

Service in Excess of 100%
and
Lump Sum Payments

01/30/2008

What is Service in Excess of 100%

Policy Summary:

"Full-time employees shall not receive compensation for services with the University in excess of a normal schedule except for a reasonable amount of instruction in continuing education and public service programs or for the grading of special examinations (outside regular course work) stipulated by the University, all to be done at a time that does not conflict with other university duties. Exceptions may be made to this rule in special cases which are approved by the dean of the college of which the employee is a member provided that if such additional payments exceed a nominal amount the advance approval of the chancellor should be secured. These exceptions shall be held to a minimum."

Guidelines:

- **Prior** written approvals are required via the Request for Service in Excess of 100% form for all service in excess of 100 percent time payments made to full-time employees.
- The work performed must be clearly outside the scope of the employee's regular position.
- Service time cannot interfere with the employee's normal full-time position. It is the home unit's responsibility to ensure that primary work obligations will be fulfilled.
- Service in excess of 100 percent time is not to be confused with "other duties as assigned."

NOTE: Service in excess of a full-time appointment should be temporary and kept to a minimum; total payment is not to be paid until all service has been performed. The policy includes, but is not limited to, overload teaching and Discovery courses.

Lump Sum payments should not be used in lieu of a payroll adjustment to adjust payroll earnings.

Additional payment should not be paid to an employee on a 100% Leave of Absence or on sabbatical leave.

Service in Excess of 100% is paid via a lump sum payment

Examples of Acceptable Payments (Service in Excess of 100%)

- Payment to a faculty member teaching an additional class to cover for a faculty member on leave (Overload)
- Payment to an employee for performing at a commencement ceremony or other special occasion

Examples of Unacceptable Payments (Service in Excess of 100%)

- Payment to an employee for extra effort pertaining to their normal duties (ex: normally reviews 5 proposals but reviewed 10)
- Payment to an employee who has been performing duties at a higher level prior to all necessary approvals being obtained such as OEOA, Provost, Board of Trustees
- Payment for performing duties prior to their employment eligibility being determined

Employees Who Cannot Receive a Service in Excess of 100% Payment

All less than 1 FTE academic employees
(faculty, other academics, academic
professionals, grad assistants, etc.)

Approvals Required for a Payment for Service in Excess of 100%

- All Service in Excess of 100% payments must have written approval from the department heads and deans (or their designees) of both the home org. and the unit paying for the services **prior** to services being performed via the Request for Service in Excess of 100% Form. The fully executed Request for Service in Excess of 100% must accompany the checklist forwarded to HR before the Service in Excess of 100% job can be entered into Banner.
- U of I rehired retirees who are rehired in an academic position require a fully executed Request Form for Re-employment of a U of I Retiree including signatures of the department head and dean (or their designee) of the paying org. **prior** to services being performed. The fully executed Request Form for Re-employment of a U of I Retiree must accompany the checklist forwarded to HR before the Service in Excess of 100% job can be entered into Banner.

Additional **prior approvals (in addition to department heads and deans) required –**

- Approval from Academic Human Resources is required **prior** to services being performed for all academic employees appointed at a total FTE = 1 and receiving a payment greater than \$5000.
- Rehired Retirees – requires fully executed Request Form for Re-Employment of a U of I Retiree approved by the Chancellor or his/her designee (currently, the Assoc. Provost for HR reviews/approves the Request Form for Re-Employment of a U of I Retiree) **prior** to services being performed.

What is a Lump Sum Payment

Lump Sum Payments are paid for teaching additional courses or for other special projects or assignments normally outside the routine responsibilities performed by less than 1 FTE academic employees or any civil service employee after the service is performed.

Guidelines:

- Lump sum payments are designated for specific duties outside the regular responsibilities and are not intended for payment in lieu of a base increase to the salary, and should not be confused with “other duties as assigned.”

Note: Normally, special projects are outside the home org.

NOTE: Lump Sum payments should not be used in lieu of a payroll adjustment to adjust payroll earnings.

