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1 Business Need Section

1.1 Objective:
Implement the AFSCME SX Agreement of September 22, 2011.

1.2 Issue Tracker Reference

Corresponding Issue Tracker Number, if applicable: PPS_RSCH-239

1.3 Project Type:

➤ Enhancement

Additional Project Type Information:

1.4 System

➤ PPS

Additional System Information:

1.5 Requested by:
UCOP Labor Relations

1.6 Implementation Deadline:

1.6.1 Urgency

➤ Date Mandated

Additional Urgency Information:

1.6.2 Deadline Information

The recoupment deduction must occur in each employee’s regular pay cycle for a pay date prior to February 8, 2012 and in the same compute as the lump sum payment of SR83505 AFSCME Lump Sum Payment SX. The earliest payment will be the December MA paid January 6.
1.7 Statement of Business Need:
Collect the underpayment in UCRP member contributions for AFSCME SX for October 2011 in one payment.

1.7.1 Additional Background:

1.7.2 Return on Investment
- If these changes are not implemented, the University will be subject to law suits and/or grievances.

1.8 Current Process:
No current process exists, but SR83503 requests a similar recoupment and suggests development of a recoupment process that may be adaptable for this request.

1.9 Proposed Process

1.9.1 Proposed process from a functional perspective
A onetime program should calculate the missed contribution increase for each member and establish a one-time deduction to collect the amount.

1.9.2 Proposed one-time process
1. If (and only if) the AFSCME one-time programs will be released so as to issue payments in all of the pay cycles listed below in item 3, eligible employees are those meeting the following conditions on the day the onetime program is run
   a. Not separated or inactive
   b. Have at least one active appointment with Title Unit Code SX and Appointment Representation Code C.
   c. Have EDB Employee Benefits Eligibility Unit Code SX and Employee Benefits Representation Code C.

2. If (and only if) the AFSCME one-time programs will be released to be run after the pay cycles listed below in item 3, eligible employees are those having earnings during the pay periods listed below in item 3 with PAR title unit ‘SX’ and PAR representation code ‘C’ and PAR Employee Benefits Eligibility Code SX and PAR Employee Benefits Representation Code C.

3. Pay periods:
   a. MO or MA beginning January 1 and ending January 31 2012
   b. BW beginning January 8 and ending January 21 2012
   c. SM beginning January 16 and ending January 31 2012

4. Eligible earnings are those meeting the following conditions (note that eligible earnings are both “in unit” and “out of unit”).
   a. Pay period end date in October 2011
   b. UCRP covered compensation
   c. PAR Employee Benefits Eligibility Unit Code EX and PAR Employee Benefits Representation Code C

5. Because this recoupment will occur separately but concurrently with the recoupment of SR83503 new GTN 041 (created by SR83507) will be used rather than GTN 006.
6. The program should
   a. Calculate a UCRP contribution amount for the month of October 2011 on eligible earnings at 3.5% minus $19.00.
   b. Calculate a UCRP contribution amount for the month of October 2011 on eligible earnings at 2.0% minus $19.00.
   c. Subtract the amount determined in 3.b. from the amount determined in 3.a.
   d. Establish GTN 041 “UCRP LSP RCP” for the employee with D balance and G balance equal to the amount from 3.c.
   e. Create a tab delimited file listing each recoupment deduction established.

1.9.3 Limitations of the proposed process
1. Amounts paid to UCRP through the deduction will not be reflected in the trailing four months of UCRP “history buckets”. Employees may consequently receive a “Regent’s Reduction” in excess of $19.00.
2. If employees receive late pay for October after the onetime program has been run the UCRP rate may be 2% depending on the trailing history rate.
2 Scope and Estimate Section

2.1 Scope

- Small

Additional Scope Information: One-time program

2.2 Assumptions

- The one-time program developed for SR83507 can be used as the basis for this one

2.3 Overview of Changes

Use the one-time for SR83507 as the basis; change the period of time for the retro.

