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SR81309 Requirements Senior Management Supplement (SMS) Program

Objective:

To develop a mechanism to post Senior Management Supplement contributions to eligible participants' DC, 403(b), and 457(b) accounts.

Project Type:

This is an enhancement to PPS.

Requested by:

Senior Management Compensation and Benefits

Analyst:

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Due Date(s):

This release is Date Mandated.

Changes to support the new Senior Management Supplement program must be in place before December 2005 earnings are processed.

Background:

At their March 2005 meeting, the UC Regents approved amendments to the 403(b), 457(b), and Defined Contribution (DC) Plans (“the Plans”) to permit contributions to be made to the plans in lieu of the current Severance Pay Program (SPP) contributions:

Provide In Lieu Supplement under the Plans

The SPP was established by action of The Regents in 1990 to provide a benefit for senior managers at separation from service. Over the years, the SPP has been managed at the local level due in part to the limited capacity of the systemwide computer programs. With the move to a master record keeping platform, it is now possible to amend the SPP and the Plans as necessary to provide a supplement in lieu of the SPP benefit through the Plans, consistent with the limits of the Internal Revenue Code and as mandated by changes in the law applicable to deferred compensation plans. These amendments would involve no change in the benefit level provided to participants under the SPP.

The Health Sciences Severance Pay Plan (HSSPP) will remain unchanged.

Current Process:

During EDB File Maintenance, PPS evaluates appointment attributes to derive a Senior Management Severance Pay Indicator value (EDB 1122). Only Senior Managers with a Senior Management Severance Pay Indicator value of ‘A’, ‘B’, ‘C’, ‘D’, or ‘E’, or a Senior Management Exception Indicator (EDB 0412) of ‘Y’, are eligible to receive SPP contributions.

Each eligible Senior Manager receives severance pay contribution amounts equal to 3% or 5% of his or her current salary, depending on the Senior Management Severance Pay Indicator value.

Each month, the SPP Monthly Process calculates and stores the monthly SPP contribution amount for eligible participants. Each quarter, when the Short Term Investment Pool (STIP) rate is made available, campuses run the Quarterly SPP Process, which calculates and posts interest to the SPP balances stored for each participant.

When an eligible employee separates, the SPP balance is paid out in a lump sum payment, using the ‘SVE’ or ‘SVM’ DOS codes.

Proposed Process:

Existing SPP balances will be frozen as of December 2005, and will be transferred from the locations to the UCOP Senior Management Compensation group, which will maintain the SPP balances, apply quarterly STIP interest, and coordinate disbursements for separated participants. Under the new Senior Management Supplement (SMS) program, contributions previously made to the SPP program will now be posted to the participant’s defined contribution plan accounts (DCP, 403(b), 457(b)), administered by FITSCo (Fidelity Investments Tax-exempt Services Company).

For example, under the current SPP program, a Senior Manager with an annual salary of \$500,000 and a Senior Management Severance Pay Indicator of ‘B’ is eligible for a monthly severance contribution equal to 5% of his/her salary (\$25,000 annually). Under the proposed process, this contribution will be posted to the employee’s DCP or 403(b) account each pay period via the existing NACHA process used to transmit employee deferrals to FITSCo.

The Senior Management Compensation group will calculate the *regular* pay period amount to be posted to the employee’s defined contribution plan, taking into account covered compensation limits, including

grandfathered limits where applicable. Anything over the employee’s covered compensation limit will be calculated as a *supplemental* amount.

Example:

Employee salary: \$500,000
 Senior Management Severance Pay Indicator: B
 Contribution rate: 5%
 Total annual SMS contribution: \$25,000
 Covered Compensation Limit: \$205,000 (not grandfathered)
 Pay Cycle: monthly

Regular contributions: \$205,000 (covered comp) * .05 = \$10,250 annually or \$854.17 monthly

Supplemental: \$25,000 (total contribution) - \$10,250 (regular contr.) = \$14,750 or \$1229.17 monthly

It is suggested that the *regular* and *supplemental* contributions be posted to the employee’s defined contribution plans using “employer contribution” Gross-to-Net numbers. One set of GTNs will be used to post *regular* contributions while another set will be used to post *supplemental* contributions.