Examples of Acceptable Lump Sum Payments

- Payment to an employee providing interpreter services for special events
- Payment to an employee for performing at a commencement ceremony or other special occasion

Examples of Unacceptable payments

- Work within current classification and current unit. This should be reported on employee's time sheet
- Payment to an employee who has been performing duties at a higher level or FTE with the intent for the higher level or increased FTE to continue on a permanent basis prior to all necessary approvals being obtained such as OEOA, Provost, Board of Trustees
- Payment for performing duties prior to their employment eligibility being determined

Employees Who Cannot Receive a Lump Sum Payment

- Employees who hold only a Grad Hourly, Grad Assistant (only title of grad assistant) and/or Academic Hourly cannot receive lump sum payment due to FLSA rules . An additional hourly job must be set-up for these groups and hours are reported via time entry. **Exception:** if the payment is less than or equal to \$200, a lump sum can be paid to the above; however, they may not receive more than three exception payments during their university employment.
- Internationals who hold a F1 visa and hold a job at 50% cannot receive a lump sum payment except for services performed during fall, winter, spring and summer breaks. Employees cannot receive a lump sum exceeding 20 hours per week above and beyond their regular 50% job during these break periods.
- Undergraduate students cannot receive a lump sum due to FLSA rules (**Exception:** if the payment is less than or equal to \$200, a lump sum can be paid; however, they may not receive more than three exception payments during their university employment.)
- Employees with a UA eclass on PEAEMPL
- Employees in 'Terminated' status on PEAEMPL

NOTE: If employee's eclass is UA on PEAEMPL, the Employee Group Change process must be followed (including updating information via NESSIE). If employee's status is Terminated on PEAEMPL, the full New Hire process must be followed (including NESSIE New Hire and I-9).

Approvals Required for a Lump Sum Payment

- Civil Service employees require a fully executed Request for Lump Payment form **prior** to services being performed.

NOTE: Non-exempt civil services employees may be eligible for overtime compensation at one and one-half times their permanent hourly rate. Refer to the Lump Sum Payment Guidelines for Civil Service Employees for more information.

- Less than 1 FTE academic employees require written approvals on the HR Transaction Checklist from the department heads and deans (or their designees) of both the home org. and the unit paying for the services.

Additional prior approvals required:

- Civil Service employees – written approval from the Classification and Salary Administration Section of Staff Human Resources by calling (217)333-2136.
- Predoctoral fellows – written approval from the Fellowships Office **prior** to services being performed. Units should request approval by sending an email to gradfellowships@uiuc.edu.

Steps in Service in Excess of 100%/Lump Sum Process

(*after* approvals have been obtained)

- Step 1. Find your unit's Lump Sum pooled position. (If there is not one, follow the instructions on slides 12 – 23, to create one.)
- Step 2. If employee's eclass is UA on PEAEMPL, follow Employee Group Change process. If employee's status is Terminated, complete the New Hire process.
- Step 3. Complete HR Transaction Checklist and forward along with necessary approvals/forms to the appropriate HR office for job entry into Banner at the time payment should be rendered.
- Step 4. Process Payroll Adjustment form if necessary (most lump sums will be paid on the next available monthly pay cycle; however, for services completed in a previous payperiod, if unit indicates in the Transaction Comments that they wish to process a payroll adjustment, Central HR will set up the job with previous payperiod dates in which the services fell so that the unit may do a pay adjustment).

NOTE: Total payment cannot be made until all services have been completed.

Steps to find your unit's Lump Sum Position:

- a. Go to NBAPOSN
Click Search Button by Number
- b. Click on the Create Query icon (or hit F7), tab to ORG and enter org, tab to Position Class and enter LUMP
- c. Click on the Execute Query icon (or hit F8)
- d. If a record displays, use Existing Position number on the Human Resources Transaction Checklist. If not, contact the HR Information Center at 265-6549 to obtain a position # and then proceed to creating a pooled Lump Sum position steps on Slides 12-23.

