2017
 Trans Type: Direct Date of Pay: 05/06/2017
 Processing Status: Initiated Request Status: In Progress

Check Earnings
 Emp ID: 10001048 Queen, Sydney
 Company: UCS Pay Group: MME Pay Begin Date: 02/01/2017 Pay End Date: 02/28/2017
 Pay Run ID: 17D228M0X Off Cycle


| Old Data | | | | | | | | | | |
|----------|---------------|-----------|------------------|----------|------------|---------|-------|---------|-----|-------------|
| Emp# | Earnings Code | Sub/Objct | Combination Code | Location | Account/CC | FS Dept | Fund | Project | Sub | GL Bus Unit |
| 1 | 0 REG | 011100 | 00000718 | M | 66605 | 8111 | 68800 | | | UCOPF |

| New Data | | | | | | | | | | | |
|----------|---------------|---------------|----------------|----------|------------|---------|-------|---------|-----|-------------|----------------|
| Emp# | Earnings Code | New Sub/Objct | New Combo Code | Location | Account/CC | FS Dept | Fund | Project | Sub | GL Bus Unit | New Ean Amount |
| 1 | 0 REG | 011100 | 000036497 | M | 66605 | 8111 | 68800 | 17D001 | | UCOPF | \$6,725.07 |

Total: \$6,725.07
 Balance: \$0.00 Direct Retro Salary Cap/MCOP Funding Worksheet

| Step | Action |
|------|--|
| 41. | After you submit the transaction, the Cancel button disappears from the top of the Retro Distribute Earnings page. |
| 42. | If necessary, scroll down to display the approval workflow details. Click the scroll bar. |

The screenshot shows the Oracle UCPath interface for entering a Direct Retro transaction. At the top, there are navigation tabs: Favorites, Main Menu, Payroll for North America, Payroll Distribution, UC Customizations, Process Direct Retro, and Review/Retro Distribution. Below these are links for Home, Worklist, MultiChannel Console, Add to Favorites, and Sign out. The main content area includes an 'Initiator Comment' section with a text area containing 'Retrospectively adding project code' and a 'Questionnaire' link. There is a 'Justification Document Upload' section with 'Add Attachment', 'View Attachment', and 'Delete Attachment' buttons, and an 'Approver document upload' link. A 'Reason Code Other (Specify in Comments)' field is present. The 'Direct Retro' section shows a transaction with 'Run Cntl: DR0000000742, Updated By: 10000347, Created: 2017-08-01, Date of Pay: 2017-05-06, Trans S'. Below this, a workflow diagram shows a 'Pending' status with 'Multiple Approvers' (UC AWE Approver 01) and a 'Not Routed' status with 'Multiple Approvers' (UC AWE Approver 02). A 'Comment' field and 'Save' button are at the bottom. At the very bottom, there are links for 'Return to Search' and 'Notify', and a footer with links for 'Retro Distribute Earnings', 'Retro Distribute Deductions', 'Retro Distribute Taxes', 'Earnings Messages', 'Deduction Messages', and 'Tax Messages'.

| Step | Action |
|------|---|
| 43. | The transaction is pending approval. The Direct Retro approval status monitor displays the Location approval workflow details, including approval levels and the assigned approvers (Multiple Approvers link). |
| 44. | Click the Return to Search button.  |
| 45. | You have initiated the direct retro transaction. The transaction must be approved, and processed in the nightly batch to be complete. The nightly batch job loads the updates into the pay distribution and accounting entries. End of Procedure. |

ERSO Direct Retro Business Process and Notes (Updated 4/15/19)

Introduction:

Direct Retro is the process to correct funding for payroll issued from the UCPath system which has posted on one or more faus/coas, but needs to be changed to another. This process replaces the OPTRS PET Process.

