Service Request 83507
EX UCRP Recoupment

Technical Specification

Version History

Version #	Date	Revised By	Reason for Change
1.0	11/08/11	Caroline Rider	Initial draft
1.1	11/14/11	Caroline Rider	Add PPI730, add new GTN 041, other clarifications and details.
1.2	01/04/12	Caroline Rider	Use PPOT2014 file for eligibility

Table of Contents

1   Introduction

As part of the 2011 AFSCME contracts for the SX and EX bargaining units, employees will pay the retroactive UCRP rate increase of July 2011. There are three related SRs:

- 83503, which addresses the SX recoupment for July, August, and September

- 83508, which addresses the SX recoupment for October

- 83507, which addresses the EX recoupment for July, August, September, and October

1.1.1   Service Request S83507

SR83507 requests that the UCRP adjustment deductions for July, August, September, and October earnings be recalculated as the difference between the UCRP deduction at 3.5% and the UCRP deduction at 2.0%.

2   Background

This is a one-time process that will be based on SR83503, and will use a file of IDs from PPOT2014 to determine employee eligibility.

3   Overview of System Modifications

3.1.1   One-Time Process

The UCRP adjustment transactions must be calculated as the difference between the UCRP deduction at 3.5% (less the $19 Regents Rebate) and the UCRP deduction at 2% (less the $19 Regents Rebate). The calculation process must match (as much as possible) the normal UCRP calculation process.

The process must produce a file of EDB update transactions (X1 transactions) to establish a deduction (G balance) and declining balance (D balance) that will allow the deductions to be taken in their entirety in the first available compute.

The process must produce a tab-delimited reporting file.

3.1.2   STIP and UCRS Interfaces

PPI730 includes specific GTNs in the calculation of Plan 05 amounts. The new GTN will need to be added to that list.

4   Design Considerations

4.1   Assumptions and Dependencies

- Fiscal year covered compensation limits will not be addressed; this population is not typically subject to those
- FICA threshold issues will not be addressed; this population is not typically subject to these
- The one-time program for the SX UCRP recoupment (SR83503) can be used as the basis for the PAR file record selection, EDB update transaction file production, and tab-delimited reporting file production

4.2   General Constraints

- Earnings selection must follow current UCRP rules

5 Testing Considerations

If possible, use live data from at least one campus.

6 Mainframe Design

6.1 One-Time Process

6.1.1 Cobol Programs

6.1.1.1 PPOTRRRR

PPOTRRRR is a one-time program to generate EDB G- and D-balance update transactions for the EX UCRP recoupment for July, August, September, and October 2011; it will also produce a tab-delimited reporting file. The program will determine employee eligibility from a file of employee IDs produced by PPOT2014, and use the earnings data from the sequential PAR file to calculate the adjustment to the UCRP deduction. It will use PPOTRRRR from SR83503 as the basis.

Overall process:

For each employee, determine whether the employee is eligible, based on a file of IDs produced by PPOT2014.

If the employee is eligible:

- For each PAR file record for the employee:
  - If not an expense transfer (not XPAR-EXPENSE-TRANSFER) and is UCRP (XPAR-UCRS-RETR) and is in the bargaining unit XPAR-BEN-ELIG-UNIT-CD = <bargaining unit> and representation code (XPAR-BEN-ELIG-REP-CD = <rep code>, process the earnings distributions (varying through XPAR-NO-ACCTS):
    - Verify that the DOS code (XPAR-DOS (idx) is subject to UCRP; if it is, use the earnings transaction date (XPAR-PERIOD-END-DATE (idx)) to add the earnings (XPAR-EARN-AMT (idx) to the appropriate earnings bucket (see PPBENUGR for DOS rules and accumulation process) – do not accumulate if no match on transaction year and month)
    - If the earnings are for a cancellation, overpayment, handdrawn, or rush check (XPAR-INTRANS-CD (idx) is 'C2', 'O2', 'H2', 'R2'), set a flag <COHR present> for reporting purposes
- Recalculate the old and new UCRP deductions:
  - For each month of the retro period:
    - Calculate the old amount as accumulated earnings multiplied by old UCRP rate for the month divided by 100 (rounded), minus old rebate amount (make negative results zero)
    - Calculate the new amount as accumulated earnings multiplied by new UCRP rate for the month divided by 100 (rounded), minus new rebate amount (make negative results zero)
    - Calculate the difference as new amount minus old amount
    - Add to total difference
- Create the X1 transaction for the G- and D-balances:
  - If the employee already has a G-balance, D-balance, or S-balance for the deduction code (check PPPDBL for a match on the employee ID, <deduction code>, and the three balance indicator values), set a flag <deduction present> for reporting purposes and do not write the X1 transaction; otherwise, create the X1 transaction with a

        D balance of the total difference and a G balance that depends on <retro payback period> (if it's zero, the G balance is the same as the D balance; otherwise, it's the total difference divided by <retro payback period> plus .005 (rounded)) and write the X1 transaction

- Create the reporting file record:

  o If the <deduction present> flag is set, use the total difference for the Recoupment Amount Total and zero for the Recoupment Amount Per Pay Period; otherwise, use the same basic rules for setting the values of the reporting record that were used for PPOTRRRR from SR83503: if <retro payback period> is zero, the Recoupment Amount Per Pay Period is the same as the G balance; otherwise, use the employee's primary pay schedule to calculate the Recoupment Amount Per Pay Period (MO/MA is the same as the G balance, BW/SM is the G balance divided by 2).

