SPS Project – #060B3490012

Future State
Process Definition and
Requirements Document (PDR)

Attachment F5
Employee Self-Service (ESS) Transactions

Contents

I. Document Information

A. Definitions/Abbreviations/Acronyms

Abbreviation/ Acronym	*Definition*
Approvals	The step of reviewing and approving a transaction based on the criteria required at the user's stage of the defined business process.
Business Rules	Business rules are procedures defined in the system to ensure that transactions follow the State's rules and regulations for personnel.
Denial	The step of reviewing and denying a transaction based on the criteria required at the user's stage of the defined business process.
Digital Signature	The digital signature is an electronic signature that replaces a handwritten signature.
Effective Dating	Effective dating means that an action takes place on a specified date in the future or past, regardless of the date on which it is entered into the system. Effective dated information becomes active on the specified date.
ESS	Employee Self-Service
MSS	Manager Self-Service
Notifications	Notifications are a communication about a transaction or event in a defined business process. Notifications take different forms depending on the business need and may include email, work list, interfaces or reports/queries. A process is not limited to a single form of notification and may instead require a different form per stakeholder.
Portal	Portals provide a single point of integration and navigation through the enterprise for structured access to information across large, multiple, and disparate areas while providing each user with a highly personalized view of the enterprise.
Roles	A role defines access to system functionality and drives workflow and system automation. Users of the SPS system will have one or multiple roles assigned to them in system security.
Satellite Agency	A quasi-State entity that purchases its employee benefits from the State
Workflow	Workflow is a defined set of reviewers, approvers and notifications for a specific business process. The workflow definition for a process will include a routing order and a required action from each stakeholder.

II. Organizational Overview

In this section, we discuss the current business and technical environments surrounding and supporting the State's personnel and benefits systems.

Business Environment

DBM's Office of Personnel Services and Benefits (OPSB) along with the State agencies are responsible for personnel administration, including policy development, guidance, and interpretation. The Executive Director, OPSB, leads a support staff of approximately one hundred and seventy-five people. The OPSB operations currently include oversight of Recruitment and Examination, Classification and Salary Administration, Employee Benefits, Employee Relations, Employee Grievances, Disciplinary Actions, EAP, EEO and the Leave Bank.

DBM's current personnel and benefits systems support 700 users, who manage the personnel and benefits activities of over roughly 120,000 State employees and retirees, Satellite Agency employees and retirees, and their eligible dependents. Through the existing HR system (MS310) and manual forms (MS311, MS106), and Benefits Administration Systems (BAS), the State processes over 250,000 transactions annually. The Sigma Applicant Management System (AMS) which the State uses to support its recruitment and evaluation function will be replaced by JobAps with targeted implementation date of August 2012.

The Central Payroll Bureau (CPB) is responsible for statewide payroll processing and will continue to manage payroll information on a separate system while receiving inputs from the HRIS. Similarly, the Maryland State Retirement and Pension Systems (MSRPS) organization will continue to handle retirement information on a separate system.

It is expected that the new HRIS will replace many of the current Personnel/Benefits applications. However, the systems used by the Central Payroll Bureau; Maryland State Retirement and Pension Systems; and other existing HR database used by other agencies (i.e.; University Systems, MDOT and Satellite Agencies) will not be replaced by the new HRIS. These systems will require interfaces to and from the new HRIS. For brief descriptions of the current systems used to manage and maintain personnel transactions and data, please refer to appendix C.

III. Proposed Future State Process

A. Process Overview

As part of the new SPS, the State has selected 'JobAps' as the preferred recruiting and applicant tracking system. 'JobAps' will be seamlessly integrated with HCM SaaS to provide a comprehensive solution to the State's Recruitment and Human Resources business process, data management and reporting requirements. The recruiting functionality will be implemented using JobAps. Please note that JobAps will be the system of record that will provide both applicants and HR administrators with online access to resources and information required to recruit, test and select candidates to fill State vacancies. These include, but are not limited to the following processes:

- Job Requisitioning
- Recruitment Planning
- Test Construction and Testing
- Job Posting
- Applicant Profile & Portal
- Applicant Submission
- Applicant Eligibility
- Examination and Scoring
- Eligible List Creation and Publishing
- Interview and Selection
- Consolidated Reporting

Currently, employees are able to update their mailing address and W4 withholdings in POSC via CPB's payroll system. Please note that this information is not used in the current HR system. Employees must complete the change of address form to submit any address and phone updates to their Agency HR.

This document discusses the future state business process for Employee Self-Service (ESS) in the new State Personnel HCM System (SPS). The SPS self-service functionality will allow employees to initiate personal data updates. Employees will be able to receive notifications and track the status of transactions from a web browser. The State will continue to accommodate paper transactions to assist employees who don't have access to a computer.

Employee-initiated transactions will be reviewed and/or approved based on organizational guidelines before the employee's record is actually updated and finalized in the system.

The ESS process stakeholders include Employees, Supervisor/Managers, Agency HR, Agency Appointing Authority, DBM EBD and CPB. Based on their predefined role in the system, these stakeholders may initiate, review, approve, deny or be notified of an ESS transaction, and perform specific functionality designed in the process workflow.

The employee transactions' that will not be reviewed in this PDR, but will be reviewed in another are:

Employee Transaction/Event	Will be Covered in the Following PDR
Benefits Administration - Benefit Open Enrollment - Benefit Event Maintenance Enrollment - Model Benefits Cost - Modify Dependents	Benefits Administration
Contractual Employees - Contractual Recruitment Package - Contractual Job Posting - Contractual Eligible List - Interview & Selection	Recruitment and Examination
Classification and Salary - Acting Capacity Request (Type A-C w/Delegated Authority) - Acting Capacity Request (c w/No Delegated Authority or No Minimum Qualifications) - Acting Capacity Request-EPP	Classification & Salary
Recruitment and Examination - Interview and Selection-Parts I & II	Recruitment and Examination
Time and Labor - Scheduling - Timesheet Approval - Leave Approval - Overtime Approval - Bilingual Pay Approval	Time and Labor

B. General Self-Service Requirements

This section outlines the general system requirements necessary to execute ESS transactions with defined workflow requirements in the new SPS system.

