

		United States Department of Agriculture Office of the Chief Financial Officer National Finance Center Government Employees Services Division
Functional Requirements Document (FRD)		
Project# 322161	Project Title: Implement EmpowHR online editing of PRD Indicators	Date Prepared: 12/18/2012

Scope:	<p>To implement system logic to assist in the proper handling and processing of personnel actions when the use of a Pay Rate Determinant (PRD) code is utilized. A phased approach will be employed to fully implement system routines to ensure the proper handling, where applicable, of the OPM designated PRD codes (currently consisting of 26 elements) issued as of the date of this document. The first phase of the project is documented herein and will encompass the use of PRD 5 & 7. PRD 0, 6, & Y will be accomplished in Phase II and is documented in FRD 10241. Phase III will implement routines to validate the remaining codes, where applicable, and is documented in FRD 10242.</p>
Assumptions:	<p>In accordance with OPM's published guidelines for processing personnel actions, the use of a specific PRD code requires that the appropriate compensation, i.e. Pay Plan, Pay Grade etc., and the required Nature of Action (NOA) and Authority code(s) be utilized. The system routine(s) being implemented to fulfill the requirements specified in this document will not alter nor impart any validations or system changes other than those specifically identified herein.</p> <p>Additionally, OPM requires that any change to the PRD field value be accomplished on an Official PAR Action. If the PAR transaction is an Exception Action, contains an Exception Nature of Action (NOA) code, the change to the PRD value will not be included in the compiled file sent for processing to the database of record (NFC Payroll/Personnel System-PPS). The result of not adhering to this guidance could cause data corruption; the PRD value in EmpowHR could be different than that in PPS. Refer to the Publications/EmpowHR/Section 5 PAR Processing section on the NFC website for a complete listing of Exception Actions, or go to (https://www.nfc.usda.gov/Publications/Processing_Tips/Exception_Actions.htm).</p> <p>The scope of this project will not impact the User's Roles/Permissions; therefore, no modifications are required. Security involvement is not required for this project.</p> <p>508 Compliance Required.</p>
Test:	<p>Agency participation in User Acceptance Testing is requested and will be conducted in accordance with the guidelines provided by the NFC-EmpowHR User Acceptance Test Group.</p>

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Functional Requirements☐ **Payroll Applications Systems Branch (PASB) Requirements**

"Not Applicable"

☐ **Personnel Applications Systems Branch (PESB) Requirements**

"Not Applicable"

☐ **Administrative Applications Systems Branch (AASB) Requirements**

"Not Applicable"

☐ **Payroll Web Systems Branch (PWSB) Requirements**

"Not Applicable"

☐ **Administrative Web Systems Branch (AWSB) Requirements**

"Not Applicable"

☐ **Human Resources Applications Branch (HRAB) Requirements****Background**

The Office of Personnel Management's Guide to Personnel Data Standards and the Guide to Personnel Processing define a Pay Rate Determinant (PRD) as a designation of any special factors that help determine an employee's rate of basic pay or adjusted basic pay. A PRD indicator of a "5 - Special & Superior Quals" is utilized when the PRD codes "6 - Special Rate" and "7 - Superior Qualification Rt" are both applicable. The OPM definitions and recommended action(s) for the use of these codes are documented below:

5 Special and Superior Qualifications Rates. For use when PRD 6 and 7 below are both applicable. Note: Code 5 is used only on the action that appointed the employee at a superior qualifications rate within a special rate range; 6 is used on subsequent actions while the employee continues to receive a special rate of pay.

6 Special Rate. Employee is paid a special rate or a special pay supplement, established under appropriate authority to recruit or retain well qualified individuals in selected agencies, occupations, work levels, and locations. References: 5 U.S.C.

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5305, 5 U.S.C. 5343(a) (1) (A) (ii), 5 U.S.C. 5343(a) (1) (B) (ii), and similar authorities under law and regulation.