Frozen Balance Contributions

The Senior Management Compensation group will reduce participants’ SPP balances (frozen as of December 2005) by making additional *frozen balance* contributions to the participant’s defined contribution accounts at the year of the calendar year.

The Senior Management Compensation group will analyze the year-to-date employee and employer contributions made to participants’ accounts to determine if the 415(c)¹ limits have been reached. For participants who have not reached the 415(c) limit in one or more defined contribution plans, the SPP balance will be decremented and a one-time *frozen balance* contribution will be made to the participant’s account(s).

Example:

Plan	Employee Contributions	Employer Contributions	Total YTD to Plan	Maximum allowed	Frozen Balance Contribution
DCP	\$12,000 (pre-tax, after tax, buyback, ee summer salary)	\$0	\$12,000	\$42,000	\$30,000
403(b)	\$14,000	\$25,000 (regular and supplemental SMS contributions)	\$39,000	\$42,000	\$3,000
457(b)	\$10,000	\$0	\$10,000	\$14,000	\$4,000

It is suggested that the same GTNs used for the supplemental contributions may also be used to post the frozen balance contributions.

¹ DCP and 403(b) plan maximum (415(c)) is the lesser of \$42,000 or 100% compensation. 457(b) does not have a 415(c) limit and has only a maximum of \$14,000 or \$18,000 if age 50 or over.

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Requirements:

1.0 Control Table Updates

1.1 Systems Parameters Table

The System Parameters Table carries several parameters related to the Severance Pay Program. Two of the parameters, entries 25 and 26, are related to the Severance Pay Payout Tolerance Check (section 9.3.1) and will remain in use for future payouts of SPP balances. These parameters should not be modified.

The other parameters (276-280) store the contribution rate for each Senior Management Severance Pay Indicator value. While there are no immediate plans to develop a mechanism to automate the SMS contribution calculation, it is suggested that these parameters remain unchanged to accommodate this development in the future.

1.2 Gross to Net (GTN)

Payroll Coordination has provided GTN numbers to be established on the GTN table for SMS contributions to the DCP, 403(b), and 457(b) plans. Year-to-date balances should be maintained for these GTN numbers, and effective dates should be required.

GTN Number	Description
742	SMS Contribution DCP
743	SMS Contribution 403b
744	SMS Contribution 457b
745	SMS Contribution DCP Supplement
746	SMS Contribution 403b Supplement
747	SMS Contribution 457b Supplement

1.3 Code Translation Table (CTT)

The following code translations should be established in the Code Translation Table:

Database	Data Element	Code Value	Length	Translation
CTL	GTNLBL	742	24	SMS Contribution DCP
CTL	GTNLBL	743	24	SMS Contribution 403b
CTL	GTNLBL	744	24	SMS Contribution 457b
CTL	GTNLBL	745	24	SMS DCP Supplemental
CTL	GTNLBL	746	24	SMS 403b Supplemental
CTL	GTNLBL	747	24	SMS 457b Supplemental
CTL	GTNDSC	742	20	SMS DCP
CTL	GTNDSC	743	20	SMS 403b
CTL	GTNDSC	744	20	SMS 457b
CTL	GTNDSC	745	20	SMS DCP Supplemental
CTL	GTNDSC	746	20	SMS 403 Supplemental
CTL	GTNDSC	747	20	SMS 457 Supplemental

1.4 NACHA GTN Organization (NGO) Table

GTNs 742, 743, 744, 745, 746, and 747 should be added to the NACHA GTN Organization Table. GTNs should be grouped in the following manner and batched on the NACHA file:

- 742 and 745 (SMS DCP)
- 743 and 746 (SMS 403(b))
- 744 and 747 (SMS 457(b))

For all GTNs, the Prenote Indicator should be set to 'N'.

