SPS Project – #060B3490012

Future State
Process Definition and
Requirements Document (PDR)

Attachment F9
PC – Position Control

Contents

I. Document Information

A. Definitions/Abbreviations/Acronyms

Abbreviation/ Acronym	Definition
HOBO	The software used by the State to administer the State budget; stands for Hands On Budget Office
DBM	Department of Budget and Management
BPW	Board of Public Works
PIN	Position Identification Number
Contractual Worker	An individual who under a written agreement provides temporary personal services to the State and is not employed in a budgeted position.
Temporary Worker	An individual who is an emergency appointment who may not exceed 6 months and may be not renewed.

II. Organizational Overview

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

A. 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 MS310/311, 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 F.

III. Proposed Future State Process

B. Future State Process Narrative

The DBM Finance & Administration group supports the State budgeting process which includes Position Control, the process that identifies and controls the PIN authorized % and financial agency code within State agencies. Each year during the annual budgeting process, this process controls the creation, management and abolition of Position Identification Numbers (PIN's) for authorized, *budgeted* positions.

Some State agencies have independent authority and are considered *non-budgeted agencies*. Refer to Appendix B for a list of *budgeted* and *non-budgeted* agencies. This document will discuss business design for both *budgeted* and *non-budgeted* agencies and the different access and controls required.

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

<u>Creation of an Authorized & Budgeted Position</u>

A new *budgeted* Position can be created in one of three ways:

1) The Governor submits it to the Legislature as part of the annual State budget and the Legislature concurs with it
2) When the Legislature is out of session, DBM proposes that the new position be created and the Board of Public Works (BPW) concurs
3) DBM Position Control creates the position as needed to manage authorized %, the authorized percent is the total Full Time Equivalency (FTE) authorized for this position for example 100% authorized is 1 FTE and 50% authorized is .5 FTE

When the PIN for a *budgeted* Position is created it has numerous required attributes, which will be identified in detail in a later section, but it is important to note at this point the following key attributes:

It has an assigned…	Restrictions…
Effective Date	The Effective Date cannot be established by anyone other than DBM Position Control
Authorized %	The Authorized % cannot be modified by anyone other than DBM Position Control
Financial Agency	The Financial Agency associated with a PIN cannot be modified by anyone other than DBM Position Control
Financial Unit + Program + Subprogram	The State Agency has the authority to modify the Financial Unit, Program and/or Subprogram
Job Code (Classification)	Each budgeted Position is assigned the Job Code that was authorized by the Legislature or BPW. The State Agency may request a reclassification of the Position thru the DBM Classification Department or exercise its delegated reclassification authority.
Salary	Each budgeted Position is created with the base salary associated with the assigned Job Code.

It is important to note that the Position Control process does not create or manage PIN's for Contractual Workers, Temporary Workers, Volunteers or Interns. The Position Management for these types of workers will be administered by the individual State Agency.

Currently, the position records administered by DBM Position Control are created within a specific number range that goes up to 87839. Likewise, the 700000 and 800000 series are used for non-budgeted Permanent workers, Temporary Workers and non-budgeted agencies. In addition, portions of the 200000 series have been used. As such, currently the assigned PIN does somewhat identify the source of the position. The section titled Assignment of Position Numbers (PIN's) in this document outlines the proposed future state design for assignment of PIN numbers.

Abolishing a Position

A Position may be abolished by the Legislature, a Budget Analyst, an Agency, by DBM to comply with the requirements of an enacted budget bill, or by the Governor with the concurrence of the Board of Public works as part of a current year budget reduction. Once a Position is *abolished*, the Position Number may not be reused. It will be inactivated if vacant or upon vacancy if there is an incumbent.

When a Position is *abolished*, the system shall provide the ability to track and report on attributes of the abolition including:

- ❖ The source of the abolition decision: Budget Analyst (BA), Legislature (LA), Section of the Budget
- ❖ The effective date of the abolition
- ❖ The fiscal year the abolition goes into effect
- ❖ The date when the abolition decision is made

At the time a Position is *abolished*, the position may be occupied by an incumbent. The system shall allow a Position to be updated with a status = Abolished while the Position has an incumbent. Once

the incumbent vacates the Position, the system shall prevent the Position from being filled. The State Agency has the requirement to ensure the Position is vacated by the Effective Date of the Abolition. The State has a requirement and the system shall provide the ability to report on the following in regards to abolitions:

- ❖ The Job Code (Classification) of the Position at the time of the abolition
- ❖ Whether the Position was Filled or Vacant at the time of the abolition
- ❖ Abolished Position's that are currently occupied

Transferring a Position

A State Agency has the authority to transfer a *budgeted* Position within its Financial Agency without approval from DBM Position Control. But a transfer between Financial Agencies requires approval from DBM Position Control.

Position Control Data Requirements

The Classification & Salary PDR identified numerous Position attributes that are required by the State. In addition to those attributes, Position Control has some specific Position data attributes that are also required.

Position Control Data Elements	Description and Valid Values
Indicator that this is a Budgeted Position	Position Control requires the ability to identify the Positions in the system that are budgeted and identified in the annual State budget. This indicator should default to *non-budgeted* and the system shall only allow DBM Position Control to change the value to *budgeted*.
Effective Date of the New/Modified Position	Position Control requires the ability to identify the specific date a *budgeted* Position is usable or abolished.
Position Status	Position Control requires the ability to identify Positions as: - Abolished - Hiring Freeze These values are in addition to the previously defined Classification requirements for: - Approved - Frozen
Position Type	Position Control requires the ability to identify Positions as: - Contractual - Temporary - Permanent - Volunteer - Intern
Job Code	Position Control requires the ability to assign the budget approved Job Code from a list of valid Active Job Codes defined in the system.
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	Position Control requires the ability to assign an Appropriation Code to every *budgeted* Position. The Appropriation Code, while composed of different segments, should be assigned as a single value. Position Control does require the ability to report on and/or extract all *budgeted* Positions associated with any combination of segments.
Authorized %	Position Control requires the ability to assign a numeric value between .01 and 1.00 to every *budgeted* Position that can ultimately be totaled to identify the number of FTE's allocated in the budget.

Position Control Data Elements	Description and Valid Values
	The system shall restrict *budgeted* and *non-budgeted* Positions from exceeding their Authorized %.
Authorized By	Position Control requires the ability to identify who authorized the positions: Valid Values: 01 - General Assembly 02 – Board of Public Works - Within the Rule 03 – Board of Public Works - Outside the Rule 04 – Board of Public Works – Other 05 – Position Control 08 – Local Health 12 – Maryland Automobile Insurance Fund 18 – Consists of: Local, Board of Election Laws, State Administrative Board of Elections, Maryland Food Center Authority, Injured Workers Insurance Fund, Maryland Stadium Authority 20 – Agency - Temporary Employees 22 – Agency – Contractual Worker 24 – Agency – Volunteer/Intern/Vendor
Funding Type(s)	Position Control requires the ability to assign Funding Type(s) to a *budgeted* Position. A Position can have multiple funding types assigned to it. The system shall allow for up to 5 distinct Funding Types per Position. Valid values are: 01 - General 03 – Special 05 – Federal 07 – Non-Budgeted 09 – Reimbursable 13 – Enterprise 40 – Current - Unrestricted 43 – Current – Restricted 49 – Agency Fund for Higher Education 99 – No Funding
Funding %	For every designated Funding Type, the system shall require a corresponding Funding %. The Funding % should be a numeric value between .01 to 1.00 The system shall ensure that the sum of the Funding %'s = 1.00.

Assignment of Position Numbers (PIN's)

As discussed earlier, the position records administered by DBM Position Control are created within a specific number range that currently goes up to 87839. . Likewise, the 700000 and 800000 series are used for *non-budgeted* Permanent workers, Temporary Workers and non-budgeted agencies. And, portions of the 200000 series have been used.

The proposed future state design eliminates the assigned Position Number ranges and merges all Position Numbers (PIN's) into a sequential range of values that are assigned by the system at the point a new Position is created. Since Position Numbers are not reused once *Abolished* and to avoid any confusion with the currently utilized values, the proposed design is to start the Position Numbers at 1000000.

At the point of conversion to SPS, the proposed design is to convert all current Position Numbers to a new 1000000+ value in SPS. The system does not need to maintain the original PIN online, but there is a requirement for a mapping table to be developed and available of old PIN's to the new PIN's.

C. Process Diagrams

The functional requirements definition included the preparation of Visio 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.

<u>Appendix A contains the following process flow diagrams</u>:

<u>Position Control</u>
        PC0100 – Annual Budget Process for Positions
        PC0101 – HOBO to SPS Position Updates
        PC0102 – Position Creation – Off Cycle (BPW) Approval
        PC0103 – Mass Update of Budgeted Positions
<u>Management of Position Control PIN's</u>
        PC0200 – Overlap a PIN
        PC0201 – Split a PIN
        PC0202 – Reconsolidate a Split PIN
        PC0203 – Transfer a PIN within a Financial Agency
        PC0204 – Transfer a PIN between Financial Agencies
<u>PIN Creation</u>
        PC0300 – PIN Creation – Contractual Workers
        PC0301 – PIN Creation – Temporary, Volunteer, Interns & Non-Budgeted Permanents
        PC0302 – PIN Creation – Non-Position Control Agencies
<u>Back-Office Position Maintenance</u>
        PC0400 – PIN Maintenance

D. Process Diagram Narrative

This section will provide a narrative for each process flow diagram. The narrative will identify both business process and system functionality requirements including, required fields, field valid values, field defaults, field/page edits, calculations, and references to State documentation that identifies State specific policies the system should accommodate.

The process flow diagrams reflect required workflow with the symbol. The text in the symbol will either indicate "Worklist" or "Notification". "Worklist" means the workflow requirement is to place an item in the associated role/users online worklist since these individuals will be frequent if not full-time system users. "Notification" means the workflow requirement is to send an email notification to the associated role/user since these individuals will be infrequent system users.

Workflow Requirements

The State does require workflow routing for transactions. The State requires the ability to define workflow:

- ❖ By transaction type
- ❖ By the source of the transaction
- ❖ By Agency
- ❖ By organizational role
- ❖ By organizational role and transaction type

Position Control

Associated Process Flows: PC0100 – Annual Budget Process for *Budgeted* Positions
PC0101 – HOBO to SPS Position Updates
PC0102 – Position Creation – Off Cycle (BPW) Approval
PC0103 – Mass Update of *Budgeted* Positions

As discussed earlier, the DBM Finance & Administration group supports the State budgeting process which includes Position Control, the process that identifies and controls the Position authorized % and financial agency code within State agencies. Each year during the annual budgeting process, this process includes the creation, management and abolition of positions and their associated Position Identification Numbers (PIN's) and position records for authorized, *budgeted* positions. The State uses a software application called HOBO to facilitate the budgeting process and will continue to use HOBO with the implementation of SPS.

The following process flow diagram depicts the proposed future state Position Control process.

Currently, the HOBO system calculates salary forecast (current fiscal year and next fiscal year) information upon the load of *budgeted* Position data into HOBO. One proposed design change is to have the SPS system extract for HOBO perform the salary forecast calculation.

Overall, the SPS system shall provide an extract that can be initiated at user-request that pulls a snapshot of Positions with current incumbent data. At the point the extract is generated, all qualifying Positions are extracted with its current/effective designated appropriation code.

The extract shall provide the flexibility to select Positions based on input parameters that include: *Budgeted/Non-Budgeted*, Effective Date, Financial Agency, Include Salary Forecast Y/N and Position Type.

In addition to selecting all of the qualifying Positions, the extract shall pull the associated incumbent data if the Position is *filled* or base Position data if the Position is *vacant.*

The data elements required in the extract for HOBO include:

HCM SaaS -> HOBO Extract Data Elements
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)
Position Number
Authorized %
Job Code
Job Code Title
Incumbent Last Name
Incumbent First Initial
Incumbent Middle Initial
Salary Type
Salary Grade
Salary Step*
% Employed
Vacate Date
Entry-on-Duty Date
Action Effective Date
Paycheck Distribution Code
Bargaining Unit
Funding Type(s)
Funding %
Increment Month
Retirement System
Forecasted Salary (Fiscal Year – Current and Fiscal Year – Next)

* The extract shall identify half-step increments, i.e. Step 6.5, for January increments.

This is a high-level summary of the data required in the extract. A detailed design document will be created in the future that identifies more details for each data element in addition to specific record layout details.

HOBO to SPS Updates

Associated Process Flow: PC0101 – HOBO to SPS Updates

During the annual State budget process, Agencies will request new Positions in HOBO during the Agency budget process. After the annual State budget process is complete and Positions have been approved for the upcoming fiscal year DBM Position Control requires an automated upload to the SPS system of Position creations, abolitions and updates. While this process will definitely be utilized during the annual budget process, the proposed future state design is a process that can be run throughout the year on-demand by DBM Position Control by a batch process as well as an end user.

HOBO to SPS Position Number Updates Events/Steps:

Extract Positions from HOBO to Load to SPS: (Step 1): This process would begin with DBM Position Control identifying the position records that they want to update in SPS. This could be all budgeted Position records or it could be a subset of the Position records.

Initiate Position Load in SPS: (Step 2): The system shall provide an option for DBM Position Control to initiate the Position load into SPS on demand.

