INTEGRATED RESOURCE INFORMATION SYSTEM

PROJECT – HRM PHASE

Pension Profile PENS Interface Document Template – XML

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1 INTRODUCTION

The Pension Profile (PENS) document allows the entry of an employee's pension plan and entry and/or display of pension deductions.

The PENS document consists of a Header and Detail section. The Header section records general information about the Employee and the pension plan they are designated to. The State of Alaska will only be using the Header section and will not need to populate the Detail section via interfaces. Any detail that could be included on the Detail lines of a PENS document will be specified on the MISC documents, and the pension deductions will be displayed on the PENS document Detail section via a configuration setting in the system.

For the State of Alaska, the Division of Retirement and Benefits (DRB) will be solely responsible for designating employees to specific pension plans and maintaining pension profiles in IRIS. Therefore, DRB will be the only agency submitting PENS documents in IRIS via interfaces and they will do so on behalf of all SOA employees. The Division of Finance (DOF) staff can do manual entries for corrections and last minute set up changes, coordinating with DRB. The data entered on PENS documents will be purely informational and used by DRB for validation purposes as the detailed deductions data is entered via MISC documents.

Detailed information on field types and lengths are included in this document.

See **Appendix D** for a cross reference of AKPAY to IRIS Pension related codes.

2 FILE SPECIFICATIONS

The following sections describe the specifications of the Pension Profile (PENS) document inbound interface template.

2.1 PENSION PROFILE DOCUMENT LAYOUT

The PENS transaction file consists of 4 required components:

1. One **AMS_DOC_XML_IMPORT_FILE** component at the beginning of the file
2. One **AMS_DOCUMENT** record per document
3. One **PENS_DOC_HDR** record per document
4. One **TRAILER_RECORD** at the end of the file

The remaining sections explain each component of a complete XML-based PENS document file.

Exhibit 1 defines the PENS file components.
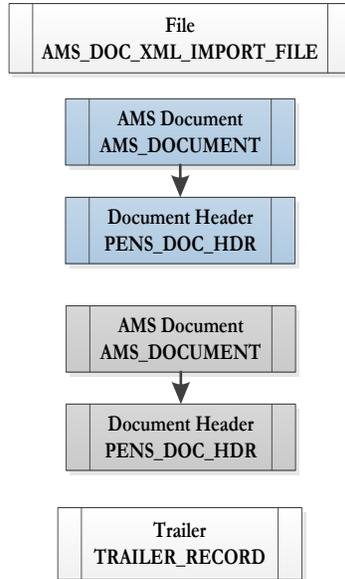
Exhibit 1 PENS Required XML Components

Required File Component	Component Description
AMS_DOC_XML_IMPORT_FILE	Unique Tag used to identify the beginning and ending of an inbound XML interface file.
AMS_DOCUMENT	Unique Tag used to identify the beginning and ending of a document within an inbound XML interface file.
PENS_DOC_HDR	Unique Tag used to identify the beginning and ending of a header component within a document.
TRAILER_RECORD	Unique Tag used to identify the beginning and ending of the file trailer.

For example, the structure of an interface file with two PENS documents would be as follows:

File Beginning Component   (AMS_DOC_XML_IMPORT_FILE)

Document Record   (AMS_DOCUMENT) #1
Header Record   (PENS_DOC_HDR) #1

Document Record   (AMS_DOCUMENT) #2
Header Record   (PENS_DOC_HDR) #2

Trailer Record   (TRAILER_RECORD)

Exhibit 2 is a graphical presentation of the components and their relationship to one another.

Exhibit 2 PENS File Components

The remaining sub-sections of this chapter provide information for constructing the different file components. In each section, the "Req'd?" column tells if the tag is required (R), conditionally required (CR) based on the contents of another field, optional (O) or Prohibited (P) from this specific interface.

See **Appendix A** for an example of a correctly coded PENS XML file.

2.2   PENS XML FILE COMPONENT: AMS_DOC_XML_IMPORT_FILE

This component is a required beginning tag for any XML file being submitted into the IRIS system.

Field	Description	Req'd?	Type	Len	Comments/Rules
VERSION	File specification version.	R	VARCHAR2	3	'1.0'

2.3   PENS DOCUMENT COMPONENT: AMS_DOCUMENT

The opening AMS_DOCUMENT tag must follow the opening AMS_DOC_XML_IMPORT_FILE tag. The following attributes are required for any XML file submitted into the IRIS system. It is best practice for the data fields to appear within the opening AMS_DOCUMENT tag in the order presented below.

