INTEGRATED RESOURCE INFORMATION SYSTEM

**PROJECT – HRM PHASE**

One-Time Deduction OTDED Interface Design Template – XML

Last Update: November 27, 2018

SOA Internal Use Only

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# 1. INTRODUCTION

The One Time Deduction (OTDED) document allows the entry of specific one-time deductions for an employee which can either be a flat amount, calculated based on a percentage or entered as a subject gross amount. When a subject gross amount is entered the amount will be determined by the rate which is normally used, table driven or employee specified. Subject gross amount option will be utilized centrally by the Division of Finance.

The State of Alaska will use OTDED documents to either add an additional deduction for an employee or replace a normal deduction. An example of an additional deduction is an adjustment which is required for an employee, while a deduction which would be replaced is one where a different amount should be taken during payroll processing. Once deductions are entered through this document they are stored as a Pending Deduction, meaning they will be taken during the next payroll for the employee.

The OTDED has a Header and Detail section. The Header section records general information about the Employee. The Detail section records the information needed to specify a one-time deduction for an employee. The information entered for each Deduction Type and Deduction Plan is determined through configuration in reference tables.

The types of deductions to be interfaced fall into four categories. Each is listed with the corresponding data needed for processing:

| Category | Common Data | Additional Data |
|---|---|---|
| **Table Driven Deduction Amounts** | Employee ID | |
| **Employee Specified Deduction Amount** | Appointment ID | Override Deduction Amount |
| **Employee Specified Deduction Rate** | Deduction Type | Override Deduction Rate |
| **Goal Oriented Deduction Amount** | Deduction Plan | Override Deduction Amount Goal Deduction Amount |
| | Effective Date Expiration Date | |

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

See **Appendix D** for a cross-reference of AKPAY Deduction (ETV) Codes to IRIS codes.

# 2. FILE SPECIFICATIONS

The following sections describe the specifications of the One Time Deduction (OTDED) document inbound interface template.

## 2.1. ONE TIME DEDUCTIONS LAYOUT

The OTDED transaction file consists of 5 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 **OTDED_DOC_HDR** per document
4. One or more **OTDED_DOC_DED** records per document
5. One **TRAILER_RECORD** at the end of the file

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

Exhibit 1 defines OTDED file components.

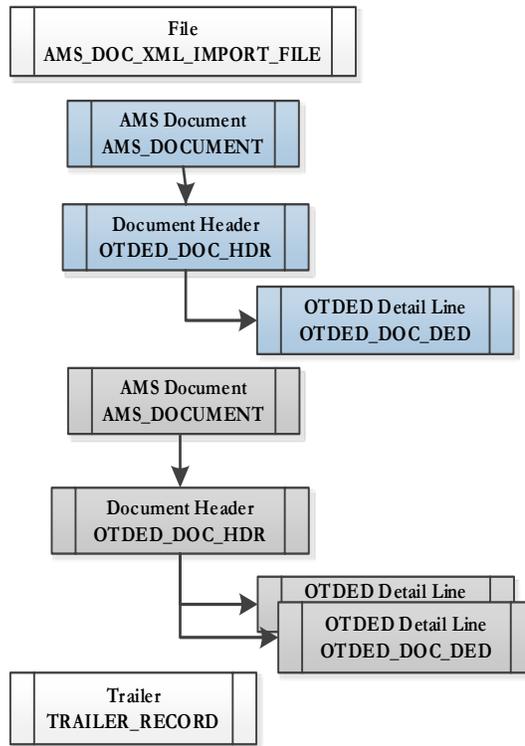### Exhibit 1 OTDED Required XML Components

| 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. |
| OTDED_DOC_HDR | Unique Tag used to identify the beginning and ending of a header component within a document. |
| OTDED_DOC_DED | Unique Tag used to identify the beginning and ending of a deduction 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 OTDED documents, where the first document has one deduction line record and the second document has two deduction line records, would be as follows:

| | |
|---|---|
| File Beginning Component | (AMS_DOC_XML_IMPORT_FILE) |
| Document Record | (AMS_DOCUMENT) #1 |
| Header Record | (OTDED_DOC_HDR) #1 |
| Deduction Record | (OTDED_DOC_DED) #1 |
| Document record | (AMS_DOCUMENT) #2 |
| Header Record | (OTDED_DOC_HDR) #2 |
| Deduction Record | (OTDED_DOC_DED) #1 |
| Deduction Record | (OTDED_DOC_DED) #2 |
| Trailer record | (TRAILER_RECORD) |

