

Volume No. 1—Policies & Procedures	TOPIC NO. 50130 – Cardinal
Function 50100—Introduction to Commonwealth Integrated Payroll/Personnel System (CIPPS)	TOPIC BATCH PROCESSING AND BALANCING
	DATE November 2015

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Overview

Introduction

This topic describes online batch processing. A batch consists of any number of similar transactions that are entered for processing. Once transactions are entered into a batch and any online errors corrected, certain numerical values must be totaled and verified using the Pay Transaction Balancing (IBC) function on HRSBB. This is accomplished by manually adding the "Control Totals" for certain numerical fields. The numerical fields that need to be added vary based on the type of batch entered. The manual calculation is entered and compared to the system-calculated totals from batch data entry. Differences must be researched and corrected. Batches should be in balance prior to overnight processing.

If a batch becomes out-of-balance due to edits applied during overnight processing, agency reports will reflect the differences and reveal the causes. Agencies should research and correct any problems before certifying payroll, however, an out-of-balance batch will not prevent pay.

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Transaction Codes

Batch transactions are identified in CIPPS by a Transaction Code (TRN CDE) indicator, which:

- Controls how CIPPS processes the data elements entered in the transaction.
- Tracks the transaction through processing by printing the TRN CDE on CIPPS reports.

The first position of the three-position TRN CDE indicates the type of transaction :

- 7 – Time and Attendance/Special Pays as Regular Pay/Additional Pay Rates
- 8 – Tax and Deduction Overrides
- 9 – Special Payments.

The last two positions can contain:

- zeros (700)
- X's (7XX, 8XX, 9XX) where the three-digit special pay number or deduction number is included in a subsequent data entry field.
- A two-digit number representing:
 - ◆ Additional pay rate indicator, or
 - ◆ A numeric value corresponding to the type of tax being overridden.

The following chart identifies applicable CIPPS transaction codes and their respective data entry screens.

TRN CDE	Add'l Value	Description	Data Entry Screen
700	No	Regular Pay Transactions	HUA03
7XX (01-04)	No	Time Reporting for Additional Pay Rates	HUB01
7XX	Yes	Special Payments as Regular Payments	HUC01
8XX	Yes	Deduction Overrides	HUD01
8XX	No	Tax Overrides	HUD01
9XX	Yes	Special Payments	HUE01

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Helpful Hints

- Always balance batches prior to editing the payroll.
- Make sure all batches are in-balance after the overnight edit process or know the reason for an out-of-balance status. Remember CIPPS will process the payroll even though batches are out-of-balance.
- Keep batches small – helps in the review process.
- Group batch transactions by employee pay frequency (i.e., do not mix frequency 70 transactions with frequency 71 transactions).
- Keep overtime, shift, and regular pay transactions in separate batches.
- Do not assign the same batch number to different types of batches in the same pay period.
- Use different batch numbers from pay period to pay period - helps to ensure no pending transactions are processing in a current period.

Note: Be careful when you have rates and amounts in the same batch. Rates are calculated to 6 decimal places, while amounts are calculated to 2 decimal places. This may cause difficulty when balancing.

Batch Data Entry Forms

In order to facilitate data entry, blank data entry forms are located on DOA's web site. Use of these forms is optional; however, some type of source documentation should be retained by your agency.

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Online Batch Processing

Online Batch Processing

A batch consists of a number of transactions that are entered into the system for processing. Each type of transaction should be entered into separate batches (e.g., Special Payments and Time and Attendance transactions). The batching process consists of five basic steps as described below:

Step	Action
Navigation	Access the batch screen based on the transaction type using the appropriate subcommand. <u>When the subcommand is not used, the record will not be updated.</u> See CAPP – Cardinal Topic No. 50110, <i>Screen Navigation</i> , for more information.
Batch Identification Assignment	Enter: Company Number (5-position field).
	Unique Batch Number (4-position field).
	Page Number (5-position field). Always enter 1 for the first page of the batch.
Data Entry	Enter the batch transactions as shown on your data entry documents. When entry is complete, press Enter and CIPPS automatically displays the next sequentially numbered page. Continue to enter information until all transactions have been entered. Correct any online errors as they occur.
Balancing	Navigate to HRSBB and balance the batch after batch data entry is complete.
Review	Review to verify that the batch transactions have been accepted and will process as intended when an edit/pay is requested or automatic reports are generated.

Batch Online Error Correction

CIPPS performs a number of online edits during data entry. One of the most commonly encountered online edits is an invalid employee identification number. If an invalid employee number is detected, CIPPS highlights the employee number in question. In this case, verify the employee number and make necessary corrections online. After making the correction, continue with data entry or batch balancing.

Other online edits may be performed for individual values (e.g., numeric values entered in alpha a field, required information is missing from the input). In each case, move the cursor to the indicated field, and make the necessary corrections. Then continue with data entry or batch balancing.