2.4 Estimate

<table>
<thead>
<tr>
<th>Task</th>
<th>Estimated Work Hours Based on Business Needs</th>
<th>Working Days</th>
<th>Updated Estimate Based on Functional Requirements</th>
<th>Updated Estimate Based on Technical Spec</th>
<th>Actuals After completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requirements Gathering</td>
<td>Ken</td>
<td>Ken</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technical Specification Preparation</td>
<td>6 hours</td>
<td>1 day</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mainframe Development</td>
<td>60 hours</td>
<td>10 days</td>
<td>30 hours/5 days</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Web Development</td>
<td>n/a</td>
<td>n/a</td>
<td>N/A</td>
<td></td>
<td></td>
</tr>
<tr>
<td>QA</td>
<td>64 hours</td>
<td>7 days</td>
<td>No Change</td>
<td></td>
<td></td>
</tr>
<tr>
<td>User Acceptance Testing</td>
<td>8 hours</td>
<td>3 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Release Preparation</td>
<td>12 hours</td>
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<tr>
<td>Installation in Production</td>
<td>9 hours</td>
<td>1 day</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Total</td>
<td>159 hours</td>
<td>24 days</td>
<td></td>
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</tr>
</tbody>
</table>

Costing:

- 6 hours @ $84/hour = $504
- 145 hours @ $69/hour = $10,005
- Total cost: $10,509 (does not count UAT)

* Estimate Notes:

- Standard UAT estimates of 8 hours/3 days entered.
- QA estimate was 10 working days. 3 days overlap with development, so 7 days recorded in table.
• Working days may take into account productivity adjustments, overlap between phases, and multiple resources working on a phase at the same time. Working days do not include weekends.
• Costs associated with estimated work hours are figured using an hourly cost of $69 if a PAIII is assigned the task and $84 if a PAIV is assigned.

2.5 Time Dependencies
Final requirements needed: lead time of 5 weeks

2.6 Scope and Estimate Approval

2.6.1 Approval by IR&C QA Manager

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>10/18/11</td>
<td>Mary Ann Gohl</td>
</tr>
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</table>

2.6.2 Approval by IR&C Programming Manager

<table>
<thead>
<tr>
<th>Version</th>
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<th>Name</th>
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<tbody>
<tr>
<td>1.0</td>
<td>10/18/11</td>
<td>Bob Franks</td>
</tr>
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2.6.3 Approval by Hosted Applications Manager

<table>
<thead>
<tr>
<th>Version</th>
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<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>10/10/11</td>
<td>Christopher Scott</td>
</tr>
</tbody>
</table>

2.6.4 Approval by Requesting Department Manager

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3 Functional Requirements Section

3.1 Overview of Modifications

• Control Table Updates:
• EDB Maintenance:
• History (HDB, CDB) Process:
• Compute Process:
• Distribution of Expense:
• Consolidated Billing and Self-Billing:
• Merit/Range/ATB Processes:
• Other Processes:
• One-time Processes: Similar to SR83507
• Interface Files:
• Other Tax Processing
• CICS Screen/Web Page Modifications:
• Online Help Modifications:
• Reporting and Notification:
• Forms:

3.2 Control Table Updates

<table>
<thead>
<tr>
<th>Req. ID</th>
<th>Requirement Type/Category</th>
<th>Requirement Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>R0001</td>
<td></td>
<td>Requirement deleted in revision 1.9</td>
</tr>
</tbody>
</table>