Load Position Updates: (Step 3): The load process would initiate in SPS. The load will be required to evaluate each Position record in the extract and determine what type of update is required in SPS.

Based on the evaluation of the Position record in the extract file, the load will perform one of the following for each Position record and it's associated (PIN):

Is the HOBO PIN # New to SPS/Create New PIN: (Steps 4, 5, 6): All Positions in HOBO require a PIN number be assigned. As such, when a Position is created first in HOBO it will have a temporary HOBO PIN number assigned to it that will be replaced with a SPS Position Number during this load process.

If the PIN number in the HOBO file does not exist in SPS, it signifies a new Position should be created in SPS and SPS should assign the next sequential Position Number.

Is the Position Being Abolished/Update Effective Date & Position Status: (Steps 7, 8): If the HOBO extract indicates the Position is being abolished, the load process should update the following fields on the SPS Position:

Position Data Elements to Update When Abolishing	
Position Status	The Position Status should = Abolished
Effective Date (of Abolition)	
Date Abolishment Decision Was Made	
Fiscal Year the Abolition was Requested	This should be a 2-digit value, ie. 10, 11, 12, 13
Source of the Abolition	Valid Values: - Legislature - Budget Analysis

Position Data Elements to Update When Abolishing	
	- Section of the Budget Bill - Requested Abolition (by agency) - Budget reduction which BPW concurred with

Update Position: All HOBO Attributes: (Step 9): If the HOBO Position Number is not a PIN creation or a PIN abolition, the load process should update the SPS Position with every HOBO data element. HCM SaaS will be the authoritative source for Position Numbers

Report: Generate Load Status Report: (Step 10): The SPS load process should generate a detailed load status report that identifies:

➢ A count of the number of Positions (PIN's) created in SPS and the FTE count associated with these positions
➢ A mapping of the HOBO PIN to the Position Number for created PIN's
➢ A count of the number of Positions Abolished in SPS and the FTE' count associated with these positions
➢ An identification of the Position Numbers Abolished
➢ A count of the number of Positions updated in SPS (this count should not include creations or abolitions)

Review Load Status Report: (Step 11): The Load Status Report will be available for DBM Position Control to review.

Position Creation – Off-Cycle (BPW) Approval

Associated Process Flow: PC0102 – Position Creation - Off-Cycle (BPW) Approval

A new *budgeted* Position can be created in one of three ways:

1) The Governor submits it to the Legislature as part of the annual State budget and the Legislature concurs with it
2) When the Legislature is out of session, DBM proposes that the new position be created and the Board of Public Works (BPW) concurs
3) DBM Position Control creates the position as needed to manage authorized %

The *Position Control Overview* process (PC0100) shows the annual State budget process up to the point *budgeted* Positions are approved and ready for creation, update or abolition in HCM SaaS. The *HOBO to SPS Updates* process (PC0101) describes how HOBO data will be loaded into HCM SaaS. This section describes how a Position Number (PIN) that is approved off-budget cycle by the Board of Public Works (BPW) will be created in the system.

Off-Cycle (BPW) Approval Events/Steps:

Approves New Position: (Step 1): This process begins when the Board of Public Works approves a new Position outside of the annual State budget cycle.

SPS: Creates New Position Record: (Step 2): Once it is identified that a new Position has been approved, DBM Position Control will create the new Position record in the SPS system.

➢ When DBM Position Control creates the Position, they should have full access to every field available on the Position definition.

➢ The system shall assign the next sequential Position Number as the PIN.

➢ At a minimum, DBM Position Control will add the following data elements for the Position:

Data Element
Indicator that this is a Budgeted Position
Effective Date of the New Position
Position Status
Position Type
Job Code
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)
Authorized %
Authorized By
Funding Types(s)
Funding %
Salary*

<p style="text-align:center">* The base salary from the associated Job Code should default into the Salary</p>

SPS Updated: New PIN Created: (Step 3): After DBM Position Control has completed their setup, the Position and associated Position Number (PIN) will be defined in the system.   When the Position has been added to the system, the system shall send a workflow notification to the Agency Budget/Finance Office (Step 4) and Agency HR (Step 5). Once Agency HR receives notification of the new Position, they will work with DBM Classification to get the Position ready for assignment. (Steps 6, 7, 8))

Notification: Approved Position Created: (Steps 9, 10): After DBM Classification reviews the proposed Position and readies it for assignment; the system shall send a workflow notification to the Agency Budget/Finance Office and Agency HR notifying them the Position has been approved and is ready for assignment.

AdHoc Report: Position's: (Step 11): The system shall provide a report that shows all of the *budgeted* Position's defined along with their attributes, including whether the Position is filled or vacant and it's Bargaining Status. The report should offer input parameters that include: Effective Date Range, Agency, and Budgeted/Non-Budgeted.

Mass Update of Budgeted Positions

Associated Process Flow: PC0103 – Mass Update of Budgeted Positions

At times, DBM Position Control requires the ability to make the same update to a group of *budgeted* Positions. For example, a group of *budgeted* Positions are transferred from one Financial Agency to another Financial Agency.   The future state design provides DBM Position Control with functionality where they can identify a group of Positions to update and then identify the update they would like to make to the selected Positions.

Mass Update of Budgeted Positions Events/Steps:

Identify Need to Update Multiple Budgeted Positions: (Step 1): This process begins when DBM Position Control identifies the need to update a group of budgeted Positions with the same change.

Select Group of Positions to Update: (Step 2): The system shall provide the ability for DBM Position Control to formulate a group of Positions by inclusion and exclusion selection criteria.

The system shall provide DBM Position Control the ability to:

> ➢ Select all Financial Agencies or select one or multiple Financial Agencies to be included or excluded
> ➢ Select components of Financial Agencies (e.g. Financial Units, Programs, or Subprograms)
> ➢ Select all Salary Plans or select one or multiple Salary Plans to be included or excluded
> ➢ Select all Salary Schedules or select one or multiple Salary Schedules to be included or excluded
> ➢ Select all Job Codes or select one or multiple Job Codes to be included or excluded
> ➢ Select all Position Types or select one or multiple Position Types to be included or excluded
> ➢ Select all Position Status' or select one or multiple Position Status' to be included or excluded
> ➢ Include or exclude one or multiple Position Numbers
> ➢ Select combinations of the above criteria

Identify the Effective Date of the Update: (Step 3): The system shall provide the ability for DBM Position Control to identify the Effective Date for the mass update. If DBM Position Control needs to perform Position updates with different Effective Dates, they will perform multiple mass updates to achieve the desired results.

Identify the Fields/Values to Update: (Step 4): The system shall provide the ability for DBM Position Control to select a Position attribute(s) to update and for each selected attribute, identify the target value.

Report: Review Mass Updates: (Step 5): The system shall provide a report that DBM Position Control can utilize to review all of the Position updates that have been identified. The report would show the selected Positions with current attribute values and the projected attributed values.

Modify Selection/Updates: (Step 6): After reviewing the report, DBM Position Control will decide if they want to modify either the selected Positions or the values they have targeted.

If they want to modify either the Position selection or the targeted values, the system shall provide them with the ability to modify the mass update.

Apply Updates: (Step 7): If DBM Position Control does not want to modify the mass update; the system shall provide them the ability to *apply* the updates.

If they choose to *apply* the updates, the system will update all of the Positions identified with the targeted values based on the Effective Date identified. (Step 8)

If they choose to *apply* the updates, the system will alert via worklist the respective Agency HR, Agency Budget/Finance Office and the Agency Appointing Authority associated with the Positions that an update has occurred. (Steps 12, 13, 14)

Discard Updates: (Step 9): If DBM Position Control does not want to modify or apply the mass update; the system shall provide them the ability to *discard* the updates.

If they choose to *discard* the updates, the system will delete all of the working data associated with the mass update. After a *discard*, the working data would no longer be available and would need to be re-created if needed in the future. (Step 10)

SPS: Working Data Saved: (Step 11): If DBM Position Control does not want to modify, apply or discard the mass update, the system shall save the working data selection so it can be re-accessed at a future date for either modification or application.

Management of Position Control PIN's

Associated Process Flows: PC0200 – Overlap a PIN
                                         PC0201 – Split a PIN
                                         PC0202 – Reconsolidate a Split PIN
                                         PC0203 – Transfer a PIN within a Financial Agency
                                         PC0204 – Transfer a PIN between Financial Agencies

Once a *budgeted* Position is established by either the Legislature or the Board of Public Works (BPW), the designated Financial Agency then manages the Position during the fiscal year. As part of the management, they may choose to perform the following with the PIN:

PIN Management Action:	Description of the Action
Overlap a PIN	This scenario involves assigning 2 incumbents to the same Position Number (PIN) for a temporary period of time
Split a PIN	This scenario involves breaking a Position Number (PIN) into multiple PIN's where the sum of the Authorized % on each individual PIN = the original Authorized %
Reconsolidate a Split PIN	This scenario involves taking the multiple PIN's created in the Split PIN scenario and reconsolidating them into a single PIN with the original Authorized %
Transfer a PIN within their Financial Agency	This scenario involves a Financial Agency moving a PIN to a different Financial Unit, Program and/or Subprogram than designated on the original PIN
Transfer a PIN to another Financial Agency	This scenario involves a Financial Agency moving a PIN to another Financial Agency. As noted below, this action requires DBM Position Control approval.

It is important to note that for each of these actions, the Agency should be gaining approval from the required individuals before performing the action and <u>some of these actions require DBM Position Control approval</u>. The proposed future state design for each of these transactions details the stakeholders and types of approval required.

Overlap a PIN

Associated Process Flow: PC0200 – Overlap a PIN

During the course of a transition, an Agency has the option to assign multiple employees to the same Position Number (PIN) for a temporary period of time no longer than six (6) months. One of the earlier stated requirements was that *budgeted* Positions would be systematically restricted to the designated Authorized %, which is essentially an FTE allocation. This business rule makes it impossible to create an *overlap PIN* situation without some modification to the Position. The proposed future state process includes an online initiation to request an overlap PIN that would route via workflow to the appropriate individuals for review and approval.

Currently, when an overlap PIN occurs, the State uses a smart numbering scheme for the Position Numbers (i.e. 08010_0 and 08010_1) that clearly identifies the PIN's that are related. In addition, the *staying* employee is always assigned the overlap PIN ending in zero (0). The proposed future state

design is to have both employees be assigned the exact same Position Number (PIN) and use reporting to identify where overlaps exist.

The proposed workflow routing includes:

❖ Initiator/Requestor: Agency HR
❖ Review/Approval Level 1:   Agency Budget/Finance Office
❖ Review/Approval Level 2:   Agency Appointing Authority
❖ Review/Approval Level 3:   DBM, Executive Director of OPSB

When a PIN overlap occurs, it is assumed that the employee assigned the Position Number (PIN) last is the employee that will remain in the Position Number (PIN).

Overlap a PIN Events/Steps:

Initiate an Overlap PIN Request: (Step 1): The system shall provide Agency HR with an online page that allows them to initiate a request to overlap an employee in an existing filled Position Number (PIN).

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode
Effective Date of the Overlap	Required Entry
Position Number Requesting to Overlap	Required Entry
Position Number Details: - Position Status - Budgeted Position? - Position Title - Job Code - Job Code Title - Bargaining Unit - Bargaining Status - Financial Agency + Financial Unit + Program + Subprogram	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Overlap Emplid	Required Entry
Overlap Emplid Details: - EmplID - Last Name - First Name - Current Salary - Location	Viewable
Reason for Overlap	Required Entry
Estimated Date Overlap Ends	Required Entry

Special Field/Page Rules:

Field	Business Requirement
Estimated Date Overlap Ends	The system shall provide an edit that does not allow the date entered to be more than 6 months from the *Effective Date of the Overlap.*

The following steps will be performed by each review/approval level in successive order: Agency Budget/Finance Office, Agency Appointing Authority, and DBM Executive Director of OPSB.

Notification: Overlap PIN Request: (Steps 2, 7, 12): The system shall generate a workflow notification to the next designated reviewer/approver that there is an overlap PIN request for review.

Review Overlap PIN Request Online: (Steps 3, 8, 13): The system shall provide the ability for the reviewer to review the overlap PIN request online.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode
Effective Date of the Overlap	Viewable
Position Number Requesting an Overlap	Viewable
Position Number Details: - Position Status - Budgeted Position? - Position Title - Job Code - Job Code Title - Bargaining Unit - Bargaining Status - Financial Agency + Financial Unit + Program + Subprogram	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Overlap Emplid	Viewable
Overlap Emplid Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Reason for Overlap	Viewable
Estimated Date Overlap Ends	Viewable
Requested By	Viewable
Requested Date	Viewable

Approve Overlap? (Steps 4, 9, 14): The reviewer will decide if they approve the PIN overlap.

Enter Approval Online: (Steps 5, 10, 15): The system shall provide the ability for the reviewer to indicate online they 'approve' the overlap request. The approval of the transaction should initiate the movement of the transaction to the next review level.

