

**Detailed Design
RELEASE 1498**

**Service Request 80487
CX One-time Lump Sum Payments**

June 19, 2003
07:13 AM

Information Systems & Computing
Office of the President
University of California

Introduction

The resulting agreement between the University and CUE (Coalition of University Employees) was ratified by the CUE membership on May 1, 2003, and signed by the University on May 12, 2003.

As part of the 2001-2003 CUE Wage Article, the University is required to provide each eligible employee in the CX unit with a non-base building lump sum equal to 1% of his/her total within unit earnings from November 1, 2001 through September 30, 2002 for monthly paid employees, and from October 28, 2001 through September 28, 2002 for biweekly paid employees. Lump Sum payments must be paid to eligible employees not later than September 18, 2003.

Service Request 80487 asks that a process be developed to implement the CX Lump Sum Payment Program equal to 1% of the eligible employees' earnings from 11/01/2001 through 09/30/2002. The CX Lump Sum Payment Program involves the following processes:

- Calculation of the lump sum payment amount for each eligible employee,
- Produce lump sum payment transactions for the Compute Process,
- Produce lump sum costing transactions for the Costing Process, and
- Detail reporting of lump sum payments.

In addition to the lump sum payout, the CUE Wage Article includes the following elements:

- 1% adjustment to ranges and corresponding campus range adjustment
- Within range, one-half step base-building merit increase and retroactive merit adjustment
- Reporting on range adjustment and merit increase.

UCOP Compensation will handle the adjustment to ranges, while campuses will implement the range and merit adjustments using existing processes. Thus, no additional programming will be necessary to handle these portions of the wage agreement.

Human Resources & Benefits Information Systems Support will submit separate requirements to outline the range adjustment and merit reporting needs.

Eligible employees shall be those members of the bargaining unit who are on payroll or approved leave as of the effective date of the agreement, May 12, 2003. Labor Relations will provide a roster of eligible employees, based on unit membership data from the Monthly and Weekly Unified Union Reporting Files. The consolidated eligibility roster

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will include the Employee ID, Employee Name, and Location Code of all eligible employees with an active appointment in the CX unit on the effective date of the agreement (May 12, 2003). UCOP will receive the consolidated eligibility roster file from labor Relations and split the file by Location Code into separate campus eligibility roster files.

At each campus, the appropriate campus eligibility roster file should be included with the lump sum program, and should be used as the input data source for the lump sum payment process.

An addendum to Service Request 80487 has been received to modify the original requirements. That is, the lump sum payments must be considered UCRS base building. Thus, in order to avoid a “spike” in HAPC (Highest Average Pension Compensation), the lump sum payments reported to UCRS should be evenly distributed among the months for which the lump sum calculation took place.

It is asked that the following changes be made:

1. Lump sum payment transactions generated should use a DOS code of ‘LSP’ (‘Lump sum payment - UCRS base building’)
2. During the lump sum calculation process (section 4.1), the program should aggregate earnings and calculate a lump sum amount for each month in the eligibility period. In the payment transaction process (section 4.2), the program should generate a unique transaction for each month’s lump sum; each of these transactions should have a Pay Period End Date corresponding to the appropriate month for which the sum was calculated.
3. When determining the fund source against which the payment should be charged, the program should first attempt to identify the fund source(s) associated with the employee’s current CX appointment(s) and distributions(s). The program should examine appointments and distributions that are active as of the SCR Current Date, and multiple FAUs should be charged proportionately as described in section 4.2 of the original requirements.

If there is no active appointment as of the SCR Current Date, the program should attempt to locate any active appointment(s)/distribution(s) for the employee as of the contract effective date, May 12, 2003. If the program finds any such active appointment(s)/distribution(s), it should charge the lump sum payment to the corresponding FAU(s). If there is no active appointment as of the SCR Current Date or contract effective date, the program should charge the lump sum payment to the default FAU which the campus has provided.

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Processing Overview

A one-time process will be developed to provide support for the CX one-time 1% lump sum payment calculated on eligible employees' eligible monthly earnings from November 1, 2001 through September 30, 2002.

The one-time process will process the Eligibility Roster File containing Employee IDs of those employees who are eligible for the CX one-time lump sum payments. A detail report will be provided to report those employees eligible for the 1% lump sum payments.

Eligible PAR earnings will be selected based on the Title Unit Code of 'CX', Appointment Representation Code of 'C', and the DOS Code contains a value of 'N' or 'A', and a Type Hours Code of 'R', 'O', or 'P'. The selected PAR earnings will be aggregated by each eligible month in the eligibility period. Within each eligible month, the PAR earnings will be further aggregated by Title Code.

