

Release 1669

Service Request 16979

Salary Cap Error Reporting File

Detail Design

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Information Resources & Communications
Office of the President
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Overview

Various government agencies, including the National Institute of Health (NIH), have established guidelines that restrict charging payroll expenses at payrates in excess of the Executive Level II of the Federal Executive Pay Scale.

Release 1647 implemented a front-end process to provide payrate compliance within the EDB File Maintenance edit process. Most payments to individuals are based on these EDB **normal** pay attributes.

Service Request 16879 asks that a process be developed which examines the **actual** earnings issued during the process month and report warning conditions that indicate possible non-compliance with the stipulated cap guidelines. To serve this purpose, program PPP531 will be developed which will read the DB2 PAR and screen these earnings for payments with FAUs that fall within the salary limitation categories identified on the Fund Group Table. When any of these restricted payments contain one of the following warning conditions, the employee's earnings will be included on the tab delimited "Salary Cap Error Reporting" output file:

- The pay rate exceeds the proscribed limit
- The payment is a Retroactive Rate Adjustment (RAI)
- The payment is for a By-Agreement (BYA) amount.

The same (CTL) mechanism as introduced in Release 1647 (6/6/05) will be used for the determination of distribution payrate cap:

1. The Fund Group Table will be used to identify funding groups subject to salary limitation.
2. The Assessment Rate Table will be used to store salary limits applicable to varying effective dates.
3. The Title Code Table will be used to identify "Basis Paid Over".

Program PPP537 will be modified to optionally produce a formatted listing of the Salary Cap Error Reporting file in either Employee Name order or Home Department order.

Program PPP531

Salary Cap Error Reporting (SCER) file

PPP531 will read the DB2 PAR earnings for a specified process month (identified on Input Specification) and in conjunction with various CTL tables produce the output Salary Cap Error Reporting (SCER) File. The SCER file will be a tab delimited fixed length record file and contain the following elements:

| Element | Format | Source |
|------------------------|-----------------|--|
| Location | x(2) | Campus Control Record (CCR) |
| Process Month | x(7)ccyy-mm | Input Specification (UPAY925) |
| Record Type | x(1) | “1”: Header Record “2”: Rate Record “3”: Employee Detail Record “4”: Trailer Record |
| Pay Period End Date | x(10)ccyy-mm-dd | DB2 PAR (PPPERN) |
| Pay Cycle | x(2) | DB2 PAR (PPPERN) |
| Employee ID | x(9) | DB2 PAR (PPPERN) |
| Priority Gross Control | x(3) | DB2 PAR (PPPERN) |
| Home Department | x(6) | EDB (PPPPER) primary or DB2 PAR (PPPEUD) |
| Employee Name | x(26) | EDB (PPPPER) primary or DB2 PAR (PPPEUD) |
| FAU | x(30) | DB2 PAR (PPPERN) |
| Distribution Dept | x(6) | PPFAU002 (local) |
| Percent Time | S9.9999 | DB2 PAR (PPPERN) DERIVED_PCT |
| Rate Type | x(1) | DB2 PAR (PPPERN) “2”: Amount, “4”: Hourly |
| Earnings Rate | S99999.9999 | DB2 PAR (PPPERN) |
| Rate Schedule Code | x(1) | DB2 PAR (PPPERN) “M”, “B”, or “S” |
| DOS | x(3) | DB2 PAR (PPPERN) |
| Earnings Date | x(10)ccyy-mm-dd | DB2 PAR (PPPERN) |
| Paid Gross | S999999.99 | DB2 PAR (PPPERN) |

| | | |
|---|-----------------|---|
| Title Code | x(4) | DB2 PAR (PPPERN) |
| Title Description | x(28) | CTL Title Code Table |
| Basis Paid Over | x(5) | CTL Title Code Table |
| Monthly Dist Rate | S999999.99 | Derived when Rate Schedule Code is "B" or "S" |
| Monthly Rate Cap | S999999.99 | Derived (Fund Group Table, Assessment Rate Table, Title Code Table, and pay attributes) |
| Warning Over Cap | x(1) | Derived - Blank or "X" (over cap) |
| Warning BYA (By-Agreement Amount) | x(1) | Derived - Blank or "X" (BYA) |
| Warning RAI (Retroactive Rate Adjustment) | x(1) | Derived - Blank or "X" (RAI) |
| File Creation Date | x(10)ccyy-mm-dd | Operating System |
| End Record Flag | x(1) | "X" constant |