When the final approval occurs (Step 15) by the DBM Executive Director of OPSB, the following should occur:

> ➢ The system shall <u>modify the Position Number (PIN)</u> to allow a FTE count that is greater than the Authorized % but the original Authorized % should remain unchanged. (Step 17)
> ➢ The system shall <u>alert Agency HR via a worklist notification</u> the overlap PIN was approved and has been updated. (Step 19)
> ➢ The system shall <u>alert the Agency Budget/Finance Office via a worklist notification</u> the overlap PIN was approved and has been updated. (Step 23)
> ➢ The system shall <u>alert the Agency Appointing Authority via a worklist notification</u> the overlap PIN was approved. (Step 25)

Enter Denial Online w/Reason for Denial: (Step 6, 11, 16): The reviewer shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall cease routing the transaction request for review/approval and send worklist notifications to Agency HR, the Agency Budget/Finance Office and the Agency Appointing Authority that the request has been denied. (Steps 21, 24, 26)

<u>The system shall provide Denial Reasons in a drop-down list of valid values that include:</u>

Denial Reasons
Budget Constraints
Incorrect Information
Overlap Period Excessive
Overlap Employee Does Not Meet Minimum Job Qualifications

HOBO Extract: (Step 18): The system shall provide an extract that can be initiated at user-request that pulls a snapshot of *budgeted* Positions. At the point the extract is generated, if there are any *budgeted* PIN's with an employee overlap, the extract should pull only 1 employee and the employee selected should be the employee with the most recent Effective Date of being assigned the overlap PIN.

SPS: Assign Overlap Employee to PIN: (Step 20): After Agency HR receives an alert via worklist that the overlap PIN has been approved and updated in the system; he/she will assign the overlap employee to the PIN and make any other necessary job data or salary adjustments.

AdHoc Report: Overlap PIN's: (Step 22): The system shall provide a report that shows all of the Position Numbers (PIN's) where there is a current employee overlap. The report should offer input parameters that include: Effective Date Range, Agency.

Split a PIN

Associated Process Flow: PC0201 – Split a PIN

During the course of the fiscal year, an Agency has the option to *split* or *break* a *budgeted* Position into multiple PIN's as long as the total Authorized % of the multiple PIN's does not exceed the Authorized % of the original *budgeted* Position.   Since this request involves modification of the Authorized % on a *budgeted* Position, DBM Position Control must be involved to create the new Position Number(s) and to ensure the total Authorized % matches the *budgeted* Authorized %.

When a split occurs, the Agency has the option to modify the Position attributes, such as the Job Code associated with the new Position Numbers. And, furthermore, each split PIN could have a different Job Code assigned. The only budgeting constraints are that the Position(s) not exceed the total Authorized % and remain within the Financial Agency assigned.

Currently, when a split PIN occurs, the State uses a smart numbering scheme for the Position Numbers (i.e. 08010 A and 08010 B) that clearly identifies the PIN's that are related. The proposed future state design is to have the system assign the next sequential Position Number (PIN) to all newly created Positions. As such, there will not be a link between *split PIN's* once the split has occurred in the system.

The proposed future state process includes an online initiation to request a split PIN that would route via workflow to the appropriate individuals for review and approval. This is a state mandate.

The proposed workflow routing includes:

- ❖ Initiator/Requestor: Agency HR
- ❖ Review/Approval Level 1:   Agency Budget/Finance Office
- ❖ Review/Approval Level 2:   Agency Appointing Authority
- ❖ Review/Approval Level 3:   DBM Position Control

Split a PIN Events/Steps:

Initiate a Split PIN Request: (Step 1): The system shall provide Agency HR with an online page that allows them to initiate a request to *split* an existing Position Number (PIN) into multiple PIN's.

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode
Effective Date of the Split	Required Entry
Original Position Number(s)	Required Entry
Original Position Number Details: - Financial Agency + Financial Unit + Program + Subprogram - Authorized % - Position Title	Viewable

Field	Access Mode
- Job Code - Job Code Title	
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Requested Split PIN Details: - Split PIN 1 of X (ie. 1 of 2, 1 of 3, etc.) - Job Code - Position Title - Authorized % - Location - Financial Agency + Financial Unit + Program + Subprogram	Required Entry
Reason for Split Request	Required Entry

Special Field/Page Rules:

Field	Business Requirements
Original Position Number(s)	The system shall allow for the entry of multiple Position Numbers to accommodate the situation where a PIN has already been split and the Agency is requesting a further split.
Original Position Number Details	For each Position Number submitted, the system shall display the identified PIN details.
Current Incumbent Details	For each Position Number submitted, the system shall display the current incumbent details.
Requested Split PIN Details	The system shall require Agency HR to define the resulting set of PIN's and their attributes if the request is approved. The system shall allow for the entry of multiple rows and default the PIN X of Y values based on the number of rows inserted. This definition will require the entry of at least 2 PIN's and the total Authorized % of the PIN's entered shall equal the total Authorized % of the identified Original Position Number(s). The system shall ensure the PIN definition will not reduce the Authorized % on any *Filled* Position to a percentage that is lower than current incumbents Percent Employed.

The following steps will be performed by the Agency Budget/Finance Office and the Agency Appointing Authority review/approval levels in successive order:

Notification: Split PIN Request: (Steps 2, 7): The system shall generate a workflow notification to the next designated reviewer/approver that there is a *split PIN* request for review.

Review Split PIN Request Online: (Steps 3, 8): The system shall provide the ability for the reviewer to review the *split PIN* request online. While the Agency Appointing Authority shall only have the ability to

review the request, the system shall provide the ability for the Agency Budget/Finance Office to modify the *Requested Split PIN Details* submitted by Agency HR.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode *Agency Budget/Finance Office*	Access Mode *Agency Appointing Authority*
Effective Date of the Split	Viewable	Viewable
Original Position Number(s)	Viewable	Viewable
Original Position Number Details: - Financial Agency + Financial Unit + Program + Subprogram - Authorized % - Position Title - Job Code - Job Code Title	Viewable	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable	Viewable
Requested Split PIN Details: - Split PIN 1 of X (ie. 1 of 2, 1 of 3, etc.) - Job Code - Position Title - Authorized % - Location - Financial Agency + Financial Unit + Program + Subprogram	Modifiable	Viewable
Reason for Split Request	Viewable	Viewable
Requested By	Viewable	Viewable
Requested Date	Viewable	Viewable
Approved By *	Viewable	Viewable
Approved Date *	Viewable	Viewable

* The system shall display any previous approvals that have been made to the transaction.

Approve Split? (Steps 4, 9): The reviewer will decide if they approve the PIN split.

Enter Online Approval: (Steps 5, 10): The system shall provide the ability for the reviewer to indicate online they 'approve' the transaction. The approval of the transaction should initiate the movement of the transaction to the next review level.

If approval occurs (Step 10) by the Agency Appointing Authority, the system shall route the transaction to DBM Position Control for review.

Enter Denial Online w/Reason for Denial: (Step 6, 11): The reviewer shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further

explain a denial reason. If a denial occurs, the system shall cease routing the transaction request for review/approval and send a worklist notification to Agency HR and the Agency Budget/Finance Office that the request has been denied. (Steps 21, 23)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Too Many Splits

The following steps will be performed by DBM Position Control once the request has been approved by both the Agency Budget/Finance Office and the Agency Appointing Authority:

Notification: Split PIN Request: (Steps 12): The system shall generate a workflow notification to alert DBM Position Control that there is a *split PIN* request for review.

Review Split PIN Request Online: (Steps 13): The system shall provide the ability for DBM Position Control to review the *split PIN* request online.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode
Effective Date of the Split	Viewable
Original Position Number(s)	Viewable
Original Position Number Details: - Financial Agency + Financial Unit + Program + Subprogram - Authorized % - Position Title - Job Code - Job Code Title	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Requested Split PIN Details: - Split PIN 1 of X (ie. 1 of 2, 1 of 3, etc.) - Job Code - Position Title - Authorized % - Location - Financial Agency + Financial Unit + Program + Subprogram	Viewable
Reason for Split Request	Viewable
Requested By	Viewable
Requested Date	Viewable
Approved By *	Viewable
Approved Date *	Viewable

 * The system shall display any previous approvals that have been made to the transaction.

Approve Split? (Step 14): DBM Position Control will decide if they approve the PIN split.

If DBM Position Control approves the split request, they will do the following:

SPS: Reduce Authorized %/Modify Original PIN: (Step 15): The system shall provide them with the ability to modify the Authorized % and any other elements of the "original" Position that are changing as a result of the split request.

SPS: Create/Modify Additional PIN(s): (Step 16): The system shall provide them with the ability to create and/or modify the other PIN's associated with completing the *split* request.   In some situations it would be a time-savings to clone the original Position Number and modify the attributes that are different; the system shall provide this ability.

As noted earlier, any Position created as a result of this request will be assigned the next sequential Position Number in the system and there will not be a link between the split PIN's.

SPS Updated: Position Management Updated with PIN Changes: (Step 18): The system shall be updated with the Position additions and modifications made by DBM Position Control and will reflect the Effective Date submitted on the *split* request.

Once the Position Numbers are updated in the system, the system shall send workflow alerts to Agency HR (Step 20) and the Agency Budget/Finance Office (Step 22) that the PIN split was approved and the updates have been made in the system.

If DBM Position Control does not approve the split request, they will do the following:

Enter Denial Online w/Reason for Denial: (Step 17): The system shall provide DBM Position Control with the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a worklist notification to Agency HR (Step 21) and the Agency Budget/Finance Office (Step 23) that the request has been denied.

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Too Many Splits

HOBO Extract: (Step 19): The system shall provide an extract that can be initiated at user-request that pulls a snapshot of *budgeted* Positions. At the point the extract is generated, all *budgeted* PIN's are extracted so the extract would pull each of the split PIN's.

Reconsolidate a Split PIN

Associated Process Flow: PC0202 – Reconsolidate a Split PIN

During the course of the fiscal year, an Agency has the option to reconsolidate a *budgeted split* Position Number (PIN) to either one (or less than the current count of) PIN(s) as long as the total Authorized % of the reconsolidated PIN(s) does not exceed the Authorized % of the original *split* Position Numbers (PIN's).   Since this request involves modification of the Authorized % on a *budgeted* Position Number (PIN), DBM Position Control must create/modify the new Position Number(s) and ensure the total Authorized % matches the *budgeted* Authorized %.

When a reconsolidation occurs, the Agency has the option to modify the Position attributes, such as the Job Code associated with the PIN. The only budgeting constraints are that the Position(s) may not exceed the total Authorized % and must remain within the Financial Agency assigned. At the point a reconsolidation occurs, 1 or more of the Positions being reconsolidated should be vacant.

The proposed future state process includes an online initiation to request a reconsolidation of a split PIN that would route via workflow to the appropriate individuals for review and approval.

The proposed workflow routing includes:

❖ Initiator/Requestor: Agency HR
❖ Review/Approval Level 1:   Agency Budget/Finance Office
❖ Review/Approval Level 2:   Agency Appointing Authority
❖ Review/Approval Level 3:   DBM Position Control

Reconsolidate a Split PIN Events/Steps:

Initiate Request to Reconsolidate a Split PIN: (Step 1): The system shall provide Agency HR with an online page that allows them to initiate a request to reconsolidate a split Position Number (PIN) back to either 1 (or less than the current count of) PIN(s).

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode
Effective Date of the Reconsolidation	Required Entry
Split PIN Numbers Want to Reconsolidate	Required Entry
Split PIN Details: - Financial Agency + Financial Unit + Program + Subprogram - Authorized % - Position Title - Job Code - Job Code Title	Viewable
Current Incumbent Details: - EmpliD - Last Name	Viewable

Field	Access Mode
- First Name - Current Salary - Location	
Requested Reconsolidation PIN Details: - PIN 1 of X (ie. 1 of 2, 1 of 3, etc.) - Job Code - Position Title - Authorized % - Location - Financial Agency + Financial Unit + Program + Subprogram	Required Entry
Reason for Reconsolidation Request	Required Entry

Special Field/Page Rules:

Field	Business Requirement
Split PIN Numbers Want to Reconsolidate	The system shall allow for the entry of multiple Position Numbers to identify all of the PIN's the Agency wants to reconsolidate. The system shall validate that at least 1 of the Position Numbers entered is Vacant.
Split PIN Details	For each Position Number submitted, the system shall display the identified PIN details.
Current Incumbent Details	For each Position Number submitted, the system shall display the current incumbent details.
Requested Reconsolidation PIN Details	The system shall require Agency HR to define the resulting PIN attributes if the request is approved. The system shall allow for the entry of multiple rows and default the PIN X of Y values based on the number of rows inserted. This definition will require the entry of at least 1 PIN and the total Authorized % of the PIN(s) entered shall equal the total Authorized % of the identified Original Position Number(s). The system shall ensure the PIN definition will not reduce the Authorized % on any *Filled* Position to a percentage that is lower the current incumbents Percent Employed.

The following steps will be performed by the Agency Budget/Finance Office and the Agency Appointing Authority review/approval levels in successive order:

Notification: Reconsolidate PIN Request: (Steps 2, 7): The system shall generate a workflow notification to the next designated reviewer/approver that there is a request to reconsolidate *split PIN's* for review.