The sum of the total monthly eligibility earnings for each unique title will be multiplied by .01 to produce the employee's lump sum payout amount.

To determine the fund source against which the payment will be charged, the program will first attempt to identify the fund source(s) associated with the employee's current CX appointment(s) and distributions(s). The program will examine appointments and distributions that are active as of the SCR Current Date, and the lump sum will be charged proportionately against the multiple FAUs. If there is no active appointment as of the SCR Current Date, the program will attempt to locate any active appointment(s)/distribution(s) for the employee as of the contract effective date, May 12, 2003. If the program finds any such active appointment(s)/distribution(s), it will charge the lump sum payment proportionately to the corresponding FAU(s).

If there is no active appointment as of the SCR Current Date or contract effective date, the program will charge the lump sum payment to the default FAU which the campus will provide on the Specification Record.

A FT type pay transaction will be written for each employee's calculated monthly lump sum. Separate pay transaction files will be generated for primary pay schedules of 'BW', 'MO', 'MA', and 'SM' for processing in the appropriate compute pay cycles. In addition, the generated lump sum payments will be "UCRS Base Building", and that a DOS Code of 'LSP' will be used for the payment transactions.

Costing transactions will be produced for the Costing Consolidation Process.

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One-Time Bind

PPOT1498:

A plan bind will be created for one-time program PPOT1498.

The Bind Member List will include PPDOSUT2.

| | |
|------------------|---|
| BIND | - |
| PLAN(PPOT1498) | - |
| MEMBER(PPOT1498, | - |
| PPTCTUTL | - |
| PPDOSUT2) | - |
| ACTION(REPLACE) | - |
| RETAIN | - |
| VALIDATE(BIND) | - |
| ISOLATION(CS) | - |
| FLAG(I) | - |
| ACQUIRE(USE) | - |
| RELEASE(COMMIT) | - |
| EXPLAIN(YES) | - |

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One-Time Program

PPOT1498

General overview

One-time program PPOT1498 will be developed to process the Eligibility Roster File containing eligible employees for the lump sum payment, examine all PAR earnings with pay period end dates from November 30, 2001 through September 30, 2002 for monthly paid employees, and pay period end dates from November 10, 2001 through September 28, 2002 for bi-weekly paid employees.

Each eligible employee's PAR earnings will be selected from the DB2 Earnings Table. Earnings are selected based on the conditions that the Title Unit Code is 'CX', Appointment Representation Code is 'C', and the DOS Code is associated with a Pay Category value of 'N' (normal) or 'A' (additional pay), and Type Hours value of 'R' (regular), 'O' (overtime), or 'P' (premium overtime). Only PAR earnings from 11/01/2001 through 09/30/2002 (earnings eligibility period) will be selected for processing.

Eligible PAR earnings will be selected based on the Title Unit Code of 'CX', Appointment Representation Code of 'C', and the DOS Code is associated with Pay Category value of 'N' or 'A', and a Type Hours Code of 'R', 'O', or 'P'. The selected PAR earnings will be aggregated by each eligible month in the eligibility period. Within each eligible month, the PAR earnings will be further aggregated by Title Code.

The sum of the total monthly eligibility earnings for each unique title will be multiplied by .01 to produce the employee's monthly lump sum payout amount.

To determine the fund source against for which the lump sum payment will be charged, the program will first attempt to identify the fund source(s) associated with the employee's current CX appointment(s) and distributions(s). ***Note that current distributions containing a DOS Code associated with START (Staff and Academic Reduction in Time program) are bypassed*** The program will examine appointments and distributions that are active as of the SCR Current Date, and the lump sum will be charged proportionately against the multiple FAUs.

If there is no active appointment as of the SCR Current Date, the program will attempt to locate any active appointment(s)/distribution(s) for the employee as of the contract effective date, May 12, 2003. If the program finds any such active

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appointment(s)/distribution(s), it will charge the lump sum payment proportionately to the corresponding FAU(s).

If there is no active appointment as of the SCR Current Date or contract effective date (May 12, 2002), the program will charge the lump sum payment to the default FAU which the campus will provide on the Specification Record.

A FT type pay transaction will be written for each employee’s calculated monthly lump sums. Separate pay transaction files will be generated for primary pay schedules of ‘BW’, ‘MO’, ‘MA’, and ‘SM’ for processing in the appropriate compute pay cycles. In addition, the generated lump sum payments will be “UCRS Base Building”, and that a DOS Code of ‘LSP’ will be used for the payment transactions.

