18. Retroactive Actions (defined as any action entered after the payroll deadline)

For graduate students, retroactive actions in PPS can occur on Sub-0 (TA/GSR) and Sub-2 (Readers/Tutors).

ATTN: Retroactive changes for stipends, 3296 - Research Fellows, require special processing and are not automatically processed through Disbursements. You must refer to Chapter 14, page 2, under “Retroactive Actions” for special instructions.

It is important to understand that the PPS system cannot automatically generate paychecks for retroactive Sub-0 actions and you must follow specific procedures and wording in the "Comments" screen when completing action. This is necessary so that staff in Payroll can easily identify retroactive sub-0 changes and determine whether the action requires a manual pay adjustment.

Note: Any retro actions affecting pay will require a separate email to payroll to ensure that a special check is processed.

For sub-2 employees, the On-Line Timekeeping system generates a paycheck but the employment must also exist in PPS. If the student is a new hire and the employment does not exist in PPS, the On-Line Timekeeping system will not generate a paycheck. You must input the employment the day before the On-Line Timekeeping deadline in order for the student’s record to show up in On-Line Timekeeping.

Since most retroactive changes for graduate students occur on Sub-0, most of our examples are for TAs/GSRs. However, you can follow similar procedures for retroactive changes on sub-2.

RETROACTIVE CHANGE DEFINITION

For Sub-0 and Sub-2, a retroactive change is defined as one in which you input an action after the "Last Day to Update the EDB to Affect the Paycheck" (refer to the Payroll Timekeeping and PPS Deadline Schedule).

For example, using the Monthly Entry/Update Schedule, assume that 3/22 is the last day to input the sub-0 PPS Entry to generate a paycheck for the period 3/1-3/31. If you input an action on or before 3/22 for the month of March, you have made the deadline to input the action and the sub-0 paycheck issued 4/1 will be correct. However, if you input a sub-0 action for the month of March any day AFTER 3/22, you are too late to affect the 4/1 paycheck and this would be considered a retroactive change.

In general, you will need to delete the entire appointment/distribution line and add a new appointment to ensure that the changes hit the correct fund source. Do not overtype sections of an entry.
There are two types of retroactive changes:

1. **Clear Dated Retroactive Change**

   A clear dated retroactive change is one in which you input an action after the deadline (as described above) but the begin date of the action still appears on the EDB on the appointment and distribution lines. Example: Employment dates exist in PPS and you retroactively increase the percent time.

   In the Comments section of PAN, your comments are as follows:

   Line 1: Comment begins with the words "Clear Dated Retroactive" and then describes the type of action.

   Line 2: For actions affecting pay, always state “Affecting Pay - Sub-X” (then indicate whether sub-0 or sub-2). For actions not-affecting pay, state "Not-affecting Pay - Sub-X" (show the sub).

   Line 3: List the "Effective" dates of the retroactive action that paid incorrectly. For example, a retroactive increase in percent time for March would be listed "Effective 3/1 - 3/31". A retroactive fund change for March and April would be listed "Effective 3/1 - 4/30".

   Line 4: For clarification, you can add a line here to assist the Graduate Division in understanding why you have made this change.

2. **Stale Dated Retroactive Change**

   A stale dated retroactive change is one where the effective date of the action is before the existing appointment/distribution begin dates. In other words, you had previously set up an appointment/distribution line that you want to change, but the begin date of your change no longer shows up in PPS.

   In the Comments section of PAN, your comments are as follows:

   Line 1: Comment begins with the words "Stale Dated Retroactive" and then describes the type of action.

   Line 2: For actions affecting pay, always state "Affecting Pay - Sub-X" (then indicate whether sub-0 or sub-2).

   Line 3: On this line, type "OLD - "

   Line 4: Show the old dates, title, percent time, rate

   Line 5: For clarification, you can add a line here to assist the Graduate Division in understanding why you have made this change.
CLEAR DATED RETROACTIVE CHANGES

A clear dated retroactive change is one in which you input an action after the deadline (as previously described) but the begin date of the action still appears in PPS on both the appointment and distribution lines.

You can refer to the following examples to better understand how to input clear dated retroactive changes:

Example 1: Fund Change
Example 2: Change in Percent Time (affects less than the entire appointment)
Example 3: Change in Percent Time (affects the entire appointment)
Example 4: Change in End Date
Example 5: Change (sub-2) from Hourly to Monthly or vice versa
Example 6: Change in Title Code (not affecting pay)
Example 7: Change in Title Code (affecting pay)
Example 8: Error correction of Monthly Pay Rate

NOTE: Reference a previous PPS action (you can use Employee History to identify the date of the PPS action) in the Comments section if you need to make additional changes. This will assist Payroll in identifying the previous PPS action that requires a change and determining the appropriate action.
EXAMPLE 1:  FUND CHANGE (CLEAR DATED)

EXAMPLE:  A student was set up as a 50% GSRTF from 10/01 - 12/31 and paid on index ABC1234.  Today is 11/26 and you want to change the index to CDE5678 effective 11/01 - 12/31.  You check the Monthly Entry/Update Schedule and determine you've missed the 11/24 deadline for inputting the action to affect November.