Creating a Position

Oracle Developer Forms Runtime - Web

File Edit Options Block Item Record Query Tools Help

General Menu - UIUCMNU 7.2 (BANDEV) (1UIUC) - Monday May 22, 2006

Go To: Welcome, CMENACHE Products:

My Banner

- SCT Banner
 - Student [*STUDENT]
 - Advancement [*ALUMNI]
 - Financial [*FINANCE]
 - Human Resources [*HRS]
 - Financial Aid [*RESOURCE]
 - General [*GENERAL]

Type NBAPOSN in the Go To field on the General Menu and click enter

My Links

- [UIC](#)
- [UIS](#)
- [UIUC](#)
- [Personal Link 4](#)
- [Personal Link 5](#)
- [Personal Link 6](#)
- [Check Banner Message](#)

My Institution

UNIVERSITY OF ILLINOIS
CHICAGO • SPRINGFIELD • URBANA-CHAMPAIGN

Banner Broadcast Messages

Enter the object name; Press CQUERY for messages, LIST for listing.
Record: 1/1 ... <OSC>

Position Information Box

The screenshot displays the Oracle Developer Forms Runtime interface for the 'NBAPOSN' form. The main window title is 'Oracle Developer Forms Runtime - Web: Open > NBAPOSN'. The menu bar includes 'File', 'Edit', 'Options', 'Block', 'Item', 'Record', 'Query', 'Tools', and 'Help'. The toolbar contains various navigation and editing icons. The main form area is titled 'Position Definition NBAPOSN 7.3.0.1 (BANUSER) (1UIUC)'. It features a 'Position Number' dropdown menu with 'U21830' selected. Below this, there are fields for 'Position Status', 'Position Begin Date', 'Type', 'Position End Date', and 'COA'. The 'Compensation and Classification' section includes fields for 'Position Class', 'Position Title', 'Employee Class', 'Salary Group', 'Salary Table', 'Salary Grade', 'Salary Step', 'Reports To', and 'Probationary Period'. A dialog box titled 'Forms' is overlaid on the form, displaying a red error icon and the message 'Position not found; ADD assumed.' with an 'OK' button. The status bar at the bottom indicates 'Position Number; press LIST for valid Position Numbers.' and 'Record: 1/1'.

After entering the Position number and clicking Next Block, you will receive the information box above. Click on the OK. You will be taken to the top of the form showing the POSN #. Click Next Block to get to the Compensation and Classification section of the form.

Pooled Lump Sum Position NBAPOSN Form

Oracle Developer Forms Runtime - Web: Open > NBAPOSN

File Edit Options Block Item Record Query Tools Help

Position Definition NBAPOSN 7.3.0.1 (BANUSER) (1UIUC)

Position Number: U21830

Position Status: Inactive

Type: Single

Position Begin Date:

Position End Date:

COA:

Compensation and Classification

Position Class: LUMP

Position Title: LUMP

Employee Class: LP Lump Sum Pay

Salary Group: 2007 Academic

Salary Table: AA

Salary Grade: UNDFD

Salary Step: 0

Reports To:

Probationary Period:

Position Title, defaults to Position Classification title if blank.

Record: 1/1

<OSC>

Enter LUMP in Position Class, the rest of the form will default with the appropriate coding. SAVE

Completed NBAPOSN form

Oracle Developer Forms Runtime - Web: Open > NBAPOSN

File Edit Options Block Item Record Query Tools Help

Position Definition NBAPOSN 7.3.0.1 (BANU)

Position Number: U21830

Position Status: Inactive

Position Begin Date: 08-DEC-2006

Type: Single

Position End Date:

COA:

Compensation and Classification

Position Class: LUMP

Position Title: LUMP

Employee Class: LP Lump Sum Pay

Salary Group: 2007 Academic

Salary Table: AA

Salary Grade: UNDFD

Salary Step: 0

Reports To:

Probationary Period:

Appointment Percent: 100.00

Exempt Indicator

Accrue Seniority

Range Low: 1.00

Range Midpoint: 1.00

Range High: 999,999.00

Step Value:

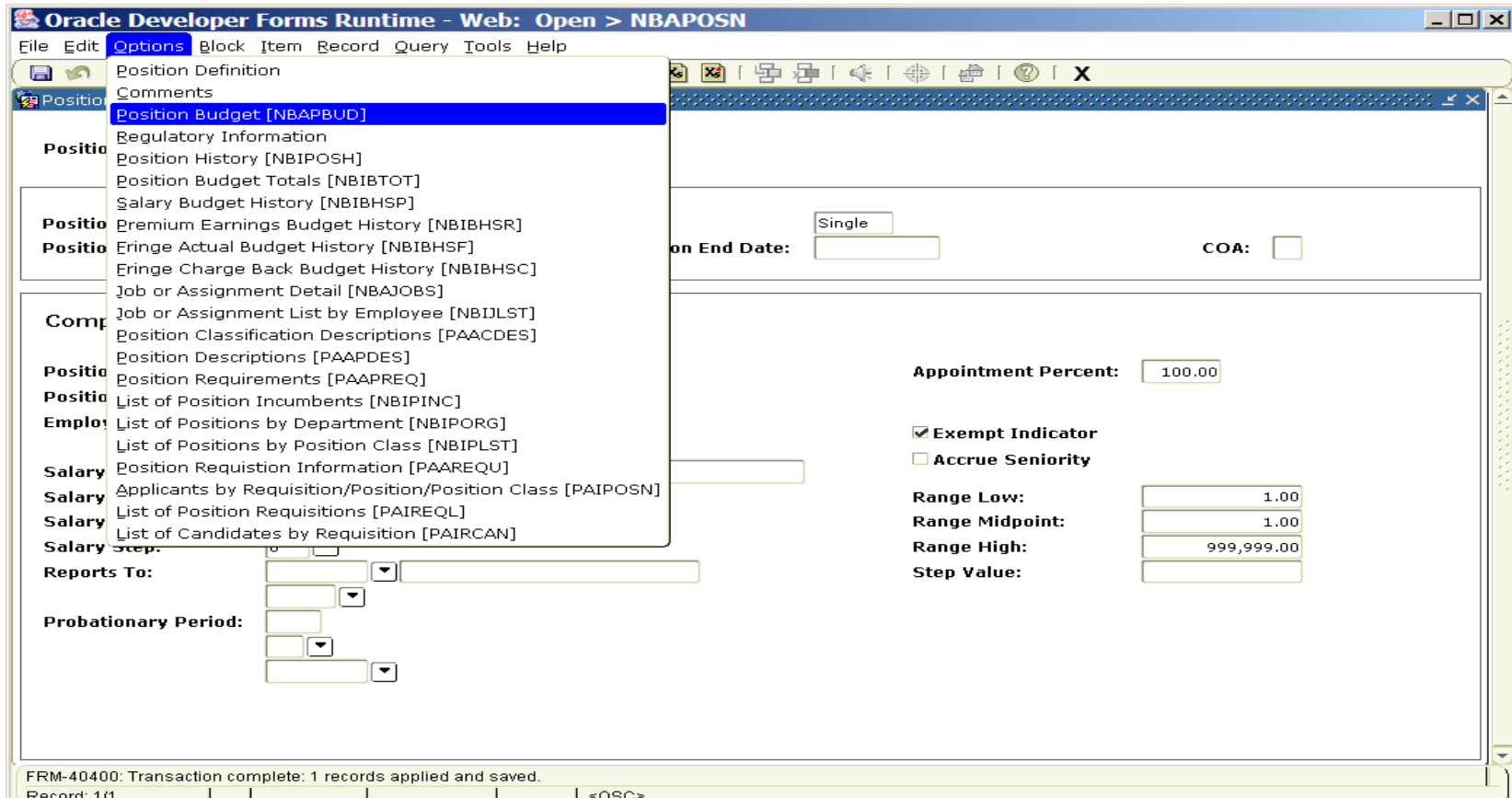
FRM-40400: Transaction complete: 1 records applied and saved.

Record: 1/1

Note position status is Inactive until you complete the NBAPBUD form

No Org assignment has been given to this position yet. That is done in the Position Budget process

To access the Position Budget (NBAPBUD)



From NBAPOSN, go to Options on the tool bar, and select Position Budget (NBAPBUD) from the list of options.

