Business Process Guide

How to process a PTR Exception Form

A guide to requesting Job Data transactions that cannot be submitted via the PTR or Online Renewal.

HR Data Management Contacts

Please refer to the Data Management staff directory, for the Data Management Specialist responsible for your department.

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Introduction

At ASU, an employee's job information is maintained in PeopleSoft. Most changes to job information are requested via the PTR (Personnel Transaction Request) or Online Renewal. However, in some cases these applications cannot be used due to system limitations or errors. In these circumstances, the PTR Exception Form, also known as the DMX — Data Management exception — form, is used. Use the Action - Reason Process chart or contact your Data Mgmt representative to determine the appropriate process for submitting a request. The exception form is available online.

If the requested Job Data transaction results in a **retroactive payment**, the exception form will be passed to the Payroll representative for processing. If a manual check is requested, you will be contacted when the check is ready for pickup. This process does not apply to hourly employees for whom hours have not yet been entered and approved or payments via stipend, such as for Student worker 5. Please utilize the appropriate process to update the timesheet or request the additional pay.

If the requested Job Data transaction results in an **overpayment**, please submit an overpayment PTR or PAR.

This guide will provide an overview of the DMX, as well as details about individual transactions. Also included is a list of roles needed that you may need as a DMX approver.

**IMPORTANT NOTE: Remember that this is a paper form that must be processed manually. Please allow 3-5 business days, excluding lock-out dates, for processing. Review lock-out dates and DM deadlines in the bi-weekly payroll calendars. Departments are responsible for maintaining a copy of requests using this form for their own personnel records.

Preparation

Accessing the Form

The exception form has limited features, which are intended to make it easier to use, but some PDF features don't work when the form is accessed in a web browser that doesn't support Acrobat. You can download the form from any browser and complete the request in Adobe Acrobat **or** complete the form in Internet Explorer. The form is available online at https://www.asu.edu/hr/forms/dmexceptionform.pdf.

Security Roles You Will Need

The form itself does not require any security role, however, approvals are manually verified using the same validations performed by the PTR. Some users will have all roles; some will have a few of them. Each submitter will need to work with other users in the department to complete the full process. Transactions require a separation of duties for the submitter and cost center/grant manager approval level.

To learn how to request a role, go to How to apply for a PeopleSoft Security Role.

To request department access, submit a ticket through ServiceNow.

The next pages list the roles that you or someone within your department will need.

Security Roles

PTR Approver

PTR Approver: This role allows users to approve transactions at the cost center/grant manager level. The user must be listed as a PeopleSoft HR Cost Center and PeopleSoft HR Grant Manager in Workday to be able to apply for this role.

Use the **Approver Role Request on the Workday Landing Page** to request the PS HR Cost Center or Grant Manager role in Workday.

PTR Dean/VP Approver

PTR Dean/VP Approver: This role allows users to approve transactions at the Dean/VP level. Members of this role must be the Dean/VP or someone who has been designated by the Dean/VP to perform the approvals on their behalf. Designees with this role must also have appropriate department access to approve transactions at this level.

PTR Provost EVP

PTR Provost EVP: This role provides access to the work list to approve transactions at the Provost/EVP level. Membership is limited and will only be granted if you have been designated by the Provost/EVP to obtain access to this role.

****Note:** Approvals required for a given transaction will depend on employee and transaction type. In addition to the approval levels mentioned above, other units such as Student Employment or ASU ACA Compliance, may also need to approve a request. The approval matrix is available to determine which levels of approval are required.

Before You Start

Please keep in mind that the PTR is the preferred method for submitting personnel transactions. Using the PTR ensures that appropriate approvals are captured electronically and that all aspects of the transaction are generated, including retro and VPO, etc. If an exception form is submitted when the PTR should be used, the department will be notified of the correct process and asked to resubmit via PTR.

Department Procedures

This training guide has been created as departmental instruction about how to process actions after all of the preliminary work within the department has been completed. Departments should follow their current internal business processes to obtain internal approvals and documentation. Typically, an appropriate method includes notifying/working with the primary business officer within your Dean's office.