Data

- The system shall provide security to allow Employees access to their personal data demographics.
- The system shall provide the capability for Employees to initiate ESS transactions.
- The system shall retain history on transactions that are effective dated.
- The system shall provide the capability to identify union employees within the system who do not want their home address made available to Bargaining Union Representatives.

ESS Functionality

- The system shall provide the capability for employees to initiate self-service transactions for themselves (i.e.; personal data demographics: address; phone numbers; email addresses; emergency contacts; ethnic groups; name change; marital status change; I9 information and grant authorization to release employee history information).
- The system shall display the Employee ID and Employee Name on all self-service pages.
- The system shall use workflow that has been standardized for all Agencies
- The system shall display transaction history upon request from the employee.

- The system shall default current employee demographic information stored in the database when employee logs in to the system and when initiating a new effective date to update the information.
- The system shall provide employees the capability to review the approval status of a transaction initiated via self service.
- The system shall validate that all required fields are completed before routing a transaction.
- The system shall validate that all fields are completed with a valid value where applicable.
- The system shall commit changes to the database after all required transaction approvals have been completed where applicable.
- The system shall provide the capability to send email notifications to the employees and reviewers as defined in the future state business process section of this PDR.
- The system shall provide employees the capability to print system generated transaction notifications
- The system shall provide employees the capability to modify and resubmit denied transactions as defined in the future state business process section of this PDR.
- The system shall provide the capability to upload and send scanned documents.
- The system shall allow Users to review, approve, deny, and send notifications via ESS.

Security

Application security shall:

- The system shall provide employees with the capability to access self-service functionality in a secure web browser environment
- The system shall allow employees to access data, functionality and reports based on his/her security profile

C. Workflow Requirements

The State shall be able to define workflow routing for employee self-service. The State requires the ability to define workflow:

- By required approvals
- By required notification
- By transaction type, for example, Name Change and Marital Status Change
- By organizational role and transaction type

D. Approvals and Notifications

The following *ESS Transaction Responsibility Matrix* models the suggested workflow for each ESS transaction, the involved stakeholders' roles and responsibilities. Some transactions will not require approval, and some transactions will require multiple approvers and notifications. Multiple levels of approvers are routed in increments to the final approval level. Notifications do not require incremental routing and will be routed concurrently.

ESS Transaction Responsibility Matrix								
Transaction								
Matrix Key A = Approver (+1 indicates multiple approval levels) I = Initiator N = Notification R = Reviewer (+1 indicates multiple approval levels) ID = Investigate and Make Determination	Employee	Supervisor/Mgr	Agency HR	Agency Timekeeper	Agency Benefits Coordinator	Agency Appointing Authority	DBM EBD	CPB
EMPLOYEE PERSONAL DATA MANAGEMENT								
Phone Number(s) Changes	I		N					
Email Addresses Changes (except 'business')	I		N				N	N
Emergency Contact(s) Changes	I		N				N/ID	
Ethnic Groups	I							
Home & Mailing Address Changes	I		N				N	N
Name Change	I		N				N	N
Marital Status Change	I		A				N/ID	
I9 Information	I		R/I					
Grant Authorization to Release Employee History Information	I		R/I				R/I	

E. Process Diagrams

The functional requirements definition included the preparation of process flow diagrams. The diagrams are intended to identify "future state" business process and show transaction stakeholders, process initiators and approvers, integrations, automation touch-points and required system functionality.

Appendix A contains the following process flow diagrams:

Employee Personal Data Management

ESS0201 – Address, Phone, Email Address, Ethnic Groups, and Emergency Contact
ESS0202 – Name Change
ESS0203 – Marital Status Change
ESS0204 – I-9 Form Information
ESS0205 – Authorization to Release Employee History Information

F. Process Narrative for Employee Self-Service of Personal Data

The system shall provide the ability for an employee to maintain personal data via employee self-service. When an employee is *hired*, personal data will be established in the system including employee name, home address, mailing address, email address, marital status, phone number(s), emergency contact(s), I9 information, and ethnicity.

After hire, the employee will be encouraged to use employee self-service to keep this information up-to-date in the database. Most of these transactions will not require review or approval except for Name, Marital Status, Employee History and I9 Information updates. For transactions that do not require review or approval, the system shall be updated at employee submission. The address change will be interfaced to CPB and Retirement System in the employee demographic updates and to external benefit providers if the employee is a benefit participant.

Address, Phone, Email, Ethnic Groups and Emergency Contact Changes

Associated Process Flow: ESS0201 – ESS Personal Data (Address, Phone, Email, Ethnic Groups, Emergency Contact)

ESS –Phone, Email, Ethnicity and Emergency Contact Changes Process Steps

This process begins when the employee chooses to *update personal data* via employee self-service.

Select Personal Data to Update: (Steps 1, 3, 5, 7 and 9): The system shall provide the ability for the employee to select to update one of the following personal data items:

- Update Address (Home or Mailing)
- Update Phone Number(s)
- Update Email Addresses (except for business)
- Update Ethnic Groups
- Update Emergency Contact(s)

Employee Chose to Update Home or Mailing Address: (Step 2): The system shall provide the ability for the employee to view and modify the following home and mailing address information.

Field	Access Mode	Business Requirements
Current Home Address Information - Street - City - State - Zip - County	Display	The system shall display current home address information.
Current Mailing Address Information - Street - City - State - Zip - County	Display	The system shall display current mailing address information.
Effective Date	Defaulted	The system shall default to today's date and allow the employee to modify based on the actual date of when s/he moved to a different address.
New Home Address Information - Street - City - State - Zip - County	Defaulted	The system shall default the employees current home address and allow them to make modifications as required. The system shall require a home address for the employee.
New Mailing Address Information - Street - City - State - Zip - County	Defaulted	The system shall default the employees current mailing address and allow them to make modifications as required. The system shall instruct the employee that mailing address is only required if different from home address.