2.0 Data Elements

2.1 Obsolete SPP Elements

The following data elements are related to the previous SPP program and can be made obsolete:

1. SPP-Total Contribution-Interest Posted (EDB 0402)
The total employment-to-date contribution to the Senior Management Severance Pay Program for which interest has been calculated.
2. SPP 1st Month Contribution – No Interest (EDB 0403)
Contribution for the first month of the current interest cycle for the Senior Management Severance Pay Program
3. SPP 2nd Month Contribution – No Interest (EDB 0404)
Contribution for the second month of the current interest cycle for the Senior Management Severance Pay Program
4. SPP 3rd Month Contribution – No Interest (EDB 0405)
Contribution for the third month of the current interest cycle for the Senior Management Severance Pay Program
5. SPP 4th Month Contribution – No Interest (EDB 0406)
Contribution for the fourth month of the current interest cycle for the Senior Management Severance Pay Program
6. SPP 5th Month Contribution – No Interest (EDB 0407)
Contribution for the fifth month of the current interest cycle for the Senior Management Severance Pay Program
7. SPP 6th Month Contribution – No Interest (EDB 0408)
Contribution for the sixth month of the current interest cycle for the Senior Management Severance Pay Program
8. SPP Total Interest (EDB 0409)
The total employment-to-date interest received on contributions to the Senior Management Severance Pay Program

2.2 Modified SPP Data Elements

The following data elements will remain in use as part of the Senior Management Supplement program and should be modified to remove references to the Severance Pay Program. Please refer to the suggested data dictionary page for new descriptions and translations.

1. SPP Indicator (EDB 0401), Attachment A

2. Senior Management Severance Pay Exception Indicator (EDB 0412), Attachment B
3. Senior Management Severance Override Contribution Rate (EDB 0413), Attachment C
4. Senior Management Severance Pay Indicator (EDB 1122), Attachment D

The following Data Elements will remain in use until all SPP frozen balances have been paid out:

1. SPP Total Payout (EDB 0410)
2. SPP Change Date (EDB 0411)

3.0 Screen Modifications

3.1 CICS EDB

3.1.1 EDB Inquiry Menus

On the EDB Inquiry “Central Menu” and “Departmental Menu”, the label for the ISSP screen should be modified to read “Sr Mgt Supplement.”

3.1.2 ISSP Screen

The following modifications should be made to the ISSP Inquiry screen:

- The description, G balance, and effective date for the new GTNs should be displayed as shown in Attachment E;
 - Field-level help for the “Sr Mgmt Contributions” label should read:
Employer contributions made to an eligible participant’s defined contribution plans (DCP, 403(b), and 457(b)) in lieu of Severance Pay Plan (SPP) contributions.
 - Field-level help for the “Num” label should read:
The Gross-to-Net number associated with Senior Management Supplement contributions to the participant’s defined contribution plan. SMS contributions represent the percent contribution up to covered compensation limits, expressed as a flat dollar amount, or a supplemental amount.

Code Interpretation:
 742 – SMS Contribution for the DCP plan
 743 – SMS Contribution for the 403(b) plan
 744 – SMS Contribution for the 457(b) plan
 745 – SMS Supplemental Contribution for the DCP plan
 746 – SMS Supplemental Contribution for the 403(b) plan
 747 – SMS Supplemental Contribution for the 457(b) plan
 - Field-level help for the “Desc” label should read:
Description: The description associated with the Gross-to-Net number for the Senior Management Supplement contribution.
 - Field-level help for the “Amount” label should read:
The monthly dollar amount to be contributed to the participant’s defined contribution plan.

