

IR&C Business Requirements Document

SR83507 – Recoupment of delayed UCRP rate increase for AFSCME EX

HRBIS

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1 Business Need Section

1.1 Objective:

Implement the AFSCME EX Agreement of September 22, 2011.

1.2 Issue Tracker Reference

Corresponding Issue Tracker Number, if applicable: PPS_RSCH-238

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 SR83506 AFSCME Lump Sum Payment EX. 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 EX for July through 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. A new GTN proposed to be GTN 041 will be created and incorporated into the UCRP interface and STIP files.

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 this onetime program is run
 - a. Not separated or inactive
 - b. Have at least one active appointment with Title Unit Code EX and Appointment Representation Code C.
 - c. Have EDB Employee Benefits Eligibility Unit Code EX 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 'EX' and PAR representation code 'C' and PAR Employee Benefits Eligibility Unit Code EX 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 July, August, September, or October 2011
 - b. UCRP covered compensation and UCRP membership
 - c. PAR Employee Benefits Eligibility Unit Code EX and PAR Employee Benefits Representation Code C
5. The program should

- a. Calculate a UCRP contribution amount for each of the months July, August, September and October on eligible earnings at 3.5% minus \$19.00. Sum the four months.
- b. Calculate a UCRP contribution amount for each of the months July, August, September and October on eligible earnings at 2.0% minus \$19.00. Sum the four months.
- 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 July, August, September or 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, PPI730

2.2 Assumptions

- The one-time program will be based on the one-time program for SR83503.
- The changes are expected to be those related to bargaining unit and retro period, as well as adjustments to the calculations for the transactions and the reporting file and the inclusion of GTN 041 in Plan 05 for STIP and UCRS interfaces.

2.3 Overview of Changes

Will be based on one-time program for SR83503; minor changes related to bargaining unit and retro period.

2.4 Estimate

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	4 hours	1 day			
Mainframe Development	32 hours	5 days		30 hours/5 days	
Web Development	N/A	N/A		N/A	
QA	120 hours	13 days		80 hours/8 days (+ 5 days to overlap with development)	
User Acceptance Testing	8 hours	3 days			
Release Preparation	12 hours	2 days		No Change	
Installation in Production	9 hours	1 day		27 hours/2 days	
Total	185 hours	25 days			

Costing:

$$1 \text{ hours @ } \$84/\text{hour} = \$336$$

173 hours @ \$69/hour = \$11,937

Total: \$12,273 (does not include UAT)

* Estimate Notes:

- Standard UAT estimates of 8 hours over 3 days used.
- QA estimate: 19 days, with 6 days overlapping development; recorded 13 days.
- 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.
- Requirements Gathering elapsed time allows time for document approval.
- 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

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	10/19/11	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: New GTN 041
- 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: Recoupment Program
- Interface Files: UCRP Interface and STIP 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
R0000	Control Table Update	<u>Add new GTN 041 to GTN table</u> Attributes are identical to existing GTN 006 except in pay schedule codes. GTN 006 has S-A B-2 M-A. GTN 041 will have S-X B-X M-X. See attached UPAY 545.
R0001	One-time Process	<u>Note: only one of R0001A or R0001B applies depending on the timing of the release. See 1.9.2 of Business Needs.</u>
R0001A	One-time Process	<u>Select Eligible <i>Employees</i> for processing based on EDB data.</u> <ul style="list-style-type: none"> • 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 “EX” and EDB 2031 Appointment Representation Code “C” on the day the program is run. • Have EDB 0445 Employee Benefits Eligibility Unit Code “EX” and EDB 0446 Employee Benefits Representation Code “C” on the day the program is run.
R0001B	One-time Process	<u>Select Eligible <i>Employees</i> for processing based on PAR data.</u> <ul style="list-style-type: none"> • Earnings during any pay period listed below with PAR title unit ‘EX’ and PAR representation code ‘C’ and PAR Employee Benefits Eligibility Unit Code EX and PAR Employee Benefits Representation Code C. • Pay periods: <ul style="list-style-type: none"> ○ MO or MA beginning January 1 and ending January 31 2012