SPS Updated: (Step 11): The system shall be updated with the data elements entered. When the record is saved, the following should occur:

- The system shall not require any review or approval of employee self-service home or mailing address changes before updating the system.
- The system shall record the personal data update in the production data tables with a new effective date.
- The Address update should be viewable to all applicable users based on security requirements.
- The employee's personal data history should reflect the Address Change.

For detailed documentation of the recommended solution for managing employee address across all current State systems (i.e.; CPB and non-SPMS regulated HR systems), please see ***Employee Solution Paper v1.3*** document.

AdHoc Report: Audit Address Changes: (Step 13): After the employee changes are saved in the system, the Agency HR Coordinator and DBM OPSB shall have the ability to generate audit report on all Address updates that have occurred in the database. The audit report will include date and time stamp of when update was completed and at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
SSN
Effective Date
New Address (Street, City, County, State, Zip)
Agency Code
Employee Classification

<u>Employee Chose to Update Phone Number(s):</u> (Step 4): The system shall provide the ability for the employee to view, add, delete and modify phone number information.

Field	Access Mode	Business Requirements
Current Phone Numbers - Home Phone Number - Mobile Phone Number - Work Phone Number	Display	The system shall display the employees current phone numbers.
New Phone Numbers - Home Phone Number - Mobile Phone Number - Work Phone Number	Defaulted	The system shall default the employees current phone numbers and provide them the ability to make modifications as required.
Primary	Required Entry	The system shall require the employee to designated 'primary' phone type if more than one type is provided.

SPS Updated: (Step 11): The system shall be updated with the data elements entered. When the record is saved, the following should occur:

- The system shall not require any review or approval of employee self-service phone number changes before updating the system.
- The system shall record the personal data information update in the production data tables.
- The new phone number/s <u>should be viewable</u> to all applicable users based on security requirements.

AdHoc Report: Audit Phone Number Changes: (Step 14): After the employee changes are saved in the system, the Agency HR Coordinator and DBM OPSB shall have the ability to generate audit report on all Phone Number updates that have occurred in the system. The audit report will include date and time stamp of when update was completed and at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
SSN
New Phone Type
New Phone Number
Agency Code
Employee Classification

<u>Employee Chose to Update Email Addresses:</u> (Step 6): The system shall provide the ability for the employee to view business email only; and view, add, delete and modify personal and other email addresses.

Field	Access Mode	Business Requirements
Current Business Email Address	Display	The system shall display the employees current business email address.
Personal Email Address	Defaulted	The system shall default the employees current personal email address and provide them the ability to make modifications as required.
Other Email Address	Defaulted	The system shall default the employees current other email address and provide them the ability to make modifications as required.

SPS Updated: (Step 11): The system shall be updated with the data elements entered. When the record is saved, the following should occur:

- The system shall not require any review or approval of employee self-service email address changes before updating the system. (Step 9)
- The system shall record the personal data information update in the production data tables.
- The new email address <u>should be viewable</u> to all applicable users based on security requirements.

AdHoc Report: Audit Email Address Changes: (Step 15): After the employee changes are saved in the system, the Agency HR Coordinator and DBM OPSB shall have the ability to generate audit report on all Email address updates that have occurred in the system. The audit report will include date and time stamp of when update was completed and at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
SSN
New Email Type
New Email Address

Field
Agency Code
Employee Classification

Employee Chose to Update Ethnic Groups: (Step 7): The system shall provide the ability for the employee to self-identify their ethnic groups, only if data was not provided during on-boarding via JobAps.

Field	Access Mode	Business Requirements
Ethnic Groups	Defaulted	The system shall default values loaded from JobAps for new hires and rehires, if available. The system shall provide the ability for the employee to view their ethnic groups. The system shall provide the ability for the employee to modify their ethnic groups, only if data was provided during their on-boarding via JobAps with the below valid values: - American Indian/Alaskan Native - Asian - Black/African American - Hispanic/Latino - Native Hawaiian/Other Pacific Island - White - Not Specified

SPS Updated: (Step 11): The system shall be updated with the data elements entered. When the record is saved, the following should occur:

- The system shall not require any review or approval of employee self-service email address changes before updating the system.
- The system shall record the personal data update in the production data tables.
- The new email address should be viewable to all applicable users based on security requirements.

AdHoc Report: Ethnic Groups: (Step 16): After the employee changes are saved in the system, the Agency HR Coordinator and DBM OPSB shall have the ability to generate report on all Ethic Group updates that have occurred in the system. The audit report will include date and time stamp of when update was completed and at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
Ethnic Group
Agency Code
Employee Classification
EOD
Rehire Date

AdHoc Report: Missing Ethnic Groups: (Step 17): The system shall provide the capability for the Agency HR Coordinator and DBM OPSB to generate report to identify employees with "Not Specified" Ethic Group. This report will include at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
Ethnic Group
Agency Code
Employee Classification
EOD
Rehire Date

<u>Employee Chose to Update Emergency Contact(s):</u> (Step 10): The system shall provide the ability for the employee to view and modify up to two emergency contacts.

Field	Access Mode	Business Requirements
Current Emergency Contact(s) - Contact Name - Contact Home Phone Number - Contact Cell Phone Number - Relationship	Display	The system shall display the employees current emergency contacts.
New Emergency Contact(s) - Contact Name - Contact Home Phone Number - Contact Cell Phone Number - Relationship	Defaulted	The system shall default the employees current emergency contacts and provide them the ability to make modifications as required. The system shall provide the ability for the employee to enter up to two emergency contacts. The system shall require the entry of at least one emergency contact. The system shall require the entry of at least one contact phone number. The system shall require the selection of Relationship from a list of valid values: Spouse, Parent, Child, Other.
Primary	Required Entry	The system shall require employees to assign a 'primary' emergency contact if there is more than one emergency contact.

- The system shall not require any review or approval of employee self-service emergency contact changes before updating the system. (Step 9)

SPS Updated: (Step 11): The system shall be updated with the data elements entered. When the record is saved, the following should occur:

- The system shall not require any review or approval of employee self-service emergency contact changes before updating the system.
- The system shall record the personal data update in the production data tables.
- The new email address should be viewable to all applicable users based on security requirements.