3.3 One-time Processes

<table>
<thead>
<tr>
<th>Req. ID</th>
<th>Requirement Type/Category</th>
<th>Requirement Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>R0002</td>
<td>One-time Process</td>
<td>Note: only one of R0002A or R0002B applies depending on the timing of the release. See 1.9.2 of Business Needs.</td>
</tr>
</tbody>
</table>
| R0002A  | One-time Process          | Select Eligible Employees for processing based on EDB data.  
  • EDB 0144 Employment Status Code not “S” or “I” that is, not separated or inactive on day program is run (ignore future separation dates). 
  • Have at least one appointment with EDB 2029 Title Unit Code “SX” and EDB 2031 Appointment Representation Code “C” on the day the program is run. 
  • Have EDB 0445 Employee Benefits Eligibility Unit Code “SX” and EDB 0446 Employee Benefits Representation Code “C” on the day the program is run. |
| R0002B  | One-time Process          | Select Eligible Employees for processing based on PAR data.  
  • Earnings during the pay periods listed below in with PAR title unit ‘SX’ and PAR representation code ‘C’ and PAR Employee Benefits Eligibility Code SX and PAR Employee Benefits Representation Code C. 
  • Pay periods:  
    o MO or MA beginning January 1 and ending January 31 2012  
    o BW beginning January 8 and ending January 21 2012  
    o SM beginning January 16 and ending January 31 2012 |
<table>
<thead>
<tr>
<th>Req. ID</th>
<th>Requirement Type/Category</th>
<th>Requirement Description</th>
</tr>
</thead>
</table>
| R0003  | One-time Process          | Select Eligible *Earnings* for processing based on PAR data.  
  - Earnings transaction end date in October 2011  
  - All PAR data available beginning October 1 to the day the one-time program is run should be processed so as to include transactions processed after October 31 for pay periods in October 2011  
  - Skip expense transfer transactions.  
  - UCRS covered compensation  
    - DOS UCRS Subject Gross is “+” or “-“  
    - DOS NSETC codes are “S” and/or “T”  
  - PAR Retirement System Code at the time of the earnings is “U”  
  - PAR Employee Benefits Eligibility Code “SX” and PAR Employee Benefits Representation Code is “C”.  
  - Note that there is no selection based on the Title Unit Code or Representation Code of the earnings since both in-unit and out of unit earnings are subject to the recoupment.  
  - A flag (internal to the one-time program) should be set to “Y” if any of the eligible earnings resulted from Cancellations, Overpayments, Rush Checks, or Hand Draws (hereafter referred to as Flag1). |
| R004   | One-time Process          | Calculate Total Recoupment Amount.  
  - Calculate the UCRP contribution amount using a UCRP rate of 2% minus $19.00  
  - Calculate the UCRP contribution amount using a UCRP rate of 3.5% minus $19.00  
  - Subtract the first amount from the second. |
| R005   | One-time Process          | Establish repayment GTN 041 (X1 transactions file)  
  - If the employee already has a non-zero D balance or non-zero G balance in GTN 041 Set a flag (Flag2) to “Y” and skip any further processing for this employee.  
  - Establish a declining balance deduction for the employee in GTN 041 having D balance and G balance equal to the result determined in R004. |
| R006   | One-time Process          | Tab Delimited File |
### Process

- The tab delimited file is identical to the file of SR83142/Release 1968 except that the column previously used to flag late pay is no longer included and two new flags are added – employees with COHR transactions and employees already having a deduction in GTN 041.

- The amount reported as “recoupment amount per pay period” should be the D balance.

- If Flag2 is “Y” (the employee has a pre-existing deduction in GTN 041) the total recoupment amount should nevertheless be reported in the tab delimited file in the column “TOTAL AMOUNT”