7 Superior Qualifications Rate. Employee is hired at a pay rate above the minimum rate of the grade. References: 5 U.S.C. 5333 and 5 CFR 531.212.

OPM further specifies that the use of the PRD Code 5 is only intended for use on the action that appointed the employee at a superior qualifications rate within a special rate range; code 6 is used on subsequent actions while the employee continues to receive a special rate. Like the PRD 5 Code, using the PRD 7 code should also only be used on the action that appointed the employee at the superior qualifications rate; however, a PRD determinant of a "0-Regular Rate" or another appropriate code is used on actions subsequent to the appointment action.

Functional Overview

The processing of a personnel action within EmpowHR requires the completion of specific data fields on the pages of the PAR document. This project is specifically concerned with data entry to the field on the compensation page -the PRD field (Refer to Figure 1). When a PAR transaction is initiated - a new row inserted, the row is generated with the default value of "0-Regular Rate" in the PRD field. An update/change in the PRD field, to a value other than the default value, should result with a system generated message notifying the HR Processor of the OPM regulation applicable to the PRD value placed on the PAR document, if any such regulation exists for the value selected. This notification will be generated as a result of the user clicking the save button.

There are currently two types of Personnel Action Request (PAR) documents that can be submitted for processing; an Official (Inheritable or non-Exception) or an Exception PAR.

- If the record is being created for an employee new to EmpowHR-a new hire, the initial row of the record will be an official document. When the document is an official action, an SF50/52 is generated and certain data is reported to OPM. If a row is being added to a current employee record in EmpowHR and the NOA recorded on the Data Control page is not one of the codes listed as an Exception, then this PAR is also considered an official action; an SF50/52 will be generated and certain data reported to OPM.
- If a row is being added to a current employee's record in EmpowHR and the NOA recorded on the Data Control page is one of the codes listed on the Exception list, e.g. a bonus, a time off award, etc., then this PAR is an Exception action. Only data pertinent to the individual receiving the award and the award value would be compiled and forwarded for processing. Therefore, any elements that are changed on this type of PAR, not pertinent to the exception, will not be included in the compiled file forwarded for processing.

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Figure 1: PAR Processing Component's Compensation Page

The screenshot displays the EmpowHR Compensation Page. The left sidebar contains a menu with options like 'PAR Processing', 'Action Table Setup', 'Hire Employee', and 'MMA Dynamic CPDF File Process'. The top navigation bar includes 'File', 'Edit', 'View', 'Favorites', 'Tools', and 'Help'. The main form area has tabs for 'Data Control', 'Personal', 'Compensation', 'Employment 1', 'Employment 2', and 'Benefit Data'. The 'Compensation' tab is selected, showing fields for 'Effective Date', 'NOA Code', 'Pay Rate Determinant', 'Salary Pay Plan', 'Retain Pay Plan', 'Variable FT Reg Tour of Duty', 'Grade and Pay Retention', and 'Quoted Pay'. A dropdown menu is open for the 'Pay Rate Determinant' field, showing options like 'Below the Minimum Rate', 'Regular Rate - 0', and 'Rtnd Grade & Pay - Diff - V'. Red arrows point to the 'Regular Rate - 0' option and the 'Active' status field.

Hire Employee

- The Accession/Conversion Action:** In the case where a PAR transaction is being entered to document an appointment - accession or conversion - using a NOA of 1XX (accession) or 5XX (conversion) and a PRD value of 5 or 7 is entered, a system notification will be generated to alert the user as to the OPM requirement regarding the use of the selected PRD code. The notification will be generated on a "Save" action and must be acknowledged. The user will acknowledge receipt of the notification by clicking "OK" and the save function will be allowed to proceed. No option will be given to cancel the notification. Refer to Figure 3: EmpowHR General Processing Notification, as an example of the stated message.

Note: The generation of this notification will not be dependent on the action being processed using the Hire Component; attempting to save either an exception or non-exception will generate the notification. This document assumes the first action processed on an employee new to the EmpowHR system will be a new hire or conversion, an official action.