AdHoc Report: Audit Report-Personal Data Update: (Step 18): After the employee changes are saved in the system, the Agency HR Coordinator and DBM OPSB shall have the ability to generate audit reports on all personal data updates that have occurred in the system. The audit report will include date and time stamp of when update was completed and at a minimum the following fields: The system shall be updated with the data elements entered. When the record is saved, the following should occur:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
Agency Code
Employee Classification
New Address (Street, City, County, State, Zip)/Effective Date
New Phone Numbers
New Email Addresses
New Ethnic Groups
New Emergency Contacts: - Name - Relationship - Phone Type - Phone Number

Name Change

Associated Process Flow: ESS0202 – Employee Self-Service – Name Changes

This process describes how the employee can utilize self-service to submit a request to change their name on record. Depending on the reason for the name change, *this transaction may also include a marital status change*. This transaction will require review/approval by Agency HR that the submitted name change matches the employees Social Security Card and other documentation depending on the reason for the name change.

ESS – Name Change Process Steps

This process begins when the employee initiates a *Name Change* transaction via employee self-service (ESS).

Select Reason for Name Change: (Step 1): The system shall require the employee to provide a reason for the name change from the following list of valid values:

- Marriage
- Divorce
- Court Approval

Notify Employee of Required Proof Documentation: (Step 2): The system shall provide an online notification to inform the employee of the required proof documentation based on the Reason they selected.

- The required proof documentation is:

Name Change Reason	Required Proof Documentation
Marriage	Marriage Certificate & Social Security Card
Divorce	Divorce Decree & Social Security Card
Court Approval	Court Decree & Social Security Card

- The system shall provide the ability to continue with the name change request or abandon the transaction if the required proof documentation is not available.

<u>Enter New Name:</u> (Step 3): The system shall provide the ability for the employee to enter their new name.

<u>The entry page must accommodate the following fields</u>:

Field	Access Mode	Business Requirements
Employee ID	Display	The system shall display the employee id.
Current Name – First Name – Middle Name – Last Name – Surname	Display	The system shall display the employees current name information.
Effective Date	Defaulted	The system shall default to today's date and allow the employee to modify based on the actual date of when s/he moved to a different address.
New Name – First Name – Middle Name – Last Name – Surname	Defaulted	The system shall default the employee current name and allow modification.
Marital Status	Display	The system shall allow update the employees to update marital status to: – Married, if the Reason for the Name Change = Marriage – Divorced, if the Reason for the Name Change = Divorce – Current Marital Status, if the Reason for the Name Change = Court Approval

<u>Employee Attaches Supporting Documentation</u>: (Step 4): The system shall provide the capability for the employee to upload proof of the name change to the transaction or indicate proof documentation will be supplied via hard-copy.

- If the employee indicates they will supply the proof documentation via hard-copy, the system shall provide the employee with a mailing address and notify them they have 60 days to submit the documentation or the name change request will be deleted.

<u>Workflow Routing and Notification Requirements</u>: After the employee submits the name change, the employee's name will be updated in the system once Agency HR has verified the supplied supporting documentation.

- Agency HR Coordinator – Review and Approval (Steps 5 and 6)

<u>Review of Name Change Request:</u> (Steps 6 and 7): Agency HR will review the employee self-service name change request and either approve or deny the request. If the employee did not submit the required backup documentation with the request, Agency HR will contact the employee to arrange for the documentation to be submitted.

- <u>If the name change is approved</u>, the system shall record the name change and marital status change, if applicable, in the production data tables, and send a confirmation notification to the employee via email (Steps 8 and 12). The name change will be interfaced to CPB in the employee demographic updates and to external benefit providers if the employee is a benefit participant.

The system shall be updated with the data elements entered. When the record is saved, the following should occur:

- The system shall record the personal data update in the production data tables with a new effective date.
- The Name Change update should be viewable to all applicable users based on security requirements.
- The employee's personal data history should reflect the Name Change.

- If the name change is denied, the system shall send a notification to the employee that the request was denied and a reason for denial from the following list of valid values (Step 4):

  - Need Further Information
  - Incorrect Information
  - Name Submitted Must Match SS Card
  - Documentation Does Not Qualify as Proof
  - Other

Workflow Routing and Notification Requirements: (Step 12): After the Agency HR Coordinator approves/denies the requested name change, a workflow notification should be sent to the employee to confirm the approval/completion or denial of the name change in the system.

Is the Employee a Benefit Participant/Go To BA0303? (Steps 9 and 10): While the employee is still on the self-service request screen, the system shall determine if the employee is a current active benefit participant.

- If the employee is a benefit participant and the reason for the name change is Marriage or Divorce, the system shall ask the employee if they want to make a qualifying life event change to their health benefit enrollment. If the employee chooses to modify health benefit enrollment, the system shall place the employee in the Event Maintenance Enrollment self-service process (BA0402).

AdHoc Report: Audit Report-Name Change: (Step 11): After the employee changes are saved in the system, the Agency HR Coordinator, DBM OPSB and EBD shall have the ability to generate audit reports on all name changes that have occurred in the system. The audit report will include date and time stamp of when update was completed and at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
Agency Code
Employee Classification
Effective Date
New Name (Last Name, First Name, Middle Name, Surname)

Field
Name Change Reason

Marital Status Change

Associated Process Flow: ESS0203 – Employee Self-Service – Marital Status Change

This process describes how the employee can utilize self-service to submit a marital status change *without an associated name change*. The system shall provide the capability for the employee to use the Employee Name Change transaction to submit a marital status change associated with a name change. The Marital Status Change transaction will require review/approval by Agency HR that the submitted marital status change matches the marriage certificate, divorce decree, death certificate or court decree, depending on the Reason indicated for the change before the system is updated. At the same time, notify EBD to allow benefit eligible employees to complete qualifying event maintenance benefit enrollment.

ESS – Marital Status Change Process Steps

This process begins when the employee initiates a *Marital Status Change* transaction via employee self-service (ESS).

Select Reason for Marital Status Change: (Step 1): The system shall require the employee to provide a reason for the marital status change from the following list of valid values:

- Married
- Divorced
- Legally Separated
- Widowed

Notify Employee of Required Proof Documentation: (Step 2): The system shall provide an online notification to inform the employee of the required proof documentation based on the Reason they selected.