PPP531 Processing

General File Handling

PPP531 will retrieve all DB2 PAR earnings for the process month identified on the program Input Specification. Every earnings distribution (including warning and other attributes, as applicable) is written to a Temporary Work file. If, while examining the employee's earnings, an error or warning condition is identified, a special "Trigger" file record is written for the affected Employee ID. During this process, the earning's FAU is examined for Salary Cap applicability (Fund Group Table) and, if applicable, the Monthly Salary Cap is derived (Assessment Rate Table and Title Code Table) and compared to the distribution's calculated Monthly Rate. If the distribution rate exceeds the cap, or if the payment is a retroactive rate adjustment, or the payment is a "By-agreement", then a Trigger Record is issued for the employee.

After all PAR monthly earnings have been examined and written to the Temporary Work File, the Temporary Work File and Trigger File are closed and re-opened for sequential matching. During this matching process, those Temporary Work records (each record represents a PAR earning) which do not match a Trigger Record Employee ID are dropped. Those Temporary Work Records which do have an associated Trigger Record are then used to create the final output Salary Cap Error Reporting (SCER) record.

Program Startup

1. PPMMSGUTL will be initialized for all program print reporting and message issuance.
2. The Input Specification (UPAY925) will be read and edited (esp. Selection Month: MMDD).
3. The Campus Control Record (CCR) will be accessed for Location Code.
4. A Cursor against the DOS Table will be opened and all DOS entries which have a Calculation Function of "A" (Amount type of pay; i.e., By-Agreement) will be stored to determine if a specified DOS is a "BYA".
5. The Header Record (Record Type "1") of the Salary Cap Error Reporting (SCER) file is built and written to the Temporary Work File.
6. A Cursor against the Assessment Rate Table (ART) will be opened and all entries with Benefit Assessment Type "CAP" will be read and stored in Assessment Rate Code/ Effective Date order. As each entry's Annual Cap Amount is stored, the associated Monthly Rate Cap and 9/12 Monthly Rate Cap are derived and stored:
 - Monthly Rate Cap = ART Annual Rate / 12
 - 9/12 Monthly Rate Cap = Monthly Rate X 9 / 12
7. As each above ART table entry is stored, three Rate Records (Record Type "2") are written to the Temporary Work File. The first record (per the ART Assessment Rate Code and Effective Date) will contain the Annual Rate; the second record will contain the Monthly Rate; the third record will contain the 9/12 Monthly Rate.

Process PAR Earnings

A Cursor against the PAR's PPPERN table is opened and all Earnings records for the specified month will be returned in Employee ID/Pay Period End Date order. Each earnings will be processed as follows:

1. If the Earnings Paid Amount is zero, the entry is bypassed.
2. An Employee Detail record (Record Type "3") is built using those fields available from the Earnings data.
3. If the PAR earnings RAI indicator is not blank, the SCER Warning RAI field is set to "X".