- Field-level help for the “Eff Date” label should read:
The effective date for the Gross-to-Net contribution.
- Obsolete data elements (listed in section 2.0) and the online field-level “help” associated with these elements should be removed;
- The label for the SPP Indicator (EDB 0401) should be modified to read “Sr Mgmt Supplement”;
- The field-level help for the SPP Indicator (EDB 0401), the Senior Management Severance Pay Exception Indicator (EDB 0412), and the Senior Management Severance Override Contribution Rate (EDB 0413) should be modified to reflect the new data dictionary descriptions and translations;
- The title of the screen should be changed to “Senior Mgt Supplement”;
- The screen level “help” should be modified to read:

Function: ISSP displays the Senior Management Supplement (SMS) program information for eligible individuals.

Nature of Information: SMS information appears in order of the Supplement Pay Indicator, Change Date, Exception and Override Rate, and Total Pay Out.

There are both user-entered and system-derived fields on the ISSP.

No group fields appear on the ISSP.

3.1.3 EELI Screen

The EELI screen allows for the entry and update of the SPP Indicator (EDB 0401), the Senior Management Severance Pay Exception Indicator (EDB 0412), and the Senior Management Severance Override Contribution Rate (EDB 0413). The following modifications should be made:

- The screen should allow for the entry and update of GTNs 742, 743, 744, 745, 746, and 747 as shown on Attachment F. When the user enters the GTN number on the screen, the “Desc” field should be populated with the GTN description.
 - Field-level help for the “Sr Mgmt Contributions” label should read:
Employer contributions made to an eligible participant’s defined contribution plans (DCP, 403(b), and 457(b)) in lieu of Severance Pay Plan (SPP) contributions.
 - Field-level help for the “Num” label should read:
The gross-to-net number associated with Senior Management Supplement contributions to the participant’s defined contribution plan. SMS contributions represent the percent contribution up to covered compensation limits, expressed as a flat dollar amount, or a supplemental amount.

*Code Interpretation:
742 – SMS Contribution for the DCP plan*

743 – SMS Contribution for the 403(b) plan
744 – SMS Contribution for the 457(b) plan
745 – SMS Supplemental Contribution for the DCP plan
746 – SMS Supplemental Contribution for the 403(b) plan
747 – SMS Supplemental Contribution for the 457(b) plan

- Field-level help for the “Desc” label should read:
Description: The description associated with the Gross-to-Net number for the Senior Management Supplement contribution.
- Field-level help for the “Amount” label should read:
The monthly dollar amount to be contributed to the participant’s defined contribution plan.
- Field-level help for the “Eff Date” label should read:
The effective date for the Gross-to-Net contribution.
- The label for the Senior Management Severance Pay Indicator (EDB 1122) should be modified to read:
Sr Mgmt Supplement
- The field-level help for the Senior Management Severance Pay Indicator (EDB 1122), the Senior Management Severance Pay Exception Indicator (EDB 0412), and the Senior Management Severance Override Contribution Rate (EDB 0413) should be modified to reflect the new data dictionary descriptions and translations.

3.1.4 GTN Screens

The six new GTNs should be set up to display on the IGTN screen. PPS users should be able to enter and update the GTNs on the EGTN screen.

4.0 EDB Maintenance

4.1 File Maintenance

During regular EDB File Maintenance, an employee’s appointments are processed to derive a Senior Management Severance Pay Indicator value (EDB 1122). Because the system will still use this value to verify SMS program eligibility, this derivation should not be modified.

In addition, there are currently edits in place triggered by values entered in the Senior Management Severance Pay Exception Indicator (EDB 0412) and Senior Management Severance Override Contribution Rate (EDB 0413). These edits may remain in place without modification.

4.2 Periodic Monthly Maintenance

During Monthly Periodic Maintenance, logic should be added to remove the SMS Contribution GTN if a participating employee has separated. That is, if the Employment Status = ‘S’, and the employee record carries GTN 742, 743, 744, 745, 746, or 747 with a non-zero balance, the G balance should be set to zero and the effective date should be set to the initial date (0001-01-01).

5.0 History Process

No changes to the History process are required.

6.0 Compute Process Changes

6.1 NACHA Process

The NACHA process should be modified so that contributions made for the SMS Contribution GTNs are transmitted to Fidelity. SMS Contributions should be grouped according to plan type (742 with 745, 743 with 746, and 744 with 747), batched separately, and transmitted using the standard “7” record format currently used to transmit 403(b), 457(b), and DCP contributions. See Attachment G for the NACHA contribution file layout.