- The required proof documentation is:

Change Reason	Required Proof Documentation
Married	Marriage Certificate
Divorced	Divorce Decree
Legally Separated	Court Decree of Legal Separation
Widowed	Death Certificate

- The system shall provide the ability to continue with the status change request or abandon the transaction if the required proof documentation is not available.

Employee Attaches Supporting Documentation: (Step 4) If the employee is either not a benefit participant *or* is a participant but does not want to make enrollment changes at this time, the system shall provide the capability for the employee to upload proof of the marital status change to the transaction or indicate proof documentation will be supplied via hard-copy.

- If the employee indicates they will supply the proof documentation via hard-copy, the system shall provide the employee with a mailing address and notify them they have 60 days to submit the documentation or the marital status change request will be deleted.

Workflow Routing and Notification Requirements: (Step 6): After the employee submits the martial status change, the employee's marital status will be updated in the system once Agency HR has verified the supplied supporting documentation.

- Agency HR Coordinator – Review and Approval
- EBD – Notification

Review of Marital Status Change Request: (Steps 7 and 8): Agency HR will review the employee self-service marital status change request and either approve or deny the request. If the employee did not submit the required backup documentation with the request, Agency HR will contact the employee to arrange for the documentation.

- If the marital status change is approved, the system shall record the marital status change in the production data tables, and send confirmation notification to the employee via email. (Steps 9 and 10)

  The system shall be updated with the data elements entered. When the record is saved, the following should occur:
  - The system shall record the personal data update in the production data tables with the new effective date.
  - The Marital Status update should be viewable to all applicable users based on security requirements.
  - The employee's personal data history should reflect the Marital Status Change.

- If the marital status change is denied, the system shall send a notification to the employee via email that the request was denied and a reason for denial from the following list of valid values (Step 4):
  - Need Further Information
  - Incorrect Information
  - Documentation Does Not Qualify as Proof
  - Other

Workflow Routing and Notification Requirements: (Step 10): After the Agency HR Coordinator approves/denies the requested marital status change, a workflow notification should be sent to the employee to confirm the approval/completion or denial of the marital status change in the system.

Is the Employee a Benefit Participant/Go To BA0402? : (Steps 12, 13 and 14): While the employee is still on the self-service request screen, the system shall determine if the employee is a current active benefit participant.

- If the employee is a benefit participant, the system shall prompt the employee if they want to make a qualifying life event change to their health benefit enrollment due to the marital status change. If the employee chooses to modify enrollment, the system shall place the employee in the Event Maintenance Enrollment self-service (BA0303).

AdHoc Report: Audit Report-Marital Status Change: (Step 11): After the employee changes are saved in the system, the Agency HR Coordinator, DBM OPSB and EBD shall have the ability to generate audit reports on all marital status changes that have occurred in the system. The audit report will include date and time stamp of when update was completed and at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
Agency Code
Employee Classification
Effective Date
New Marital Status
Change Reason

I-9 Information

Associated Process Flow: ESS0204 – Employee Self-Service – I-9 Information

This process describes how newly hired employees can utilize self-service to complete and submit I-9 information. As part of the on-boarding process, newly hired employees will be instructed to log in to ESS to complete the employee information of the I-9 form. This transaction will require workflow notification to the Agency HR to complete Sections 2 and 3 of the form.

ESS – I-9 Information

This process begins when the newly hired employee chooses to complete the I-9 form via employee self-service.

Select I-9 Form – Employee Information and Verification Update: (Step 2): The system shall provide the ability for the employee to select to complete Section 1-Employee and Information and Verification of the I-9 form:

Field	Access Mode	Business Requirements
Citizenship and Employment Authorization	Required Entry	The system shall allow user to select one of the following valid values: - A citizen of the United States - A non citizen national of the United States - A lawful Permanent Resident/ (Alien Nbr) A: - An alien authorized to work (A# or Admission #) and expiration date, if applicable)
Minor and Special Placement Details	Required Entry	The system shall allow the user to select the more than one check box in this section with the following valid values: - Special Placement Employee unable to present a List A or List B document - Minor unable to present a List A or List B document - Prepared and/or translated by a person other than the Employee
Acceptance	Required Entry	The system shall have the below verbiage that user must be required to accept prior to submitting the updates on the I-9 form: “I am aware that federal law provides for imprisonment and/or fines for false statements or use of false documents in connection with the completion of this form.”

Submit Update/Form: (Steps 2, 3 and 4): The system shall provide the ability for the employee to save and submit the form. The system shall provide the capability for the employee to upload the proof for List A and List B or indicate proof documentation will be supplied via hard-copy.

- The system shall capture electronic signature of the employee and date the form was completed.

- If the employee indicates they will supply the proof documentation via hard-copy, the system shall provide the employee with a mailing address and notify them they have three business days from the date employment begins to provide the required proof. If the new hire claims that the necessary documents where lost, stolen or destroyed, the person must provide a receipt for replacement documents within the three days. If an employee has presented a receipt for a replacement document, he or she must produce the actual document within 90 days of the date employment begins.

Workflow Routing and Notification Requirements: (Steps 5, 6 and 7): After the employee save and submits the I-9 form, a workflow notification should be sent to Agency HR Coordinator to complete Sections 2 and 3 of the I-9 form.

Complete Sections 2 and 3: (Step 8): After the employee has completed and submitted the I-9 form, the Agency HR completes the remaining sections. The system shall save the information entered in the system. If the employee did not submit the required backup documentation with the request, Agency HR will contact the employee to arrange for the documentation.

Field	Access Mode	Business Requirements
Document Title	Required Entry	The system shall allow Agency HR to identify the type of document provided by the employee from List A and List B.
Issuing Authority	Required Entry	The system shall allow the Agency HR to enter who issued the document
Document Number	Required Entry	The system shall allow the Agency HR to enter the document number, if applicable
Expiration Date	Default	The system shall allow the Agency HR to enter document expiration date, if applicable
Agency HR's Name	Display	The system shall display and save the Agency HR's name as the Representative Name that reviewed and verified the employee's I-9 form.