Topics covered in this document:

- Retroactive correction of funding for payroll expense previously posted on a valid fau/coa.
- Impact of Transfers on Vacation Charges/Fee Remissions/GAEL/CBR and timing
- Notes about 120 day exception
- Notes about Suspended Payroll and when payroll is charged to departmental default
- Post Conversion transferring of Pre conversion expenses.
- Submission Deadlines

Process to moving expense from a VALID FAU to another:

- 1. Pls/Financial Administrators/Research Admins/HR Administrator Payroll Reconcilers/etc discover the need to retroactively change one or more chartfield element of the FAU/Chartstring payroll expense which was previously used to pay an employee and has on posted on a GL.**

Reasons include change of effort, late approval of funding, error correction, and more.
- 2. Administrator determines if additional pre-work/follow up is needed before proceeding:**
 - If debiting a federal or federal flow-through fund, the request must be submitted and processed before 120 days have passed since the expense originally posted. Otherwise CGA's exception request form must be completed and attached to the request, if you decide to pursue an exception request process.
 - Correction is being processed within 90 days after a fund has ended. The Questionnaire on the module will require completion.
 - If any other payroll data items are changing along with the chartstring (title, earn code, FTE, etc), then coordination/initiation of other HR actions may need to be initiated/coordinated via the Paypath/Position Funding Update processes.
- 3. Department/RSO/ERSO Payroll Initiator enters a Direct Retro:**
 - UCPath initiators will include research administrators, departmental financial administrators, and payroll team members. Information is then directly updated and documents uploaded as appropriate into the UCPath system via the "Process Direct Retro" Template.
 - The Initiator must have system access to the org node of the employee's position. Cross-Departmental requests changes will require coordination. If the requester does not have access, the transfer must be coordinated with someone from the other department to allow them to initiate on your behalf.

1. The Initiator navigates to the template, inputs the employee, employee record number, and earnings period dates they wish to transfer and then clicks the Search button. This search retrieves and displays a list of applicable entries below in the payroll data area.
2. The Initiator selects the entries they want to transfer in the payroll data list, by checking the box(es) next to the entries, and clicking the Run button.
3. The Initiator is taken to a new page called the Retro Distribution Component. This is where they enter the transfer information. Rows representing the earnings period for cycle processing period appear for each box selected. On each row, two groups of information will display:
 - Old Data Area: Shows the original information DOS code(s), FAU(s), Gross Dollar amount(s), and related job details.
 - New Data Area: A copy of the old data, but with the added ability to edit the chartfields, edit the gross amounts, and to /delete faus
4. The Initiator adds/deletes/edits line(s) in the row record to reflect the newly desired payroll expense distribution
 - Change: You won't be able to indicated the amount of effort being moved (i.e a percentage or hour amount. You enter the GROSS amount of payroll dollars. CBR/GAEL/IDC/etc will move proportionately based on the gross amount entered into this transaction.
 - Change: PC Chartfields are now displayed and editable.
5. Initiator clicks the Check Balance button, which performs a system validation. The total gross of the new data must equal the amount of the old data before proceeding.
6. The Initiator may enter a comment in the Comment Area if desired/required by departmental business process.
7. The Initiator may expand the Questionnaire Row to answer a series of questions if desired or required by our departmental business process. Filling out the questionnaire is required for high risk transactions:
 - Transfers debiting a federal fund 120 days after GL posting
 - Transfers impacting a sponsored fund 90 days after it has ended.

The questions are:

- *Explain how the error occurred and why the transfer is being requested. If a partial transfer, explain the basis of the proration or split.*
- *Who approved the transfer of funds? (e.g. Name of PI, Department, or CAO)*
- *How does the transfer benefit or impact the new fund being charged?*
- *Explain the untimeliness if the transfer is >120 days on a federal fund >90 days after the fund end date.*

8. The Initiator will need to upload departmental/PI/Team Lead approval as appropriate for their business process. The "Add Attachments" button which opens a dialogue box allowing documentation to be uploaded per our business process. Required attachments depend on if the funding is sponsored or non-sponsored:
- **Sponsored Funds:**
 - **Direct Retro Justification Form -**
<http://www.erso.berkeley.edu/erso/content/payroll-documents#PayrollResources>
<http://www.erso.berkeley.edu/erso/content/payroll-documents#PayrollResources>
 - **PI Approval Accepted Methods:**
 - Ink or DocuSign approval on uploaded Direct Retro Justification Form
 - Uploaded email approval from PI
 - **Non-Sponsored Funds - one of the below:**
 - Direct Retro Justification Form
 - Emailed Approval from authorized approver
9. The Initiator is required to select a reason code from a pulldown menu. If the "other" reason code is selected, leaving a comment in the comment area will be required. The reason codes are:
- Align salary to effort*
 - Data Entry Error*
 - Late Award of Chartfield Setup*
 - Other (Specify in Comment)*
10. The Initiator clicks the "Save" button after making updates, after which they will be able to click the "Submit" button. The transaction is routed to any eligible UCPATH Approver's worklist, and any Approver will also receive an email notifying them of the transaction, that has a link to take them to the transaction.