Note that the new GTNs must be transmitted using a new “Employer Contribution” source code:

GTN	Activity	Source code (“money class”)
742	SMS Contribution DCP	7
743	SMS Contribution 403(b)	3
744	SMS Contribution 457(b)	6
745	SMS Contribution DCP Supplemental	7
746	SMS Contribution 403(b) Supplemental	3
747	SMS Contribution 457(b) Supplemental	6

6.2 Verification of SMS eligibility

During the payroll compute, before a contribution is applied for GTN 742, 743, 744, 745, 746, or 747 the system should verify that the employee is eligible for a Senior Management Supplement Contribution. No eligibility verification is necessary if the contribution is being processed as a one-time contribution.

Because eligibility for the SMS program is identical to eligibility requirements for the SPP program, the system may use the existing SPP indicators to verify eligibility. An employee is only eligible for contributions in the following case:

The Senior Management Severance Pay Indicator (EDB 1122) must have a value of ‘A’, ‘B’, ‘C’, ‘D’, or ‘E’

or

The Senior Management Severance Pay Exception Indicator (EDB 0412) must be set to ‘Y’

If the employee is determined to be ineligible, a Senior Management Supplement contribution must not be made.

6.3 Payout of Severance Pay Contribution Balances

The process to pay out severance contribution balances should be modified so that the program does not attempt to reduce the participant’s SPP balance by the amount of the payment. The program should continue to process HSSPP pay outs without change.

The existing severance pay DOS codes, ‘SVE’ and ‘SVM’, will continue to be used for processing severance payouts until all frozen balances have been transferred to the participants’ defined contribution plans.

7.0 Interface File

7.1 CPS Interface File

The following data element values are currently being passed on the Corporate Personnel System (CPS) Interface file:

523-531	9	SPP-Total Interest-Sr Mgt	EDB0409
532-540	9	SPP-Total Contribution-Interest Posted-Sr Mgt	EDB0402
541-546	6 (yymmdd)	SPP-Changed Date-Sr Mgt	EDB0411
547-555	9 (1 st -6 th Month)	SPP-X Month Contribution-No Interest-Sr Mgt Where X = 1 st , 2 nd , 3 rd , 4 th , 5 th or 6 th	EDB0403- EDB0408
556-564	9	SPP Current Month Contribution	

These data elements may be removed from the interface file.

HSSPP data should continue to be passed on the CPS Interface file.

7.2 UCRS Payroll Activity File

The UCRS 730 interface file should be modified to pass the new employer contributions to UCRS. The monthly and year-to-date contribution amounts should be passed on the contribution segment with the appropriate plan code, detailed below.

GTN	Description	Plan Code
742	SMS Contribution DCP	28
743	SMS Contribution 403b	29
744	SMS Contribution 457b	30
745	SMS Contribution DCP Supplemental	28
746	SMS Contribution 403b Supplemental	29
747	SMS Contribution 457b Supplemental	30

7.3 IVR/Web Extract File Layout

The PPSIVR Interface should be modified to pass the new Gross-to-Net amount, Year-to-Date amount, and Effective Date for GTNs 742, 743, 744, 745, 746, and 747. These contributions should be assigned a Group Code of '5' on the IVR/Web file.

The format of the interface file need not be modified to accommodate the additions of these GTNs.

8.0 Forms

Form UPAY754, Severance Pay Adjustment Worksheet, may be made obsolete if it is not also in use for the HSSPP program.

9.0 Other Processes

9.1 Distribution of Payroll Expense Process

The employee record should present the SMS GTN numbers for DCP, 403(b), and 457(b) as deductions. In the payroll computation process, the compute should change the SMS GTN transactions into

University contributions. All six SMS GTN numbers will use the same object code 8660 and liability account number 115935.

