Business Requirements Document Template

ERS Release 10.12

- *Academic Pay Period Code Expansion – ERS Impact*

- *Outstanding Bugs and Enhancements*

Information Technology Services
Office of the President

Document Information

Document Attributes	Information
ID	Release 10.12
Associated SRs	SR100547 (TCS) and SR100548 (PPS)
Owner	Effort Reporting System (ERS) Requirements Work Group
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Revision History

Version	Issue Date	Changes
1.0	4/8/2014	Initial Draft
1.1	5/7/2014	Revised Draft
1.2	6/6/2014	Revised Draft

Document Approvals
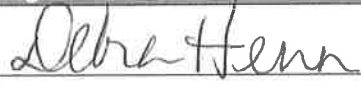
Role	Name	Signature	Date
ERS Requirements Work Group	Debra Henn – UC Davis Work Group Chair	*Debra Henn*	8/28/14

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1 Overview

Academic Personnel has requested that a new value for 'Academic Pay Period' be added to the Title Code System (TCS). The additional value is known to impact TCS (and related system tables) and the Payroll/Personnel System (PPS); as a result, impact to the Effort Reporting System (ERS) is anticipated.

The ERS system uses Title Code data to weight earnings on the ERS Payroll Report. Additionally, Title Code information is used by the ERS Scheduler to determine an Employee's reporting schedule (by Period). Currently, no UC campus is using the ERS Scheduler function, but title code program logic will be updated in the ERS Scheduler for potential future use.

This release will also address 6 bugs and/or enhancements that have been identified and approved for resolution by the ERS Requirements Work Group.

1.1 Background

Five new title codes for lecturers with the 1/10th monthly designation in the Non-Senate Instructional (NSI) bargaining unit have been approved by the union for July 1, 2013. The new title codes are a necessary part of the UC Path project and will facilitate paying lecturers at the semester campuses of Berkeley and Merced, and the law schools at the 1/10th monthly rates. In addition, the new codes will enable UCRS to calculate service credit and/or HAPC for appointees in the new title codes.

> Title Codes
>
> 1636   Lecturer – Academic Year 1/10
> 1637   Lecturer – Academic Year – 1/10 – Continuing
> 1646   Senior Lecturer – Academic Year – 1/10
> 1647   Senior Lecturer – Academic Year – 1/10 – Continuing
> 1654   Continuing Appointment – Temporary Augmentation – 1/10

*Academic Personnel has submitted a TCS BRD to add a new value for the field "Academic Pay Period." Academic Pay Period Code is defined as "Code indicating the portion of annual salary which is paid monthly." Codes for this data field are currently designated for "not applicable" (as 0 or blank), "monthly payment equals 1/9 annual salary" (as 1), and "monthly payment equal 1/12 annual salary" (as 2). The new value will designate "monthly payment equal 1/10 annual salary" (to be coded as 3). **Note**: the Academic Pay Period code of '3' can only be used with an Appointment Basis Code of 1 (9 month appointment).*

Academic Pay Period Code (APP)
'0' - Not applicable
'1' - Monthly payment equals 1/9 annual salary
'2' - Monthly payment equals 1/12 annual salary
'3' - Monthly payment equals 1/10 annual salary (new)
blank - Not applicable

Academic Appointment Basis Code (ABC)
'0' - Not applicable
'1' - 9 month
'2' - 10 month
'3' - 11 month
'4' - 11 month/Health Science Compensation Plans
'5' - Summer Session
'blank' - Not applicable

Academic Pay Period (APP) and Appointment Basis Code (ABC) data is passed from TCS to PPS, where it is loaded into the PPS Title Code Table (TCT). This table is also utilized by the ERS Extract Process (ERS/PPS Interface File) for Interface Load Processing (ILP). The ILP performs normalization and storage of campus data, which is then used by ERS Objects for processing related to reporting, funding sources, department data, exceptions, roles and notifications. The Appointment Basis Code and Academic Pay Period code are passed to ERS in the PAR interface.

