IR&C Business Requirements Document

SR83506 –AFSCME EX Lump Sum

HRBIS

Created on: 10/07/2011
Last Modified on: 01/20/2012

Table of Contents

1 Business Need Section

1.1 Objective:

Implement the AFSCME EX Agreement of September 22, 2011 ratified October 10, 2011.

1.2 Issue Tracker Reference

Corresponding Issue Tracker Number, if applicable: PPS_RSCH-241

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 lump sum 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 UCRP recoupment of SR83507 Recoupment of delayed UCRP increase AFSCME EX. The earliest payment will be the December MA paid January 6.

1.7   Statement of Business Need:

Issue a lump sum payment in lieu of retro to AFSCME EX members covering the period of January through October 2011.

1.7.1   Additional Background:

The October 10, 2010 agreement includes the following paragraph:

The lump sum payment shall be payable between ninety (90) and one-hundred twenty (120) calendar days following ratification of the 2011 reopener negotiations. The University shall pay a onetime, non-base building lump sum based on 3% of the actual earnings for the period between January 2011 and date on which the increase is finally instituted. This lump sum shall be retirement eligible. All appropriate taxes and UCRP contributions shall be deducted from the lump sum payment. . Because the lump sum payment will be issued by the UC later than originally agreed, the union and UC agreed on January 19, 2012 that an additional 0.58% will be added to the lump sum amount.

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 a number of essentially similar onetime programs have been created for other bargaining units in the recent past.

1.9   Proposed Process

1.9.1   Proposed process from a functional perspective

A onetime program should calculate a lump sum payment in lieu of a retro based on 3% of eligible earnings for January through October 2011. The payment is retirement eligible, non-base building.

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.
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 'EX' and PAR 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
    a. Pay periods

        i.   BW ending January 22 through BW ending November 12 2011

        ii.   MO and MA ending January 31 through MO and MA ending October 31 2011

        iii.   SM ending January 15 through SM ending October 31 2011

  b. PAR Title Unit Code EX and PAR Appointment Representation Code C

  c. DOS Range Adjustment Indicator is Y.

        i.   Pay Category "N" with Type of Hours Code "R", "O", or "P" or

        ii.   Pay Category "A" with Type of Hours Code "O" or "P"

5. The program should
   a. Create four output files
      i. Transactions file
      ii. Warnings and Control Report
      iii. Tab delimited detail report
      iv. Costing transactions
   b. Sum Eligible earnings
   c. Calculate an initial lump sum payment equal to 3% of eligible earnings.
   d. Calculate a lump sum payment equal to the initial lump sum times 1.0058
   e. Prorate the payment across the FAUs from the employees current EDB distributions associated with Appointment Title Unit Code EX and Appointment Representation Code C.
      i. Use expired in-unit distributions if there are none current.
   f. Generate transactions for the prorated payments having DOS code LSP and Pay Period End Date aligning with the next regular primary pay cycle for the employee.
      i. For employees with Employment Status Code A or P, output to Transaction File, Tab delimited detail report, Costing file.
      ii. For employees with Employment Status Code N output to Tab delimited detail report only. Issue warning message to Warnings and Control Report.
      iii. For employees without current or expired in-unit distributions output to Tab delimited detail report, Costing file. Issue warning message to Warnings and Control Report.
   g. Sort generated transactions into four files by pay cycle MO, MA, SM, BW
   h. Create a tab delimited file listing each lump sum payment.

2 Scope and Estimate Section

2.1 Scope

➢ Medium
Additional Scope Information:

2.2 Assumptions

- This SR will be released in the same release as SR83505

- The requirements section of this BRD will be completed prior to Technical Specification Preparation

- Technical Specification Preparation will be done by the same analyst who prepares the TSD for SR83505

- Mainframe development will reuse code completed for SR83505

2.3 Overview of Changes

Code a one-time program similar to the one-time program developed for SR83505.

2.4 Estimate

In initial phase, provide work hours/days. After requirements, this can be revised and dates added.