University Requirements on Approval and Documentation

Departments still must follow their internal business process to obtain approvals in a way that is acceptable for their department standards. The approval matrix outlines the approvals that must be submitted with an exception form, based on each employee and transaction type. Electronic signatures in compliance with PUR 202-02 are acceptable.

Supporting documentation must be provided with an exception request. The required documentation will vary based on the type of transaction, but in most cases will be the offer letter or other formal notification signed by the employee.

Overview of PTR Exception Form

Employee Information section

This is where you will enter the employee's 10-digit empl ID, their name, and the empl record for which the transaction is being requested. These fields are required for every transaction.

Employee information					
Employee ID		Employee name		Empl record #	

If you are requesting a new employee record and do not see an available record that could be rehired, you may leave the empl record field blank. The Data Mgmt representative that processes the request will notify you of the new record number.

Job Data Information section

Here you will enter the values for the action you are performing on a specific employee. Select the values based on what you want to appear in Job Data after the transaction has been processed. All fields are required, except 'end date' which is only applicable for employees in certain pay groups, ACD, FSW, or GRD. Enter the current value for any field that is not changing as a result of the transaction.

Some fields have validations, such as dropdown lists or character limits. To review the combinations of Action/Reasons that can occur together, please use the Appendix A of this document. Additional information regarding leaves management is available online.

Job data information							
Effective date		End Date – if applicable		Position		Job code	
Action	Please choose one of the below actions...	Reason	List will populate after an action is selected...	Select 'Action' from list and 'Reason' list options appear. Use Internet Explorer or download the form to complete if dropdowns are blank.			
Dept. Code		Std Hrs		FTE	0.000	Reg-Temp and Full-Part	
Biweekly or Hrly rate		Comp frequency		Annual salary			

Reminder: Please download the form from any browser and complete the request in Adobe Acrobat **or** complete the form in Internet Explorer to ensure that the field validations function properly.

Effective Date – Enter the date on which the transaction will take effect for the employee. You may type the effective date directly into the effective date field or you may use the calendar to select the date.

End Date – Some positions must be paid on a contract and require this date to apply a 'Short Workbreak' (it is not the same as a termination date). You may type the end date directly into the field or use the calendar to select the date.

Position –You may type the position number directly into the field.

Jobcode – You may type the jobcode directly into the field.

Action – Select the applicable action from the dropdown.

Reason – Use the dropdown list to choose the most applicable reason for the transaction. Your available options are based on the action selected. A list of possible combinations is available in Appendix A and definitions are available online.

Dept Code – Enter the dept code on the position being used in the transaction (ex: D0204 or B1347001).

Std Hrs – Type in the standard hours per week. The FTE field will automatically calculate based on the standard hours.

Reg-Temp and Full-Part – Select the appropriate combination from the dropdown list. This field has implications on benefits eligibility. Additional info about reg/temp and full/part values is available in Appendix B.

Biweekly or Hourly Rate –Enter the biweekly amount or enter the hourly rate paid via Job Data, whichever is applicable. Biweekly amount should be equal to the Salary divided by comp frequency (see example below). This field is configured for six decimals.
Ex:

Biweekly or Hrly rate 2,000.000000 Comp frequency ASU10 Annual salary 20,000.000000

Or

Biweekly or Hrly rate 769.230769 Comp frequency ASUBW(26) Annual salary 20,000.000000

Comp Frequency – Enter the correct frequency based on the employee type. Hourly (H), fiscal salaried (ASUBW), A12 (B), grad or academic (ASU##)

- Select ASU## based on number of pay periods the employee will be active per the start and end dates in the offer letter or appointment length. New Academic year faculty offer letters indicate full AY salary and should be entered as ASU20 (system prorates based on actual active dates for mid-year hires).

Contract Period	ASU## Comp Freq (typically)
Full AY and Mid-year AY Hire	ASU20
Fall or Spring Only	ASU10
Session A or B only	ASU05
Full Summer	ASU06
Session A or B only	ASU03

Annual Salary – Enter the salary amount that should reflect in Job Data, not necessarily the amount to be paid if prorate will occur. Notes can be used to provide additional info. Leave blank for hourly employees.