SPS Updated: (Step 9): The system shall be updated with the data elements entered. When the record is saved, the following should occur:

- The system shall record the completed I-9 form in the production data tables.
- The completed I-9 form should be viewable to all applicable users based on security requirements.

Workflow Routing and Notification Requirements: (Step 10): After the Agency HR Coordinator completes the remaining sections, a workflow notification should be sent to the employee to confirm completion of the I-9 form.

AdHoc Report: I-9 Form: (Step 11): After the completed I-9 form is saved in the system, the Agency HR Coordinator, DBM OPSB and EBD shall have the ability to print I-9 forms in PDF format. The system shall provide options to print the form for a specific employee or agency groups.

AdHoc Report: I-9 Receipt/Expiration Report: (Step 12): After the employee changes are saved in the system, the Agency HR Coordinator, DBM OPSB and EBD shall have the ability to generate I-9 receipt/Expiration Report in the system. This report will include at a minimum the following fields:

Field
Employee ID
Employee Name (Last Name, First Name, Middle Name, Surname)
Agency Code
Employee Classification
EOD
Rehire Date
Employee Sign Date (electronic signature of when I-9 form was completed)
Document Title
Issuing Authority
Document Number
Expiration Date
Document Received (Y/N)

Grant Authorization to Release Employee History Information

Associated Process Flows: ESS0205 – Grant Authorization to Release Employee History Information

It is common for State employees to work for different agencies over the course of their State career. As the employee moves from one Agency to another, the ability of the employee's previous, current and future Agency to view the employee data will be determined by the employee status with the Agency and the effective start and end dates of the employees relationship with the Agency.

The following diagram depicts an employee that has worked for three Agencies since becoming a State employee and the employee data each Agency would be able to view based on their current relationship with the employee:

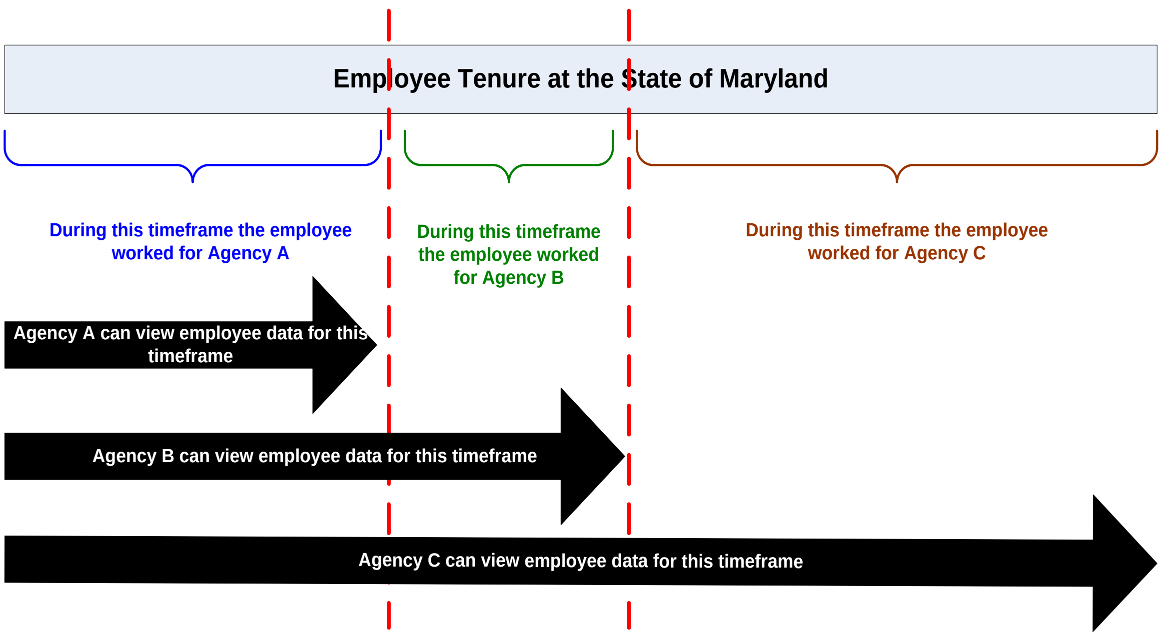

Figure 1: Diagram to Depict Access to Employee Data

In this example, if the employee were to apply for a Position with Agency D, Agency D would not have access to any employee history until such time as the employee became employed by the Agency. The proposed future state process described here would provide the ability for the employee to grant Agency D access to their employee history.

In order to ensure that employee history is not altered in any manner before delivery to the intended recipient, the proposed future state process:

- The system shall provide the capability for the employee to request that data be provided to a specified recipient by completing the form on-line.
- The system shall provide the capability for the employees current Agency HR to produce a PDF file containing employee history

- The system shall provide the capability for current Agency HR to forward the request to DBM OPSB via defined workflow routing requirements if the current Agency HR is unable to complete the request
- The system shall provide the capability for DBM OPSB to fulfill the employee request if the employees current Agency HR is unable to complete the request
- The system shall provide the capability for Agency HR and DBM OPSB to email the Employee History PDF file directly to the specified recipient as indicated by the employee on the on-line request form

Grant Authorization to Release Employee History Information Events/Steps:

Send Email for Employee History Report Request: (Step 1): The employee who wishes to send a report of their ‘job history’ to another Agency sends a request to their current Agency HR by using the ‘Send Email’ capability via ESS or State’s email. This email will serve as the employee’s authorization for the current Agency to generate and send the requested information to the indicated recipient.

The email must include the following information:

Information	Description
Receiving Agency	The employee must specify the Receiving Agency.
Receiving Agency HR Coordinator’s Name	The employee must specify the Receiving Agency HR Name that should received the report.
Grant to History Acknowledgement	The employee must specify that: “*I hereby grant my permission for a report of my ’job history’ for the time period indicated to the <Receiving Agency HR Coordinator’s Name>.*

Does Agency HR Have Access to All History Requested?: (Step 2): The Current Agency HR will determine if they have access to all of the history specified.