Costing transactions will be produced for the Costing Consolidation Process.

A detail one-time report will be produced listing each eligible employee’s total lump sum aggregated by title code.

Run Specification Record Edit:

If a Run Specification Record does not exist, an error message will be issued and the job will terminate. If the record exists, the program ID will be edited. If the program ID is invalid, an error message will be issued, and the job will terminate.

A batch number must be provided for the compute batch header created for the output pay transaction files. If the field is not numeric or blank, an error message will be issued, and the job will terminate.

If the spec default FAU is blank, an error message will be issued, and the job will terminate.

If an Action Code value is entered (not blank) on the specification record, that Action Code will replace the program’s internal Action Code value of ‘32’.

A Run Specification form will **not** be created for this one-time program. See Attachment A for the coding specifications. The following is a sample layout for the Run Specification record:

| | | | | | |
|-----------|---------|---------|-----------|---------|------|
| | 1 | 2 | 3 | 4 | 5 |
| 1--- | 5--- | 0--- | 5--- | 0--- | 5--- |
| PPOT1498- | SPEC550 | 3404918 | CCCC19900 | PROJ331 | |

Columns 1 through 13 (Program ID, required)

Columns 14 through 16 (Batch Number, required)

Columns 17 through 18 (Costing Action Code, optional)

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Columns 19 through 48 (Default FAU, required)

Initialization:

Control Table Database (CTL)

- The Campus Control Record (CCR) Table will be accessed to obtain the Campus Location Code.
- The DB2 Description of Service (DOS) Table will be accessed via the DB2 utility program PPDOSUT2. An internal DOS Table will be returned from PPDOSUT2 containing all DOS entries associated with a Pay Category of 'A' or 'N'.

Specification Record Edits

The values entered on the Specification record will be edited.

- If the Program ID is not valid, error message "INVALID RUN SPEC IDENTIFIER" will be issued.
- If the Default FAU is not entered, error message "DEFAULT SPEC FAU MUST BE ENTERED" will be issued.
- If a Batch Number is not entered or not numeric, error message "INVALID COMPUTE BATCH NUMBER" will be issued.
- No edit will be made on the input Action Code. *If an Action Code value is entered, the spec Action Code value will override the internal Action Code value of '32'.*

Inputs:

1. Control Table Database (CTL)

The following CTL Table will be accessed:

PPPTTL Table – Translated Title Code

2. Employee Database (EDB)

The following EDB Tables will be accessed:

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PPPPER Table – Employment Status (EDB 0144), Home Department (EDB 0114)

PPPPCM Table – Employee’s Primary Pay Schedule (EDB 0152)

PPPAPP Table – Employee’s current appointments

PPPDIS Table – Employee’s current distributions

3. Eligibility Roster File

This file contains Employee IDs of those employees who are eligible to receive the CX one-time 1% lump sum payments.

Process:

1. Process Eligibility Roster File

The Location Code on the first Eligible Roster record will be edited. If the Location Code does not match the Campus Location Code, error message “INVALID CAMPUS LOCATION ON ELIG ROSTER FILE” will be issued.

For each eligible roster record read:

Appropriate counters and accumulator amounts will be set to zero.

The employee’s Home Department on the PPPER Table will be saved. The employee’s Primary Pay Schedule on the PPPPCM Table will be saved.

- **Selection of earnings records**

A DB2 cursor will be opened to select earnings records satisfying all the following conditions:

- Record Type is *not* equal to ‘65’ (Expense Transfers),
- Title Unit Code (EDB 2029) is equal to ‘CX’,
- Appointment Representation Code (EDB 2031) is equal to ‘C’,
- And Pay Period End Date is within the range of ‘2001-11-10’ and ‘2002-09-30’ inclusively.

The selected earnings records for processing will be sorted by Pay Period End Date, and within Pay Period End Date by Title Code.

- **Process selected earnings records**

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If the Pay Schedule on the earnings record is equal to 'B', and the Pay Period End Date on the earnings record falls between '2001-11-10' and '2002-09-28' inclusively,

If the current month on the Pay Period End Date or current Title Code has changed since the last processed earnings record, the monthly Lump Sum will be calculated using the accumulated monthly eligible earnings (See section *Calculation and Generate Lump Sum Transactions* below).

Otherwise the paid earning on the earnings record will be accumulated based on eligible earnings (See section *Determine earnings record eligible for lump sum* below).