Review Reconsolidate PIN Request Online: (Steps 3, 8): The system shall provide the ability for the reviewer to review the *reconsolidate split PIN's* request online. While the Agency Appointing Authority shall only have the ability to review the request, the system shall provide the ability for the Agency Budget/Finance Office to modify the *Requested PIN Details* submitted by Agency HR.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode *Agency Budget/Finance Office*	Access Mode *Agency Appointing Authority*
Effective Date of the Reconsolidation	Viewable	Viewable
Split PIN Numbers Want to Reconsolidate	Viewable	Viewable
Split PIN Details: - Financial Agency + Financial Unit + Program + Subprogram - Authorized % - Position Title - Job Code - Job Code Title	Viewable	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable	Viewable
Requested Reconsolidation PIN Details: - Split PIN 1 of X (ie. 1 of 2, 1 of 3, etc.) - Job Code - Position Title - Authorized % - Location - Financial Agency + Financial Unit + Program + Subprogram	Modifiable	Viewable
Reason for Reconsolidation Request	Viewable	Viewable
Requested By	Viewable	Viewable
Requested Date	Viewable	Viewable
Approved By *	Viewable	Viewable
Approved Date *	Viewable	Viewable

* The system shall display any previous approvals that have been made to the transaction.

Approve Reconsolidation? (Steps 4, 9): The reviewer will decide if they approve the reconsolidation of the split PIN's.

Enter Online Approval: (Steps 5, 10): The system shall provide the ability for the reviewer to indicate online they 'approve' the request. The approval of the request should initiate the movement of the transaction to the next review level.

If approval occurs (Step 10) by the Agency Appointing Authority, the system shall route the transaction to DBM Position Control for review.

Enter Denial Online w/Reason for Denial: (Step 6, 11): The reviewer shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall cease routing the transaction request for

review/approval and send a worklist notification to Agency HR that the request has been denied. (Step 21)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information

The following steps will be performed by DBM Position Control once the request has been approved by both the Agency Budget/Finance Office and the Agency Appointing Authority:

Notification: Reconsolidate PIN Request: (Steps 12): The system shall generate a workflow notification to alert DBM Position Control that there is a request to *reconsolidate split PIN's* for review.

Review Reconsolidate PIN Request Online: (Steps 13): The system shall provide the ability for DBM Position Control to review the *reconsolidate split PIN's* request online.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode
Effective Date of the Reconsolidation	Viewable
Split PIN Numbers Want to Reconsolidate	Viewable
Split PIN Details: - Financial Agency + Financial Unit + Program + Subprogram - Authorized % - Position Title - Job Code - Job Code Title	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Requested Reconsolidation PIN Details: - Split PIN 1 of X (ie. 1 of 2, 1 of 3, etc.) - Job Code - Position Title - Authorized % - Location - Financial Agency + Financial Unit + Program + Subprogram	Viewable
Reason for Reconsolidation Request	Viewable
Requested By	Viewable
Requested Date	Viewable
Approved By *	Viewable
Approved Date *	Viewable

 * The system shall display any previous approvals that have been made to the transaction.

Approve Reconsolidation? (Step 14): DBM Position Control will decide if they approve the reconsolidation of the split PIN's.

If DBM Position Control approves the reconsolidation request, they will do the following:

SPS: Modify Authorized %/Modify Original PIN: (Step 15): The system shall provide them with the ability to modify the Authorized % and any other elements of the "original" Position that are changing as a result of the reconsolidation request.

SPS: Modify/Abolish Additional PIN(s): (Step 16): The system shall provide them with the ability to modify or abolish the other PIN's associated with completing the reconsolidation request.

As noted earlier, any *budgeted* Position that is updated to a status of *Abolished* will no longer be usable. The Position Number shall remain viewable and all associated history shall remain intact, but the Position Number will not be modifiable or assignable.

However, the system should provide the ability for someone with a specific security role to remove the Abolished status from a Position if required.

SPS Updated: Position Management Updated with PIN Changes: (Step 18): The system shall be updated with the Position additions and modifications made by DBM Position Control and will reflect the Effective Date submitted on the *reconsolidation* request.

Once the Position Numbers are updated in the system, the system shall send workflow alerts to Agency HR (Step 20) and the Agency Budget/Finance Office (Step 22) that they reconsolidation was approved and the updates have been made in the system.

If DBM Position Control does not approve the split request, they will do the following:

Enter Denial Online w/Reason for Denial: (Step 17): The system shall provide DBM Position Control with the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a worklist notification to Agency HR (Step 21) and the Agency Budget/Finance Office (Step 23) that the request has been denied.

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information

HOBO Extract: (Step 19): The system shall provide an extract that can be initiated at user-request that pulls a snapshot of *budgeted* Positions. At the point the extract is generated, all *budgeted* PIN's are extracted so the extract would pull each of the reconsolidated PIN's.

Transfer a PIN within a Financial Agency

Associated Process Flow: PC0203 – Transfer a PIN within a Financial Agency

After the State Annual Budget is established and approved, each *budgeted* Agency knows their *budgeted* Positions for the coming fiscal year. In the State budget, each of the Positions is associated with an *appropriation code* that designates where the Position is financially *budgeted*. The *appropriation code* is comprised of:

<div style="border:1px solid #000; padding:1em;">

Financial Agency + Financial Unit + Program + Subprogram

An Agency may never modify this value for a Position. All updates to Financial Agency must be made by DBM Position Control.

An Agency has the authority to modify these values for a budgeted Position without gaining DBM Position Control approval

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The proposed future state process includes an online initiation to request the transfer of a vacant *budgeted* Position within the Financial Agency that would route via workflow to the Agency Budget/Finance Office for review and approval. If the Agency requires the ability to transfer a filled Position within the Financial Agency they would follow the *Transfer-Reassignment* process identified in the Personnel Transactions PDR.

The proposed workflow routing includes:

❖ Initiator/Requestor: Agency HR
❖ Review/Approval Level 1:   Agency Appointing Authority
❖ Review/Approval Level 2:   Agency Budget/Finance Office

Transfer a PIN within a Financial Agency Events/Steps:

Initiate PIN Transfer Request: (Step 1): The system shall provide Agency HR with an online page that allows them to initiate a request to transfer a vacant budgeted PIN to another location within the Financial Agency.

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode
Effective Date of the Transfer	Required Entry
Position Number (PIN) Want to Transfer	Required Entry
Current Position Number (PIN) Details - Position Status - Position Title - Job Code - Job Code Title - Financial Agency + Financial Unit + Program + Subprogram - Authorized %	Viewable
Requested Transfer Details: - Financial Agency + Financial Unit + Program + Subprogram	Required Entry
Reason for Transfer Request	Required Entry

Special Field/Page Rules:

Field	Business Requirement
Position Number (PIN) Want to Transfer	The system shall provide a list of valid values that contains all Active Positions in the Agency. The system shall validate that the Position is Vacant.
Current Position Number (PIN) Details	For the Position Number submitted, the system shall display the identified PIN details.
Requested Transfer Details	The system shall require the initiator to identify where they want to transfer the Position. The system shall not allow them to specify a Financial Agency that is different that the one currently identified on the Position. The system shall provide a list of valid values with descriptions for the user to select a value.

The following steps will be performed by the Agency Appointing Authority and the Agency Budget/Finance Office review/approval levels in successive order:

Notification: Transfer PIN Request: (Steps 2, 7): The system shall generate a workflow notification to the next reviewer in the workflow stream that there is a request to transfer a PIN for review.

Review/Modify Transfer PIN Request Online: (Steps 3, 8): The system shall provide the ability for the Agency Appointing Authority and the Agency Budget/Finance Office to review the transfer PIN request online. The online review page should provide the ability for the Agency Budget/Finance Office to modify the appropriation code values if necessary.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode *Agency Appointing Authority*	Access Mode *Agency Budget/Finance*

Field	Access Mode *Agency Appointing Authority*	Access Mode *Agency Budget/Finance*
Effective Date of the Transfer	Viewable	Viewable
Position Number (PIN) Want to Transfer	Viewable	Viewable
Current Position Number (PIN) Details - Position Status - Position Title - Job Code - Job Code Title - Financial Agency + Financial Unit + Program + Subprogram - Authorized %	Viewable	Viewable
Requested Transfer Details: - Financial Agency + Financial Unit + Program + Subprogram	Viewable	Modifiable
Reason for Transfer Request	Viewable	Viewable
Requested By	Viewable	Viewable
Requested Date	Viewable	Viewable

Approve Transfer? (Steps 4, 9): The reviewer will decide if they approve the transfer of the PIN.

Enter Online Approval: (Steps 5, 10): The system shall provide the ability for the reviewer to indicate online they 'approve' the request. If the request is approved, the system shall send a workflow notification to alert Agency HR (Step 15) and the Agency Appointing Authority (Step 17) that the request has been approved.

Position Updated: Position Updated with Appropriation Code: (Step 12): If the Agency Budget/Finance Office approves the transfer, the system shall update the Position Number (PIN) to reflect the new appropriation code (Financial Unit + Program + Sub-Program) and the Effective Date identified on the request.

Enter Denial Online w/Reason for Denial: (Step 11): The reviewer shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to Agency HR (Step 16) and the Agency Appointing Authority (Step 18) letting them know the request has been denied.

The system shall provide Denial Reasons in a drop-down list of valid values that include:

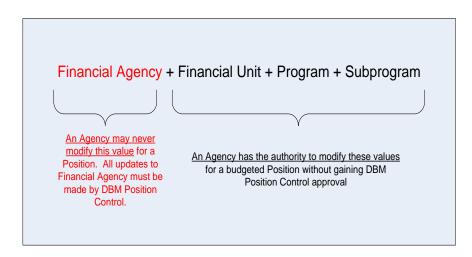| Denial Reasons |
|---|
| Incorrect Information |

HOBO Extract: (Step 13): The system shall provide an extract that can be initiated at user-request that pulls a snapshot of *budgeted* Positions. At the point the extract is generated, all *budgeted* PIN's are extracted so the extract would pull each PIN with its current/effective designated appropriation code.

Transfer a PIN between Financial Agencies

Associated Process Flow: PC0204 – Transfer a PIN between Financial Agencies

As described in the previous section *Transfer a PIN within a Financial Agency*, after the State Annual Budget is established and approved, each budgeted Agency knows their *budgeted* Positions for the coming fiscal year. In the State budget, each of the Positions is associated with an appropriation code that designates where the Position is *budgeted*. The appropriation code is comprised of:

<div>

Financial Agency + Financial Unit + Program + Subprogram

An Agency may never modify this value for a Position. All updates to Financial Agency must be made by DBM Position Control.

An Agency has the authority to modify these values for a budgeted Position without gaining DBM Position Control approval

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During the course of the fiscal year, a Financial Agency may want to transfer a Position Number (PIN) to another Financial Agency. Unlike the *Transfer a PIN within a Financial Agency* process, in which the Agency may execute the transaction independently, a transfer across Financial Agencies requires multiple levels of approval with the final approval coming from DBM Position Control.

The proposed future state process includes an online initiation to request the transfer of the PIN to another Financial Agency that would route via workflow thru the other designated levels for review and approval. The levels of review and approval include both the *sending* Agency and the *receiving* Agency.

The proposed workflow routing includes:

- ❖ Initiator/Requestor: *Sending* Agency Appointing Authority
- ❖ Review/Approval Level 1:   *Sending* Agency Budget/Finance Office
- ❖ Review/Approval Level 2:   *Receiving* Agency Appointing Authority
- ❖ Review/Approval Level 3:   *Receiving* Agency Budget/Finance Office
- ❖ Review/Approval Level 4:   DBM Position Control

Transfer a PIN between Financial Agencies Events/Steps:

Initiate PIN Transfer Request: (Step 1): The system shall provide the Agency Appointing Authority with an online page that allows them to initiate a request to transfer a budgeted PIN to another Financial Agency.

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode
Effective Date of the Transfer	Required Entry
Position Number (PIN) Want to Transfer	Required Entry
Current Position Number (PIN) Details - Position Status - Position Title - Job Code - Job Code Title - Financial Agency + Financial Unit + Program + Subprogram - Authorized %	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Financial Agency You Want to Transfer the PIN To	Required Entry
Reason for Transfer Request	Required Entry

Special Field/Page Rules:

Field	Business Requirement
Position Number (PIN) Want to Transfer	The system shall provide a list of valid values that contains all Active Positions in the Agency.
Current Position Number (PIN) Details	For the Position Number submitted, the system shall display the identified PIN details.
Current Incumbent Details	For the Position Number submitted, the system shall display the current incumbent details.
Financial Agency You Want to Transfer the PIN To	The system shall require the initiator to identify where they want to transfer the Position. The system shall provide a list of valid values that contains all the Financial Agencies with a description.

The following steps will be performed by each review/approval level in successive order: Sending Agency Budget/Finance Office, Receiving Agency Appointing Authority and Receiving Agency Budget/Finance Office.

Notification: Transfer PIN Request: (Steps 2, 7, 12): The system shall generate a workflow notification to the next reviewer in the workflow stream that there is a request to transfer a PIN for review.