- If Current Agency HR does have access to the employee history, they will run the *Employee History Report* (Step 5) which will generate a PDF file that they will either email or mail to the indicated recipient (Step 6).

- If Current Agency HR does not have access to the employee history, they will forward the request to DBM OPSB for processing (Step 4). If the request is forwarded to DBM OPSB, will run the Employee History Report which will generate a PDF file that they will either email or mail to the indicated recipient on the email (Steps 5 and 6).

Send Employee History Report: (Step 7) : The Current Agency HR or DBM OPSB will send the report to Receiving Agency and notify the employee that request has been completed via email.

Notification Requirements: (Step 8): After the Agency HR Coordinator or DBM OPSB sends the report to the Receiving Agency, notification should be sent to the employee to confirm completion of request.

AdHoc Report: Employee History Report: (Step 5): The system shall provide a report that shows all employee history for the time period specified on the request in PDF format.

Process Modifications

There are numerous differences in the "future" state business processes outlined in this document in comparison with the current state environment. The differences include:

- Providing the ability for the employee to submit name and marital status changes using self-service; currently there is no formal process for submitting these changes to Agency HR.
- Providing the ability for the employee to maintain their home and mailing address in a central location instead of having to submit paper-based forms to DBM EBD, their Agency HR and CPB.
- Providing the ability for the employee to maintain their home, cell and work telephone numbers; currently there is no formal process or system for maintaining employee phone numbers.
- Providing access to employee self-service functionality both at work and outside of the work environment.

I. Reference Pertinent Documents

The following materials were referenced in the completion of this PDR.

Referenced Item	File Name
BA – Benefits Administration - Future State PDR	Attachment F2.doc
CE – Contractual Employees Future State PDR	Attachment F4.doc
CS - Classification Future State PDR	Attachment F3.doc
Employee Address Solution Paper	Attachment F17.doc
PS - Personnel Transactions - Future State PDR	Attachment F8.doc
RE – Recruitment and Examination PDR	Attachment F15.doc
TL – Time & Labor – Future State PDR	Attachment F11.doc

J. Legal Considerations

The following materials were referenced in this PDR in relation to State regulation, policies and guidelines.

Referenced Item	Link
None	

IV. Interfaces

The following interfaces will be inputs/outputs to the future process. Please refer to the ESS-RTM Interface tab for detailed information as it pertains to all required interface for this PDR.

A. In-Bound

List In-Bound Interfaces used/required by this process.

Interface Name	Description/Purpose	Source System/Vendor	Frequency	Transmission Method

B. Out-Bound

List Out-Bound Interfaces used/required by this process.

Interface Name	*Description/Purpose*	*Source System/Vendor*	*Frequency*	*Transmission Method*

V. Forms

The following forms will be used or generated by the process.

Form Name	Agency/Dept	Input/Output	Automated/Manual	Purpose	Fields/Content
I-9 Form					

VI. Reports

The following reports will be inputs/outputs to the process.

A. Reports Used as Input to the Process

For example, if someone runs a report which they then use to determine what actions may need to be taken, list those reports.

Report Name	Requestor	Frequency	Purpose	Contents	Routing/Users
None					

B. Reports to be Produced

For example, note reports generated for management or for the administration of the system, department review, etc. (e.g., reconciliation reports)

Report Name	Requestor	Frequency	Purpose	Contents	Routing/Users
Address Changes	Agency HR, DBM OPSB, Agency Payroll, CPB	Ad-hoc	Audit all address changes completed via SPS system.	Emp ID, Emp Name, SSN, Effective Date, New Address, Agency Code, Employee Classification; Updated By, Time/Date Stamp	N/A
Ethnic Groups	Agency HR, DBM OPSB	Ad-hoc	Audit all ethnic groups update completed via SPS system	Emp ID, Emp Name, SSN, Effective Date, Ethnic Group Agency Code, Employee Classification, EOD, Rehire Date, Updated By, Time/Date Stamp	N/A
Missing Ethnic Groups	Agency HR, DBM OPSB	Ad-hoc	Audit all ethnic groups = 'Not Specified'.	Emp ID, Emp Name, SSN, Effective Date, Ethnic Group Agency Code, Employee Classification, EOD, Rehire Date	N/A
Personal Data Updates	Agency HR, DBM OPSB	Ad-hoc	Audit all personal data updates completed within the SPS system.	Emp ID, Emp Name, SSN, Effective Date, Agency Code, Employee Classification, EOD, Rehire Date, New Address/Effective Date; New Phone Numbers; New Email Address; Ethnic Groups;	N/A

Report Name	Requestor	Frequency	Purpose	Contents	Routing/Users
				Emergency Contacts; Updated By; Time/Date Stamp	
Name Change	Agency HR, DBM OPSB; EBD	Ad-hoc	Audit all name changes completed within the SPS system.	Emp ID, Emp Previous Name, SSN, Agency Code, Employee Classification, Effective Date, New Name, Updated By, Time/Date Stamp	None
Marital Status Change	Agency HR, DBM OPSB; EBD	Ad-hoc	Audit all Marital Status changes completed within the SPS system.	Emp ID, Emp Name, SSN, Agency Code, Employee Classification, Effective Date, Marital Status, Updated By, Time/Date Stamp	None
I-9 Form	Agency HR, DBM OPSB;	Ad-hoc	Generate completed I-9 form in PDF format.	I-9 Form	None
I-9 Receipt/Expiration Report	Agency HR, DBM OPSB;	Ad-hoc	Generate I-9 receipt/expiration report to perform required follow up with the employee.	Emp ID, Emp Name, Agency Code, Employee Classification, EOD, Rehire Date, Employee Sign Date, Document Title, Issuing Authority, Document Number, Expiration Date, Document Received (Y/N)	None
Employee History	Agency HR, DBM OPSB;	Ad-hoc	Generate employee job history in PDF format	TBD	None

Report Name	Requestor	Frequency	Purpose	Contents	Routing/Users
Report					
All Active Labor Unit Addresses	Bargaining Representatives	Ad-hoc	Generate a listing of Active union employees Addresses as requested by Bargaining Representative. This report shall exclude employees who opt out of having the information shared with Bargaining Representatives.	TBD	None

VII. Databases/Spreadsheets

List any databases, spreadsheets, etc used to support or aid this process.