4. Approver approves or denies the request

- The Approver must have access to the dept id of the position the employee is paid from. So coordination may be needed if approval is needed from a different department and vice versa
ERSO Payroll Services will review attachments to make sure approvals have been obtained and all transactions included as appropriate.
 - If approval is missing, Payroll will deny the request.
 - If Payroll notices that transaction lines were not included that should have been, Payroll may or may not reject the request, but will notify the initiator to either deny the request, or approve and have the initiator submit additional actions.
 - The Approver reviews the transaction and approves/denies the request. An email is sent to the Initiator, letting them know the status of the request, replacing the PAN process, and a link will be provided to see the transaction.
- If denied, the Approver needs to leave a comment explaining the reason for denial. The Initiator will receive a link in their email to let them view the request.

5. Transactions post to the GL:

- Once approved, the transaction will post to the GL after it is picked up and processed in an overnight batch process (run almost every night, but not on pay confirm. Transactions are not reviewed by an additional person at the UCPC. Once the transaction has posted, it can be corrected and edited again. Once posted, more transfers can be done.
- GAEL/CBR/Vacation Assessment are also corrected when the GL is updated
- Fee remission is no longer connected and reported through UCPath, but will need to be monitored and corrected in BFS as changes occur.
 - Final processes underway with at Central Campus Departments as of 4/15/19.

Additional notes regarding exceptional 120 day transactions:

- Require that the Questionnaire is filled out on the Direct Retro page.
- Require a second level of approval. Once approved at ERSO, request will be reviewed by CGA.
- CGA requires that their current exception request form that is on their website be uploaded to the request. Process tweak:
 - RSO fills out exception form, routes to Executive Director
 - Executive Director reviews form. If we proceed, routes form to ADR form for signature, returns form to RSO.
 - RSO obtains chair signature if needed.
 - RSO uploads approved form along with other documentation when initiating direct retro.
- As of 2/14/19 - Elizabeth Chavez from Controller's Office stated that the exception request form is needed even if not changing the fund.

Additional notes regarding Suspended Payroll:

- OPTRS Suspense is still monitored and corrected via the BFS Modules.
- UCPath Suspense must be identified by reviewing the GL for specific chartstring based on error type, and then corrected via Direct Retro:
 - Fund: 69995
 - Dept ID: Division Level Dept ID Code. [List of Default Chartstrings as of 2/1/19 here](#)
 - CF1: Depends on the cause of the issue:
 - 900000: When a position is created but the position funding is not set up at all or for the earn code
 - 900001: When the payroll processing date is past the Funding End Date for the Earnings Distribution. This will generally apply to contracts and grants funds.
 - 900002: When the provided chartstring was valid at the time of initial entry input, but becomes invalid before payroll processing.
 - Direct Retro Justification Form should be uploaded to request. (No PI Approval Needed if issue was Data Entry Error. Needed if omission occurred. MSO/Team Lead Approval is required.

Impact of retroactive/late payments/late vacation usage/etc. and Direct Retros:

- Late leave reporting and late payroll may still cause issues. GL's need to be monitored in case a subsequent Direct Retro needs to be submitted. Retro rate increases supposedly follow the position funding record effective dates, some blips with preconversion payments. For the time being we will all need to closely monitor payments for retro merits and rate increases.

Processing transfers for pre-UCPATH payroll expenses, post transition to UCPATH

Payroll expense which originally posted pre-UCPath conversion, for GL Months February 2019 or earlier, will still be processed in OPTRS until September 2019. Requesters will send PET forms to Payroll Services, following the old process.

Determining whether to process a PET or Direct Retro:

Rule of thumb: If the expense originated in OPTRS, process a PET. If the expense originated in UCPATH, process a Direct Retro:

- OPTRS:
 - Document ID on the GL formatted "PAY#####"
 - February 2019 GL or earlier (Exceptions: A handful of March entries and if you process OPTRS PETS March 2019 onwards)
- UCPATH:
 - Document ID on the GL formatted "UCPATH#####"
 - March 2019 GL or later

Submission deadlines for Direct Retros

- ERSO Payroll has agreed to review and approve normal Direct Retro requests within 5 days after Initiated, earlier during fiscal close. Deadline subject to change as we get used to the system, but are currently posted on our ERSO Payroll Website