- The required use of PRD 5 or 7 in combination with the NOA codes 1XX or 5XX will be programmatically enforced, such that on 'Save', a system routine will execute to ascertain that the appropriate NOA codes are being used when the PRD field contains a 5 or 7. A notification will be generated when these conditions are not met and will require the processor to update the fields accordingly.

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HR Processing

To determine when a change to the PRD field will be required, the Data Control page of the Personnel Action Request document must first be completed, including; the Effective Date, the Auth Date, the Action code, Reason Code, the Nature of Action (NOA) code, and the appropriate Legal authority (ies). Refer to Figure 2 below.

NOTE: To effectively update the PRD field value to another appropriate PRD code, the change must occur on a personnel action that results in an official action being processed.

- **Entering a PAR transaction, subsequent to an Accession Action, using PRD 5**
 - In the case where a PAR transaction consists of: an Action/NOA code that is not an Exception Action, preceded by an Applied Accession Action containing a PRD field value equal to a 5 and, the current PAR also contains a 5 in the PRD field, a system notification will be generated from the "Save" action to alert the user of the OPM requirement of updating the PRD field value to a 6. This system generated notification will provide the User with the option to either click "OK" or "Cancel". If the User chooses to acknowledge receipt of the notification by clicking "OK", the system will update the PRD value to 6 and continue with the Save Function. If the user cancels the notification, by clicking "CANCEL", abort the Save function and move the cursor to the PRD field on the Compensation page. The user will again have to click the "Save" button to execute the save function. Refer to Figure 4 for an example of the system generated message.
- **Entering a PAR transaction, subsequent to an Accession Action, using PRD 7**
 - In the case where a PAR transaction is being entered that is not an Exception Action, preceded by an Applied Accession Action containing a PRD equal to a 7 and, the current PAR also contains a 7 in the PRD field, a system notification will be generated to alert the user of the OPM requirement to update the value in the PRD field. This notification will be generated on the "Save" action and must be acknowledged. This system generated notification will provide the User with the option to either click "OK" or "Cancel". If the user chooses to acknowledge receipt of the notification by clicking "OK", the value in the PRD field will be changed to reflect "Regular Rate - 0" and the save function will proceed. If the user cancels the notification, by clicking "CANCEL", abort the Save function and move the cursor to the PRD field on the Compensation page. The user will again have to click the "Save" button to execute the save function. Refer to Figure 5 for an example of the system generated message.

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Figure 2: PAR Processing Component's Data Control Page

The screenshot shows a web browser window titled "Hire Employee - Windows Internet Explorer" with the URL [https://qa.empowhr.gov/psp/HRDHSQA/EMPLOYEE/HRMS/c/ADMINISTER_WORKFORCE_\(USF\).EE_HIRE_USF?FolderPath=PORTAL_ROOT_OBJECT](https://qa.empowhr.gov/psp/HRDHSQA/EMPLOYEE/HRMS/c/ADMINISTER_WORKFORCE_(USF).EE_HIRE_USF?FolderPath=PORTAL_ROOT_OBJECT). The browser's address bar shows the URL, and the page title is "Hire Employee".

The page is part of the "Department of Homeland Security" portal. A left-hand menu lists various HR functions, including "My Favorites", "Employee Self Service", "Manager Self Service", "PAR Processing", "Action Table Setup", "Hire Employee", "Org Structure Mass Change", "Address Processing", "Schools", "HR Processing", "History Override", "Update NFC Flags", "Person Attachments", "Position Management", "Payroll Documents", "HR Reports", "Payroll Processing", "Training Administration", "Workforce Administration", "Manage Performance", "Workforce Development", "Organizational Development", "Enterprise Learning", "Transit Subsidy", "EmpowHR Setup Tables (HD)", "EmpowHR User Security (HD)", "Set Up HRMS", "Worklist", "Tree Manager", "Reporting Tools", "PeopleTools", "Change My Password", "My Personalizations", "My System Profile", "My Dictionary", "EmpowHR Documentation", and "EmpowHR Process Monitor".