The six SMS GTN numbers follow:

- 742 SMS Contribution – DCP %
- 743 SMS Contribution – 403(b) %
- 744 SMS Contribution – 457(b) %
- 745 SMS Contribution – DCP Supplement
- 746 SMS Contribution – 403(b) Supplement
- 747 SMS Contribution – 457(b) Supplement

The Distribution of Payroll Expense process should record the SMS GTNs that have been turned into contributions in the UCRS/Faculty Summer Salary column. The expense process calculates the UCRS/PERS/SCERA/OCERS University contribution amount based upon retirement code and retirement gross. The expense process determines the Faculty Summer Salary contribution by the Faculty Summer Salary Indicator associated with the DOS Code “YD” on the DOS Table.

To determine the SMS GTN contributions, the expense process should determine the UCRS University contribution and Faculty Summer Salary contribution, and then determine any flat dollar SMS GTN contributions. It is suggested that the GTN Set Indicator value of “7” be assigned to GTN 742-747 on the GTN Table.

Although a Senior Manager should not receive Faculty Summer Salary and SMS GTN contributions concurrently, during the transfer of the frozen balances, it may be possible that an academician may have been a former Senior Manager entitled to SMS contributions and vice versa. It should be noted that most academicians receive summer salaries during the months of May through October.

During the Distribution of Payroll Expense process, the system should bypass the benefits offset routine, that is, not provide the Full Accounting Unit (FAU) with benefits offset in Sub-account 6. For General or State Funds (e.g., 19900), the Expense process must bypass the FAU [possible use of the Fund Group Table] and expense the SMS Contributions to a locally assigned FAU. For all other funds, the FAU should absorb the costs. For any SMS GTN Contribution that has been processed without an associated FAU, the contributions should be expensed to the liability account 115935.

In the Input/Output Reconciliation, PPP5202, the Expense process should add a Type 2 record for the SMS Contribution to the right of the Faculty Summer Salary column.

The Expense process should accumulate all dollars referenced with object code 8660 and, in the PPP5302, report the dollar amount in the “total benefits charges by object code” for each Full Accounting Unit and for each summary by location (Final Summary Page).

Reports

At the end of each Expense process, a report should be issued that contains the following information.

- FAU
- Employee Name
- Employee ID
- Title Code
- Pay Period Ending
- SMS Contribution Amount

- Total by FAU
- Grand Total

This report should be made available with two sort options, by FAU and by Employee Name. Attachments H and I are sample reports.

9.2 W-2 and Tax Reporting Processes

Employer contributions made to the 457(b) Plan using GTN 744 or 747 must be reported on the W-2 form. This requirement will be included in Payroll Coordination's year-end W-2 Service Request.

9.3 Other SPP Program Components

9.3.1 Monthly Severance Pay Contribution and Reporting Process

The monthly Severance Pay Contribution programs calculate and report on monthly severance contributions for eligible Senior Management Group employees. These programs should be modified to remove logic related to SPP contributions. Logic to calculate and process HSSPP contributions should remain unchanged.

The Severance Pay Payout Tolerance Check process should remain in place for both the SPP and HSSPP programs.

9.3.2 Quarterly Severance Pay Process

The Quarterly Severance Pay Process calculates and posts interest to the stored severance pay balances. Because SPP balances will no longer be maintained in PPS, this quarterly process should be modified to bypass SPP balances. HSSPP interest calculations should continue to be processed.

9.3.3 Calendar Year-End Process

The Calendar Year-End Process should remain in place without modification.