Review/Modify Transfer PIN Request Online: (Steps 3, 8, 13): The system shall provide the ability for the reviewer/approver to review the transfer PIN request online.   While the Sending Agency Budget/Finance Office and the Receiving Agency Appointing Authority shall only have the ability to review the request, the system shall provide the ability for the Receiving Agency Budget/Finance Office to identify the specific Financial Unit + Program + Subprogram for the PIN being transferred.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode *Receiving Agency Budget/Finance Office*	Access Mode *All Others*
Effective Date of the Transfer	Viewable	Viewable
Position Number (PIN) Want to Transfer	Viewable	Viewable
Current Position Number (PIN) Details - Position Status - Position Title - Job Code - Job Code Title - Financial Agency + Financial Unit + Program + Subprogram - Authorized %	Viewable	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable	Viewable
Financial Agency You Want to Transfer the PIN To	Viewable	Viewable
Appropriation Code - Financial Agency + Financial Unit + Program + Subprogram	Required Entry	Viewable
Reason for Transfer Request	Viewable	Viewable
Requested By	Viewable	Viewable
Requested Date	Viewable	Viewable
Approved By *	Viewable	Viewable
Approved Date *	Viewable	Viewable

* The system shall display any previous approvals that have been made to the transaction.

Approve Transfer? (Steps 4, 9, 14): The reviewer will decide if they approve the transfer of the PIN.

Enter Online Approval: (Steps 5, 10, 15): The system shall provide the reviewer with the ability to indicate online they 'approve' the request. If the request is approved, the system shall route via workflow the request to the next designated reviewer/approver.

When the final approval occurs by the Receiving Budget/Finance Office (Step 15), the system shall route the transaction to DBM Position Control (Step 17).

Enter Denial Online w/Reason for Denial: (Steps 6, 11, 16): The reviewer shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to each of the previous reviewers/approvers to let them know the request has been denied. (Steps 26, 28, 30)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Budget Can't Accommodate

The following steps will be performed by DBM Position Control after both the sending and receiving Agency has approved the transfer:

Notification: Transfer PIN Request: (Step 17): The system shall generate a workflow notification that there is a request to transfer a PIN for review.

Review Transfer PIN Request Online: (Step 18): The system shall provide the ability for DBM Position Control to review the transfer PIN request online and view the approvals that have occurred.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode
Effective Date of the Transfer	Viewable
Position Number (PIN) Want to Transfer	Viewable
Current Position Number (PIN) Details - Position Status - Position Title - Job Code - Job Code Title - Financial Agency + Financial Unit + Program + Subprogram - Authorized %	Viewable
Current Incumbent Details: - EmpliD - Last Name - First Name - Current Salary - Location	Viewable
Financial Agency You Want to Transfer the PIN To	Viewable
Appropriation Code	Viewable

Field	Access Mode
- Financial Agency + Financial Unit + Program + Subprogram	
Reason for Transfer Request	Viewable
Requested By	Viewable
Requested Date	Viewable
Approved By *	Viewable
Approved Date *	Viewable

* The system shall display any previous approvals that have been made to the transaction.

Approve Transfer? (Step 19): DBM Position Control will decide if they approve the transfer of the PIN.

SPS: Update Appropriation Code on PIN: (Step 20): The system shall provide DBM Position Control with the ability to modify the appropriation code (Financial Agency + Financial Unit + Program + Subprogram) designated on the PIN based on the Effective Date specified on the request.

Position Updated: Position Updated with New Appropriation Code: (Step 22): After DBM Position Control makes the Position updates, the system will reflect the updated appropriation code on the Effective Date specified.

Employee Updated: Employee Default Updated with New Appropriation Code: (Step 23): After the Position Number (PIN) is updated to reflect the appropriation code (Financial Unit + Program + Subprogram), if the Position is currently *occupied* the system shall update the incumbent to reflect the new appropriation code on the Effective Date identified on the request.

Once the system and employee updates (if required) occur, the system shall send a workflow notification to each of the previous reviewers/approvers to let them know the request has been approved. (Steps 25, 27, 29, 31)

Enter Denial Online w/Reason for Denial: (Step 21): If DBM Position Control chooses to deny the transfer request; the system shall provide them with the ability to deny the request online. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to each of the previous reviewers/approvers to let them know the request has been denied. (Steps 26, 28, 30, 32)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information

HOBO Extract: (Step 24): The system shall provide an extract that can be initiated at user-request that pulls a snapshot of *budgeted* Positions. At the point the extract is generated, all *budgeted* PIN's are extracted so the extract would pull each PIN with its current/effective designated appropriation code.

AdHoc Report: History of PIN: (Step 33): The system shall provide a report that shows the history of a specific Position Number (PIN) from the point of inception to current. The report should provide the

option to include incumbent information with the Position information. The report should offer input parameters that include: Effective Date Range, Agency.

Position Number (PIN) Creation

Associated Process Flows: PC0300 – PIN Creation – Contractual Workers
PC0301 – PIN Creation – Temporary Workers, Volunteers, Interns & Non-Budgeted Permanents
PC0302 – PIN Creation – Non-Position Control Agencies

Position Numbers (PIN's) will be assigned in SPS to every worker including, permanent State employees, contractual workers, temporary workers, volunteers and interns regardless of whether the associated Agency is *budgeted* thru the Position Control process.

This section of the document will review the proposed future state business process of creating Positions (PIN's) for contractual workers, temporary workers, volunteers and interns in addition to creating all Positions for non-budgeted Agencies.

PIN Creation – Contractual Workers

Associated Process Flow: PC0300 – PIN Creation – Contractual Workers

A *contractual worker* means an individual who under a written agreement provides temporary personal services to the State and is not employed in a budgeted position. While contractual workers are not in a budgeted position, the Agency is responsible for ensuring their contractual workers fit within the contractual worker budget framework. The proposed future state business design will assign all contractual workers to a Position Number (PIN) in the SPS system regardless of whether an Agency is *budgeted* by DBM Position Control.

The proposed workflow routing includes:

- ❖ Initiator/Requestor: Agency HR
- ❖ Review/Approval Level 1:   Agency Budget/Finance Office
- ❖ Review/Approval Level 2:   Agency Appointing Authority
- ❖ Review/Approval Level 3:   DBM Classification

PIN Creation – Contractual Workers Events/Steps:

Initiate Contractual PIN Request: (Step 1): The system shall provide Agency HR with an online page that allows them to initiate a request for the creation of a Position Number (PIN) for a contractual worker.

*An "Initial Contractual PIN Request" may come into the system via different paths: Manager Self-Service or Agency HR. The Manager Self Service path will be the method used by hiring managers (*See CE-Contractual Employees PDR)*.*

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode	Business Requirement
Effective Date of Position	Required Entry	
DBM Certification Required?	Required Entry	Valid Values: Yes, No
Estimated Hours Per Week	Required Entry	See Special Fields/Page Rules below
Hourly Rate	Required Entry	See Special Fields/Page Rules below
Estimated Duration	Required Entry	See Special Fields/Page Rules below
Total Contract Amount	Required Entry	See Special Fields/Page Rules below
Estimated FTE	Defaulted	See Special Fields/Page Rules below
Reason for Position Add/Change	Optional Entry	See Special Fields/Page Rules below
Update Employee w/Change?	Optional Entry	
Status	Required Entry	Valid Values: Active, Inactive
Position Status	Required Entry	Valid Values: Approved, Proposed, Frozen, Hiring Freeze, Abolished
Position Type	Required Entry	See Special Fields/Page Rules below
Headcount Status	Defaulted by System	Valid Values: Filled, Vacant
Authorized %	Required Entry	See Special Fields/Page Rules below
Authorized By	Required Entry	See Special Fields/Page Rules below
Allocated Headcount	Required Entry	See Special Fields/Page Rules below
Actual Headcount	Defaulted by System	
Job Code (Classification)	Required Entry	See Special Fields/Page Rules below
Job Code Title (Classification Title)	Default from Job Code	
Position Title	Optional Entry	
FLSA Status	Default from Job Code	
Budgeted Position?	Defaulted	See Special Fields/Page Rules below
Key Position?	Optional Entry	Valid Values: Yes, No
Regular/Temporary	Optional Entry	
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	Required Entry	See Special Fields/Page Rules below
Location	Optional Entry	See Special Fields/Page Rules below
Funding Type	Optional Entry	See Special Fields/Page Rules below
Funding %	Optional Entry	See Special Fields/Page Rules below
Position Reports To	Required Entry	See Special Fields/Page Rules below
FT/PT	Required Entry	
Salary Plan	Default from Job Code	
Salary Schedule	Default from Job Code	
Standard Hours	Required Entry	
Special Appointment?	Optional Entry	Valid Values: Yes, No
Political Special Appointment?	Optional Entry	Valid Values: Yes, No
Eligible for Compressed Workweek?	Default from Job Code	
Eligible for Telework?	Default from Job Code	
Essential Personnel?	Default from Job Code	
Job Sharing?	Optional Entry	Valid Values: Yes, No
High Risk Job?	Default from Job Code	
Drug Sensitive Designation?	Default from Job Code	
Eligible for Recruitment Bonus?	Default from Job Code	
Eligible for Retention Bonus?	Default from Job Code	
Eligible for Shift Differential?	Default from Job Code	
Criminal Background Check Required?	Default from Job Code	
Part of Non-Competitive Promotion?	Default from Job Code	
Part of Vacancy Downgrade Series?	Default from Job Code	
NCP or Downgrade Series	Default from Job Code	

Field	Access Mode	Business Requirement
Bargaining Status?	Required Entry	See Special Fields/Page Rules below
Bargaining Unit	Default from Job Code	
Benchmark Class?	Optional Entry	Valid Values: Yes, No
Benchmark Position Description	Optional Entry	See Special Fields/Page Rules below
Pension Plan	Default from Job Code	
Service Category	Default from Job Code	
Work Area	Default from Job Code	
Job Family	Default from Job Code	

Special Field/Page Rules:

Field	Business Requirement
Estimated Hours Per Week	The system shall require the entry of a numeric value between 1 and 40.
Hourly Rate	The system shall require the entry of a numeric value greater than 0.
Estimated Duration (in Weeks)	The system shall require the entry of a numeric value greater than 1.
Total Contract Amount	The system shall require the entry of a numeric value greater than 0.
Estimated FTE	The system shall calculate the FTE usage (using a 2080 hour year) based on the estimated hours per week * the estimated duration.
Reason for Position Add/Change	The system shall require the selection of a value from a list of valid values that includes: - New - Correction - Modification
Position Type	The system shall require the selection of a value from a list of valid values that includes: - Contractual - Permanent - Temporary - Volunteer - Intern
Authorized %	The system shall require the entry of a numeric value between .01 and 1.00.
Authorized By	Position Control requires the ability to identify who authorized the PIN: Valid Values: 01 - General Assembly 02 – Board of Public Works - Within the Rule 03 – Board of Public Works - Outside the Rule 04 – Board of Public Works – Other 05 – Position Control 08 – Local Health 12 – Maryland Automobile Insurance Fund 18 – Consists of: Local, Board of Election Laws, State Administrative Board of Elections, Maryland Food Center Authority, Injured Workers Insurance Fund, Maryland Stadium Authority

Field	Business Requirement
	20 – Agency - Temporary Employees 22 – Agency – Contractual Worker 24 – Agency – Volunteer/Intern/Vendor
Allocated Headcount	The system shall require the entry of a number.
Actual Headcount	The system shall default this field based on the Allocated Headcount in comparison with the actual occupancy of the Position.
Budgeted Position?	The system shall default this field to No since the Position is not being added by DBM Position Control.
Job Code (Classification)	The system shall require the selection of a Job Code from a list of valid values that are Active on the Effective Date of the Position.
Job Code Title (Classification Title)	The system shall default the Job Code Title from the Job Code.
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	The system shall require the selection of a value from a list of valid values that are Active on the Effective Date of the Position.
Location	The system shall provide the ability to select a value from a list of valid values that are Active on the Effective Date of the Position.
Funding Type	The system shall require the selection of a value from a list of valid values that includes: 01 - General 03 – Special 05 – Federal 07 – Non-Budgeted 09 – Reimbursable 13 – Enterprise 40 – Current - Unrestricted 43 – Current – Restricted 49 – Agency Fund for Higher Education 99 – No Funding The system shall allow for the entry of up to 5 Funding Sources for a Position.
Funding %	The system shall require the entry of a Funding % for each designated Funding Source. The system shall ensure the sum of all entered Funding % total 100%.
Position Reports To	The system shall require the selection of a Position Number value from a list of valid values that are Active on the Effective Date of the Position.
Bargaining Status?	The system shall default the Bargaining Status value to No when Position Type = Contractual Workers and not allow a value = to Yes.
Benchmark Position Description	The system shall provide the ability to attach a Word or PDF document that provides the Benchmark Position Description.

The following steps will be executed by the Agency Budget/Finance Office:

Notification: Contractual PIN Request: (Step 2): The system shall generate a workflow notification to the Agency Budget/Finance Office that there is a request for a contractual PIN for review.

Review/Modify Contractual PIN Request Online: (Step 3): The system shall provide the ability for the Agency Budget/Finance Office to review the contractual PIN request online, modify the Authorized % if necessary and add the appropriation code.

The page will display the estimated cost of the contractual worker. The Agency Budget/Finance Office can use this information to determine if the requested contractual worker fits within the Agency budget framework.