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

**Exhibit 2 OTDED File Components**

```
┌─────────────────────────────┐
│            File             │
│   AMS_DOC_XML_IMPORT_FILE    │
└─────────────────────────────┘

    ┌──────────────────────┐
    │    AMS Document      │
    │    AMS_DOCUMENT      │
    └──────────────────────┘
              │
    ┌──────────────────────┐
    │   Document Header    │
    │   OTDED_DOC_HDR      │
    └──────────────────────┘
              │
              │   ┌──────────────────────┐
              └──▶│   OTDED Detail Line  │
                  │   OTDED_DOC_DED      │
                  └──────────────────────┘

    ┌──────────────────────┐
    │    AMS Document      │
    │    AMS_DOCUMENT      │
    └──────────────────────┘
              │
    ┌──────────────────────┐
    │   Document Header    │
    │   OTDED_DOC_HDR      │
    └──────────────────────┘
              │   ┌──────────────────────┐
              ├──▶│   OTDED Detail Line  │
              │   │ ┌──────────────────────┐
              └──▶│ │   OTDED Detail Line  │
                  └─│   OTDED_DOC_DED      │
                    └──────────────────────┘

    ┌──────────────────────┐
    │      Trailer         │
    │   TRAILER_RECORD     │
    └──────────────────────┘
```

The remaining sub-sections of this section 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 OTDED XML file.

## 2.2.      OTDED 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.    OTDED 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 | 'OTDED' |
| DOC_CD | Document Code | The alpha-numeric code that indicates the type of transaction. | R | VARCHAR2 | 8 | 'OTDED' |
| 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 OTDED 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. OTDED DOCUMENT COMPONENT: OTDED_DOC_HDR

The following XML tags are used for OTDED documents being submitted into the IRIS system. The fields listed represent a subset of all possible OTDED_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 in which the document is located. | 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 | 'OTDED' |
| DOC_CD | Document Code | The alpha-numeric code that indicates the type of transaction. | R | VARCHAR2 | 8 | 'OTDED' |
| 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". |
| 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. |
| APPOINTMENT_ID | Appointment ID | Specifies which appointment or job the deduction pertains to. A primary appointment is blank while each subsequent appointment is identified with 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 populated with employee's secondary appointment if the employee has multiple appointments. Note that if the field is omitted or sent in with a null value, the system will default the field to a single space. |
| ADD_REPLACE_ID | Add/Replace | If set to "Add Deduction" the one-time deduction amount is taken in addition to the permanent pay period deduction amount. If set to "Replace Permanent Deduction" the permanent pay period deduction amount is replaced with the one-time deduction amount or percent from the current document. | R | CHAR | 1 | This will normally be set to "A" for Adding the one-time deduction (e.g., EFF commissary). Set to "R" for Replacing an existing deduction. |

| Field | Caption | Description | Req'd? | Type | Len | Comments / Rules |
|---|---|---|---|---|---|---|
| INCLUDE_INSUPP_FL | Include in Supplemental Run | Indicates whether the deduction is to be included in a supplemental payroll run. | O | VARCHAR2 | 5 | Set to "false" or null, unless the deduction should also be taken during any checks issued to an employee which are tied to a specific pay period processed in a supplemental payroll run. If included in a supplemental run, set to "true." If the deduction is designated for a special supplemental payroll run, this will be coordinated through DOF.<br><br>The only valid values are "true," "false" or blank (space). Sending blank results in the field being set to "false" in IRIS HRM. |

## 2.5.  OTDED DOCUMENT COMPONENT:  OTDED_DOC_DED

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

| Field | Caption | Description | Req'd? | TYPE | Len | Comment / 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 | 'OTDED' |
| DOC_CD | Document Code | The alpha-numeric code that indicates the type of transaction. | R | VARCHAR2 | 8 | 'OTDED' |
| 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". |
| DOC_DED_LN_NO | Line Number | Each deduction detail line associated with a document needs a line number. | R | NUMBER | 10 | Increment line numbers if more than 1. For example, if 4 deduction lines exist within one document, the first Line Number field would be set to 1, the second set to 2 and so on. |
| EFFECTIVE_DT | Event Date | The date the deduction takes effect. | R | DATE | 10 | The effective date of the deduction, in CCYY-MM-DD format. If it is related to a specific Deduction Policy, the record must be dated accordingly. The employee has to be assigned to that Deduction Policy as of the Event/Effective Date. |
| DEDTYP_CD | Deduction Type | The code associated with the Deduction Type. | R | VARCHAR2 | 5 | See **Appendix D** for information on the new codes to use for IRIS. These codes are subject to change. Contact the IRIS team if the deduction code you need is not listed. |
| DEDPLAN_CD | Deduction Plan | The code associated with the Deduction Plan. | R | VARCHAR2 | 5 | See **Appendix D** for information on the new codes to use for IRIS. These codes are subject to change. Contact the IRIS team if the deduction code you need is not listed. |
| DED_AM | Override Amount | The dollar amount of the deduction. | CR | DECIMAL | 9,2 | A deduction is entered as a positive amount whether it's pre-tax or post-tax. A refund is entered as a negative amount. |