**Action:**
End distribution 11 on 10/31
Add distribution 12 with the new index from 11/01 -12/31.

*For PAN, enter the mandatory comment:*  
CLEAR DATED RETROACTIVE FUND CHANGE  
Not affecting Pay - Sub-0  
Effective 11/01 - 11/30  
“EPET” (Electronic Payroll Expense Transfer) being submitted

EXAMPLE 2:  CHANGE IN PERCENT TIME (CLEAR DATED) AFFECTS LESS THAN THE ENTIRE APPOINTMENT

EXAMPLE:  A student is currently set up as 25% TA 10/01 to 06/30.  On January 31, you discover that the student's percent should have increased to 50% effective 1/01.

**Action:**
End Appt/Dist #10/11 on 12/31 at 25% time.  
Add Appt/Dist 20/21 at 50% time 1/1 - 6/30

*Comments should state:*  
CLEAR DATED RETROACTIVE PERCENT CHANGE  
AFFECTING PAY - SUB 0  
Effective 1/1 - 1/31  
Increase TA from 25% to 50% beginning 1/1
EXAMPLE 3: CHANGE IN PERCENT TIME (CLEAR DATED) AFFECTS THE ENTIRE APPOINTMENT

EXAMPLE: A student is currently set up as 25% TA 1/01 to 06/30. On February 1, you discover that the student's percent should have been 50% for 1/01 - 06/30 rather than 25%.

**Action:**
Delete Appointment 10/Dist 11. (Tab to command line and type: delete 10).
Add Appointment 20/Dist 21 with the correct information (Type Add 20; not Add A).

**Comments should state:**
CLEAR DATED RETROACTIVE PERCENT CHANGE
AFFECTING PAY - SUB 0
Effective 1/1/ to 1/31 increase pay from 25% to 50%
DEL #10 at 25% 1/1 to 6/30
Add #20 at 50% 1/1 to 6/30

EXAMPLE 4: CHANGE IN END DATE (CLEAR DATED)

EXAMPLE: A TA is set up at 50% time from 10/1 to 06/30. On February 3, the department realizes that the student did not work in January, is not registered Winter quarter, is on Leave of Absence Winter quarter but should return Spring quarter. Luckily, the student was not on direct deposit and the department has the hard-copy paycheck. The department calls Payroll to make arrangements to return the check.

**Action:**
Change the appointment end date to 12/31
Change the distribution end date to 12/31

**Comments should state:**
CLEAR DATED RETROACTIVE END DATE
AFFECTING PAY - SUB 0
1/1 - 1/31; student overpaid, hard-copy check being returned to Payroll
End TA 12/31; not registered Winter Qtr; on Leave of Absence
EXAMPLE 5: SUB-2 CHANGE FROM HOURLY TO MONTHLY (CLEAR DATED)

EXAMPLE: The Home Department hires a student as a 20% Reader from 4/1 to 6/30 at the hourly rate of $X.xx. The information is currently on screen as Appointment 10/Distribution 11. An outside program does not discover until the May 1 payday that they forgot to add a 25% TA for Spring Quarter.

**Action:**
The outside program must call the Home Department to obtain pre-approval to hire the student and to obtain access to the PPS system as an alternate department in order to enter the TA information.

The outside program must request the Home Department to delete the old Reader appointment 10/distribution 11 at the hourly rate and add a new appointment 20/distribution 21 at the monthly rate because a student cannot be employed hourly and monthly simultaneously. The Home Department will also have to process an adjustment in the On-Line Timekeeping system.

Home Department deletes old Reader #10/11 appt/dist at hourly rate.
Home Department adds new Reader #20/21 appt/dist at monthly rate.

Outside Program adds the new TA appointment #30/31.

**Comments should state (for Reader action):**
CLEAR DATED RETROACTIVE CHANGE FROM HOURLY TO MONTHLY AFFECTING PAY - SUB 2
4/01 - 4/30
DEL #10/11 at hourly rate; Add #20/21 at monthly rate
Debit/Credit On-Line Timekeeping submitted on 5/1

**Comments should state (for TA action):**
CLEAR DATED RETROACTIVE ADDITIONAL EMPLOYMENT AFFECTING PAY - SUB 0
Effective 4/1 - 4/30
Add 25% TA Spring ; TAHI/TAFE = S
EXAMPLE 6: TITLE CODE CHANGE (CLEAR DATED) - NOT AFFECTING PAY

EXAMPLE: By mistake, a student was set up as GSR, Title Code 3266, at 49.99% from 1/1 to 6/30. The information is currently on screen as Appointment/Distribution 10/11. On March 5, the error is discovered. The student should have been set up on Title Code 3284 because the GSR appointment is 25% time or more and is eligible for GSR tuition-and-fee Remission (GSRTF).

Action:
You should input by adding and then deleting; if you delete then add, be sure to tell the system to add an Appt number rather than Add “A”)

Add a new appt/dist 20/21 with the correct title code, 3284. Delete the old appt/dist 10/11 with the incorrect 3266 title code.