<u>The system shall offer at a minimum the following fields on the review page:</u>

Field	Access Mode
Effective Date of Position	Viewable
DBM Certification Required?	Viewable
Estimated Cost of the Contractual Thru Fiscal Year End (Est. Hours/Week * Hourly Rate * Est. Weeks Until Fiscal Year End)	Defaulted + Viewable
Estimated Hours Per Week	Viewable
Hourly Rate	Viewable
Estimated Duration	Viewable
Total Contract Amount	Viewable
Estimated FTE	Viewable
Reason for Position Add/Change	Viewable
Update Employee w/Change?	Viewable
Status	Viewable
Position Status	Viewable
Position Type	Viewable
Headcount Status	Viewable
Authorized %	Modifiable
Authorized By	Viewable
Allocated Headcount	Viewable
Actual Headcount	Viewable
Job Code (Classification)	Viewable
Job Code Title (Classification Title)	Viewable
Position Title	Viewable
FLSA Status	Viewable
Budgeted Position?	Viewable
Key Position?	Viewable
Regular/Temporary	Viewable
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	Modifiable
Location	Modifiable
Funding Type	Viewable
Funding %	Viewable
Position Reports To	Viewable
FT/PT	Viewable
Salary Plan	Viewable
Salary Schedule	Viewable
Standard Hours	Viewable
Special Appointment?	Viewable
Political Special Appointment?	Viewable
Eligible for Compressed Workweek?	Viewable
Eligible for Telework?	Viewable
Essential Personnel?	Viewable

Field	Access Mode
Job Sharing?	Viewable
High Risk Job?	Viewable
Drug Sensitive Designation?	Viewable
Eligible for Recruitment Bonus?	Viewable
Eligible for Retention Bonus?	Viewable
Eligible for Shift Differential?	Viewable
Criminal Background Check Required?	Viewable
Part of Non-Competitive Promotion?	Viewable
Part of Vacancy Downgrade Series?	Viewable
NCP or Downgrade Series	Viewable
Bargaining Status?	Viewable
Bargaining Unit	Viewable
Benchmark Class?	Viewable
Benchmark Position Description	Viewable
Pension Plan	Viewable
Service Category	Viewable
Work Area	Viewable
Job Family	Viewable
Requested By	Viewable
Requested Date	Viewable

Approve Contractual PIN? (Step 4): The Agency Budget/Finance Office will decide if they approve the contractual PIN.

Enter Online Approval: (Step 5): The system shall provide the ability for the Agency Budget/Finance Office to indicate online they 'approve' the request. If the request is approved, the system shall route the request to the Agency Appointing Authority for review. (Step 7)

Enter Denial Online w/Reason for Denial: (Step 6): The Agency Budget/Finance Office shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to the Agency HR letting them know the request has been denied. (Step 22)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Insufficient Budget

If the request is approved by the Agency Budget/Finance Office, the request will be routed to the Agency Appointing Authority for review:

Notification: Contractual PIN Request: (Step 7): The system shall generate a workflow notification to the Agency Appointing Authority that there is a request for a contractual PIN for review.

Review Contractual PIN Request Online: (Step 8): The system shall provide the ability for the Agency Appointing Authority to review the contractual PIN request online.

The system shall offer at a minimum the following fields on the review page:

Field	Access Mode
Effective Date of Position	Viewable
DBM Certification Required?	Viewable
Estimated Cost of the Contractual Thru Fiscal Year End (Est. Hours/Week * Hourly Rate * Est. Weeks Until Fiscal Year End)	Defaulted + Viewable
Estimated Hours Per Week	Viewable
Hourly Rate	Viewable
Estimated Duration	Viewable
Total Contract Amount	Viewable
Estimated FTE	Viewable
Reason for Position Add/Change	Viewable
Update Employee w/Change?	Viewable
Status	Viewable
Position Status	Viewable
Position Type	Viewable
Headcount Status	Viewable
Authorized %	Modifiable
Authorized By	Viewable
Allocated Headcount	Viewable
Actual Headcount	Viewable
Job Code (Classification)	Viewable
Job Code Title (Classification Title)	Viewable
Position Title	Viewable
FLSA Status	Viewable
Budgeted Position?	Viewable
Key Position?	Viewable
Regular/Temporary	Viewable
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	Modifiable
Location	Modifiable
Funding Type	Viewable
Funding %	Viewable
Position Reports To	Viewable
FT/PT	Viewable
Salary Plan	Viewable
Salary Schedule	Viewable
Standard Hours	Viewable
Special Appointment?	Viewable
Political Special Appointment?	Viewable
Eligible for Compressed Workweek?	Viewable
Eligible for Telework?	Viewable
Essential Personnel?	Viewable
Job Sharing?	Viewable
High Risk Job?	Viewable
Drug Sensitive Designation?	Viewable
Eligible for Recruitment Bonus?	Viewable
Eligible for Retention Bonus?	Viewable
Eligible for Shift Differential?	Viewable
Criminal Background Check Required?	Viewable
Part of Non-Competitive Promotion?	Viewable
Part of Vacancy Downgrade Series?	Viewable

Field	Access Mode
NCP or Downgrade Series	Viewable
Bargaining Status?	Viewable
Bargaining Unit	Viewable
Benchmark Class?	Viewable
Benchmark Position Description	Viewable
Pension Plan	Viewable
Service Category	Viewable
Work Area	Viewable
Job Family	Viewable
Requested By	Viewable
Requested Date	Viewable
Approved By	Viewable
Approved Date	Viewable

Approve Contractual PIN? (Step 9): The Agency Appointing Authority will decide if they approve the contractual PIN.

Enter Online Approval: (Step 10): The system shall provide the ability for the Agency Appointing Authority to indicate online they 'approve' the request.

Enter Denial Online w/Reason for Denial: (Step 11): The Agency Appointing Authority shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to the Agency HR letting them know the request has been denied. (Step 22)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Insufficient Budget

If the request is approved by the Agency Appointing Authority, the following will occur:

DBM Certification Required? (Step 12): The system shall evaluate the DBM Certification flag entered on the PIN request and create the PIN as either *Proposed* or *Approved* based on this value.

SPS Updated: New PIN Created as Approved: (Step 19): If the PIN request was flagged as DBM Certification not required, the system shall create the new Position based on the request details and set the Position Status to *Approved*.

When the Position is created, the system shall alert Agency HR via a worklist notification that the Position has been created and is ready for use. (Step 21)

SPS Updated: New PIN Created as Proposed: (Step 13): If the PIN request was flagged as DBM Certification required, the system shall create the new Position based on the request details and set the Position Status to *Proposed*.

When the Position is created, the system shall alert DBM Classification via a worklist notification that the Position has been created and is ready for review. (Step 14)

Review Contractual Request: (Step 15): After DBM Classification receives the worklist notification they will review the request including the contract, the associated Job Code and the salary.

Approve PIN? (Step 16): DBM Classification will decide if they approve the contractual PIN.

Enter Online Approval: (Step 17): The system shall provide the ability for DBM Classification to indicate online they 'approve' the request.

If the request is approved, the system shall:

> ➢ Update the Position Status from Proposed to Approved. (Step 19)
> ➢ Alert Agency HR via a worklist notification that the contractual PIN request has been approved and the PIN is ready for assignment. (Step 21)

Enter Denial Online w/Reason for Denial: (Step 18): DBM Classification shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to the Agency HR letting them know the request has been denied. (Step 22)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Insufficient Budget
Inappropriate Salary/Contract Amount
Inappropriate Job Code/Title

HOBO Extract: (Step 20): The system shall exclude contractual workers from the HOBO extract for *budgeted* Agencies.

AdHoc Report: Contractual PIN's: (Step 23): The system shall provide a report that shows all of the Position Numbers (PIN's) where the Position Type = Contractual. The report should offer input parameters that include: Effective Date Range, Agency.

HOBO Extract: (Step 13): The system shall exclude temporary, volunteer and intern workers from the HOBO extract for *budgeted* Agencies.

PIN Creation – Temporary Workers, Volunteers, Interns and Non-Budgeted Permanents

Associated Process Flow: PC0301 – PIN Creation - Temporary Workers, Volunteers, Interns and Non-
Budgeted Permanents

In addition to *budgeted permanent State workers* and *contractual workers,* the proposed future state design includes placing temporary workers, volunteers, interns and non-budgeted permanent workers in Position Numbers. The creation of these Position Numbers will occur at the individual Agency level after workflow routing and approval.

The proposed workflow routing includes:

❖ Initiator/Requestor: Agency HR
❖ Review/Approval Level 1:   Agency Budget/Finance Office
❖ Review/Approval Level 2:   Agency Appointing Authority
❖ Review/Approval Level 3:   DBM Classification (*for Permanent PIN's*)

PIN Creation – Temporary, Volunteer, Intern & Non-Budgeted Permanent Workers Events/Steps:

Initiate Temporary/Volunteer/Intern/Non-Budgeted Permanent PIN Request: (Step 1): The system shall provide Agency HR with an online page that allows them to initiate a request for the creation of a Position Number (PIN) for a Temporary, Volunteer, Intern or *non-budgeted* Permanent worker. The online page shall require the completion of all Position data elements required to create the Position and have it be assignable.

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode	Business Rules
Effective Date of Position	Required Entry	n/a
Reason for Position Add/Change	Optional Entry	See Rules Below
Update Employee w/Change?	Optional Entry	n/a
Status	Required Entry	Valid Values: Active, Inactive
Position Status	Required Entry	Valid Values: Approved, Proposed, Frozen, Hiring Freeze, Abolished
Position Type	Required Entry	See Rules Below
Headcount Status	Defaulted by System	Valid Values: Filled, Vacant
Authorized %	Required Entry	See Rules Below
Authorized By	Required Entry	See Rules Below
Allocated Headcount	Required Entry	See Rules Below
Actual Headcount	Defaulted by System	n/a
Job Code (Classification)	Required Entry	See Rules Below
Job Code Title (Classification Title)	Default from Job Code	n/a
Position Title	Optional Entry	n/a
FLSA Status	Default from Job Code	
Budgeted Position?	Defaulted	See Rules Below
Key Position?	Optional Entry	Valid Values: Yes, No
Regular/Temporary	Optional Entry	n/a
Appropriation Code (Financial Agency +	Required Entry	See Special Fields/Page Rules below

Field	Access Mode	Business Rules
Financial Unit + Program + Subprogram)		
Location	Optional Entry	See Special Fields/Page Rules below
Funding Type	Optional Entry	See Special Fields/Page Rules below
Funding %	Optional Entry	See Special Fields/Page Rules below
Position Reports To	Required Entry	See Special Fields/Page Rules below
FT/PT	Required Entry	n/a
Salary Plan	Default from Job Code	n/a
Salary Schedule	Default from Job Code	n/a
Standard Hours	Required Entry	n/a
Special Appointment?	Optional Entry	Valid Values: Yes, No
Political Special Appointment?	Optional Entry	Valid Values: Yes, No
Eligible for Compressed Workweek?	Default from Job Code	n/a
Eligible for Telework?	Default from Job Code	n/a
Essential Personnel?	Default from Job Code	n/a
Job Sharing?	Optional Entry	Valid Values: Yes, No
High Risk Job?	Default from Job Code	n/a
Drug Sensitive Designation?	Default from Job Code	n/a
Eligible for Recruitment Bonus?	Default from Job Code	n/a
Eligible for Retention Bonus?	Default from Job Code	n/a
Eligible for Shift Differential?	Default from Job Code	n/a
Criminal Background Check Required?	Default from Job Code	n/a
Part of Non-Competitive Promotion?	Default from Job Code	n/a
Part of Vacancy Downgrade Series?	Default from Job Code	n/a
NCP or Downgrade Series	Default from Job Code	n/a
Bargaining Status?	Required Entry	Valid Values: Yes, No
Bargaining Unit	Default from Job Code	n/a
Benchmark Class?	Optional Entry	Valid Values: Yes, No
Benchmark Position Description	Optional Entry	See Special Fields/Page Rules below
Pension Plan	Default from Job Code	n/a
Service Category	Default from Job Code	n/a
Work Area	Default from Job Code	n/a
Job Family	Default from Job Code	n/a

Special Field/Page Rules:

Field	Business Requirements
Reason for Position Add/Change	The system shall require the selection of a value from a list of valid values that includes: - New - Correction - Modification
Position Type	The system shall require the selection of a value from a list of valid values that includes: - Contractual - Permanent - Temporary - Volunteer - Intern
Authorized %	The system shall require the entry of a numeric value between .01 and 1.00.

Field	Business Requirements
Authorized By	The system shall require the selection of a value from a list of valid values that includes: Valid Values: 01 - General Assembly 02 – Board of Public Works - Within the Rule 03 – Board of Public Works - Outside the Rule 04 – Board of Public Works – Other 05 – Position Control 08 – Local Health 12 – Maryland Automobile Insurance Fund 18 – Consists of: Local, Board of Election Laws, State Administrative Board of Elections, Maryland Food Center Authority, Injured Workers Insurance Fund, Maryland Stadium Authority 20 – Agency - Temporary Employees 22 – Agency – Contractual Worker 24 – Agency – Volunteer/Intern/Vendor
Allocated Headcount	The system shall require the entry of a number.
Actual Headcount	The system shall default this field based on the Allocated Headcount in comparison with the actual occupancy of the Position.
Budgeted Position?	The system shall default this field to No since the Position is not being added by DBM Position Control.
Job Code (Classification)	The system shall require the selection of a Job Code from a list of valid values that are Active on the Effective Date of the Position.
Job Code Title (Classification Title)	The system shall default the Job Code Title from the Job Code.
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	The system shall require the selection of a value from a list of valid values that are Active on the Effective Date of the Position.
Location	The system shall provide the ability to select a value from a list of valid values that are Active on the Effective Date of the Position.
Funding Type	The system shall require the selection of a value from a list of valid values that includes: 01 - General 03 – Special 05 – Federal 07 – Non-Budgeted 09 – Reimbursable 13 – Enterprise 40 – Current - Unrestricted 43 – Current – Restricted 49 – Agency Fund for Higher Education 99 – No Funding The system shall allow for the entry of up to 5 Funding Sources for a Position.
Funding %	The system shall require the entry of a Funding % for each designated Funding Source. The system shall ensure the sum of all entered Funding % total 100%.
Position Reports To	The system shall require the selection of a Position Number value from a list of valid values that are Active on the Effective Date of the Position.
Benchmark Position Description	The system shall provide the ability to attach a Word or PDF

Field	Business Requirements
	document that provides the Benchmark Position Description.