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Batch Online Error Correction, continued

For every online error detected, the field in question is highlighted and an error message appears at the bottom left of the screen. The error message is explained in greater detail by moving the cursor onto the error message and pressing the **F1** or **PF13** keys for the HELP function.

NOTE: A record can be changed or deleted by entering new data over the unwanted value(s). If deleting a line of input, be sure to replace all entered information with zeros and insert an “X” in the TCD column.

Nightly Edit Process

CIPPS performs additional transaction editing during overnight processing. If invalid information is detected or if the transaction is unable to process as intended, CIPPS may delete the transaction or retain the transaction in the pending file. If the transaction is retained in the pending file, it may indicate that employee masterfile maintenance may be needed or that other information is required for processing. Refer to CIPPS Reports 1009 and 1012 for transaction error messages, and Report 1017 to verify if the transaction is in the pending file. See CAPP – Cardinal Topic No. 50135, *Pending File*, for more information.

Batch Balancing Overview

Once batch data entry is complete, totals must be verified through the Pay Transaction Balancing (IBC) function on HRSBB. This is done by manually adding the “Control Totals” for hours, rates, and/or flat amounts entered into the batch. The manually calculated totals are entered on HRSBB. After the Enter key is pressed, CIPPS compares the manually calculated totals with the system-calculated totals entered through batch data entry. Differences must be researched and corrected; however, an out-of-balance batch will not prevent processing.

CIPPS does not recognize agency assigned Batch Numbers until batches are balanced using HRSBB. All transactions in unbalanced batches are designated a Batch Number 0 (Zero). After balancing, such batches will revert back to the Batch Number previously assigned by the agency. Transactions in these batches will process, however, the designation of Batch Number 0 may make identification and review more difficult.

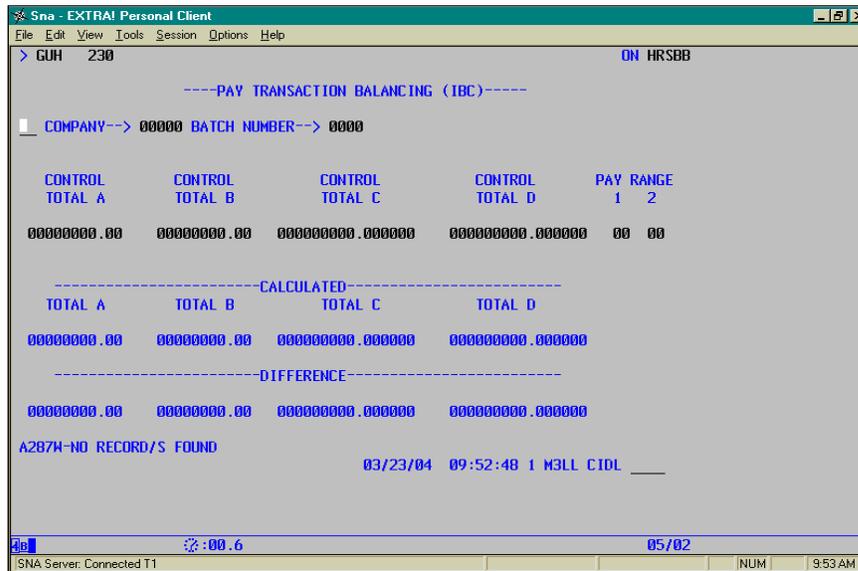
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Online Data Entry

HRSBB

Complete the Command Line, accessing HRSBB and enter data as follows:



COMPANY NUMBER

Enter the agency number preceded by two zeros.

BATCH NUMBER

Enter the batch number used on the batch screen.

SUBCOMMAND

Enter the appropriate subcommand.

CONTROL TOTAL A

Data entry of manually calculated totals may be required for the Control Total A, B, C, and D fields. See HRSBB Control Total Fields section for the required field information.

CONTROL TOTAL B

See above.

CONTROL TOTAL C

See above.

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CONTROL TOTAL D	See above.
PAY RANGE 1	Enter the lowest payroll frequency number in this batch.
PAY RANGE 2	Enter the highest payroll frequency number in this batch.
CALCULATED TOTALS	Press the “Enter” key. The system will calculate the totals in the batch when the screen is entered.
DIFFERENCE	No entry required. The system will calculate any differences between the Control Totals entered and the Calculated Totals.