VIII. Data Conversion Considerations

A. Data that till be converted

The following data is required to be converted into the new software.

Current Source	Type of Data	Source Years
CPB	Employee Mailing Address	All Employees
CPB	Contractual Employees regulated by SPMS and not in MS310	TBD
MS310	Employee Personal Data – Name, Address, Phone, Email, Ethnicity, Emergency Contact, Marital Status, SSN	All State Employees, Temporary, Interns

B. Data that will not be converted

The following data will not be converted into the new software.

Current Source	Type of Data	Source Years
None		

Appendix A – Future State Process Diagrams

Appendix B – I9 Form

See Attachment F5b.pdf

Appendix C – Personnel/HR Application Portfolio

The table below briefly describes the systems currently used to manage and maintain personnel transactions and data. These systems provide a representative sample of source of data elements for OPSB and the State agencies.

Application	Description
Agency HR Databases	Agency HR Databases – Many of the State agencies have developed internal Access or Oracle database applications to assist them in tracking and reporting applicant and/or employee data on their own. These databases enable them to obtain more current information faster than it is available from the centralized applications.
BAS	Benefits Administration System (BAS) is a client server system with a SQL Server database. There are 16 clients in EBD, 4 clients in DOIT for application support, and 300 Agency Benefit Coordinators (ABC) Internet users for inquiry to their employees' data. BAS is comprised of a full-service benefits enrollment database and an interactive voice response system (IVR). BAS manages benefits activity for approximately 130,000 covered individuals and their dependents. It supports administration of 18 different benefit plans (i.e., medical, dental, term life insurance, and dependent care spending accounts). The new system may interface with the existing IVR.
Drug Testing Database	Drug Testing Database – The Medical Services Department tracks all drug tests and their results in an Access database with most information entered manually. There is an interface to the SPMS System to download new employees to this database. There is also a Drug Test Results file that contains the drug testing results from the testing labs. Information from this file updates the drug test database.
Employee Assistance Program	EAP Employee Referral Database – The Employee Relations Department maintains an EAP Employee Referral Database that was developed in Access by ASM. Employee Relations uses this database to generate the referral letters, generate the survey letters, and store the feedback from the quarterly survey they conduct. There is an interface to the SPMS System to download employee data to this database.
Employee Relations Database	Employee Relations Database – The Employee Relations Department maintains a Settlement Conference database. Employee Relations uses this database to record, track, and report on all grievance cases processed by Employee Relations. There are currently two versions of this database, one developed by the ASM HR Group, and one developed by Employee Relations. The former database is being evaluated and will become the database of record once the evaluation is complete.
HOBO	Hands on Budget Office System (HOBO) is a mainframe software package that is used to maintain a master position control file for all authorized State positions, and to provide position, classification, and salary information for the annual State budget process.
LAS	Leave Accounting System (LAS) is a Client Server system with an Access database that performs time entry and leave accounting functions. The system automates the ETR process for regular and contractual employees, and generates input reports for Exception Time Reporting to Central Payroll. LAS is currently implemented in 20 agencies.
Leave Bank Database	Leave Bank Access Database - The Medical Services Department maintains a Leave Bank Access database. The database was developed by the Reed Group & is supported by DOIT. All Leave Bank memberships and determinations are recorded in the database, as well as leave forfeitures. Employee-to-Employee leave donations are recorded in Leave Bank database. The application calculates overall Leave Bank balance and monitors employees

Application	Description
	who have used close to their maximum of 2,080 hours of Leave Bank or Employee to Employee leave. There is an interface to the SPMS System to download new employees into this database.
MDTIME	Maryland Time Entry and Leave Accounting (MDTIME) is a Smart Client Server system with a SQL Server database that performs on-line time entry and leave accounting functions. The system automates the Exception Time Reporting (ETR) process for regular and contractual employees, and generates input reports for Exception Time Reporting to Central Payroll. MDTIME is currently implemented in 5 agencies.
OSEEOC Database	OSEEOC maintains a stand-alone EEO-related Complaint and Appeals Case Tracking Access database. This database is used to record, track, and report on EEO related complaints and appeals. Due to the need for extreme confidentiality, stringent security is used to protect the data in this module.
SIGMA	Merit System Testing – Sigma: DBM and many other agencies in the State utilize a Sigma system, which supports public sector merit system testing. The software is a PC networked database (with accompanying FoxPro programs) that creates reports on, and tracks applicant records and job announcements. DBM uses an enterprise version of the software that is installed for DBM use only. The other agencies use various releases of a stand-alone version called Sigma-Lite that provides less functionality than the enterprise version. There is no software standardization between the agencies, and it is supported locally by each agency. Database variations between the software versions require data conversion processing when transferring data between entities. The system facilitates test development, administration, scoring, and reporting. In addition, it provides statistical performance analysis of test questions, mathematically manipulates test scores, and produces a variety of queries, notices to applicants, and standard or customized reports. Sigma aids in documenting job analysis and test development and has an "item bank" module that allows users to create a database of test questions and perform test booklet publishing. The Sigma system at DBM interfaces with the current personnel system to obtain employee-related information, all other agencies key the employee-related information into Sigma-Lite. **The State is in the process of implementing Job Aps to replace this system.*
SPMS	SPMS, a centralized, mainframe-based system which has been developed and maintained over the past 25+ years, runs on an IBM mainframe at the Annapolis Data Center (ADC). The system is a batch-oriented system with limited online functions performed using CICS. Most data entry transactions utilize a Web based online transaction entry and validation front-end, MS310. This was added to allow agencies to enter and validate their personnel transactions online; thus, reducing data entry errors and the time required to manually submit and process these transactions.
TESS	Time Entry and Scheduling System (TESS) is a mainframe COBOL, CICS, and VSAM system that performs time entry and leave accounting functions. The system generates Exception Time Reports (ETR) for regular and contractual employees that are used for input into the Central Payroll. TESS is currently implemented in 17 agencies.