__Note:__ This project R10.12 has an impact on ERS R11.0; therefore, coding changes in support of this BRD will need to be accounted for in the ERS R11.0 – ERS / UCPATH project.

In addition to the pay period code expansion, this BRD will also address known bugs and/or enhancements that are currently outstanding. The following bugs and/or enhancements received ERS Requirements Work Group approval on May 8, 2014:
- *Decentralized resource validation and org hierarchy broken by unnecessary join on PI info*
- *Handling of late pay transactions received after a reporting period is archived*
- *Add count to archive search results*
- *Online report views erroneously mark reports as overdue when added on same day as period due date*
- *Create 'how to' information for end users for Release 10.11 Archive and Purge*
- *Mixed Earnings are not accurately calculating 'normalized value' correctly for weighted earnings*

1.2 Objectives

Evaluate ERS table structure to ensure system is equipped to accommodate the additional Academic Pay Period Code. If adjustments are necessary, enhancements are to be implemented in coordination with PPS and CPS (Corporate Personnel System), prior to the implementation of enhancements relating to the Title Code Table (TCT) for the Parent Project – ID SR100547.

In order to complete this objective the processing of Academic Pay Period Code and the Appointment Basis Code will need to be modified in ERS in 2 areas – the report builder and schedule maintenance.

The report builder prepares the effort report and the payroll report. When a mix of appointment basis codes and academic pay periods exist for all earnings on a given effort report, the weighted percent column on the payroll report is impacted. If the Effort Report contains a mix of earnings, then a weighted calculation is performed to 'normalize' the earnings on the payroll report.

The Schedule Type maintenance program will require the addition of the new Appointment Basis Code and Academic Pay Period combination, which sets the schedule code in the ERS employee table. The employee schedule determines the appropriate reporting period on any ERS report where Period data is required. This feature is currently not used in ERS but is programmed and will be updated under this BRD for future use.

Address the bugs and enhancements during this release to provide increased functionality, update training material and address reporting errors that are currently taking place in the system.

1.3 Related Projects & Dependencies

SR100547 TCS request – Expand the Number of Codes for Academic Pay Period Code (TCS Data Element) – Author: Jo Agustin

SR100548 PPS New Academic Title Pay Period Code – Author: Beth Burkart

The PPS and ERS changes must be installed before users begin to enter the new value of Academic Pay Period into TCS.

1.4 Stakeholders

Acronym	Description	Role
*	Authorize	Has ultimate signing authority for any changes to the document
R	Responsible	Responsible for creating this document
A	Accountable	Accountable for accuracy of this document (e.g. project manager)
S	Supports	Provides supporting services in the production of this document
C	Consulted	Provides input
I	Informed	Must be informed of any changes

Name	Position	*	R	A	S	C	I
Jo Agustin	Policy & Compensation Analyst						X
Janet Lockwood	Manager, Academic Policy and Compensation					X	X
Nancy Tanaka	Executive Director, Academic Personnel					X	X
Beth Burkart	Sr. Business Analyst, Payroll Personnel Systems					X	X
Shaun Ruiz	Manager-Payroll Coordinator					X	X
Jaime Espinoza	Principal Analyst					X	X
Matt Xavier	Data Coordinator--Academic Personnel						X
Larry Scott	ERS Developer		X		X	X	
Faye Isaacson	Project Manager			X		X	X
Sridhar Venketraman	QA Supervisor				X		X
Uma Jarubula	QA Analyst				X		X
Latheef Kottal	ERS Production Support				X		X
Debra Henn	ERS Requirements Work Group - Chair	X					X
Debra Turnage	ERS Business Analyst		X				X

1.5 Proposed Strategy

Academic Pay Period Code Expansion - Bugzilla Item #3717

Add the programming and calculations to support a new value of "3" for Academic Pay Period code. The new code will translate to: monthly payment equals 1/10 annual salary. This code will be provided from an upstream system (PPS via the PAR interface). Its use is paired with the Academic Appointment Basis Code of 1, which will result in a 9-month appointment to be paid over 10 months in the Effort Reporting System <mark>_(represented by a weighting factor of .90 in ERS)._</mark>

Modifications will be made to ERS processes that use the Academic Pay Period code in calculations or derivations. Where this code is received in the PAR interface from PPS, a test interface file should be produced and reviewed. Test scenarios should take into account existing processes that calculate payroll report weighted earnings and set employee reporting schedules.