Completing Position Budget (NBAPBUD)

The screenshot shows the Oracle Developer Forms Runtime interface for the 'NBAPBUD' form. The title bar indicates 'Oracle Developer Forms Runtime - Web: Open > NBAPOSN - NBAPBUD'. The form is titled 'Position Budget NBAPBUD 7.0 (BANUSER) (1UIUC)'. The 'Fiscal Year' is set to '2007'. The 'Employee Class' is 'LP Lump Sum Pay' and the 'Position Title' is 'LUMP'. The 'Position' field is '021830'. The 'Status' is 'Inactive'. The 'Type' is 'Pooled'. The 'COA' is '1'. The 'Position Effective Dates' section shows 'Begin Date' as '01-JUL-2006'. The 'Budget Roll Rules' section shows 'Salary' as 'Current Salary' and 'Premium Earnings' as 'Not Applicable'. The 'Budget Authorization' section has an 'Authorized By' field.

If you continue on to NBAPBUD from NBAPOSN, the position number will autopopulate on the NBAPBUD form. If you leave NBAPOSN and then return to NBAPBUD later, you may need to enter the position # again before you can move onto to step 2 below.

1. Enter Fiscal Year – date equals end year of current fiscal year
2. Next Block to access the Position Budget section. NOTE: status will be Inactive until all of the NBAPBUD and Position Labor Distribution sections are completed.
3. Change the Type from Single to Pooled by clicking on the radio button next to Pooled.
4. Enter COA field (failure to enter the COA will not allow you to continue to the Salary Budget form.)
5. SAVE

Entering Salary Budget form

The screenshot displays the Oracle Developer Forms Runtime interface for the 'NBAPBUD' form. The window title is 'Oracle Developer Forms Runtime - Web: Open > NBAPOSN - NBAPBUD'. The menu bar includes 'File', 'Edit', 'Options', 'Block', 'Item', 'Record', 'Query', 'Tools', and 'Help'. The toolbar contains various icons for file operations and navigation. The main form area is titled 'Position Budget: NBAPBUD 7.0 (BANUSER) (1UIUC)'. It features several input fields and tabs. The 'Salary Budgets' tab is highlighted with a red box. The form contains the following fields and tabs:

- Fiscal Year:** 2007
- Position:** U21830
- Employee Class:** LP Lump Sum Pay
- Position Title:** LUMP
- Tabs:** Position Budget, Salary Budgets (selected), Fringe Benefit, Premium Earnings Totals, Labor Distributions, Comments
- Fiscal Year:** []
- Status:** Approved
- COA:** 1
- Organization:** []
- Create Date:** 08-DEC-2006
- Salary Group:** []
- Base Units:** 12
- Salary Section:**
 - Create FTE or Salary Records
 - Budgeted Amount:** []
 - Encumbered Amount:** []
 - Expended Amount:** []
 - Remaining Amount:** []
 - Position Budget Basis:** 26.00
 - Position Annual Basis:** 26.00
 - Budget Appointment Percent:** 100.00
 - Budget FTE:** []

To access the Salary Budget form from NBAPBUD, click on the Salary Budgets tab

Salary Budget Information

Oracle Developer Forms Runtime - Web: Open > NBAPOSN - NBAPBUD

File Edit Options Block Item Record Query Tools Help

Position Budget: NBAPBUD 7.0 (BANUSER) (1UIUC)

Fiscal Year: 2007 Employee Class: LP Lump Sum Pay
Position: U21830 Position Title: LUMP

Position Budget Salary Budgets Fringe Benefit Premium Earnings Totals Labor Distributions Comments

Fiscal Year: 2007 Organization: 630000 Create Date: 08-DEC-2006
Status: Approved H2007 Salary Group:
COA: 1 HLAB07 Base Units: 12

Salary

Budgeted Amount: .00
Encumbered Amount:
Expended Amount:
Remaining Amount: .00

Position Budget Basis: 26.00
Position Annual Basis: 26.00
Budget Appointment Percent: 100.00
Budget FTE: 1.0000