To determine the fund source(s) against which the calculated lump sum will be charged, the current appointments/distributions will be accessed based on the following conditions:

All appointments with a Title Unit Code of 'CX' and Appointment Representation Code of 'C' and associated distributions that are active as of the SCR Current Date will be examined. If there is no active appointment as of the SCR Current Date, an attempt will be made to locate any active appointments and distributions as of the contract effective date of May 12, 2003.

The selected active appointments and distributions will be processed (See section *Process Appointments/Distributions* below).

If there are no current appointments as of the SCR Current Date or contract effective date, the lump sum will be charged to the default FAU provided on the specification record.

Otherwise

If the Pay Period End Date on the earnings record falls between '2001-11-30' and '2002-09-30' inclusively,

If the current month on the Pay Period End Date or current Title Code has changed since the last processed earnings record, the monthly Lump Sum will be calculated using the accumulated monthly eligible earnings (See section *Calculation and Generate Lump Sum Transactions* below).

Otherwise the paid earning on the earnings record will be accumulated based on eligible earnings (See section *Determine earnings record eligible for lump sum* below).

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To determine the fund source(s) against which the calculated lump sum will be charged, the current appointments/distributions will be accessed based on the following conditions:

All appointments with a Title Unit Code of 'CX' and an Appointment Representation Code of 'C' and associated distributions that are active as of the SCR Current Date will be examined. If there is no active appointment as of the SCR Current Date, an attempt will be made to locate any active appointments and distributions as of the contract effective date of May 12, 2003.

The selected active appointments and distributions will be processed (See section *Process Appointments/Distributions* below).

If there are no current appointments as of the SCR Current Date or contract effective date, the lump sum will be charged to the default FAU provided on the specification record.

- **Process Appointments and Distributions**

If the current distribution contains a DOS Code associated with START (Staff and Academic Reduction in Time program, the distribution will be bypassed. Otherwise the FAU on the current distribution will be selected if the DOS Code is associated with a *Pay Category Code is 'N' or 'A' (and) Type Hours* is associated with an 'R', 'O', or 'P'.

The Distribution Percent and FAU from the selected distribution will be saved to the FAU Table. If the current Distribution's FAU does not exist in the FAU Table, the current Distribution's FAU and Percent will be inserted to the FAU Table. Otherwise the current Distribution Percent will be added to the existing Distribution Percent on the FAU Table. In addition, the Distribution Percent will be added to the Total Distribution Percent accumulator.

- **Determine eligible earnings record for lump sum**

If the DOS Code from the earnings record matches a DOS Code on the internal DOS Table with following conditions,

If the *Pay Category Code is 'N' or 'A' (and) Type Hours* on the DOS entry is equal to 'R', 'O', or 'P', the earnings amount on earnings record will be added to the Total Earnings accumulator.

- **Calculate and Generate Lump Sum transactions**

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If Total Earnings is equal to zero, error message “ON ELIGIBILITY ROSTER FOR LUMP SUM; NO ELIGIBLE EARNINGS” will be issued.

Or if Total Earnings is less than zero, error message “NEGATIVE TOTAL ELIGIBLE EARNINGS” will be issued.

Otherwise

The Total lump sum is calculated by taking the accumulated Total Monthly Earnings Accumulator multiplied by .01 (1%) and rounded to the nearest cent.

To charge the lump sum proportionately among FAU(s), the FAU Table is accessed. The portion of the lump sum to be charged to each FAU on the FAU Table is calculated as follows:

For each entry on the FAU Table,

The Total Lump Sum is multiplied by the distribution percent divided by the Total Distribution Percent accumulator.

A FT transaction will be written to the appropriate Pay Cycle file.

A Costing transaction will be written to the Costing file.

If no FAU entries are on the FAU Table, the default FAU from the specification record will be reported on the FT transaction, and a costing transaction will be written to the Costing file.

A sort record containing the Employee's Name, Employee ID, Home Department Number, Employment Status, Primary Pay Schedule, Title Code, calculated lump sum, and total earnings will be written to the sort file for later reporting.

2. End of Eligibility Roster File Processing

The Sorted report file is opened, and each sorted record is processed.

The detail lump sum report will be displayed in Employee Name order. The Employee Name, Employee ID, Home Department Number, and translated Home Department number will be displayed once on detail lines 1 and 2.

Output

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1. **Sorted Report File**

The SORT Process will sort the report file in Employee Name order for Lump Sum Reporting.

2. **CX One-time Lump Sum Payment report**

The one-time process will write the appropriate detail reports containing all employees who received the 1% lump sum payments.