Bugs and Enhancements

Issue Type	_Bugzilla Number_	_Summary_
Bug	3815	_Mixed Earnings are not accurately calculating 'normalized value' correctly for the weighted earnings._ • _Modify the system to correctly calculate mixed earning on the ERS payroll report._
Bug	3813	_Create 'how to' information for end users for release 10.11 Archive and Purge_ • _Update online contextual help, the Installation and Operations Guide and training materials for the Archive and Purge process._
Bug	3812	_Online report views erroneously mark reports as overdue when added on same day as period due date_ • _Correct system to eliminate online error message that incorrectly indicates overdue status for the compliance report._
Enhancement	3801	_Enhance count in archive search results_ • _Provide a system indicator to identify total available transactions in search request._
Enhancement	3799	_Handling of late pay transactions that belong to archived reports_ • _Archive transactions, provide an audit trail and add to the archived reporting for the employee._
Bug	1579	_Decentralized resource validation on org hierarchy broken by unnecessary join on PI info_ • _Adjust tables to eliminate system generated failure error._

1.6 Glossary

Term	Description
Academic Appointment Basis Code	Code indicating the period of appointment associated with the title code. Values: • '0' - Not applicable • '1' - 9 month • '2' - 10 month • '3' - 11 month • '4' - 11 month/Health Science Compensation Plans • '5' - Summer Session 'blank' - Not applicable
Academic Pay Period Code	Code indicating the portion of the annual salary which is paid monthly. Current Values: • '0' - Not applicable • '1' - Monthly payment equals 1/9 annual salary • '2' - Monthly payment equals 1/12 annual salary • 'blank' - Not applicable New Value (proposed): '3' - Monthly payment equals 1/10 annual salary
ART	Assessment Rate Table – a control table in PPS
BRD	Business Requirements Document
CPS	Corporate Personnel System
Derived Earnings	Defined by PPS as the earning dollars (whether by pay period amount or hourly pay rate). The Derived Percent Time (earnings) is to be calculated as the hours on the pay transaction divided by the hours in the pay period for which payment is received.
EDB	Employee Database
ERS	Effort Reporting System
GRB	Rates by Compensation Group Code table in TCS
GTB	Compensation Group Code Table in TCS
ITS	Information Technology Services
MCB	Medical Contribution Base
Mixed Earnings	Defined as total earnings with more than one pairing of Appointment Bases Code with an Academic Pay Period for an employee during a reporting period.
PPS	Payroll Personnel System
Range Adjustment	A Range Adjustment modifies the rates for a group of title codes. It produces a "payscale" file which is used by PPS to update employees' pay rates. It also produces transactions to update the campus TCT.
SCO	State Controller's Office
TCR	Title Code Range Adjustment System
TCS	Title Code System
TCT	Title Code Table in the Payroll/Personnel System that is run at each of the campuses
UCOP	University of California Office of the President
Weighted Earnings	Individual earning divided by total payroll earning, weighted by the hours reported. Weighted earnings will always be the same as derived earnings, unless mixed earnings are present.

2   Product/Solution Scope

There are 2 items in scope:

- o *Support the new value of 3, in the Academic Pay Period Code (TCS Data Element) within the Effort Reporting System.*

- o *Address bugs and enhancements to increase system usability.*

2.1   Included in Scope

A review of known ERS/PPS Interface File elements relating to the Title Code process to ensure tables are adjusted to accommodate data interface between ERS and PPS.