WORKING-STORAGE

Include the following:

- A GTN to be used for the resulting transactions WS-RETRO-GTN PIC X(3) – with value '041'

Revise the existing tables:

- A value for the number of retro months WS-RETRO-MONTHS PIC 9(2) – with value 4

- A value for the bargaining unit WS-RETRO-UNIT-CD PIC X(2) – with value 'EX'

- A value for the representation code   WS-RETRO-REP-CD PIC X(1) – with value 'C'

- A value for the number of payback months WS-PAYBACK-MONTHS PIC 9(2) – with value zero

- An array (OCCURS 12) of month dates, old and new rates,and rebate amounts

  o Month date (ccyymm) – with values in the first four slots of 201107, 201108, 201109, 201110

  o Old UCRP rate PIC S9(5)V9(4) – with values in each of the first four slots of 2.00

  o Old UCRP rebate amount PIC S9(5)V9(4) – with values in each of the first four slots of 19.00

  o New UCRP rate PIC S9(5)V9(4) – with values in each of the first four slots of 3.50

  o New UCRP rebate amount PIC S9(5)V9(4) – with values in each of the first four slots of 19.00

PROCEDURE DIVISION

Use WS-RETRO-GTN instead of '006' in the DBL cursor, and use it to construct the '6041G' value for X1-GTN-AMT-CODE and '6041D' value for X1-GTN-DBAL-CODE.

For the calculation of the G balance: if WS-PAYBACK-MONTHS is zero, the G balance is the same as the D balance; otherwise, it's the total difference divided by WS-PAYBACK-MONTHS plus .005 (rounded)

For the calculation of the Recoupment Amount Per Pay Period: if WS-PAYBACK-MONTHS is zero, the amount is the same as the total difference; otherwise, use the employee's primary pay schedule to calculate it (MO/MA is the same as the G balance, BW/SM is the G balance divided by 2 (rounded)).

6.1.2   Bind Members

6.1.2.1   PPOTRRRR (new)

Plan bind member for PPOTRRRR.

The plan bind will include PPOTRRRR.

6.2 STIP and UCRS Interfaces

6.2.1 Cobol Programs

6.2.1.1 PPI730

PPI730 creates the STIP file for UCRP activity for each compute and the retirement interface files and the Bureau of Labor Standards report (via PPPBLS) at month end. It will be modified to include GTN '041' in Plan 05 amounts.

WORKING-STORAGE

Increase the OCCURS for GTN-MPP-CD by 1 to 112

Increase the OCCURS for GTN-TABLE-CODE by 1 to 112

Add UCRS-RETRO-OT to the GTN-KEY-NOS table and increase the OCCURS for DED-EL-CODES by 1 to 112.

Increase the OCCURS for SPEC-TRANS by 1 to 112

Add DED-041 to the EMPLOYEE-DEDUCTIONS table and increase the OCCURS for DED-ELS by 1 to 112.

Increase the OCCURS for SPEC-TRANS by 1 to 112

PROCEDURE DIVISION

In 23100-UCRS-CHECK, include DED-041 in the list that checks for non-zero amounts.

In 33760-LIM-UCRS-EMP, include DED-041 in the calculation of PLAN-5.

7 Unit Testing Requirements

7.1 PPOTRRRR

Test cases should include employees with:

- Monthly earnings that are less than 542.72 (new and old amounts are under 19.00 rebate)
- Monthly earnings that are between 542.72 and 950.00 (new amount is over 19.00 rebate, old amount is under 19.00 rebate)
- Monthly earnings that are more than 950.00 (new and old amounts are over 19.00 rebate)
- Earnings that are prior to 07/01/2011
- Earnings that are after 10/31/2011
- Rush check and/or handdrawn (should be included and flagged in reporting file)
- Overpayment and/or cancellation (should be included and flagged in reporting file)
- Expense transfer (should be bypassed)
- An existing deduction for GTN 041 (should be flagged in reporting file and not included in X1 transaction file)

7.2 PPI730

Testing should include at least a BW cycle (to demonstrate that the entire amount is taken) and a run of PPI730 in T/Treasurers mode with the PAR file from that compute. Note that an old and new run of PPI730 with the same input file should be identical for all but the Plan 05 amounts, and the additional amount for Plan 05 should match the GTN 041 amount. The same PAR file can be used as input to PPI730 in S/Standard mode, with similar results for the old and new runs