
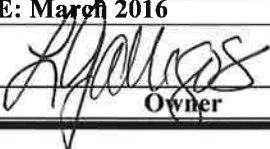
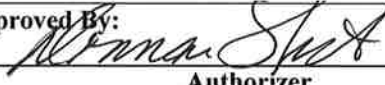


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	INTERFACE CONTROL DIRECTIVE	
PROCEDURE FOR: Interface Controls for Wages and Salaries		
PROCEDURE NO.: BRINM-ICD-202	REV. NO.: 2	PAGE: 1 of 9
DUE DATE: March 2016	DUE FOR REVIEW: March 2018	
Issued By:  Owner	Approved By:  Authorizer	

1.0 SCOPE

This interface control directive (ICD) applies to all Biomedical Research Institute of New Mexico (BRINM) operations. ICDs provide instructions for all program personnel, including principal investigators (PIs) and contract personnel, needed to meet BRINM's mission, operations, and regulatory requirements. This ICD describes BRINM's process for controlling wages and salaries.

BRINM's processes have been designed to meet the requirements of Generally Accepted Accounting Principles (GAAP), the appropriate provisions of the Federal Acquisition Regulations (FAR), and Office of Management and Budget (OMB) Circular A-110.

2.0 Definitions

Great Plains (GP) refers to an accounting software program used by BRINM for their accounting procedures.

3.0 PROCEDURE

This ICD describes BRINM's process for controlling wages and salaries. This directive covers the following main topics related to wages and salaries:

1. Wage and salary transfers and allocations
2. Payroll increases
3. Verifying time and attendance


3.1 Wage and Salary Transfers

The transfer of wages and salaries occasionally becomes necessary as a result of the following:

- Initiating a new project
- Closing an active project
- Lacking timely PI notification of correct salary allocations
- Placing an Interagency Personnel Agreement (IPA)
- Receiving project budget modifications

The BRINM wage and salary transfer process begins when the BRINM Human Resources (HR) Administrator receives a transfer request from a Principal Investigator (PI). The process continues through review and approval of the transfer request by the necessary authorizers until all affected timesheets have been amended and approved.

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3.1.1 Generating a Transfer Request (General)

Transfer requests are submitted by the PI through the HR Administrator. Initiation, submission, review approval, and issuance of the transfer request are performed through the following steps (refer to attached templates 1 through 3):

1. The PI submits a request for the transfer to the BRINM HR Administrator. The request may be made in a written memo or through e-mail, but e-mail is preferred. The initial request must include a memo of justification that addresses:
 - a. The affected dates
 - b. The name of the employee
 - c. The affected BRINM Project numbers
 - d. The hours of employee time required to be transferred and the future allocation percentage
 - e. The reason behind the transfer request
 - f. The PI's signature (this signature may not be delegated) or e-mail sent from the PI's address
2. The HR Administrator reviews the transfer request, ensures that appropriate source documentation justifying the expense change request is attached, and submits the request to the BRINM ED.
3. The ED reviews the PIs justification and verifies that it meets the criteria for approval, including (but not limited to):
 - Clear and verifiable reasoning and cause for action
 - Legal and statutory requirements
 - Individual grant policy guidelines


The only acceptable reason is a failure to communicate to BRINM, in a timely manner, the transfer of personnel between projects due to funding status.
4. If the ED determines the justification meets the validity criteria, the request is approved and returned to the HR Administrator to initiate the timesheet amendment process. If the request is not approved, the ED notifies the PI of the rejection.
5. The BRINM HR Administrator verifies, in person, all requested changes with the effected employee

One exception to this process is noted in Section 5.

3.1.2 Generating a Future Transfer Request (Allocation)

Future transfer requests and the memo of justification must include all of the following elements:

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- a. The affected dates
- b. The name and status of the employee
- c. The affected BRINM Project numbers
- d. The hours of employee time required to be transferred and the future allocation percentage
- e. The reason for the transfer request

3.2 Amendments for Terminated Employees

Transfer requests received subsequent to the termination of the employee are initiated when the PI submits a self-certified change, with details and justification, to the HR Administrator. Initiation, submission, review approval, and issuance of the amended timesheets are performed through the following steps:

1. The HR Administrator reviews the transfer request, ensures that appropriate source documentation justifying the expense change request is attached, and submits the request to the BRINM ED.
2. The ED reviews the PIs justification and verifies that it meets the criteria for approval, including (but not limited to):
 - Clear and verifiable reasoning and cause for action
 - Legal and statutory requirements
 - Individual grant policy guidelines
3. If the ED determines the justification meets the validity criteria, the request is approved and returned to the HR Administrator. If the request is not approved, the ED notifies the PI of the rejection.