Ensure ERS successfully receives and recognizes new lecturer titles with the 1/10th designation through the recognition of Academic Pay Period Code of '3', as specified in the attached letter from Athena Buenconsejo:

New Title Code	Title Name
1636	Lecturer – Academic Year 1/10
1637	Lecturer – Academic Year – 1/10 – Continuing
1646	Senior Lecturer – Academic Year – 1/10
1647	Senior Lecturer – Academic Year – 1/10 – Continuing
1654	Continuing Appointment – Temporary Augmentation – 1/10

Issue Type	Jira Key	Summary	Sprint	Bugzilla Number
Bug	EBE-13	Mixed Earnings are not accurately calculating 'normalized value' correctly for the weighted earnings.	Sprint 1	3815
Bug	EBE-12	Create 'how to' information for end users for release 10.11 Archive and Purge	Sprint 1	3813
Bug	EBE-10	Online report views erroneously mark reports as overdue when added on same day as period due date	Sprint 1	3812
Bug	EBE-9	Add count to archive search results	Sprint 1	3801
Bug	EBE-8	Handling of late pay transactions that belong to archived reports	Sprint 1	3799
Bug	EBE-2	Decentralized resource validation on org hierarchy broken by unnecessary join on PI info	Sprint 1	1579

2.2   Excluded from Scope

TCS and PPS modifications are not addressed in this BRD.

Only ERS bugs and/or enhancements listed above are addressed in this BRD

Campus-specific configurations are not addressed in this BRD.

2.3 Assumptions & Constraints

ID	Assumption / Constraint
2.3.1	Academic Pay Period 3 can only be used with Appointment Basis Code of 1 (as indicated in BRD – SR100548 PPS New Academic Title Pay Period Code)
2.3.2	Release 10.12 will be released prior to or concurrently with the PPS and TCS releases that introduce the new Academic Pay Period Code of '3'.

2.4 Outstanding Items

None

3 Business Services and Processes

Confirmation of ERS Academic Pay Period Code and Academic Appointment Basis Code records in use – as of April 2014:

Scenario	Appt Base Code	Pay Period Code	Record Count				
			UCSF	UCBK	UCSB	UCSC	UCSD
Appt Base = N/A / Pay Period = N/A	blank	blank	8939164	4183174	848695	479097	8224354
Appt Base = N/A / Pay Period = N/A	0	blank	921	4457	2033	285	2039
Appt Base = N/A / Pay Period = N/A	0	0	20756	132061	14795	31210	127214
Appt Base = N/A / Monthly payment = 1/12 annual salary	0	2	8828	53807	8568	3509	12127
Appt Base = 9 months / Monthly payment = 1/9 annual salary	1	1	2975	256066	52073	20038	119319
Appt Base = 9 months / Monthly payment = 1/12 annual salary	1	2	44	304996	59490	26061	152014
Appt Base = 11 months / Pay Period = N/A	3	0		365			
Appt Base = 11 months / Monthly payment = 1/12 annual salary	3	2	2896598	798960	103610	38708	1427162
Appt Base = Summer Session / Pay Period = N/A	5	0	31	6125	291	172	2163

4 Business Rules

N/A

5 Business Requirements

ERS must be able to receive and correctly process/report the new Academic Pay Period code value of '3' to set the payroll report weighted earnings and correctly set the schedule in the employee table. Today, ERS manages a standard of 9/12 (9 month academic appointment / 12 month pay period). The new Academic Pay Period Code value will introduce a new pairing that translates to 9/10 (9 month academic appointment / 10 month pay period).