Req. ID	Requirement Type/Category	Requirement Description
		<ul style="list-style-type: none"> ○ BW beginning January 8 and ending January 21 2012 ○ SM beginning January 16 and ending January 31 2012
R0002	One-time Process	<p><u>Select Eligible <i>Earnings</i> for processing based on PAR data.</u></p> <ul style="list-style-type: none"> ● Earnings transaction end date between July 1, 2011 and October 31, 2011 ● All PAR data available beginning July 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 between July 1, 2011 and October 31, 2011. ● Skip expense transfer transactions. ● UCRS covered compensation <ul style="list-style-type: none"> ○ 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”, “B”, or “1” ● PAR Employee Benefits Eligibility Code “EX” 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).
R0003	One-time Process	<p><u>Calculate Total Recoupment Amount.</u></p> <ul style="list-style-type: none"> ● Calculate the UCRP contribution amount by month for each month in which eligible earnings are found using a UCRP rate of 2% minus \$19.00 ● Sum the resulting UCRP contributions (hereafter referred to as B) ● Calculate the UCRP contribution amount by month for each month in which eligible earnings are found using a UCRP rate of 3.5% minus \$19.00 ● Sum the resulting UCRP contributions (hereafter referred to as A)

Req. ID	Requirement Type/Category	Requirement Description																		
		<ul style="list-style-type: none"> Subtract B from A 																		
R0004	One-time Process	<p><u>Establish repayment GTN 041 (X1 transactions file)</u></p> <ul style="list-style-type: none"> 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 R0003. 																		
R0005	One-time Process	<p><u>Tab Delimited File</u></p> <ul style="list-style-type: none"> 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 border="1"> <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> </tr> <tr> <td>Most Recent Hire Date (EDB0113)</td> <td>HIRE DATE</td> </tr> <tr> <td>Deduction Pay Schedule Code (EDB0152)</td> <td>SCHED</td> </tr> </tbody> </table>	Data Definition	Column Heading Description	Location (two-digit numeric code) – include with each record	LOC	Employee ID	ID	Employee Name (EDB0105)	EMPL NAME	Home Department (EDB0114)	DEPT	Home Department Description (translated department name from the Home Department Table)	DEPT DESCR	Employment Status Code (EDB0144)	STATUS	Most Recent Hire Date (EDB0113)	HIRE DATE	Deduction Pay Schedule Code (EDB0152)	SCHED
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Most Recent Hire Date (EDB0113)	HIRE DATE																			
Deduction Pay Schedule Code (EDB0152)	SCHED																			

Req. ID	Requirement Type/Category	Requirement Description	
		Primary Title Code (EDB0460)	TITLE
		Title Code Description (translated title from Title Code Table)	TITLE DESCR
		Recoupment Amount (X1 transactions) Per Pay Period	PAY PERIOD AMOUNT
		Recoupment Amount (X1 transactions) Total	TOTAL AMOUNT
		Flag1	COHR
		Flag2	EXIST RECOUPMENT
		Run date (include with each record)	RUN DATE
R0006	Interface Files	GTN 041 should be reported on the UCRP Interface and STIP file (PPI 730) in the same manner as existing GTN 006. The layout document for PPI 730 documentation should be updated (see highlighting on attachment in 5.2 below).	

3.3 Functional Requirements Approval

Version	Date	Name
1.0	11/17/11	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	Caroline Rider	Estimates
1.3	10/12/11	Beth Burkart	Estimates
1.4	10/13/11	Beth Burkart	Est. table; QA est, totals, lead time.
1.5	10/18/11	Beth Burkart	Mary Ann Est.
1.6	10/20/11	Beth Burkart	Bob's est approval
1.7	11/03/11	Ken Smith	Added Functional Requirements Section based on post-kickoff meeting version of SR83503
1.8	11/9/11	Beth Burkart	Estimate table, table of contents.
1.9	11/10/11	Ken Smith	Create new GTN, add it to UCRS interface and STIP. Minor change to amount on tab delimited file.
1.10	11/14/11	Ken Smith	Changed GTN from 007 (in use at the campuses) to 041
1.11	11/14/11	Ken Smith	Added signed UPAY form
1.12	11/14/11	Ken Smith	Minor corrections (Thanks Beth!)
1.13	11/14/11	Caroline Rider	Revised assumptions to include PPI730