Task	Estimated Work Hours Based on Business Needs	Working Days	New Estimate Based on Functional Requirements? (Enter new estimates if applicable)	New Estimate Based on Technical Spec? (Enter new estimates if applicable)	Actuals After completion
Requirements Gathering	Ken	Ken			
Technical Specification Preparation	8 hrs	1.25 days			
Mainframe Development	~~100 hrs~~ 65 hours (per Bob)	~~15 days~~ 10 days (per Bob)			
Web Development	n/a	n/a			
QA	104 hrs	12 days	120 hrs/14 days (19 total, 5 overlap with dev.)	60 hours/7 days (10 days total, 3 overlap dev.)	
User Acceptance Testing	8 hrs	3 days			
Release Preparation	8 hrs	1.25 days			
Installation in	21 hrs	2 days		40 hours/5	

Production				days	
Total	**214 hours**	**29.5 days**			

Costing:
8 hrs @$84/hour = $672
198 hrs @ $69/hour = $13,662
Total: $14,334

* Estimate Notes:
- Used standard UAT estimate of 8 hours/3 days.
- QA estimate: 16 days, with 4 overlapping development; recorded 12 days in table.
- Revised QA estimate of 60 hours is based on the assumption that programming assistance (create the SQL scripts and execute them) would be provided for selecting the employees (that would comprise the test population) from the production database.
- 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 6 weeks

2.6   Scope and Estimate Approval

2.6.1   Approval by IR&C QA Manager

Version	Date	Name
1.0	10/18/11	Mary Ann Gohl

2.6.2   Approval by IR&C Programming Manager

Version	Date	Name
1.0	10/20/11	Bob Franks

2.6.3   Approval by Hosted Applications Manager

Version	Date	Name
1.0	10/10/11	Christopher Scott

2.6.4   Approval by Requesting Department Manager

Version	Date	Name
1.0		

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: Code and test a one-time program similar to PPOT1969

- Interface Files:

- Other Tax Processing

- CICS Screen/Web Page Modifications:

- Online Help Modifications:

- Reporting and Notification:

- Forms:

3.2   One-time Processes

Req. ID	Requirement Type/Category	Requirement Description
R0001	One-time Process	Note: only one of R0001A or R0001B applies depending on the timing of the release. See 1.9.2 of Business Needs.
R0001A	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 current appointment with EDB 2029 Title Unit Code "EX" and EDB 2031 Appointment Representation Code "C" on the day the program is run.
R0001B	One-time Process	Select Eligible Employees for processing based on PAR data Have earnings during the pay periods listed below with PAR title unit 'EX' and PAR representation code 'C 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

Req. ID	Requirement Type/Category	Requirement Description
R0002	One-time Process	Select Eligible ***Earnings*** of Eligible Employees for processing based on PAR data. • Earnings transaction end date o BW Jan 22 – Nov 12, 2011 o MO, MA Jan 31 – Oct 31, 2011 o SM Jan 15 – Oct 31, 2011 • All PAR data available beginning January 2011 to the day the one-time program is run should be processed so as to include transactions processed after the look back window for pay within the look back window (i.e., Late Pay). • Skip expense transfer transactions. • PAR Title Unit Code "EX" and PAR Appointment Representation Code "C". • DOS Code has RNG ADJ indicator "Y" and either o Pay Category "N" with Type of Hours Code "R", "O", or "P" or o Pay Category "A" with Type of Hours Code "O" or "P"
R0003	One-time Process	Create 7 Output Files • Lump Sum Payment Transactions (one for each pay cycle MO, MA, SM, BW) • Warnings and Controls Report • Tab delimited detail report • Standard Costing Transactions File (for input to PPP960)
R0004	One-time Process	Calculate a Lump Sum amount for each earnings record • Multiply the earnings by 3% • For ERIT distributions (DOS code ERT) the lump sum amount will be negative
R0005	One-time Process	Calculate the total lump sum payment • Sum the amounts calculated from each earnings record