<table>
<thead>
<tr>
<th>Data Definition</th>
<th>Column Heading Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location (two-digit numeric code) – include with each record</td>
<td>LOC</td>
</tr>
<tr>
<td>Employee ID</td>
<td>ID</td>
</tr>
<tr>
<td>Employee Name (EDB0105)</td>
<td>EMPL NAME</td>
</tr>
<tr>
<td>Home Department (EDB0114)</td>
<td>DEPT</td>
</tr>
<tr>
<td>Home Department Description (translated department name from the Home Department Table)</td>
<td>DEPT DESCR</td>
</tr>
<tr>
<td>Employment Status Code (EDB0144)</td>
<td>STATUS</td>
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<tr>
<td>Most Recent Hire Date (EDB0113)</td>
<td>HIRE DATE</td>
</tr>
<tr>
<td>Deduction Pay Schedule Code (EDB0152)</td>
<td>SCHED</td>
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<tr>
<td>Primary Title Code (EDB0460)</td>
<td>TITLE</td>
</tr>
<tr>
<td>Title Code Description (translated title from Title Code Table)</td>
<td>TITLE DESCR</td>
</tr>
<tr>
<td>Recoupment Amount (X1 transactions) Per Pay Period</td>
<td>PAY PERIOD AMOUNT</td>
</tr>
<tr>
<td>Recoupment Amount (X1 transactions) Total</td>
<td>TOTAL AMOUNT</td>
</tr>
<tr>
<td>Flag1</td>
<td>COHR</td>
</tr>
<tr>
<td>Flag2</td>
<td>EXIST RECOUPEMENT</td>
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</table>
### 3.4 Functional Requirements Approval

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>11/17/11</td>
<td>Ken Smith</td>
<td>Run date (include with each record)</td>
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</table>

### 4 Revision History

<table>
<thead>
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<th>Version</th>
<th>Date</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>10/7/11</td>
<td>Ken Smith</td>
<td>Submitted through Issue Tracker</td>
</tr>
<tr>
<td>1.1</td>
<td>10/10/11</td>
<td>Beth Burkart</td>
<td>Christopher’s estimate, added issue tracker number</td>
</tr>
<tr>
<td>1.2</td>
<td>10/12/11</td>
<td>Caroline Rider</td>
<td>Estimates</td>
</tr>
<tr>
<td>1.3</td>
<td>10/12/11</td>
<td>Beth Burkart</td>
<td>Estimates</td>
</tr>
<tr>
<td>1.4</td>
<td>10/13/11</td>
<td>Beth Burkart</td>
<td>Estimate notes. Added ROI section, QA, total est and cost. Lead time.</td>
</tr>
<tr>
<td>1.5</td>
<td>10/18/11</td>
<td>Beth Burkart</td>
<td>Mary Ann’s est approval</td>
</tr>
<tr>
<td>1.6</td>
<td>10/20/11</td>
<td>Beth Burkart</td>
<td>Bob’s estimate approval</td>
</tr>
<tr>
<td>1.7</td>
<td>11/03/11</td>
<td>Ken Smith</td>
<td>Added Functional Requirements section based on post-kickoff meeting version of SR83503</td>
</tr>
<tr>
<td>1.8</td>
<td>11/09/11</td>
<td>Beth Burkart</td>
<td>Updated estimate table. Updated Table of Contents and Footer.</td>
</tr>
<tr>
<td>1.9</td>
<td>11/10/11</td>
<td>Ken Smith</td>
<td>Use GTN 007 created in SR 83507.</td>
</tr>
<tr>
<td>1.10</td>
<td>11/14/11</td>
<td>Ken Smith</td>
<td>Use GTN 041 created in SR 83507 (GTN 007 is in use by the campuses)</td>
</tr>
<tr>
<td>1.11</td>
<td>11/14/11</td>
<td>Ken Smith</td>
<td>Minor corrections (Thanks Beth!)</td>
</tr>
<tr>
<td>1.12</td>
<td>11/14/11</td>
<td>Caroline Rider</td>
<td>Revised assumptions (no DS transactions)</td>
</tr>
<tr>
<td>1.13</td>
<td>11/17/11</td>
<td>Maxine Gerber</td>
<td>Added approval of requirements Removed watermark Finalized document</td>
</tr>
<tr>
<td>1.14</td>
<td>11/28/11</td>
<td>Ken Smith</td>
<td>Modified “eligible employee” consistent with modification to SR83505</td>
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