Field	Caption	Description	Req'd?	Type	Len	Comments/Rules
DOC_CAT	Document Category	The category with which the document is associated.	R	VARCHAR2	8	'HR'
DOC_TYP	Document Type	The type of document, defined in the IRIS Document Type table. Each document code must be assigned a document type.	R	VARCHAR2	8	'PENS'
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction.	R	VARCHAR2	8	'PENS'
DOC_DEPT_CD	Department Code	The department code assigned to this document.	R	VARCHAR2	4	Must be the 2-digit department code of the department sending the data, with leading zero for departments 01 – 09 (e.g., 02=DOA; 25 = DOT).
DOC_UNIT_CD	Document Unit	The unit code associated with this document, which can be used to facilitate workflow.	R	VARCHAR2	4	Must be a valid 4-character Unit code. This field will be used to manage security and workflow. Unit designation and security and workflow configuration is in progress and the IRIS team will provide more information when configuration has stabilized. **For initial testing purposes, use Z999.**
DOC_ID	Document ID	The unique document number assigned for this transaction.	R	VARCHAR2	20	The Department creating the file must provide a unique document ID in this format: Iddnnnnnnnnnnnnnnnnn. Where "**I**" = Literal value that means interface; "**dd**" = A unique 2-character code identifying the originating source system of the interface document. For example: S1= DRB-18-Dependent Care; and "**nnnnnnnnnnnnnnnnn**" = a unique 17-digit number across all documents sent to IRIS by the originator. See **Appendix C** for a list of valid Document ID prefix codes to be used with interfaces that contain PENS documents.
DOC_VERS_NO	Document Version Number	The version number assigned to this document.	R	NUMBER	2	Set to "1".
AUTO_DOC_NUM	Automatic Document Numbering	Indicates that the system will assign a unique Document ID.	R	VARCHAR2	5	For interfaces always set to "false".
DOC_IMPORT_MODE	Document Import Mode	Indicates that the document is being made as an Original Entry "OE".	R	VARCHAR2	3	Set to "OE " for Original Entry.

2.4 PENS DOCUMENT COMPONENT: PENS_DOC_HDR

The following XML tags are used for PENS documents being submitted into the IRIS system. The fields listed represent a subset of all possible PENS_DOC_HDR fields and may be subject to change if new requirements are identified.

Field	Caption	Description	Req'd?	Type	Len	Comments / Rules
DOC_CAT	Document Category	The category with which the document is associated.	R	VARCHAR2	8	'HR'
DOC_TYP	Document Type	The type of document, defined in the IRIS Document Type table. Each document code must be assigned a document type.	R	VARCHAR2	8	'PENS'
DOC_CD	Document Code	The alpha-numeric code that indicates the type of transaction.	R	VARCHAR2	8	'PENS'
DOC_DEPT_CD	Department Code	The department code assigned to this document.	R	VARCHAR2	4	Populate same Department Code value as in the AMS_DOCUMENT section above.
DOC_UNIT_CD	Document Unit	The unit code associated with this document, which can be used to facilitate workflow.	R	VARCHAR2	4	Populate same Unit Code value as in the AMS_DOCUMENT section above.
DOC_ID	Document ID	The unique document number assigned for this transaction.	R	VARCHAR2	20	Populate same Document ID value as in the AMS_DOCUMENT section above.
DOC_VERS_NO	Document Version Number	The version number assigned to this document.	R	NUMBER	2	Set to "1".
APPOINTMENT_ID	Appointment ID	Specifies which appointment the deduction pertains. A primary appointment is blank while each subsequent is identified as a different value.	O	CHAR	1	Populate with a space character which indicates the document applies to the employee's primary appointment. It can also be specified with an employee's appointment code for secondary appointments, if applicable. If the field is omitted or sent with a null value, the system will default to a single space.
EMPLOYEE_ID	Employee ID	The Employee ID of the employee in IRIS.	R	VARCHAR2	10	The 6-digit State of Alaska ID of the employee to which this document will be applied.
PERS_PART_ID	Retirement Participant ID	A unique 10-digit identifier created by the system during enrollment.	O	VARCHAR2	10	Not planned to be used currently but may be used in the future.
PERS_APPT_ID	Retirement Appointment ID	A uniquely identifier created by the system during enrollment. This code identifies the job into which the employee has been hired.	O	VARCHAR2	16	Not planned to be used currently but may be used in the future.
PEN_SYS_CD	Pension System	The code indicating the pension system the employee belongs to.	R	VARCHAR2	5	See **Appendix D** for a list of valid Pension System codes to be used with interfaces that contain PENS documents.
PEN_TIER_CD	Payment Mode/Pension Tier	The pension tier indicates the level of membership within the pension system.	R	VARCHAR2	5	See **Appendix D** for a list of valid Pension Tier codes to be used with interfaces that contain PENS documents.
MEMBERSHIP_NO	Membership Number	The employee's pension system membership number.	O	VARCHAR2	15	Not planned to be used currently but may be used in the future.

Field	Caption	Description	Req'd?	Type	Len	Comments / Rules
START_DT	Starting Date	The date the employee joined the pension system.	O	DATE	10	Start date in the CCYY-MM-DD format.

2.5 TRAILER RECORD COMPONENT: TRAILER_RECORD

The opening TRAILER_RECORD tag must follow the closing AMS_DOCUMENT tag. The following XML tags are used for PENS documents being submitted into the IRIS system. The trailer record is an important component of the IRIS Interface Reconciliation process and must provide accurate document record counts and header line record counts to support the validation that what was sent is what was received.

