

Created on: July 11, 2005
Last Modified on: August 5, 2005
FINAL

SR81274 Requirements

Zero SSN/Fidelity ID Processing

Objective:

Develop a mechanism to assign Fidelity IDs to be used for employees who have no Social Security Number recorded on the EDB. In addition, a mechanism should be developed to transmit demographic data to Fidelity for those individuals who have been assigned Fidelity IDs.

Project Type:

This is an enhancement to PPS.

Requested by:

HR&B Vendor Management

Analyst:

Carrie Gatlin, HR&B ISS

Due Date(s):

This project is Not Urgent. It is requested that the modifications be installed at the locations in January 2006.

Background:

Currently, when campuses hire an employee who does not have a Social Security Number, the Payroll/Personnel System (PPS) places all zeros in the SSN field. When these records are sent to UCRS on the monthly contribution file, the UCRS interface assigns a unique "UCRS SSN number" ('8' + employee ID). However, these records are not passed on the PPSIVR interface, which discards any records with non-unique SSN numbers. Thus data for these employees are never forwarded to FITSCo on the daily demographic feed.

FITSCo uses the SSN as the account identifier for employees' contributions to the Defined Contribution Plans. When campuses send NACHA transactions for these employees with "zero" SSN numbers, FITSCo cannot post these transactions. Moreover, once the transactions have been matched to an individual, FITSCo does not have the necessary demographic data, obtained from the PPSIVR interface, to establish an account for the employee.

Current Process:

R1652 established a new electronic file ("report"), which is generated during each compute when the NACHA file is created. This report lists all NACHA transactions sent to FITSCo where the SSN was all zeros. For each individual listed, the report also contains key demographic data needed to establish a Fidelity account for the employee.

Prior to each pay date, HR&B Vendor Management retrieves the "Zero SSN" reports and assigns Fidelity IDs to individuals, establishes new Fidelity accounts for employees, and manually posts the contributions using the Fidelity client administration tool (Plan Sponsor WebStation).

Current processes at the national laboratories vary. Both LBNL and LANL assign a dummy SSN to the employee. This dummy ID is a variation of the employee ID number. LLNL is not sending employee records when there is no valid SSN present.

Proposed Process:

FITSCo will assign UCOP a block of "Fidelity IDs" (format 998-xx-xxxx). UCOP in turn will assign a certain number of these IDs to each payroll location and laboratory. These numbers should be stored in a table in PPS, which also acts as the storage table for the mapping of Fidelity IDs to Employee IDs.

In the payroll compute, when the NACHA file is created, for each Fidelity transaction where the SSN is '000000000', a process should check the Fidelity ID table to see if a Fidelity ID has already been assigned for the employee. If not, a Fidelity ID should be assigned to the employee, and this ID should be used in the SSN field for the NACHA transaction.

The daily process which creates the PPSIVR interface should create another daily "zero SSN" interface. This interface should contain demographic data for all employees who have an SSN equal to all zeros. This file should be transmitted to UCOP, where the records for employees assigned a Fidelity ID will be appended to the existing Fidelity Demographic File (see SR 81275). When an employee receives a valid SSN, that SSN will appear on the NACHA transactions and the demographic data will begin flowing over on the Fidelity Daily Demographic File.

When the UCRS interface files are generated (PPI730 and PPI740), and the employee SSN is all zeros or spaces, the program should query the Fidelity ID table to find a Fidelity ID assigned to the employee. If no Fidelity ID is located, the program should assign the next available Fidelity ID to the employee. This number should be used as the SSN on the interface files.

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Requirements:

1.0 Fidelity ID Table

A new table should be created in PPS to store Fidelity ID numbers. This table also should be used to record employee data for each employee to whom a Fidelity ID is assigned.

The table should store the following data:

- Fidelity ID number (formatted as a 9-digit numeric field)
- Employee ID
- Employee Name (EDB 0105)
- Date of Birth (EDB 0107)
- Date Assigned (date that the Fidelity ID is assigned to an Employee)

2.0 Stand-alone Processes

A stand-alone program should be developed to update the Fidelity ID Table with a range of Fidelity ID numbers entered on a specification card. This stand-alone program also should have the capability to manually assign or delete a Fidelity ID. This manual assignment or deletion also should be made using a specification card.

Locations should use this stand-alone program to establish their initial Fidelity ID Table records. UCOP HR&B will provide a list of the assigned Fidelity IDs for each location, as well as any Fidelity ID assignments made during the interim period when UCOP manually assigned and administered Fidelity IDs. This data should be provided with the PPS release.