For PAN, enter the mandatory comment:
CLEAR DATED TITLE CODE CHANGE
Not Affecting Pay - Sub 0
DEL #10/11 on 3266, add #20/21 on 3284

EXAMPLE 7: TITLE CODE CHANGE (CLEAR DATED) - AFFECTING PAY

Example: A student is set up at 49% GSRTF from 1/01 to 6/30. On February 1, you find out that the student should have been a 50% TA from 1/01 to 3/31 and then 49% GSRTF from 4/01 to 6/30.

Action:
Delete the original GSRTF appt/dist #10/11 from 1/01 to 6/30. Add a new appt/dist for the TA 1/01 to 3/31; Appt 20/Dist 21 Add a new appt/dist for the GSRTF 4/01 to 6/30; Appt 30/Dist 31

Comments should state:
CLEAR DATED TITLE CODE CHANGE AFFECTING PAY - SUB 0 Effective 1/1 - 1/31 Del #10/11, GSRTF (#3284) 49%, 1/1 to 6/30; Add 50% TA (2310) Winter
EXAMPLE 8: ERROR CORRECTION OF MONTHLY PAY RATE - (CLEAR DATED)

EXAMPLE: Due to a typographical error, an incorrect salary amount was entered for a TA from 4/1 to 6/30. On May 1, the error is discovered.

The information is currently on screen as Appointment 10/Distribution 11.

Action:
Add a new distribution 12 with the correct monthly salary rate from 4/1 to 6/30.
Delete the old distribution 11 with the incorrect salary rate.

Comments should state:
CLEAR DATED RETROACTIVE RATE CHANGE
AFFECTING PAY - SUB 0
4/1 - 4/30
Delete #11 4/1 to 6/30 with incorrect TA rate of $
Add #12 4/1 - 6/30 with correct TA rate of $
STALE DATED RETROACTIVE CHANGES

A stale dated retroactive change is one where the effective date of the action is before the existing appointment/distribution begin dates. In other words, you had previously set up an appointment/distribution line that you want to change, but the begin date of the change no longer exists on the EDB.

You can refer to the following examples to better understand how to input stale dated retroactive changes:

Example 9: Fund change
Example 10: Change in Percent time
Example 11: Adding Employment
EXAMPLE 9: RETROACTIVE FUND CHANGE (STALE DATED)

EXAMPLE: A student had a prior Appointment 10/Distribution 11 as GSR, 7/01 to 9/30. That Appointment/Distribution has since dropped off. Only the current Appointment 20/Distribution 21 as GSRTF is showing effective 10/01 to 6/30.

On 2/1, you are told to change the GSR's index/funds for the period 9/1-9/30.

Action:
Stale dated retroactive "fund change only" actions that end before the existing distribution begin date should not be entered in the system. The change will be done by means of a payroll expense transfer (EPET).

EXAMPLE 10: RETROACTIVE PERCENT CHANGE IN TIME (STALE DATED)

EXAMPLE: A student was previously set up as a 50% GSR 7/1-9/30. It is now February and monthly maintenance has dropped that old information. The only appointment showing on the EDB is the current GSRTF, title code 3284 from 10/01 to 06/30 on Appt/Dist #20/21. In February, the department is informed that the student should have been paid 100% during the previous summer, 7/01 to 09/17.

Action:
Because the retroactive percent change end date occurs before the begin date of the existing appointment/distribution, build only the proper appointment/distribution on the next available appointment/distribution number.

Leave the current Appointment 20/Distribution 21 as it appears now. Add the retroactive appointment the correct way it should be paid.

For PAN, enter the mandatory comment:
STALE DATED RETROACTIVE PERCENT CHANGE AFFECTING PAY - SUB 0
OLD 7/1 - 09/30, 3266, 50%, $XXXX
Increase GSR from 50% to 100% 7/1-9/17; remain 50% 9/18 to 9/30.
EXAMPLE 11:  ADDING EMPLOYMENT (STALE DATED)

Occasionally a department discovers after the pay period that it has overlooked paying a student. When this happens, it is not considered a "Retroactive Change" because you have nothing to change but is instead a "Retroactive Addition" because you are adding an appt/dist.

When this happens, you should contact the Graduate Division so that we can coordinate the action with Payroll to insure proper completion of the action in PPS, especially if the situation is not similar to the following:

EXAMPLE: A student was paid as a TA through 6/30. There is no summer employment and the student is "rehired" in September as a TA 10/1 - 6/30. In November, the department is told that the student should have been paid as a 50% GSR (sub-0) from 7/1 - 7/31.

Action:
In order for the system to allow you to input the action, you must change the "Hire Date" from 10/1 to 7/1. Since the student was previously appointed through 6/30, there is no break in service.

In PPS, you would add the July GSR information as a new appt/dist. Since the system cannot generate retroactive payments on Sub-0, and the paycheck must be manually prepared by Payroll, you would enter the following comments.

Comments should state:
STALE DATED RETROACTIVE ADDITION OF APPOINTMENT
AFFECTING PAY - SUB 0
ADD 50% GSR 7/1 - 7/31