1.14	11/17/11	Maxine Gerber	Added requirements approval Finalized Document Removed Draft Watermark
1.15	11/28/11	Ken Smith	Updated “employee eligibility” to conform with modification to employee eligibility in SR83506
1.16	11/29/11	Ken Smith	Revised UPAY changed suspend attribute from “R” to “S”
1.17	12/22/11	Ken Smith	Added update of layout document for PPI 730. This only adds mention of new GTN 041 in the document.
1.18	01/11/12	Ken Smith	In R0002 changed requirement that PAR retirement system code be “U” to also include “B” and “1” For consistency, in Business needs section 1.9.2 item 4b added UCRP membership as a requirement for PAR earnings.
1.19	01/22/12	Ken Smith	Strike out requirement for EDB EBEUC in 1.9.2, R0001

5.2 PPI 730 Layout Document Update

UCRS Plan Codes and PPS GTNs		
UCRS Plan Code	GTN Number	GTN Description
03	028	UCRS-Basic
	029	UCRS Buyback
	032	UCRS Under 30
	361	Non-Tax Deferred Buyback1
	362	Non-Tax Deferred Buyback2
	363	Non-Tax Deferred Buyback3
	364	Non-Tax Deferred Buyback4
	365	Non-Tax Deferred Buyback5
	006 (subtracted)	UCRS-Retroactive
04	023 (Inactive – R1635)	UCRS Savings
05	005	UCRS Basic-R
	006	UCRS Recoupment (Installments)
	041	UCRS Recoupment (All at once)
	351	Tax Deferred Buyback#1
	352	Tax Deferred Buyback#2
	353	Tax Deferred Buyback#3
	354	Tax Deferred Buyback#4
	355	Tax Deferred Buyback#5
08	344 (Inactive – R1635)	TIPS-Non-Tax Deferred
09	343 (Inactive – R1635)	Balanced Growth-Non-Tax Deferred
10	001 (Inactive – R1635)	Tax Deferred Savings
	232 (Inactive – R1635)	Tax Deferred Savings-Percent
12	031 (Inactive – R1635)	UCRS-Equity
14	003 (Inactive – R1635)	Tax Deferred Equity
	234 (Inactive – R1635)	Tax Deferred Equity-Percent
15	030 (Inactive – R1635)	UCRS-Bond
16	002 (Inactive – R1635)	Tax Deferred Bond
	233 (Inactive – R1635)	Tax Deferred Bond-Percent

UCRS Plan Codes and PPS GTNs

UCRS Plan Code	GTN Number	GTN Description
18	745	SMS Contribution DCP Supplemental
19 (memo plan)	351	Tax Deferred Buyback#1
	352	Tax Deferred Buyback#2
	353	Tax Deferred Buyback#3
	354	Tax Deferred Buyback#4
	355	Tax Deferred Buyback#5
20 (memo plan)	361	Non-Tax Deferred Buyback#1
	362	Non-Tax Deferred Buyback#2
	363	Non-Tax Deferred Buyback#3
	364	Non-Tax Deferred Buyback#4
	365	Non-Tax Deferred Buyback#5
21	N/A	UCRP Employer Contribution ¹
28	742	SMS Contribution DCP
29	743	SMS Contribution 403(b)
	746	SMS Contribution 403(b) Supplemental
30	744	SMS Contribution 457(b)
	747	SMS Contribution 457 (b) Supplemental
31	202 (Inactive – R1635)	Insurance Company Contract-Non-Tax Deferred

¹ The UCRP employer contribution associated with Plan Code 21 is calculated from rates stored in the Benefits Rates Table (BRT).