Field	Name	Description	Req'd?	Type	Len	Comments
RECORD_TYPE	Record Type	This record identifies the file record as the trailer record.	R	VARCHAR2	3	"TRL"
FILE_NAME	File Name	The text name of the file.	R	VARCHAR2	64	IRIS HRM will not enforce population of this field, however, as a best practice it should be populated. Populated value must match the file name of the physical file. For naming conventions see section 2.3 of the HRM Interface Technical Specification document identified in chapter 3 below.
RCD_CNT	Record Count	The numeric count of all documents within this file.	R	NUMBER	10	The count of all documents, denoted with an AMS_DOCUMENT tag, within this file. This includes a count of all documents, plus one for the trailer record itself.
HDR_CNT	Header Count	The numeric count of all header components within this file.	R	NUMBER	10	For interface files containing PENS documents, the method "HDRCNT" will be used. That method will count the number header components, denoted by PENS_DOC_HDR records within the file. The method code is stored in the SUM_ACCT1 field on the R_INT_RECON_CONTROL table to identify the method for each individual interface.

Note: The Trailer Record is unique to State of Alaska interface files. Some coding conventions described in the *IRIS HRM General Technical/XML Specifications* (see **Appendix B**) do not apply to the Trailer Record section. See the coding in **Appendix A** for an example of proper construction of a PENS document.

3 APPENDICES

3.1 APPENDIX A – PENS XML SAMPLE

The following XML file contains sample XML code for a Pension Profile (PENS) document.

PENS_XML_Example.
XML

3.2 APPENDIX B – GENERAL TECHNICAL AND XML SPECIFICATIONS FOR IRIS INTERFACES

The IRIS_HRM_Interface_Spec document located on the IRIS Portal > Interface webpage contains common interface and XML standards to be followed for all IRIS interface files.

3.3 APPENDIX C – VALID DOCUMENT ID PREFIXES

This appendix presents a table that contains codes required to populate Document ID field's prefix value described in section 2.3 of this document.

For interfaces known to use PENS document at the time this document was drafted, the following Document ID prefix codes should be placed in the front of every Document ID field populated in interface files.

Document ID Prefix Code	Interface Name
IS6	DRB-214-Pension Plan Assignments

3.4 APPENDIX D – AKPAY TO IRIS HRM PENSION CODES CROSS-REFERENCE

The table below presents a cross-reference of AKPAY pension plan codes to IRIS pension systems and tiers anticipated for use in interfaces. The list is subject to change as discussions continue between DRB and the IRIS team to finalize these codes. Until these decisions are finalized, this cross-reference does not cover all the information needed by interface DRB-214.

AKPAY Code	AKPAY PERS/TRS Occupation Description	IRIS Pension System	IRIS Pension Tier	Description
A	ALL OTHER OCCUPATIONS	PERSA	DB	PERS TYPE A DEFINED BENEFITS
A	ALL OTHER OCCUPATIONS	PERSA	DCR	PERS TYPE A DEFINED CONTRIBUTION
C	MMP	PERSC	DB	PERS TYPE C DEFINED BENEFITS(MMP)
C	MMP	PERSC	DCR	PERS TYPE C DEFINED CONTRIBUTION (MMP)
D	SPECIAL DOEED	PERSD	DB	PERS TYPE D DEFINED BENEFITS (EED NON CERT)
D	SPECIAL DOEED	PERSD	DCR	PERS TYPE D DEFINED CONTRIBUTION (EED NON CERT)
E	ELECTED OFFICALS	PERSE	DB	PERS TYPE E DEFINED BENEFITS (ELECT OFF)
E	ELECTED OFFICALS	PERSE	DCR	PERS TYPE E DEFINED CONTRIBUTION (ELECT OFF)
F	FIRE FIGHTERS	PERSF	DB	PERS TYPE F DEFINED BENEFITS (FF)
F	FIRE FIGHTERS	PERSF	DCR	PERS TYPE F DEFINED CONTRIBUTION (FF)
J	JRS - MORE THAN 15 YRS SERVICE	JRSJ	DB	JRS DEFINED BENEFITS (>15 YRS)
L	EPORS	EPORS	DB	EPORS DEFINED BENEFITS
M	IBU	PERSM	DB	PERS TYPE M DEFINED BENEFITS (IBU)
M	IBU	PERSM	DCR	PERS TYPE M DEFINED CONTRIBUTION (IBU)
P	PEACE OFFICERS	PERSP	DB	PERS TYPE P DEFINED BENEFITS (PEACE OFFICER)
P	PEACE OFFICERS	PERSP	DCR	PERS TYPE P DEFINED CONTRIBUTION (PEACE OFFICER)
R	JRS - LESS THAN 15 YRS SERVICE	JRSR	DB	JRS DEFINED BENEFITS (<15 YRS)
T	TRS	TRSA	DB	TRS DEFINED BENEFITS
T	TRS	TRSA	DCR	TRS DEFINED CONTRIBUTION