3.3 Payroll Increases


BRINM policy allows for the following primary types of payroll increases:

- Annual merit increases
- Merit increases resulting from additional duties and responsibilities
- Cost of Living Adjustments (COLA)

3.3.1 Annual Merit Increases

BRINM's annual merit increases are limited to three percent or less. Annual merit increases will be awarded according to the following process:

1. The BRINM HR Administrator will e-mail a request to each PI asking for merit increase recommendations, (refer to attached template) based on the anniversary of each employee's last rate change (COLAs do not trigger an update to the rate anniversary)
2. The PI must respond with a recommendation. All recommendations must include a current performance appraisal on the approved BRINM

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performance appraisal form (see Attachment 4). CSP uses a separate appraisal form (see Section 5).

Failure to respond to the HR Administrator's request in a timely manner will result in no increase being approved.

3.3.2 Additional Duties and Responsibilities

Merit increases resulting from an employee assuming additional duties and responsibilities are triggered when the BRINM HR Administrator receives an e-mail or written notification from a PI. The e-mail or memo must include the employee's name and a complete description of the additional duties and responsibilities.

Note: all new positions MUST be posted.

The HR Administrator will determine the rate of increase, based on a wage and salary analysis. Upon approval by the ED, the BRINM HR Administrator will establish an effective date and send the PI a concurrence memo. Upon receipt of the signed memo from the PI, the HR Administrator will implement the pay increase and issue a letter of congratulations to the employee.

Under no circumstances may a PI promise a given rate or date to the employee.

3.3.3 COLA Increases

BRINM may authorize (but is not required to implement) a COLA increase effective each January 1, based on the national consumer price index (CPI). If the CPI is announced after the start of the calendar year, BRINM's policy is to make the increase retroactive to January 1. An exception to this policy is described in Section 5.

3.3.4 Federal Adjusted Rate


Instead of using the CPI for determining the COLA, BRINM may, with the PI's approval, base the COLA on the current year's federal adjusted rate. The option for using the federal adjusted rate is only available for the first month of the calendar year.

3.4 Verifying Time and Attendance

Supervisors are responsible for verifying the time and attendance of each of their employees. BRINM requires its supervisors to comply with the following policies:

1. The BRINM supervisor's signature constitutes legal agreement that the employee's timecard is accurate
2. Supervisors are NOT authorized to allow employees to take unearned sick leave or vacation. Any request for advanced use of sick leave must be requested through the HR Administrator and include additional documentation (dates and a doctor's note)

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- 3. Employee timekeeping **MUST** be recorded in hours, not percentages. All time must be rounded to the nearest ¼ hour, including vacation and sick leave
- 4. The BRINM HR administrator calculates any overtime, based on the employee's established work week

4.0 PROCESS RECORDS

Records generated provide solid data to ensure that required processes or sub-processes, as described in this WI, have been effectively completed.

5.0 EXCEPTIONS

Section 3.1.1 – The CSP requires a single mass allocation assessment for all staff at the development of each fiscal year budget. This mass allocation is generally performed once each fiscal year. Any other allocation changes by the CSP must be made individually in accordance with Section 3.1.1.


Section 3.3.1 – The CSP uses their own approved personnel appraisal form, all others must use the BRINM form.

Section 3.3.3 – The CSP is not affected by BRINM COLAs. Instead, automatic adjustments for BRINM employees working for the CSP are governed by the federal rate guidelines.