See Attachment B for sample reports.

3. **FT Transaction File**

The appropriate pay cycle FT transaction File will contain compute FT type transaction records of employees who are eligible to receive the lump sum payments.

4. **Costing Transaction File**

The Costing File containing costing transactions will be processed via the Costing Process.

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Attachments

| | |
|------------------|---|
| Attachment A | PPOT1498 Run Specification Record |
| Attachment B | OT14981 Report (1.00% Lump Sum Report) – detail |
| Attachments C, D | OT14982 Report (Messages/Control Totals Report) |

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One-time Program Run Specification

| | | | | | | | | | | | | | |
|---------|---------------|---|---|---|---|---|---|---|---|---|---|---|---|
| Column | 1 | 5 | 0 | 5 | 0 | 5 | 0 | 5 | 0 | 5 | 0 | 5 | 0 |
| Numbers | PPOT1498-SPEC | | | | | | | | | | | | |

- Columns 1 through 13 – Program ID
- Columns 14 through 16 – Batch Header Number
- Columns 17 through 18 – Optional Action Code override
- Columns 19 through 48 – Default FAU

Note: If not overriding internal Action Code of '32', leave blank in columns 17 through 18.

Attachment A

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OT14981/PPOT1498/051303
RETN: SEE RPTS DISP SCHEDULE/DIST.

UNIVERSITY OF CALIFORNIA-SYSTEMWIDE
ONE-TIME CX LUMP SUM
CX LUMP SUM REPORT

PAGE NO. 000001
RUN DATE: 05/27/03

| EMPLOYEE NAME/EMP ID | HOME DEPARTMENT/NAME | STATUS | PRI | PAY | TITLE CODE | CX EARNINGS | LUMP SUM |
|--------------------------------|-----------------------|--------|-----|------|---|--------------------|---------------|
| DINNER,BUFFY 000050128 | 827701 HOSP EDUC | A | MO | 4722 | ____ASSISTANT III 6733 BIBLIOGRAPHER I | 1,829.60 228.70 | 18.30 2.29 |
| EMPLOYEE, TEST12 111111112 | 804918 CHAN OFFICE | A | MO | 4672 | CLERK, SR/SECRETARY | 12,000.00 | 120.00 |
| JOHNSON, MALCOM P 111111111 | 804918 CHAN OFFICE | N | BW | 4672 | CLERK, SR/SECRETARY | 12,643.00 | 126.43 |
| | | | | | TOTAL | 26,701.30 | 267.02 |

Attachment B

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OT14982/PPOT1498/051303
RETN: SEE RPTS DISP SCHEDULE/DIST.

UNIVERSITY OF CALIFORNIA-SYSTEMWIDE
ONE-TIME CX LUMP SUM
WARNING/CONTROLS

PAGE NO. 000001
RUN DATE: 05/27/03

<WARNING> ** ON ELIGIBILITY ROSTER FOR LUMP SUM; NO ELIGIBLE EARNINGS
 000000001

<WARNING> ** ON ELIGIBILITY ROSTER FOR LUMP SUM; NO ELIGIBLE EARNINGS
 701000016

<WARNING> ** ON ELIGIBILITY ROSTER FOR LUMP SUM; NO ELIGIBLE EARNINGS
 901222002

Attachment C

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CX One-time Lump Sum Payment
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OT14982/PPOT1498/051303
RETN: SEE RPTS DISP SCHEDULE/DIST.

UNIVERSITY OF CALIFORNIA-SYSTEMWIDE
ONE-TIME CX LUMP SUM
WARNING/CONTROLS

PAGE NO. 000002
RUN DATE: 05/27/03

-- RUN SPECIFICATION --
DEFAULT PAYMENT FAU:

3-404918-CCCC-19900-PROJ33-1

-- OUTPUT CONTROL --

| | | |
|---|----|--------|
| FT ONE-TIME PAY RECS WRITTEN - MO CYCLE | 9 | 140.59 |
| FT ONE-TIME PAY RECS WRITTEN - BW CYCLE | 2 | 126.43 |
| FT ONE-TIME PAY RECS WRITTEN - MA CYCLE | 0 | \$0.00 |
| FT ONE-TIME PAY RECS WRITTEN - SM CYCLE | 0 | \$0.00 |
| TOTAL LUMP SUM PAYMENTS ISSUED | | 267.02 |
| FT COSTING RECS WRITTEN | 11 | |
| TOTAL COSTING AMOUNT | | 267.02 |

Attachment D