4. If the earnings DOS equals one of the stored BYA DOS values, the SCER Warning BYA field is set to "X".
5. The earning's Monthly Pay Rate is developed using the PAR earnings Pay Rate:
 - If the earnings Rate Type is "4" (4 decimal hourly), when the Schedule Code is "S" (semi-monthly) or "M" (monthly), the Monthly Pay Rate is calculated to equal the earnings Pay Rate times 174. (Where $174 = 2088 \text{ hrs} / 12$). When the Rate Type is "4" (hourly) and the Schedule Code is "B" (biweekly), the Monthly Pay Rate is calculated to equal the Pay Rate times $2080 / 12$. Where 2080 is 26 periods times 80 hours.
 - Otherwise, if the earnings Schedule Code is "B" (bi-weekly), the Monthly Pay Rate is calculated to equal the earnings Pay Rate times $26 / 12$.
 - Otherwise, if the earnings Schedule Code is "S" (semi-monthly), the Monthly Pay Rate is calculated to equal the earnings Pay Rate times 2.
 - Otherwise (the earnings rate is monthly), Monthly Pay Rate is set to the value of earnings Pay Rate.
6. The Fund Group Table is accessed via PPFAU018 using Grouping Definition "SALRYCAP" and the earnings FAU as linkage input.
7. If PPFAU018 indicates a Funding Group match was not made (i.e., the rate is not applicable to limitation), the earnings data record is written to the Temporary Work File and further Salary Cap edits are bypassed for the earnings.
8. Otherwise, the returned Fund Group Code (4 characters) is used to match the stored ART Assessment Rate Code (4 characters) where the Art Effective Date is the greatest date which does not exceed the Earnings Date.
9. The Title Code Table is accessed using PPTCTUTL in order to determine the Basis Paid Over and Title Description.
10. The Monthly Rate Cap is determined. If the Title Code Table entry indicates a "9/12" Basis Paid Over, the matched ART Assessment Rate Code/Effective Date entry's 9/12 Monthly Rate Cap (see Program Startup, above) is used as the Monthly Rate Cap. Otherwise, the (standard) Monthly Rate Cap is used.
11. If the earning's Monthly Pay Rate exceeds the Monthly Rate Cap:

- A Trigger Record will be issued for the employee (i.e., the employee's pay earnings will be included on the final Salary Cap Error Reporting (SCER) file).
- The Warning Over Cap Flag is set and warning message (53-111) is issued (these earnings must be examined).

12. Since, at this point, it has been determined that the FAU is governed by a rate limitation, if either the Warning RAI flag or the Warning BYA Flag has been set for the earnings:

- A Trigger Record will be issued for the employee (i.e., the earnings will be included on the final SCER file).

13. The earnings data record is written to the Temporary Work File.

Note, those employees who have at least one payment FAU which is subject to Salary Cap limitations and yet receive a By Agreement payment through another, non-restricted FAU, will also have a Trigger Record issued for their Employee ID (this employee's pay records will be included on the final SCER File).

Additionally note that if an employee has a rate restricted FAU (according to the Fund Group Table) but either an ART Table match cannot be established (CTL inconsistency or Earnings Date prior to earliest matched Effective Date) or the earnings Title cannot be found, the Monthly Rate will be set to all "9"s and a Trigger Record issued.

PPP531 Final Processing

After all PAR monthly earnings have been examined and written to the Temporary Work File, the Temporary Work File and Trigger File are closed and re-opened for sequential processing. The leading Temporary Work records which are either Type "1" (header record) or Type "2" (rate records) are immediately read and copied to the final output Salary Cap Error Reporting (SCER) file.

When the first Type "3" (employee detail) record is encountered, this and all subsequent Type "3" will be matched to the Trigger File. During this matching process, those Temporary Work records (each record represents a PAR earning) which do not match a Trigger Record Employee ID are dropped. Those Temporary Work Records which do have an associated Trigger Record are then used to create an associated final output Salary Cap Error Reporting (SCER) record.

After all Temporary Work records have been processed, the Type "4" (trailer) record (with embedded file count) is added as the last record of the final SCER file.

Program PPP537

Program PPP537, Tab Delimited File Reporting Process, was issued in Release 1658 as an ad hoc program developed to read, sort and print the NRA Imputed Income file. It will be modified to optionally print the Salary Cap Error Reporting record.

The PPP537 Specification Input (form UPAY921) identifies the program input file and print order. It will be modified to allow selection of the Salary Cap Error Reporting File for print. The print order may be specified as either Employee Name or Home Department (with Employee Name secondary).

The Input Specification UPAY921 directs what input file will be read and processed. When the UPAY921 Request Report is "PSBPNRA", then only the NRA Imputed Income file (DD Name "NRAINP") will be opened and printed by PPP537. Conversely, when the UPAY921 Request Report is "SALRCAP", then only the Salary Cap Error Reporting file (DD Name "NIHTAB") will be opened and processed by PPP537.

When the Salary Cap Error Reporting File is processed by PPP537 to format and print the Type "3" employee detail records, the Type "2" (representing the matrix of Salary Cap Rates) records will be pre-processed and used to provide a variable number of print sub-headings which identifies these rates and effective dates.