6.0 REFERENCES

- BRINM Handbook
- BRINM NPC Checklist
- Federal Acquisition Regulations, Applicable Sections
- Office of Management and Budget Circular A-110
- National Institute of Health Grant Applications Package
- National Institute of Health Grants Policy Guidelines

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Attachment 1 – Merit Increase Memo



1501 San Pedro SE, Bldg 14 (151)
 Albuquerque, NM 87108
 Voice: 505-260-1033 Fax: 505-256-5467

MEMO

Date: (Current Date)
To: PI Name and Title
From: Human Resource Administrator
Re: Employee Name

Since (Employee Name) has increased his/her duties and responsibilities, BRINM would like to recommend that Mr./Ms. (Employee Name) receive an increase of pay from (Current Rate of Pay) to (Recommended Merit Pay) biweekly/per hour. BRINM would like to make this increase effective (Effective Date). Please indicate below as to whether you concur or do not concur. Thank you

Concur


Do Not Concur

PI Name & Title

Date

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Attachment 2 – Pay Increase Memo with COLA



1501 San Pedro SE, Bldg 14 (151)
Albuquerque, NM 87108
Voice: 505-260-1033 Fax: 505-256-5467

MEMORANDUM

DATE: (Current Date)

FROM: HR Administrator

SUBJECT: Authorization for Annual Wage Increase for BRINM Employee:
(Employee Name)

TO: PI Name and Title

A three percent (3%) wage increase is authorized for all BRINM employees who work more than ten hours per week after each year of service or last merit increase. A recommendation from the employee's direct supervisor is required to authorize the increase. **(Employee Name)** will observe an anniversary of employment with BRINM or merit increase on **(Date of pay increase)**.

(Employee Name) currently earns a/an biweekly/hourly rate of (Current rate of pay). A 3% increase would raise his/her biweekly/hourly rate to **(Rate of pay at 3%)**. Please sign and date below if you wish to recommend that he/she receive the 3% increase. If you want this individual to receive an increase at some other rate or flat amount or if you do not want this individual to receive an increase, please indicate this in the space below.

Please keep in mind that BRINM will apply the annual Cost of Living Adjustment (COLA) in January.

It will be necessary to receive this memorandum back in our office with your response as soon as possible so we are able to make the necessary payroll changes in a timely manner. If you have any questions or need additional information on this matter, please contact me at x5366 or on our outside line (with voice mail) 260-1033.

Concur


Do Not Concur

PI Name & Title

Date

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Attachment 3 – Pay Increase Memo



1501 San Pedro SE, Bldg 14 (151)
 Albuquerque, NM 87108
 Voice: 505-260-1033 Fax: 505-256-5467

MEMORANDUM

DATE: (Current Date)

FROM: HR Administrator

SUBJECT: Authorization for Annual Wage Increase for BRINM Employee:
(Employee Name)

TO: PI Name and Title

A three percent (3%) wage increase is authorized for all BRINM employees who work more than ten hours per week after each year of service or last merit increase. A recommendation from the employee's direct supervisor is required to authorize the increase. (Employee Name) will observe an anniversary of employment with BRINM or merit increase on **(Date of pay increase)**.

(Employee Name) currently earns a/an biweekly/hourly rate of (Current rate of pay). A 3% increase would raise his/her biweekly/ hourly rate to **(Rate of pay at 3%)**. Please sign and date below if you wish to recommend that he/she receive the 3% increase. If you want this individual to receive an increase at some other rate or flat amount or if you do not want this individual to receive an increase, please indicate this in the space below.

It will be necessary to receive this memorandum back in our office with your response as soon as possible so we are able to make the necessary payroll changes in a timely manner. If you have any questions or need additional information on this matter, please contact me at x5366 or on our outside line (with voice mail) 260-1033.


Concur

Do Not Concur

PI Name & Title

Date

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Attachment 4 – BRINM Personnel Appraisal Form

Performance Appraisal

Employee Name: Employee Name

Position: Employee Position Title

Group: (BRINM or PI)

Position Classification: Status (Exempt/Non-Exempt)

Performance Appraisal Scale/Administrative

- 5 Performed well above expectations
- 4 Exceeded Expectations
- 3 Met Expectations
- 2 Performed below expectations
- 1 Performed well below expectations

Employee Self-Assessment:

Supervisor's Assessment:

Job Knowledge: _____

Concur: _____

Do Not Concur: _____

Organization Skills: _____

Concur: _____

Do Not Concur: _____

Interaction w/People: _____

Concur: _____

Do Not Concur: _____

Resourcefulness: _____

Concur: _____

Do Not Concur: _____

Administrative Duties: _____

Concur: _____

Do Not Concur: _____

Comments and/or Issues of Concern by the Employee (Attached addition sheets, if needed):

Comments and /or Issues of Concern by the Supervisor: _____

Employee Signature

Date

Manager/Supervisor Signature

Date

HR Administrator Signature

Date

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