The following steps will be executed by the Agency Budget/Finance Office:

Notification: Temporary/Volunteer/Intern/Non-Budgeted Permanent PIN Request: (Step 2): The system shall generate a workflow notification to the Agency Budget/Finance Office that there is a request for a temporary, volunteer, intern or non-budgeted permanent PIN for review.

Review/Modify Temporary/Volunteer/Intern/Non-Budgeted Permanent PIN Request Online: (Step 3): The system shall provide the ability for the Agency Budget/Finance Office to review the temporary, volunteer, intern or non-budgeted permanent PIN request online, modify the Authorized % if necessary and add the appropriation code.

The system shall offer at a minimum the following fields on the review page:

Field	Access Mode
Effective Date of Position	Viewable
Reason for Position Add/Change	Viewable
Update Employee w/Change?	Viewable
Status	Viewable
Position Status	Viewable
Position Type	Viewable
Headcount Status	Viewable
Authorized %	Modifiable
Authorized By	Viewable
Allocated Headcount	Viewable
Actual Headcount	Viewable
Job Code (Classification)	Viewable
Job Code Title (Classification Title)	Viewable
Position Title	Viewable
FLSA Status	Viewable
Budgeted Position?	Viewable
Key Position?	Viewable
Regular/Temporary	Viewable
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	Modifiable
Location	Modifiable
Funding Type	Viewable
Funding %	Viewable
Position Reports To	Viewable
FT/PT	Viewable
Salary Plan	Viewable
Salary Schedule	Viewable
Standard Hours	Viewable
Special Appointment?	Viewable
Political Special Appointment?	Viewable
Eligible for Compressed Workweek?	Viewable
Eligible for Telework?	Viewable
Essential Personnel?	Viewable
Job Sharing?	Viewable

Field	Access Mode
High Risk Job?	Viewable
Drug Sensitive Designation?	Viewable
Eligible for Recruitment Bonus?	Viewable
Eligible for Retention Bonus?	Viewable
Eligible for Shift Differential?	Viewable
Criminal Background Check Required?	Viewable
Part of Non-Competitive Promotion?	Viewable
Part of Vacancy Downgrade Series?	Viewable
NCP or Downgrade Series	Viewable
Bargaining Status?	Viewable
Bargaining Unit	Viewable
Benchmark Class?	Viewable
Benchmark Position Description	Viewable
Pension Plan	Viewable
Service Category	Viewable
Work Area	Viewable
Job Family	Viewable
Requested By	Viewable
Requested Date	Viewable

Approve Temporary/Volunteer/Intern/Non-Budgeted Permanent PIN? (Step 4): The Agency Budget/Finance Office will decide if they approve the temporary, volunteer, intern or non-budgeted permanent PIN.

Enter Online Approval: (Step 5): The system shall provide the ability for the Agency Budget/Finance Office to indicate online they 'approve' the request. If the request is approved, the system shall route the request to the Agency Appointing Authority for review. (Step 7)

Enter Denial Online w/Reason for Denial: (Step 6): The Agency Budget/Finance Office shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to the Agency HR letting them know the request has been denied. (Step 22)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Insufficient Budget

If the request is approved by the Agency Budget/Finance Office, the request will be routed to the Agency Appointing Authority for review:

Notification: Temporary/Volunteer/Intern/Non-Budgeted Permanent PIN Request: (Step 7): The system shall generate a workflow notification to the Agency Appointing Authority that there is a request for a temporary, volunteer, intern or *non-budgeted* permanent PIN for review.

Review Temporary/Volunteer/Intern/Non-Budgeted Permanent PIN Request Online: (Step 8): The system shall provide the ability for the Agency Appointing Authority to review the temporary, volunteer, intern or *non-budgeted* permanent PIN request online.

The system shall offer at a minimum the following fields on the review page:

Field	Access Mode
Effective Date of Position	Viewable
Reason for Position Add/Change	Viewable
Update Employee w/Change?	Viewable
Status	Viewable
Position Status	Viewable
Position Type	Viewable
Headcount Status	Viewable
Authorized %	Viewable
Authorized By	Viewable
Allocated Headcount	Viewable
Actual Headcount	Viewable
Job Code (Classification)	Viewable
Job Code Title (Classification Title)	Viewable
Position Title	Viewable
FLSA Status	Viewable
Budgeted Position?	Viewable
Key Position?	Viewable
Regular/Temporary	Viewable
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	Viewable
Location	Viewable
Funding Type	Viewable
Funding %	Viewable
Position Reports To	Viewable
FT/PT	Viewable
Salary Plan	Viewable
Salary Schedule	Viewable
Standard Hours	Viewable
Special Appointment?	Viewable
Political Special Appointment?	Viewable
Eligible for Compressed Workweek?	Viewable
Eligible for Telework?	Viewable
Essential Personnel?	Viewable
Job Sharing?	Viewable
High Risk Job?	Viewable
Drug Sensitive Designation?	Viewable
Eligible for Recruitment Bonus?	Viewable
Eligible for Retention Bonus?	Viewable
Eligible for Shift Differential?	Viewable
Criminal Background Check Required?	Viewable
Part of Non-Competitive Promotion?	Viewable
Part of Vacancy Downgrade Series?	Viewable
NCP or Downgrade Series	Viewable
Bargaining Status?	Viewable
Bargaining Unit	Viewable
Benchmark Class?	Viewable

Field	Access Mode
Benchmark Position Description	Viewable
Pension Plan	Viewable
Service Category	Viewable
Work Area	Viewable
Job Family	Viewable
Requested By	Viewable
Requested Date	Viewable
Approved By	Viewable
Approved Date	Viewable

Approve Temporary/Volunteer/Intern/Non-Budgeted Permanent PIN? (Step 9): The Agency Appointing Authority will decide if they approve the temporary, volunteer, intern or non-budgeted permanent PIN.

Enter Online Approval: (Step 10): The system shall provide the ability for the Agency Appointing Authority to indicate online they 'approve' the request.

Enter Denial Online w/Reason for Denial: (Step 11): The Agency Appointing Authority shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to the Agency HR letting them know the request has been denied. (Step 22)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Insufficient Budget

If the request is approved by the Agency Appointing Authority, the following will occur:

Is the PIN Permanent: (Step 12): The system shall evaluate the Position Type to determine if the request PIN is a *non-budgeted* Permanent PIN.

SPS Updated: New PIN Created as Approved: (Step 19): If the PIN request was flagged as Temporary, Volunteer or Intern, the system shall create the new Position based on the request details and set the Position Status to *Approved*.

When the Position is created, the system shall alert Agency HR via a worklist notification that the Position has been created and is ready for use. (Step 21)

SPS Updated: New PIN Created as Proposed: (Step 13): If the PIN request was flagged as Permanent, the system shall create the new Position based on the request details and set the Position Status to *Proposed*.

When the Position is created, the system shall alert DBM Classification via a worklist notification that the Position has been created and is ready for review. (Step 14)

Review Permanent PIN Request: (Step 15): After DBM Classification receives the worklist notification they will review the request.

Approve PIN? (Step 16): DBM Classification will decide if they approve the assigned Job Code and associated salary level of the Permanent PIN as defined.

Enter Online Approval: (Step 17): The system shall provide the ability for DBM Classification to indicate online they 'approve' the request.

If the request is approved, the system shall:

> ➢ Update the Position Status from Proposed to Approved. (Step 19)
> ➢ Alert Agency HR via a worklist notification that the Permanent PIN request has been approved and the PIN is ready for assignment. (Step 21)

Enter Denial Online w/Reason for Denial: (Step 18): DBM Classification shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to the Agency HR letting them know the request has been denied. (Step 22)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Insufficient Budget

HOBO Extract: (Step 20): The system shall exclude temporary, volunteer, intern and *non-budgeted* permanent workers from the HOBO extract for *budgeted* Agencies.

AdHoc Report: Temporary, Volunteer, Intern & Non-Budgeted Permanent PIN's: (Step 23): The system shall provide a report that shows all of the Position Numbers (PIN's) where the Position Type = Temporary, Volunteer, Intern or *Non-Budgeted* Permanent. The report should offer input parameters that include: Effective Date Range, Position Type, Budgeted/Non-Budgeted and Agency.

PIN Creation – Non-Position Control Agencies

Associated Process Flow: PC0302 – PIN Creation - Non-Position Control Agencies

As discussed in the opening portion of this document, some State agencies have independent authority and are considered *non-budgeted agencies.* (Refer to Appendix B for a list of budgeted and non-budgeted agencies.) The non-budgeted agencies have full control to create Positions as desired without approval from DBM Position Control.

The proposed future state design is to allow the non-budgeted Agencies full access to create, maintain and abolish Positions in the SPS system. The creation of these Position Numbers will route via workflow to Agency individuals for review and approval.

The proposed workflow routing includes:

- ❖ Initiator/Requestor: Agency HR
- ❖ Review/Approval Level 1:   Agency Budget/Finance Office
- ❖ Review/Approval Level 2:   Agency Appointing Authority

PIN Creation – Non-Budgeted Agencies Events/Steps:

Initiate PIN Request: (Step 1): The system shall provide Agency HR with an online page that allows them to initiate a request for the creation of a Position Number (PIN). The online page shall require the completion of all Position data elements required to create the Position and have it be assignable.

The system shall offer at a minimum the following fields on the request page:

Field	Access Mode	Business Requirements
Effective Date of Position	Required Entry	n/a
Reason for Position Add/Change	Optional Entry	See Rules Below
Update Employee w/Change?	Optional Entry	
Status	Required Entry	Valid Values: Active, Inactive
Position Status	Required Entry	Valid Values: Approved, Proposed, Frozen, Hiring Freeze, Abolished
Position Type	Required Entry	See Rules Below
Headcount Status	Defaulted by System	Valid Values: Filled, Vacant
Authorized %	Required Entry	See Rules Below
Authorized By	Required Entry	See Rules Below
Allocated Headcount	Required Entry	See Rules Below
Actual Headcount	Defaulted by System	n/a
Job Code (Classification)	Required Entry	See Rules Below
Job Code Title (Classification Title)	Default from Job Code	n/a
Position Title	Optional Entry	n/a
FLSA Status	Default from Job Code	n/a
Budgeted Position?	Defaulted	See Rules Below
Key Position?	Optional Entry	Valid Values: Yes, No
Regular/Temporary	Optional Entry	n/a
Appropriation Code (Financial Agency +	Required Entry	See Special Fields/Page Rules below

Field	Access Mode	Business Requirements
Financial Unit + Program + Subprogram)		
Location	Optional Entry	See Special Fields/Page Rules below
Funding Type	Optional Entry	See Special Fields/Page Rules below
Funding %	Optional Entry	See Special Fields/Page Rules below
Position Reports To	Required Entry	See Special Fields/Page Rules below
FT/PT	Required Entry	n/a
Salary Plan	Default from Job Code	n/a
Salary Schedule	Default from Job Code	n/a
Standard Hours	Required Entry	n/a
Special Appointment?	Optional Entry	Valid Values: Yes, No
Political Special Appointment?	Optional Entry	Valid Values: Yes, No
Eligible for Compressed Workweek?	Default from Job Code	n/a
Eligible for Telework?	Default from Job Code	n/a
Essential Personnel?	Default from Job Code	n/a
Job Sharing?	Optional Entry	Valid Values: Yes, No
High Risk Job?	Default from Job Code	n/a
Drug Sensitive Designation?	Default from Job Code	n/a
Eligible for Recruitment Bonus?	Default from Job Code	n/a
Eligible for Retention Bonus?	Default from Job Code	n/a
Eligible for Shift Differential?	Default from Job Code	n/a
Criminal Background Check Required?	Default from Job Code	n/a
Part of Non-Competitive Promotion?	Default from Job Code	n/a
Part of Vacancy Downgrade Series?	Default from Job Code	n/a
NCP or Downgrade Series	Default from Job Code	n/a
Bargaining Status?	Required Entry	Valid Values: Yes, No
Bargaining Unit	Default from Job Code	n/a
Benchmark Class?	Optional Entry	Valid Values: Yes, No
Benchmark Position Description	Optional Entry	See Special Fields/Page Rules below
Pension Plan	Default from Job Code	n/a
Service Category	Default from Job Code	n/a
Work Area	Default from Job Code	n/a
Job Family	Default from Job Code	n/a

Special Field/Page Rules:

Field	Business Requirements
Reason for Position Add/Change	The system shall require the selection of a value from a list of valid values that includes: - New - Correction - Modification
Position Type	The system shall require the selection of a value from a list of valid values that includes: - Contractual - Permanent - Temporary - Volunteer - Intern
Authorized %	The system shall require the entry of a numeric value between .01