9.3.4 Severance Reporting

There are several reports that detail SSP and HSSPP contribution data. The following reports detailing contribution data for SSP only may be made obsolete:

- PPP8101, Senior Management Severance Pay Contributions
- PPP8102, Senior Management Severance Pay Summary
- PPP8301, Senior Management Severance Pay Payout Calculation

The following reports carry payout data for both SPP and HSSPP participants, and should remain unchanged:

- Special Severance Pay Payout Report
- PPP8110, Senior Management Severance Payout Report
- PPP8111, Health Science Severance Pay Payout Report
- PPP8112, Senior Management Approaching/Over Payout Limit Report
- PPP8113, Health Science Approaching/Over Payout Limit Report

Addendum

On the ISSP screen, the 'Sr Mgmt Supplement Indicator' (previously the 'SPP Indicator', EDB 0401) should no longer be displayed. In its place, the SENIOR MANAGEMENT SUPPLEMENT ELIGIBILITY INDICATOR (EDB 1122) value should be displayed. The field-level help text should be updated to point to this data element rather than EDB 0401.

Attachment A

System Number: EDB0401

User Access Name: 0401-3

Programming Name: SPP_PROGRAM IN PPPSPP

Revision Date: 10/22/97

Comments

Location(s): N/A

Name: SMS (SENIOR MANAGEMENT SUPPLEMENT) INDICATOR

Type: ALPHANUMERIC

Length: 1

Format

N/A

General Description

Code indicating that the individual participates in the Senior Management Supplement Program.

Code Interpretation

E - Yes, individual participates in Senior Management Supplement Program
blank - No, individual does not participate in Senior Management Supplement Program

Attachment B

System Number: EDB0412

User Access Name: 0412-1

Programming Name: SPP_MGMT_EXCEP_IND IN PPPBEN

Publ. Date: 12/01/02

Comments

Source(s): PPP120, PPP130

Use(s): Reporting

Location(s):

Name: SENIOR MANAGEMENT SUPPLEMENT EXCEPTION INDICATOR

Type: ALPHANUMERIC

Length: 1

Format

N/A

General Description

A code indicating whether the employee is an exception to Senior Management Supplement derivation rules.

Code Interpretation

Blank - No exception

N - No exception

Y - Exception, use the Senior Management Supplement Override Contribution Rate

Attachment C

System Number: EDB0413

User Access Name: 0413-2

Programming Name: SPP_MGMT_OVRD_RATE IN PPPBEN

Publ. Date: 12/01/02

Comments

Source(s): PPP120, PPP130

Use(s): Reporting

Location(s):

Name: SENIOR MANAGEMENT SUPPLEMENT OVERRIDE CONTRIBUTION RATE

Type: ALPHANUMERIC

Length: 1

Format

N/A

General Description

A number indicating the manually-entered SMG supplement contribution rate which overrides the contribution rate in the System Parameter Table.

Code Interpretation

Blank - No override rate

0, 3, 5 - Legal values representing supplement contribution rate/percent

Attachment D

System Number: EDB1122

User Access Name: 1122-0

Programming Name: EXEC_SPP_FLAG IN PPPBEN

Revision Date: PUBL. 07/01/97

Comments

Location(s): N/A

Name: SENIOR MANAGEMENT SUPPLEMENT ELIGIBILITY INDICATOR

Type: ALPHANUMERIC

Length: 1

Format

N/A

General Description

Code indicating eligibility for and level of participation in the Senior Management Supplement Program.

Code Interpretation

blank	- Not eligible
1	- Not eligible, Salary Grade 1
2	- Not eligible, Salary Grade 2
3	- Not eligible, Salary Grade 3
4	- Not eligible, Salary Grade 4
A	- Eligible, Salary Grade A
B	- Eligible, Salary Grade B
C	- Eligible, Salary Grade C
D	- Eligible, Salary Grade D
E	- Eligible, Salary Grade E