****Note:** Changes requested on an exception form **do not** update the position — i.e. FTE adjustment, change to job code, etc. An exception form will only result in updates to the specific employee's Job Data.

Retroactive Pay section

This section is used to enter data for the retroactive pay that will be owed as a result of the requested job data transaction, such as a pay change or backdated salaried hire. You must also indicate if retro should be paid with the next on-cycle or if a manual check is requested.

Retro hours must be entered via the timesheet. Use the PTR to request a retroactive stipend or a manual check for retro hours approved in the timesheet.

Retroactive pay - required when job transaction requested above results in retro pay

Retro amount | Manual check requested | Process on next on-cycle

Retro amount – the amount owed to the employee based on the job changes requested.

Manual check requested/Process on next on-cycle – choose one based on dept preference. A fee may apply for manual check requests. Payroll rep will contact the dept when manual check is ready.

This section cannot be used in place of entering and approving hours in the timesheet. If an hourly employee must be paid retroactively for time not previously entered or approved, the dept time administrator — DTA — must enter the hours in timesheet. Additional info is available in the DTA Guide.

Notes section

This section is used to provide additional information to the approvers and processors that is not included in the Job Data Information section.

NOTES: Please indicate the reason this form is being utilized. If there was a hard system error, please include-attach a print screen of the error to this form.

Requisition Number | Required for Kenexa Errors and Student Employee transactions

Notes - a way for you to communicate with approvers on a given transaction and are also saved into the “notepad” on job data. Notes should not contain any confidential or protected information. The notes field is configured to wrap text and resize font based on note length.

Requisition Number – provide the Kenexa Brassring requisition number. This is required for all Kenexa errors, competitive actions initiated via Kenexa, and student employee transactions.

Business Leave of Absence section

This section is required for any request to place an employee in a business leave or hold or to modify an existing business leave or hold. Additional information regarding leaves management is available online.

BUSINESS LEAVE OF ABSENCE		**Important**: 'No Benefits' status requires prior approval from ACA Compliance - attach approval	
Proposed Return Date	Benefits Status	Cost Center for ERE costs	Partial Salary for leave?

Proposed Return Date – Type in or use the calendar to select the date the employee is expected to return from leave. Enter either the date the employee will return to an active status or, for employees who will not be returned to an active status prior to termination, enter the termination date — a termination PTR must be submitted.

Benefits Status – A leave must be 'with Benefits' unless otherwise approved by ASU ACA Compliance – attach approval to request. Select the appropriate value from the dropdown list.

Cost Center for ERE Costs – Enter new Cost Center if applicable, or current Cost Center if it is not being changed.

Partial Salary for leave? – Check this box if the employee's salary is being reduced in Job Data during the leave period.

Approvals Section

This section provides a place for approvals required on a given transaction. The most common approval types have a designated space, but may not all be required for every transaction. An approval may need to be attached to the exception form if a space for the approver type has not been designated. Electronic signatures in compliance with PUR 202-02 are acceptable.

Review the posted approval matrix for a list of required approvals based on the transaction and employee type. The submitter is responsible for obtaining all required approvals prior to sending the request to Data Management for processing. Those approving as a designee must have the required roles/department access (outlined here) based on their approval level.

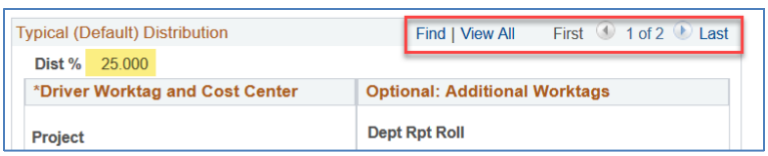
Required approvals (see matrix)		Submitter cannot provide cost center/grant approval.	
Submitted by	Signature	Date	Phone
NOTE: In lieu of Dean/VP/Provost signatures, emails/documentation may be attached to the DMX form.			
Cost Ctr/Grant Mgr Signer	Signature	Date	Cost Ctr/Grant ID
Dean/VP	Signature	Date	
Provost	Signature	Date	
The signature below, indicates student employment eligibility was checked for ISSO and/or ICA/Athletic approval. If adjusting the hire date, the student may or may not be eligible for work study.			
Student Employment	Signature	Date	
SEO Notes			