The main content area is titled "Data Control" and includes tabs for "Personal Data", "Job", "Position", "Compensation", "Employment 1", "Employment 2", and "Benefit Data". The "Data Control" tab is active, showing a form for hiring a new employee. The form includes the following fields and options:

- EmplID:** NEW
- Empl Rcd Nbr:** 0
- *Effective Date:** 12/24/2012
- Proposed Effective Date:** 12/24/2012
- Go To Row:** + -
- Effective Seq:** 1
- Transaction Status:** InProgress
- *Auth Date:** 12/20/2012
- Contact EmplID:** (Search field)
- *Action:** HIR (Hire)
- PAR Status:** INI (Initiated)
- *Reason:** (Search field)
- Agency Type:** Federal
- Code:** 101
- *NOA Code:** CAREER COND APPT
- *Authority (1):** (Search field)
- Authority (2):** (Search field)
- NTE Date:** (Search field)
- PAR Request #:** (Search field)
- Print SF-52** and **Print SF-50** buttons
- PAR Remarks**, **Award Data**, **Tracking Data**, and **Justification** links
- GPPA Website** link
- Add/View Attachment** link

At the bottom of the form, there are buttons for **Save**, **Notify**, **Previous tab**, and **Next tab**, along with an **Add** button. The footer of the page shows the Windows taskbar with the start button and several open applications, including Citrix XenApp, Inbox - Micro..., FRD 322161..., and Hire Employee.

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Functional Requirements

- On click "Save" in the PAR Processing component, the routine currently consists of a function to ensure data is contained in the PRD field on the Compensation page for a new employee record. The value in the PRD field will default to "0-Regular Rate" upon generating a new PAR document and if no other option is chosen by the User.
- On click "Save" in the PAR Processing Component, implement a routine to compare the previous inheritable row's PRD field value to the PRD field value on the current record. If the values are equal and are a 5, or the values are equal and are a 7, the system operations documented herein will be performed. Otherwise, the Save function will be allowed to continue - do nothing.

Hire Employee Action (Appointment/Conversion)

- On click "Save" in the PAR Processing Component, implement a routine that will interrupt the Save function and generate a system notification to the HR Processor regarding the OPM required use of Pay Rate Determinant value placed on the Appointment/Accession document (transaction); specifically PRD 5 and 7. The notification will have to be acknowledged by the User before the Save function will be allowed to proceed. Refer to Figure 3 below as an example of the verbiage to be contained in the message window.
- On Click "Save" in the Par Processing Component, implement a routine to validate the appropriate use of PRD 5 or 7 in combination with the NOA codes 1XX or 5XX. This system routine will execute to ascertain that the appropriate NOA codes are being used when the PRD field contains a 5 or 7.
 - A notification will be generated when these conditions are not met and will require the processor to update the fields accordingly.
 - The notification will have to be acknowledged by clicking 'OK'. On Click 'OK', abort the Save Function and move the display to the Compensation page. On the compensation page, place the cursor in the PRD field.
 - Refer to Figure 4 below as an example of the verbiage to be contained in the message window.

HR Processing

- On click "Save" in the PAR Processing Component, implement a routine that will interrupt the Save function for each of the following cases when the current action being processed is preceded by an accession/appointment action where the field value for PRD is 5 or 7:

PRD 5:Processing an Official PAR Action

- Verify the PRD field value on the Compensation page is a 5. If yes, then
- Validate the NOA placed on the current transaction represents a non-exception (Official) action. If yes, then
- Validate a previous inheritable row is an accession/appointment action, where the NOA is 1XX or 5XX and the PRD field value is also a 5. If yes, then
- Generate a message notifying the user that the PRD field value will be changed to a 6. When the user click's "OK", update the PRD field value to a 6 and continue with saving the transaction. If the user clicks

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"Cancel", do not update the PRD field value, abort the Save Function and move the display to the Compensation page. On the compensation page, place the cursor in the PRD field.