5.1   User Requirements

Req ID	Requirement Type	Requirement Description	Priority [L/M/H]	Comments
5.2.1	Enhancement	*ERS to be modified to recognize and correctly process a new Academic Pay Period Code of '3' received in the PAR interface from the PPS System.*	H	Bug 3717
5.1.2	*Bug*	*Modify the system to correctly calculate mixed earning on the ERS payroll report.*	*M*	*Bug 3815*
5.1.3	Bug	*Update online contextual help and training materials for the Archive and Purge process.*	M	Bug 3813
5.1.4	Bug	*Correct system to eliminate online error message that incorrectly indicates overdue status for the compliance report.*	M	Bug 3812
5.1.5	Enhancement	• *Change displayed record counts From: <Number displayed>, To: <Number displayed> of <Total Count>* *Alternatively: "More records were selected than can be displayed. Displayed are the first <Number displayed> of <Total Count>"* • *Export entire list of search results (not limited) to Excel which the locations could then print from Excel if desired. The list would contain the following fields:* *Period ID, Period Name, Employee Id, Employee Name, Version number, FAU, Org ID, Org ID Name, Fund ID, Fund ID Name*	M	Bug 3801
5.1.6	Enhancement	• *Intake of Late Pay Transaction - If the effective period is still open the transaction will be placed in the late pay transaction table. If the period was previously archived the transaction will be moved instead to a new archive table that will contain late pay transactions that occurred after archiving* • *Appearance of archived reports - When an employee's archived reports are generated the 1st page will contain the most recent certified effort report followed by a 2nd page of late pay transactions that were added after archiving (this is new). The next page would be the most recent payroll detail report followed by previous certified effort reports.* • *At intake of Late Pay Transactions that were effective in previously archived periods - ERS should generate a report to notify the location. This will trigger the locations to follow up and get the new certification completed outside of ERS stored outside of ERS*	M	Bug 3799
5.1.7	Bug	*Correct the table join that prevents ends users from assigning permissions based on the sponsored project resource when there is no PI assigned to the account.*	M	Bug 1579

5.2 Functional Requirements

Req ID	Requirement Type	Requirement Description	Priority [L/M/H]	Comments
5.2.1	Table Update	Update ERS tables to support user, reporting and testing requirement as indicated in the attached ERS R10.12 Functional Design document	H	
5.2.2	Utility	Update online material to reflect new system functionality	H	

5.3 Reporting Requirements

<Describes the type of reporting that is required from the system along with details such as frequency and user base intended to view the reports>

Req ID	Requirement Type	Requirement Description	Priority [L/M/H]	Comments
5.3.1	Effort Report	Confirm mixed earnings and weighted project percentages that are to be certified.	H	
5.3.2	Payroll Report	Ensure derived % and weighted % calculate correctly and reflect accurately in the 'Report Total' weight.	H	
5.3.3	(New) Late Payroll Transactions received after Report Period was Archived Report	Provides a list of late payroll transactions effective in archived periods. Run frequency: Monthly, after Financial System (FS) data is loaded. Intended viewer: Centralized ERS Coordinators Note: A completion notice is requested in the form of an email notification.	H	
5.3.4	ERS Admin Menu	New appointment code is to be added as a selection option	H	

5.4 Testing Requirements

10	Requirement Type	Requirement Description	Priority [L/M/H]	Comments
5.4.1	Weighted Earnings	Find a mix of effort reports with sponsored and unsponsored projects.	H	
		Manually update an earnings record and change Academic Pay Period to 3 (10 month).	H	
		Run program ReportRemover to remove the current effort report.	H	
		Run 'Generate Effort Report' on System Admin menu to generate a new report.	H	
		Validate the 'weighted %' column on the new Effort Report.	H	
5.4.2	Schedule Maintenance	Update the Academic schedule in Manage Schedule Types on the ERS Administration Menu, to included 9/10 schedule representing the new 9 month appointment paid over 10 months.	H	
		Obtain a new PAR file containing unprocessed earnings.	H	
		Identify a test group of earnings and employees that will flow thru the scheduler process.	H	
		Set table ERSEarnings columns tc_acad_appt_basis to 1 and tc_acad_pay_period=3 representing the new 9 month appointment paid over 10 months.	H	
		Run the PAR interface.	H	
		Verify the "academic" schedule is assigned to the employee.	H	
		Note: ** The details of each test case need to be analyzed and identified.	H	
5.4.3	JUNIT Updates	Locate JUnit tests affected by this change.	H	
		Identify if additional JUnit test cases are needed.	H	
		Run individual JUnit tests.	H	
		Run all JUnit tests tied to EffortReporting project	H	

6   External References

< List all other documents referenced in this document>

Document	Location	Author
ERS R10.12 Functional Design	Attached	Larry Scott

ERS_R10.12_Design
V1.3_20140815.docx