Create FTE or Salary Records

1. Enter Fiscal Year – date equals end year of current fiscal year
2. Enter your Organization code
3. Type H20XX in the next field (xx's represent the end of the current fiscal year)
4. Type HLABXX in the next field (xx's represent the end of the current fiscal year)
5. Enter Budgeted Amount as Zero; Remaining Amount will default to Zero
6. Enter Budget FTE of 1
7. SAVE

Accessing the Position Labor Distribution Form

Oracle Developer Forms Runtime - Web: Open > NBAPOSN - NBAPBUD

File Edit Options Block Item Record Query Tools Help

Position Budget NBAPBUD 7.0 (BANUSER) (1UIUC)

Fiscal Year: 2007 Employee Class: LP Lump Sum Pay
Position: U21830 Position Title: LUMP

Position Budget Salary Budgets Fringe Benefit Premium Earnings Totals **Labor Distributions** Comments

Fiscal Year: 2007 Organization: 630000 FTE: 1
Status: Approved Budget ID: H2007 Date Created: 08-DEC-2006
COA: 1 Phase: HLAB07 Salary Group:

Salary
Budgeted Amount: .00
Encumbered Amount:
Expended Amount:
Remaining Amount: .00

New Index	Fund	Orgn	Account	Program	Activity	Location	Salary Budget	Percent	To Be Posted
<input checked="" type="checkbox"/>							.00		
<input type="checkbox"/>									
<input type="checkbox"/>									
<input type="checkbox"/>									
<input type="checkbox"/>									
<input type="checkbox"/>									
<input type="checkbox"/>									
Totals:							.00	.00	.00

FRM-40350: Query caused no records to be retrieved.
Record: 1/1 ... List of Valu... <OSC>

To access the Position Labor Distribution, click on the Labor Distribution tab. This is the last step in establishing the position, and must be done before a job can be entered.

Unit - HR Transaction Checklist Process

- Unit initiates HR Transaction Checklist, and includes in the Transaction Comments:
 - Description of services performed
 - Actual service dates
 - Indicate whether or not unit will process a payroll adjustment
 - Any other pertinent information
- Unit enters job information on the checklist in the New Job Information – NEW section (far right side of HR Transaction Checklist).
- Unit routes HR Transaction Checklist and any additional forms required to the departments and/or Colleges affected for review/approval.
- HR Transaction Checklist should be forwarded to the appropriate HR Office with the necessary approvals/forms for data entry by Central HR at the time payment should be rendered.

NOTE: If the checklist is forwarded too far in advance of when the payment should be rendered, and circumstances regarding the service and payments change, an overpayment could result. The unit would then have to process an ANA to recover the overpayment.

Service in Excess of 100%/

Lump Sum Effective and End Dates

- If the unit does not wish to process a payroll adjustment, the effective and end dates will reflect the next available monthly pay period after the services have been completed. Doing so will add the payment to the employees next regular paycheck (if academic). Civil service employees will receive their lump sum payment on the next available monthly pay cycle (not a bi-weekly check).
- If the unit wishes to process a payroll adjustment, the effective and end dates will reflect the pay period in which the last day of service falls. Once the job is entered by HR, the unit can initiate the payroll adjustment. (NOTE: Units will need to indicate in the Transaction Comments that they wish to process a payroll adjustment; otherwise, dates for the next available monthly pay period will be entered.)

NOTE: employees *cannot* receive final payment prior to all services being completed.

Sample Service in Excess of 100%/Lump Sum Checklist

Human Resources Transaction Checklist

UIN: 123456789	Employee's Last Name: Smith	Employee's First Name: John
Transaction Comments: Lump sum payment of \$2500 for teaching overload course (Banner 101) during the fall 06 semester. Classes held every Monday and Thursday throughout the semester. Please pay on next available paycheck. Request for Service in Excess of 100% form attached.		

Enter comments describing service provided, amount to be paid, actual dates of service, etc.