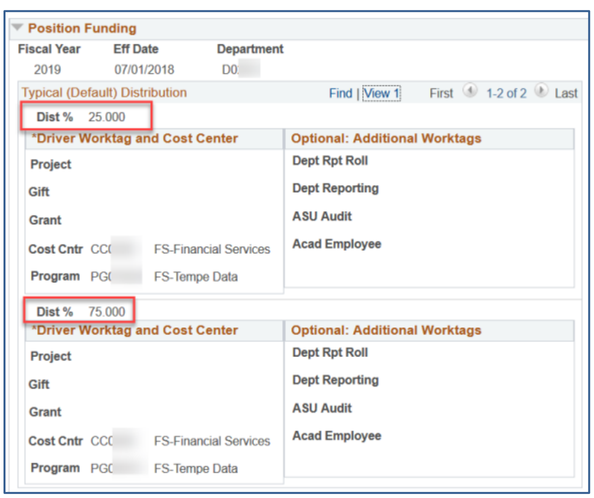
Verify Correct Funding Is in Place for the Employee

Since position funding is one of the factors used to determine a list of valid approvers, it is critical for this information to be correct. All exception forms require approval by a Cost Center/Grant Manager for each funding source used — may be the same person if they are listed on each funding source. An exception form's submitter cannot also provide the cost center/grant level approval. The CCs or GRs must be listed in the approval section of the exception form.

The field will adjust the text size to accommodate a long string for positions with multiple funding sources. If multiple approvers are required at this level due to different funding sources, additional approvals may be attached.

Position funding information can be reviewed in "Maintain Position Accounting" or "Position Cross Reference" by users with the required roles. If distribution is split, click 'View All' or use the arrow buttons to navigate between rows and confirm the funding is correct.





Appendix A – Transaction Combinations

The below chart depicts the available action/reason combinations on the exception form. Descriptions can be found online.

DMX Action	DMX Reason
DEM - Reassignment	DEM/CON - Voluntary Competitive No Pay
	DEM/COP - Voluntary Competitive Pay Chg
	DEM/INN - Involuntary with No Pay Change
	DEM/INP - Involuntary with Pay Change
	DEM/NCN - Vol Non-Competitive No Pay
	DEM/NCP - Voluntary Non-Competitive Pay
DTA - Data Change	DTA/COR - Data Correction
	DTA/FTE - FTE Change
	DTA/HIR - Hire Date Correction
	DTA/TER - Term Date Correction
HIR/REH - Hire or Rehire	HIR/REH/ADD - Additional Job
	HIR/AFL - Hired Fr Affiliate- ABOR/TRIU
	HIR/REG - Hire - Reg (INITIAL HIRE)
	HIR/STA - Hired Fr Affiliate-State Agcy
	REH/30D - Rehire =< 30 Days
	REH/REH - Rehire > 30 Days < = 12 Months
	REH/RHA - Rehire After 12th Months
LOA/PLA - Paid Leave of Absence	PLA/ADM - Administrative
	PLA/BWB - Business Reasons (Fellowship, Professional, Research, or Visiting Professor)
	PLA/SA1 - Sabbatical - 1 Semester
	PLA/SA2 - Sabbatical - 2 Semesters
LOA/ULA - Unpaid Leave of Absence	ULA/ADM - Administrative
	ULA/BWB - Business Reasons (Fellowship, Professional, Research, or Visiting Professor)
	HLD/HNB - Hold - No Pay
PAY - Pay Rate Change	PAY/CLA - Course Load Adjustment
	PAY/CMP - GRD Pass comprehensve exam PHD
	PAY/CON - Per Contract
	PAY/COR - Data Correction
	PAY/GEN - General
	PAY/PEA - Equity Adjustment
	PAY/PMA - Market Adjustment
	PAY/PPB - Performance Based
	PAY/PRO - Promotion
	PAY/QLS - GRD Pass Qualifications to PHD
	PAY/RET - Retention
	PAY/SCB - Skill / Competency Based
	PAY/TIA - Temp Interim Assignment Begin
	PAY/TIE - Temp Interim Assignment End
PRO - Promotion	PRO/CON - Competitive No Pay Change