3.0 Compute Process Changes

3.1 Fidelity ID Assignment

In the process which generates the NACHA files, new logic should be added to assign a Fidelity ID to transactions where there is no Social Security Number. It is noted that the same Fidelity IDs will be assigned in both the NACHA process (outlined here) and in the UCRS Interface programs (detailed in section 4.2).

When the NACHA files are created, for each transaction sent to Fidelity where the SSN is equal to all zeros or spaces, the program should query the Fidelity ID Table to find a Fidelity ID previously assigned to the employee. If the program finds a Fidelity ID assigned to the employee, this number should be used in the "SSN" field of the NACHA transaction record.

If the program does not find a previously assigned Fidelity ID, it should assign the next available ID to the employee and record the Employee Name, Employee ID, Date of Birth and the Date Assigned. The Fidelity ID should be used in the "SSN" field of the NACHA transaction record.

Fidelity IDs need not be assigned to employees without SSNs who may have NACHA transactions that are not sent to Fidelity (such as ScholarShare transactions).

3.2 NACHA Zero SSN Report

Release 1652 modified program PPP430 to generate an electronic record each time a NACHA transaction is produced where the SSN is all zeros or spaces.

This program should be modified so that it only produces and delivers a Zero SSN Electronic File when there is at least one detail record on the file.

4.0 Interface Files

4.1 Zero SSN Interface

During the daily maintenance process which generates the PPSIVR interface file, a new process should be developed to generate a “Zero SSN” interface file to transmit to UCOP. The PPSIVR interface program should be modified so that, as the program loops through employee records and finds records where the SSN is equal to all zeros or spaces, the program should query the Fidelity ID Table. If a Fidelity ID had been assigned to the employee, a record should be written to the “Zero SSN” interface file with the Fidelity ID as the SSN. If no Fidelity ID has been assigned to the employee, the record should be sent on the “Zero SSN” interface file as is, with the SSN equal to all zeros.

Once the employee has received a valid SSN in PPS, the employee data should no longer be transmitted on this “Zero SSN” interface file. Rather the employee data should appear on the standard PPSIVR interface.

There is no need to maintain a “history” table for the Zero SSN interface. The data may be written over each day.

4.2 UCRS 730 and 740 Interfaces

The PPI730 and PPI740 interface file programs contain logic to derive a dummy SSN when the SSN on the EDB is zeros or spaces. If the location code is 1, 2, 3, 4, 6, or 9, the SSN field is populated with the employee ID and the first digit is set to ‘8’. For other locations, the SSN field is populated with the employee ID. This logic should be removed.

Instead, both PPI730 and PPI740 should query the Fidelity ID Table when there is an EDB record where the SSN is zeros or spaces. If a Fidelity ID is found for the Employee ID, this Fidelity ID should be placed in the SSN field on the interface file. If the program does not find a previously assigned Fidelity ID, it should assign the next available ID to the employee and record the Employee Name, Employee ID, Date of Birth and the Date Assigned. The Fidelity ID should be used in the “SSN” field on the interface file.

If there is no Fidelity ID available to assign to the record, the employee ID should be moved into the “SSN” field and the first position should be changed to ‘8’.

In addition, if a Fidelity ID is assigned to an employee, this ID should be maintained in the “SSN” field on the File Maintenance History record. When a valid SSN is established for the employee on the EDB, the Fidelity ID should be inserted into the “Previous SSN” field on the File Maintenance and History files.

5.0 Reporting and Notification

5.1 Month End Reporting

An electronic file (“report”) should be generated each month to report on the assignment of Fidelity IDs and the remaining number of unassigned IDs available on the Fidelity ID Table. This electronic file should be delivered to UCOP via FTP and be made available to HR&B Vendor Management group via the UCOP FTP server.

It is requested that the report be a tab-delimited file and that it contain the following data in each record, for each Fidelity ID assigned to an Employee ID:

- Location code
- Fidelity ID number
- Employee ID
- Employee Name (EDB 0105)
- Date of Birth (EDB 0107)
- Date Assigned (date that the Fidelity ID is assigned to an Employee)

The header record should include the data name (i.e. Fidelity ID, Employee ID, Employee Name, etc.). The trailing record should include both a record count and a count of the unassigned Fidelity IDs still remaining on the Fidelity ID table.