Employee Information					
	Current	New		Current	New
COA Home Org.	1-200000		Visa Type	US	
Eclass	AA		Visa Expiration Date		
Total FTE	1				

Current Job Information	CURRENT	NEW	New Job Information	NEW
Position/Suffix:			Position/Suffix:	UXXXXXX/00
Budget Profile Code (NBAPBUD)			Budget Profile Code (NBAPBUD)	
			Eclass (from NBAPASN/PAPE)	LUMP
Job Change Effective Date:			Job Effective Date:	04/15/07
Title			Job Type (Primary, Secondary or Overload)	O
Eclass			Title	ASSOC PROF
FTE			Eclass	LP
Hourly Rate (if hourly employee)			FTE	0
Assigned (monthly) salary			Hourly Rate (if hourly employee)	
Annual Salary			Assigned (monthly) salary	2500.00
Factors/Pays			Annual Salary	2500.00
Timesheet Org.			Factors/Pays	1
Time Entry Method (D or W)			Timesheet Org.	
Job End Date			Time Entry Method (D or W, if hourly)	
			Job End Date	5/15/07

Use the pooled lump sum position # in your org

Title should reflect the actual title under which the service(s) were performed (DO NOT USE LUMP)

FOAPAL Information									
Eff. Date	COA	Index	Fund	Org	Account	Program	Activity	Location	%
Enter FOAP information only if the pay should be made on other than the Position labor distribution									

Need to enter timesheet org if different from home org.

Forms that must/may need to be attached or completed prior to submitting checklist:

NESSIE	Online	Master Referral	Original Signed	Change in	Employee Group	Flex-Year	Temporary
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Remember to attach the Request for Service in Excess of 100% form for service in excess of 100% payments or the Request for Lump Sum Payment Form for lump sum payments to civil service employees.

Contact:	Phone:	Email:	Address:
Approvals:			
Unit(s):	College(s):	Home Org:	
Approver:	Approver:	Approver:	
Date:	Date:	Date:	

Be sure to obtain all necessary signatures on the checklist prior to forwarding to HR.

Central HR's role

- Central HR receives checklist and reviews for necessary approvals and appropriate service(s) to be paid
- If approved, HR enters a new job record in Job Detail. If not approved, HR will contact unit to resolve the issue.
- Timesheet Org contact is sent an automated email the day after the job is entered notifying them that the job has been entered.

Steps taken by Unit after Job is Entered

Double check job entry via NBAJOBS – Job Detail. If entry is incorrect, notify the appropriate HR office. If correct, no other action necessary unless a payroll adjustment is required (for retroactive payments)

If necessary, unit processes payroll adjustment to generate pay

Policies, Guidelines and Forms

Policies:

- Service in Excess of 100%

http://www.fs.uiuc.edu/CAM/CAM/ix/ix-c/ix-c-1_3.html

- Lump Sum for Civil Service

<http://www.fs.uiuc.edu/CAM/CAM/ix/ix-d/ix-d-4.html>

Guidelines:

- Service in Excess of 100%

http://www.pso.uiuc.edu/Forms/Service_in_Excess_of_100_Percent.html

- Lump Sum Payment for Less than 1 FTE academic employees

http://www.pso.uiuc.edu/Forms/Lump_Sum_For_Less_Than_Full-Time_AC.html

- Lump Sum Payment for Civil Service Employees

http://www.pso.uiuc.edu/Forms/Lump_Sum_Guidelines_For_CS.html

Forms:

- Request for Service in Excess of 100%

http://www.pso.uiuc.edu/Forms/Service_in_Excess_of_100_Percent.html

- Request for Lump Sum Payment for Civil Service Employee

http://www.pso.uiuc.edu/Forms/Lump_Sum_Guidelines_For_CS.html

Contact Information

Service in Excess of 100%

- Laura Bleakney, AHR 244-2400

Lump Sum Payments for Less than 1 FTE Academic Employees

- Laura Bleakney, AHR 244-2400

Lump sum Payments for Civil Service Employees

- Tonya Wagner, SHR 333-2136