Req. ID	Requirement Type/Category	Requirement Description
		• <mark>Multiply the sum by 1.0058</mark>
R0006	One-time Process	Prorate the payment across FAU based on EDB data • The proration method should be consistent with that employed in prior releases (R1969, R1977, and R1979). A general description follows: • For each distinct FAU associated with a current regular distribution in appointments having Appointment Title Unit Code "EX" and Appointment Representation Code "C" o Current distribution has Pay End Date greater or equal to program run date o Regular distribution has DOS Type Hours Code equal to "R" o Sum the distribution percents by FAU o Sum the distribution percents overall o For example, FAU 1 45%, FAU 2 45%, FAU 3 35% Overall 125% o The proration percent is the percent associated with each FAU divided by the overall percent. o For example, FAU 1 45/125 is 36%, FAU 2 36%, FAU 3 35/125 is 28%. o The lump sum payment for this example is allocated 36% to FAU 1, 36% to FAU 2 and the remainder to FAU 3. Note that FAU 3 is not calculated as a percent in order to avoid round off errors. • If there are no current regular distributions satisfying the above, the program should attempt to prorate across expired regular distributions. • For employees having no current or expired in-unit distributions issue message ""<ERROR> *ELIG APPT; NO ELIG DIST; PAYMENT BYPASSED " to the warnings and control report and enter the calculated lump sum in the tab delimited file.
R0007	One-time Program	Lump Sum Transactions • Generate an FT transaction for each FAU having DOS code LSP and pay period end date coinciding with the next regular pay cycle for the employee. o MA 12/31/11

Req. ID	Requirement Type/Category	Requirement Description
		○ MO 1/31/12
		○ SM 1/15/12
		○ BW 1/21/12
R0008	One-time Program	<u>Output</u> • For employees with Employment Status Code "A" or "P" output to transactions file, tab delimited file, costing file. • Transactions are placed in one of four files depending on the employees primary pay cycle. • For employees with Employment Status Code "N" output to tab delimited file only. Issue message "<ERROR> *UNPAID LEAVE OF ABSENCE; PAYMENT BYPASSED " to warnings and control report.
R0009	One-time Program	<u>Tab Delimited File</u> Columns of the tab delimited file should consist of: Employee Name (EDB0105) Employee ID Employee Home Department (EDB0114) Home Department Code Description from the Home Department Table Employment Status Code (EDB0144) Deduction Pay Schedule Code (EDB0152) For each FT transaction: • Full Accounting Unit (FAU) • Transaction Amount The column headers should be EMPLOYEE NAME EMP ID DEPT DEPT DESCRIPTION STATUS SCHED FAU

Req. ID	Requirement Type/Category	Requirement Description
		AMOUNT
R0010	One-time Program	<u>Warnings and Controls Report</u> • The report should show totals for all payments processed. • Totals should be grouped by primary pay schedule • For each pay schedule, the report should display the number of transactions and the total amount of the lump sum payments.

3.3   Functional Requirements Approval

Version	Date	Name
1.0	11/8/11	Ken Smith

4   Revision History

Version	Date	Name	Description
1.0	10/7/11	Ken Smith	Submitted via Issue Tracker
1.1	10/10/11	Beth Burkart	Christopher's estimate.
1.2	10/12/11	Beth Burkart	Added Issue Tracker number
1.3	10/13/11	Peter Parker	Estimate TSD preparation, mainframe development, and release preparation.
1.4	10/12/11	Beth Burkart	Estimates
1.5	10/13/11	Beth Burkart	Costing, QA estimate, total est., ROI from template.
1.6	10/18/11	Beth Burkart	MAG QA est approval
1.7	10/20/11	Beth Burkart	Updated MF progr est per Bob; updated totals and costing. Changed lead time accordingly.
1.8	11/03/11	Ken Smith	Corrected deadline, added background, incorporated edits from SX lump sum BRD.
1.9	11/7/11	Ken Smith	Updated BRD per suggestions from Beth
1.10	11/8/11	Beth Burkart	Updated QA estimate based on functional requirements.
1.11	11/8/11	Ken Smith	Updated section on proration at Beth's request.
1.12	11/8/11	Beth Burkart	Prepared to post on web.
1.13	11/9/11	Beth Burkart	Updates to estimates based on tech specs.
1.14	11/23/11	Ken Smith	New variant on "eligible employee"
1.15	01/19/12	Ken Smith	Late payment penalty xx.xx%
1.16	01/20/12	Ken Smith	Late payment penalty 0.58%