Field	Business Requirements
	and 1.00.
Authorized By	The system shall require the selection of a value from a list of valid values that includes: Valid Values: 01 - General Assembly 02 – Board of Public Works - Within the Rule 03 – Board of Public Works - Outside the Rule 04 – Board of Public Works – Other 05 – Position Control 08 – Local Health 12 – Maryland Automobile Insurance Fund 18 – Consists of: Local, Board of Election Laws, State Administrative Board of Elections, Maryland Food Center Authority, Injured Workers Insurance Fund, Maryland Stadium Authority 20 – Agency - Temporary Employees 22 – Agency – Contractual Worker 24 – Agency – Volunteer/Intern/Vendor
Allocated Headcount	The system shall require the entry of a number.
Actual Headcount	The system shall default this field based on the Allocated Headcount in comparison with the actual occupancy of the Position.
Budgeted Position?	The system shall default this field to No since the Position is not being added by DBM Position Control.
Job Code (Classification)	The system shall require the selection of a Job Code from a list of valid values that are Active on the Effective Date of the Position.
Job Code Title (Classification Title)	The system shall default the Job Code Title from the Job Code.
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	The system shall require the selection of a value from a list of valid values that are Active on the Effective Date of the Position.
Location	The system shall provide the ability to select a value from a list of valid values that are Active on the Effective Date of the Position.
Funding Type	The system shall require the selection of a value from a list of valid values that includes: 01 - General 03 – Special 05 – Federal 07 – Non-Budgeted 09 – Reimbursable 13 – Enterprise 40 – Current - Unrestricted 43 – Current – Restricted 49 – Agency Fund for Higher Education The system shall allow for the entry of up to 5 Funding Sources for a Position.
Funding %	The system shall require the entry of a Funding % for each designated Funding Source. The system shall ensure the sum of all entered Funding % total 100%.
Position Reports To	The system shall require the selection of a Position Number value from a list of valid values that are Active on the Effective Date of the Position.
Benchmark Position Description	The system shall provide the ability to attach a Word or PDF

Field	Business Requirements
	document that provides the Benchmark Position Description.

The following steps will be executed by the Agency Budget/Finance Office and the Agency Appointing Authority in successive order:

Notification: PIN Request: (Steps 2, 7): The system shall generate a workflow notification to the reviewer that there is a request for a temporary, volunteer or intern PIN for review.

Review/Modify PIN Request Online: (Steps 3, 8): The system shall provide the ability for the reviewer to review the PIN request online. The Agency Budget/Finance Officer shall have the ability to modify the Authorized % if necessary and add the appropriation code.

The system shall offer at a minimum the following fields on the request review page:

Field	Access Mode *Agency Budget/Finance*	Access Mode *Agency Appointing Authority*
Effective Date of Position	Viewable	Viewable
Reason for Position Add/Change	Viewable	Viewable
Update Employee w/Change?	Viewable	Viewable
Status	Viewable	Viewable
Position Status	Viewable	Viewable
Position Type	Viewable	Viewable
Headcount Status	Viewable	Viewable
Authorized %	Modifiable	Viewable
Authorized By	Viewable	Viewable
Allocated Headcount	Viewable	Viewable
Actual Headcount	Viewable	Viewable
Job Code (Classification)	Viewable	Viewable
Job Code Title (Classification Title)	Viewable	Viewable
Position Title	Viewable	Viewable
FLSA Status	Viewable	Viewable
Budgeted Position?	Viewable	Viewable
Key Position?	Viewable	Viewable
Regular/Temporary	Viewable	Viewable
Appropriation Code (Financial Agency + Financial Unit + Program + Subprogram)	Modifiable	Viewable
Location	Modifiable	Viewable
Funding Type	Viewable	Viewable
Funding %	Viewable	Viewable
Position Reports To	Viewable	Viewable
FT/PT	Viewable	Viewable
Salary Plan	Viewable	Viewable
Salary Schedule	Viewable	Viewable
Standard Hours	Viewable	Viewable
Special Appointment?	Viewable	Viewable
Political Special Appointment?	Viewable	Viewable
Eligible for Compressed Workweek?	Viewable	Viewable
Eligible for Telework?	Viewable	Viewable
Essential Personnel?	Viewable	Viewable
Job Sharing?	Viewable	Viewable

Field	Access Mode *Agency Budget/Finance*	Access Mode *Agency Appointing Authority*
High Risk Job?	Viewable	Viewable
Drug Sensitive Designation?	Viewable	Viewable
Eligible for Recruitment Bonus?	Viewable	Viewable
Eligible for Retention Bonus?	Viewable	Viewable
Eligible for Shift Differential?	Viewable	Viewable
Criminal Background Check Required?	Viewable	Viewable
Part of Non-Competitive Promotion?	Viewable	Viewable
Part of Vacancy Downgrade Series?	Viewable	Viewable
NCP or Downgrade Series	Viewable	Viewable
Bargaining Status?	Viewable	Viewable
Bargaining Unit	Viewable	Viewable
Benchmark Class?	Viewable	Viewable
Benchmark Position Description	Viewable	Viewable
Pension Plan	Viewable	Viewable
Service Category	Viewable	Viewable
Work Area	Viewable	Viewable
Job Family	Viewable	Viewable

Approve PIN? (Steps 4, 9): The reviewer will decide if they approve the PIN.

Enter Online Approval: (Steps 5, 10): The system shall provide the ability for the reviewer to indicate online they 'approve' the request.

If the request is approved by the Agency Appointing Authority, (Step 10) the system shall:

 ➢ Create the new Position in the system based on the attributes and Effective Date identified on the request. (Step 12)
 ➢ Alert Agency HR via a worklist notification that the Position has been approved and created in the system. (Step 14)

Enter Denial Online w/Reason for Denial: (Steps 6, 11): The reviewer shall have the ability to indicate online they 'deny' the transaction. The user should be required to select a *Reason for Denial* from a list of valid values (specified below) in addition to having the option to use a free-form text area to further explain a denial reason. If a denial occurs, the system shall send a workflow notification to the Agency HR letting them know the request has been denied. (Step 15)

The system shall provide Denial Reasons in a drop-down list of valid values that include:

Denial Reasons
Incorrect Information
Insufficient Budget

HOBO Extract: (Step 13): The system shall provide the ability to exclude non-budgeted Agency Positions from the HOBO extract.

AdHoc Report: PIN's: (Step 16): The system shall provide a report that shows all of the Position Numbers (PIN's) and their associated attributes. The report should offer input parameters that include: Position Type, Effective Date Range, and Agency.

Position Number (PIN) Maintenance

Associated Process Flow: PC0400 – PIN Maintenance

When a Position Number (PIN) is vacated, the State resets the Salary Step on the Position to Step 0. The State does not want someone to have to manually remember to reset the Salary Step on a *Vacant* Position.

In addition, when an Overlap PIN is no longer in an overlap situation, the State requires the Position be designated back to the original Authorized %/Allocated Headcount. Like the Vacate scenario, the State does not want someone to have to manually update the Position to ensure no over-allocation of resources.

And, when Temporary or Contractual Positions are vacated, the Position is not re-used, so it should automatically be *inactivated* during the maintenance process.

The proposed future state design includes a daily system maintenance process that would perform all of the necessary Position maintenance updates.

Position Number (PIN) Maintenance Events/Steps:

Reset Vacant PIN's to Salary Step 0: (Step 1): This process would identify all Vacant Positions where the Salary Step <> and update the Salary Step associated with the Position to 0.

Reset Allocated Headcount on Overlap PIN's: (Step 2): This process would identify all of the budgeted Positions that previously had an Overlap and update the Position to remove the overlap option.

Inactivate Vacant Temporary Positions: (Step 3): This process would identify all of the Vacant Positions where the Position Type = Temporary Worker and update the Position to an *Inactive* status.

Inactivate Vacant Contractual Positions: (Step 4): This process would identify all of the Vacant Positions where the Position Type = Contractual Worker and update the Position to an *Inactive* status.

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:

- ❖ Processes that eliminate the reconciliation task associated with the Position load to HOBO.
- ❖ Utilization of workflow to route *budgeted* Position modification requests for review and/or approval before modifications are made.
- ❖ Utilization of online edits and security to ensure that key Position Control data elements cannot be modified by anyone other than DBM Position Control for budgeted Positions.
- ❖ Utilization of workflow to route *non-budgeted* Agency Position requests for review and/or approval before creation.
- ❖ Utilization of workflow to route *contractual worker* Position requests for review and/or approval before creation.
- ❖ Utilization of workflow to route *temporary worker, volunteer and intern* Position requests for review and/or approval before creation.
- ❖ Include salary forecasting in the system extract for annual HOBO budgeting.
- ❖ <u>Better on-demand reporting capability that includes:</u>
  - Reports to identify Vacant Positions
  - Reports to identify Position history
  - Reports to identify all budgeted Positions
  - Reports to identify all non-budgeted Positions
  - Reports to identify Positions by Position Type
- ❖ Automated Position maintenance for Position cleanup tasks that currently require manual intervention.

E. Reference Pertinent Documents

The reference documents used in the preparation of this document include:

Pertinent Documentation	Link
	n/a

F. Legal Considerations

The following are links to State regulations, guidelines and requirements.

Referenced Item	Link
	n/a

G. Outstanding Issues

Issue Log Number	Outstanding Issue
224	What agencies use the Funding Types: 40 – Current - Unrestricted 43 – Current – Restricted

Issue Log Number	Outstanding Issue
	49 – Agency Fund for Higher Education Can we drop from the requirements? **[7/20/10]:** Per email from Daryl Barham, BCCC currently has ~450 PIN's linked to 40 and 43, St. Mary's College has 1 PIN linked to 40 and there are currently no PIN's linked to 49. Based on this information, we will leave these 3 values on the list for Funding Type valid values but will re-evaluate based on current PIN data when we get closer to configuration.

IV. Interfaces

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

The following interfaces will be inputs/outputs to the future process.

A. In-Bound

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

Interface Name	Description/Purpose	Source System/Vendor	Frequency	Transmission Method
HOBO Position Updates	Update SPS with HOBO position creations, updates and abolishments.	HOBO	Periodic	TBD

B. Out-Bound

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

Interface Name	Description/Purpose	Receiving System/Vendor	Frequency	Transmission Method
HOBO Extract	Extract all selected Positions with associated incumbent or vacant position data. This extract will need to include Salary Forecast information. The extract shall provide parameters that allow for the selection based on Position attributes, such as: Budgeted/Non-Budgeted Effective Date Position Type Agency	HOBO	Periodic	TBD
HOBO Extract (Contractuals)	There may be a need to establish a separate extract for Contractual Workers depending on the data elements required to capture.	HOBO	Periodic	TBD

V. Forms

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

Form Name	Agency/ Dept	Input/ Output	Automated/ Manual	Purpose	Fields/Content
n/a					

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
Vacant Positions	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify all of the Vacant Positions with input parameters for budgeted/non-budgeted, Agency and Effdt		
Job Codes/Job Titles	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify all of the Job Codes and their associated Job Code Titles.		
Budgeted Positions	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify all of the budgeted Positions with input parameters for Agency and Effdt		
Load Status Report	DBM Position Control	Interface Load Output	Provide a summary of the HOBO to SPS Position load.		
Positions	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify all of the Positions with input parameters for budgeted/non-budgeted, Active/Inactive, Position Status, Agency and Effdt		
Overlap Positions	DBM Position Control	AdHoc	Identify all of the budgeted Positions that currently have		

Report Name	Requestor	Frequency	Purpose	Contents	Routing/Users
	Agency HR Agency Budget/Fin		an FTE/Authorized % greater than budgeted with parameters to run by Agency		
History of a Position	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify all of the history associated with a specified Position Number with options to include incumbent history.		
Positions by Position Type	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify all of the Positions based on a user-specified Position Type with input parameters for budgeted/non-budgeted, Active/Inactive, Position Status, Agency and Effdt		
History of an Abolished Position	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify the history of a user-specified Abolished Position(s) including incumbent, Job Code and Bargaining Status data at the time of the abolition.		
Abolished Position(s) Currently Occupied	DBM Position Control Agency HR Agency Budget/Fin	AdHoc	Identify the Positions with a Position Status = Abolished that are Occupied with input parameters for Agency, Effdt. The report must include the Bargaining Status of the Position.		
Abolishments w/Employee History	DBM OPSB	AdHoc	Identify the resulting employee status (Transfer, Resignation, Retirement, etc.) for all of the Positions Abolished during a user-specified timeframe.		
HOBO Extract Report	DBM Position Control	AdHoc	Identify all of the selected Positions with associated incumbent or vacant position data. The report shall include Salary Forecast information included in the HOBO Extract interface. The report shall provide parameters that allow for the selection based on Position attributes, such as: Budgeted/Non-Budgeted Effective Date Position Type Agency		

VII. Databases/Spreadsheets

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

DB/Spreadsheet Name	Agency/ Dept	Input/ Output	Purpose
None.			

VIII. Data Conversion Considerations

A. Data that will be converted

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

Current Source	Type of Data	Source Years
HOBO	Positions	All current/active Positions
310	Positions	All current/active Positions

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
310	Positions	All abolished /Non-Active Positions