- At any point when the Save action is initiated, by clicking "Save", and a change has not been made to the PRD field - the PRD field value is 5 - this validation routine will occur.
- Refer to Figure 5 below as an example of the verbiage to be contained in the message window.

PRD 7: Processing an Official PAR Action

- Verify the PRD field value on the Compensation page is a 7. If yes, then
- Validate the NOA placed on the current transaction represents a non-exception (Official) action. If yes, then
- Validate a previous inheritable row is an accession/appointment action, where the NOA is 1XX or 5XX and the PRD field value is also a 7. If yes, then
- Generate a message notifying the user that the PRD field value will be changed to a 0. If the user clicks "OK", update the PRD field value to a 0 and continue with saving the transaction. If the user clicks "Cancel", do not update the PRD field value, abort the Save Function and move the display to the Compensation page. On the compensation page, place the cursor in the PRD field.
- At any point when the Save action is initiated, by clicking "Save", and a change has not been made to the PRD field - the PRD field value is 7 - this validation routine will occur.
- Refer to Figure 6 below as an example of the verbiage to be contained in the message window.

PRD 5 or 7: Processing an Exception PAR Action

- If the PRD field value is a 5 or 7 and the NOA on the current transaction represents an Exception Action; whether or not a PRD of 5 or 7 has been placed on the accession/appointment action, no notifications will be generated. Upon clicking "Save" on the PAR document, the value in the PRD field will not be system validated nor will the save process be interrupted to verify changes in this field. NOTE: An update of this type should be accomplished as part of an Official PAR Action and/or within the History Correction Component. The value in the PRD field on an Exception Action will not be sent to PPS nor will the change in this field on the current transaction/row affect any subsequent transactions.

System Generated Notifications

The following examples of system generated notifications will be provided to the User and are the result/specific to each of the scenario's listed previously in this document. These notifications are intended to supply the User with information relative to OPM's requirement for handling and processing of PAR Documents that contain a PRD value of 5 or 7. Notifications will occur as follows:

Figure 3: General Message pertaining to Processing/Entering an Appointment/Conversion Action where the PRD is a 5 or 7

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"You are processing a PAR document that includes a PRD value that will require an update on the next official action. OPM requires that the use of a PRD 5 or 7 only exist on the action that appointed the employee."

Click "Ok" to acknowledge this message.

Figure 4: Message pertaining to the attempted submission of an Official PAR containing a PRD 5 or 7 and the NOA code entered on the Data Control page does not reflect a 1XX or 5XX.

"You are processing a PAR document that includes a PRD value that requires the appropriate NOA code of 1XX or 5XX. OPM requires that the use of a PRD 5 or 7 only be submitted on an appointment or conversion action."

Click "Ok" to acknowledge this message. Once the appropriate update/change has been made, click 'Save' to complete processing of this action.

Figure 5: Message pertaining to the attempted submission an Official PAR transaction containing a PRD value of 5 that is subsequent to an Appointment Action also containing a PRD 5.

"You are processing a PAR document that includes a PRD value that requires Update. OPM requires that the use of a PRD 5 only exist on the action that appointed the employee.

Would you like to continue with saving this action?

*Click "Ok" to allow the system to update the PRD to a 6 and proceed with saving the record
or*

Click "Cancel" to go back and update this value now.

Figure 6: Message pertaining to the attempted submission an Official PAR transaction containing a PRD value of 7 that is subsequent to an Appointment also containing a PRD 7.

"You are processing a PAR document that includes a PRD value that requires Update. OPM requires that the use of a PRD 7 only exist on the action that appointed the employee.

Would you like to continue with saving this action?

*Click "Ok" to allow the system to update the PRD to a 0 and proceed with saving the record
or*

Click "Cancel" to go back and update this value now.

Signature of Systems Requirements Branch Chief:
N/A

Date:

Signature of Web Requirements Branch Chief:

Date:

/s/ Ronald Douglas

7/1/2013