Batch Balancing Procedures

HRSBB Control Total Fields

Data entry of the calculated totals into the HRSBB Control Total fields vary as shown below:

Screen	Control Total	Enter Total of all...
HUA03	A	Regular hours/shift hours to two decimal places.
	B	Overtime hours to two decimal places.
	C	Regular rates to six decimal places, AND/OR , Flat amounts to two decimal places.
	D	Overtime rates to six decimal places, AND/OR , Flat overtime amounts to two decimal places.
HUE01	A	Hours to two decimal places.
	B	N/A
	C	Special pay rates to two decimal places, AND/OR , Special pay amounts to six decimal places.
	D	N/A

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Batch Balancing Procedures, Continued

Screen	Control Total	Enter Total of all...
HUC01	A	Hours entered to two decimal places.
	B	N/A
	C	Special pay rates to two decimal places, OR , Special pay amounts to six decimal places.
	D	N/A
HUB01	A	Shift hours to two decimal places.
	B	Overtime hours to two decimal places.
	C	N/A
	D	N/A

Control Balancing

CIPPS calculates the totals from the transactions entered on the corresponding batch data entry screen(s) and compares these totals with the manually calculated totals entered on HRSBB. If a difference is detected, the message “BATCH DOES NOT BALANCE” is displayed in the bottom-left portion of HRSBB). Take the following actions:

Step	Action	
1	Press ENTER again so the subcommand disappears. CIPPS accepts the Control Balance transaction with the difference displayed.	
2	Verify data entry. Review the transactions entered on batch data entry screen(s). Use R in the subcommand to make corrections. After making changes, press ENTER and re-balance the batch.	
3	Recalculate your totals for accuracy.	
4	Return to HRSBB.	
	If batch is...	Then...
	In-balance,	Balancing is complete if you pressed the ENTER key twice as specified in Step 1 for the Control Balance transaction to be accepted. If you have not established this transaction you must re-enter the totals on HRSBB to complete batch balancing.
Out-of-balance,	Repeat steps 2-3 to find the cause of the out-of-balance condition.	

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Batch Review Procedures

Batch Review Batches that were accepted during online data entry are subject to further edits during nightly processing. These edits can cause the transactions to:

- Process as intended - Batch is in-balance. No further action is required, unless a change is necessary to the transaction data.
- Be deleted from the system due to errors encountered in the edit process - Batch is out-of-balance. The transaction will have to be re-entered for processing to take place.
- Be held in the Pending File - Batch is out-of-balance. An employee masterfile update may be necessary for the transaction to be processed.

If a batch contains transactions that are related to multiple pay frequencies, and a particular frequency is not edited, those transactions will not process. This will also cause the batch to be out-of-balance.

Batch Tracking Reports Many reports are available to track batch transactions through payroll processing. The following matrix describes the reports, how they are produced, and how they can be used. **Note:** The information and use sections pertain only to batch processing.

Report	Title	How Initiated	Information	Use
1001	Input Transaction Listing	Daily - Upon input.	All batch transactions keyed.	Verify how or if the transaction was entered.
1009	Employee Diagnostic	Automatically - when payroll transactions cannot process as entered.	The employee number, transaction not accepted, and a brief reason for not processing.	Correct errors in a timely manner.
10 - EDIT or PAY	Payroll & Deduction Register - PRE-CALC	Upon request for Edit or Pay.	Gross-to-net calculation of all batch transactions that will process with this payroll.	Ensure that all batch transactions were processed properly prior to certification of payroll.

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Batch Review Procedures, Continued

Report	Title	How Initiated	Information	Use
1004	Transaction Balance Report	Upon Request for Edit or Pay.	Batch transactions that were accepted sorted by batch number.	Verify that transactions entered passed all nightly batch processing edits.
1005	Batch Summary	Upon Request for Edit or Pay.	Batches keyed are listed in numeric order, with notation as to whether or not the batch is in balance.	Ensure that any out-of-balance batch has been researched and any deleted transaction has been researched.
1017	Updated Pending File	Automatically - when batch transactions are added to the pending file from input or payroll processing.	Entry date, sequence number, employee number, transaction type, and other relative information, and the action being taken with each transaction.	Verify that the transactions are still in the pending file or deleted due to an overnight edit process.

Internal Control

Internal Control

Data entered into batches affects employee pay and/or deduction information. Due to the nature of these transactions, agencies should have internal controls to make sure all batch transactions are complete, properly authorized, and accurately entered into CIPPS.

Although the system will process payrolls with out-of-balance batches, agencies need to review and evaluate all out-of-balance batches to ensure proper payroll processing. Documentation supporting the batch data entry should be available for review during the pre- and post-certification process.

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Records Retention

Time Period The **Input Transaction Listing, Report 1001**, and the **Transaction Batch Balance Summary, Report 1005**, must be retained for 60 days. All other reports should be retained for five (5) years or until audited, whichever is later. Agency policy and procedures determine the retention of the related agency source documents/records.

Contacts

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Subject Cross References

References CAPP – Cardinal Topic No. 50110, *CIPPS Navigation*
CAPP – Cardinal Topic No. 50135, *Pending File*

CARS to Cardinal Transition

Cardinal Transition CIPPS interfaces to both CARS and Cardinal. No additional action needs to be taken by agencies in order to record CIPPS entries. After CARS has been decommissioned, agencies will no longer use NSSA to establish programmatic data in CIPPS. Instructions on how to load this information to CIPPS will be distributed at a later time.