	PRO/COP - Competitive Pay Change
	PRO/KIC - Competitive Pay Incrs In Categ
	PRO/KPC - Competitive Pay Inc New Cat
	PRO/NCN - Non-Competitive No Pay Change
	PRO/NCP - Non-Competitive Pay Change
	PRO/NIC - Non Comp Pay Incr Within Categ
	PRO/PNC - Non Comp Pay Increase New Cat
RET - Retirement	RET/RET - Retirement
	RET/RIT - Invol - Retire In Lieu of Term
	RET/RRF - Retire - Layoff
RFL - Return from Business Leave or Hold	RFL/RFL - Return From Leave
	RHD/RHD - Return From Hold
RWB - Return from Short Workbreak	RWB/RNW - Employee Renewal
SWB - Place on Short Workbreak	SWB/AJH - Auto Job Hold - No Pay w Ben
	SWB/AJN - Auto Job Hold - No Pay No Benefi
TER - Termination	TER/BOR - Term -Transfer to ABOR/TRI-U's
	TER/DTH - Death
	TER/END - End Of Assignment
	TER/GRD - Graduation
	TER/IFD - Invol Lack of Funding
	TER/IRF - Layoff
	TER/IRP - Invol Releasd During Probation
	TER/IRS - Invol Resigned In Lieu of Term
	TER/ITR - Involuntary Termination
	TER/OVF - Disability >= 5 Years Of Serv
	TER/STA - Term -Transfer to State Agency
	TER/TEN - Invol;Term Contract Prob Pd
	TER/UNF - Disability <5 Years Of Serv
	TER/VRS - Resignation
XFR - Lateral Transfer	XFR/CON - Competitive Lateral No Pay
	XFR/COP - Competitive Lateral Pay Change
	XFR/NCN - NonCompetitive Lateral No Pay
	XFR/NCP - NonCompetitive Lateral Pay Chg

Appendix B – Reg-Temp and Full-Part

Full/Part Time

Full-Time: Any employee who works a planned and consistent work schedule at 1.0 FTE — 40 hours per week.

Part-Time: Any employee who works a planned and consistent work schedule less than 1.0 FTE — less than 40 hours per week.

PRN: Unplanned, unscheduled and unexpected staffing needs that meet all of this criteria:
- Has an inconsistent, no commitment, number of hours and;
- Non-recurring work schedule with no guarantee of continued employment and;
- Paid on an hourly basis.

Note: Positions with planned work schedules or hours are either Part-Time or Full-Time depending on FTE or standard hours.

Reg/Temp

Regular
- Academic personnel who are tenured, tenure track, continuing status eligible, or continuing status, regardless of FTE.
- All staff with a consistent work schedule for 90 days or longer, regardless of FTE.
- Not used for graduate or student workers — see Variable definition.

NT/NC Acd
- Academic personnel and postdoctoral scholars who are non-tenure track, non-tenured, non-continuing status-eligible, or non-continuing status for 90 days or longer, includes lecturers, instructors, professors of practice, and other academic personnel — except FAs and AAs — on semester/annual/multi-year contracts.

Variable: All employees who meet one or more of this criteria:
- All faculty, faculty research and academic associates .40 FTE or less — if .50 FTE or more must use another title*****.
- All graduate and student worker positions

  ***** Important: .41 - .48 FTE requires advance approval from the Provost's Office and the ASU ACA Compliance team.
- Inconsistent weekly work schedule — i.e., PRN positions — See PRN definition under Full/Part Time section.
- Short-duration positions less than 90 days, regardless of FTE — i.e., SUM/WTR positions, seasonal employees under 90 days, academic personnel with a one-session contract.

Seasonal: Effective Jan. 1, 2015, do not use seasonal. The Variable definition replaces seasonal.