## 2.6. TRAILER RECORD COMPONENT: TRAILER RECORD

The opening TRAILER_RECORD tag must follow the closing AMS_DOCUMENT tag. The following XML tags are used for OTDED 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 deduction 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. |
| SUM_ACCT1 | Deduction Line Count | The numeric count of all deduction line components within this file. | R | DECIMAL | 16,2 | For interface files containing OTDED documents, the method "DEDCNT" will be used. That method will count the number deduction lines, denoted by OTDED_DOC_DED records within the file.<br><br>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 document 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 an OTDED document.

# 3. APPENDICES

## 3.1. APPENDIX A – OTDED XML SAMPLE

The following XML file contains sample XML code for a One Time Deduction (OTDED) document.

OTDED_XML_EXAMP
LE.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 OTDED 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 inbound interface files.

| Document ID Prefix Code | Interface Name |
|---|---|
| IN1 | DNR-157A-Emergency Firefighters Commissary |
| IS5 | DRB-164A-Select Benefits Updates |
| IA7 | ASEA-136A-Health Trust Updates |
| IA8 | LTC-138A-Health Trust Updates |

## 3.4.    APPENDIX D – IRIS DEDUCTION CODES AND CORRESPONDING AKPAY VALUES

The table below presents a cross-reference of AKPAY negative earnings and deduction codes to IRIS deduction types and deduction plans anticipated for use in interfaces. The list is subject to change. Changes will be communicated to the affected Departments. Contact the IRIS team if a code you need is not listed below.

| AKPAY Code | Description | IRIS Deduction Type | IRIS Deduction Plan | Deduction Category | Interfacing Agency |
|---|---|---|---|---|---|
| V073 | EFF Commissary | D073 | D073 | Employee Specified Amount | DNR |
| V330 | Life Ins Adj | D330 | D330 | Employee Specified Amount | R&B |
| E503 | Dependent Care | D503 | D503 | Employee Specified Amount | R&B |
| E504 | Supplemental Life | D504 | D504 | Employee Specified Amount | R&B |
| E505 | Supplemental AD&D | D505 | D505 | Employee Specified Amount | R&B |
| E506 | Supplemental Survivor | D506 | D506 | Employee Specified Amount | R&B |
| E507 | Short Term Disability | D507 | D507 | Employee Specified Amount | R&B |
| E508 | Long Term Disability | D508 | D508 | Employee Specified Amount | R&B |
| E531 | Section 125 HCRA LTC Adjustment | D531 | D531 | Employee Specified Amount | Local 71 |
| E537 | ASEA EE Buy-Up Adjustment | D537 | D537 | Employee Specified Amount | ASEA Health Trust |
| E551 | Section 125 LTC Adjustment | D551 | D551 | Employee Specified Amount | Local 71 |
| E557 | Select Benefits HI Buy-Up | D557 | D557 | Employee Specified Amount | R&B |
| E558 | Select Benefits Dental Buy-Up | D558 | D558 | Employee Specified Amount | R&B |
| E559 | Select Benefits Vision Buy-Up | D559 | D559 | Employee Specified Amount | R&B |
| E561 | ASEA HFSA Adjustment | D561 | D561 | Employee Specified Amount | ASEA Health Trust |
| E563 | ASEA Pro-rated HI-EE Buy-Up | D563 | D563 | Employee Specified Amount | ASEA Health Trust |
| E564 | ASEA Part-time Pro-rated HI | D564 | D564 | Employee Specified Amount | ASEA Health Trust |
| E565 | ASEA Pro-rated FSA | D565 | D565 | Employee Specified Amount | ASEA Health Trust |
| V362 | LTC Life Insurance | D362 | D362 | Employee Specified Amount | Local 71 |
| V860 | LTC FT Health Insurance | D860R | D860R | Employee Specified Amount | Local 71 |
| V865 | Select Benefits Health | D865R | D865R | Table Driven Amount | R&B |
| V870 | LTC PT Health Insurance | D870R | D870R | Table Driven Amount | Local 71 |
| V877 | ASEA PT Health Insurance | D877R | D877R | Table Driven Amount | ASEA Health Trust |
| V057 | Roth 457 Plan Under Age | D057 | D057 | Employee Specified Amount | R&B |
| V058 | Roth 457 Plan Age 50+ | D058 | D058 | Employee Specified Amount | R&B |