Attachment G

					CONTRIBUTION USING MIXES BY BATCH GROUP	
FIELD NO.	NUMBER OF BYTES	POSITIONS		VALUE	FIELD NAME	PICTURE
		FRO M	TO			
1	5	1	5	#####	PLAN NUMBER	9(05)
2	4	6	9	USER DEF.	BATCH GROUP ID	X(04)
3	3	10	12	SPACES	FILLER	X(03)
4	11	13	23	###-##-####	SOCIAL SECURITY NUMBER	X(11)
5	1	24	24	SPACE	FILLER	X(01)
6	5	25	29	ZEROS	RESERVED	9(05)
7	2	30	31	20	RECORD IDENTIFIER	9(02)
8	4	32	35	SPACES	FILLER	X(04)
9	3	36	38	SEE KEY	TRANSACTION CODE	9(03)
10	3	39	41	SPACES	FILLER	X(03)
11	1	42	42	SEE KEY	SOURCE	9(01)
12	2	43	44	01	ITEM NUMBER	9(02)
13	1	45	45	SPACE	FILLER	X(01)
14	13	46	58		AMOUNT	S9(11)V99
15	8	59	66	SPACES	FILLER	X(08)
16	14	67	80	ZEROS	RESERVED	9(14)

CONTRIBUTION USING MIXES
BY BATCH GROUP

TAPE SPECIFICATION DEFINITION

PURPOSE: For a contribution to Fidelity using investment mixes.

<u>FIELD NUMBER</u>	<u>FIELD NAME</u>	<u>FIELD DESCRIPTION</u>
1	PLAN NUMBER	The 5 digit number assigned by Fidelity UC 403(b) = 56016 UC DCP = 60988 UC 457(b) = 65270
2	BATCH GROUP IDENTIFIER	A four character, alpha/numeric field defined by the user. This field is used to group transactions into separate batches for the same plan. This field must be left justified. 0001 = UC Berkeley 0002 = UC San Francisco etc.
4	SOCIAL SECURITY NUMBER	Each participant in the plan must have a unique Social Security Number. The 11 digit field requires that hyphens be included.
7	RECORD IDENTIFIER	This field is equal to "20".
9	TRANSACTION CODE	This field is equal to "220" indicating a contribution using mixes. This field is equal to "295" if the contribution is attributable to a prior year due to USERRA.
11	SOURCE	This field identifies the type of account (i.e. Employee Pretax, Employer contribution) to which this contribution applies. UC 403(b) Pre-tax : Source #1 UC 403(b) Employer: Source #3 UC DCP Safe Harbor Pre-tax: Source #2 UC DCP Pre-tax: Source #3 UC DCP After-tax: Source #4 UC DCP Summer Salary EE: Source #5 UC DCP Summer Salary ER: Source #6 UC DCP Employer Contribution: Source #7 UC 457(b) Pre-tax: Source #1 UC 457(b) Employer: Source #6
12	ITEM NUMBER	This field is equal to "01" indicating a contribution.
14	AMOUNT	The dollar amount of the contribution. This field must be right justified, with leading zeros, and assumed or implied decimals.

Attachment H

Sample Report for SMS Contributions

Sample Report for SMS Contributions – Sorted by FAU

Standard Headings

Summary of SMS Contributions

Employee Name	Employee ID	Title	Pay Period	SMS Contribution	Total by FAU
3-400400-cccc-66222-pppppp-2					
Smith, Audrey	123456789	0001	123105	12,500.00	
Watts, André	987654321	0002	013106	12,500.00	
3-400400-cccc-66222-pppppp-2					25,000.00
L-620200-cccc-66444-pppppp-2					
Green, Olivia	234567891	0004	013106	22,500.00	
Watts, André	987654321	0002	013106	12,500.00	
L-620200-cccc-66444-pppppp-2					35,000.00
Grand Total					60,000.00

Attachment I

Sample Report for SMS Contributions – Sorted by Employee Name

Standard Headings

Summary of SMS Contributions

Employee Name	Employee ID	FAU	Title	Pay Period	SMS Contribution
Smith, Audrey	123456789	3-400400-cccc-66222-pppppp-2	0001	123105	12,500.00
Green, Olivia	234567891	L-620200-cccc-66444-pppppp-2	0004	013106	22,500.00
Watts, André	987654321	3-400400-cccc-66222-pppppp-2	0002	013106	12,500.00
Watts, André	987654321	L-620200-cccc-66444-pppppp-2	0002	013106	12,500.00
Grand Total					60,000.0