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State of Oregon: HRIS Project

Enterprise Readiness Assessment Consulting Services

Gap Analysis

Deliverable 1

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Gap Analysis

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Executive Summary

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This document contains the results of the gap analysis activities performed for the Human Resource Information System (HRIS) project. It contains a high-level set of as-is, marked-up, and could-be diagrams for each of the business process areas. The as-is process describes the current business process at a high-level. The marked-up version shows what steps in the process could be eliminated or automated through the implementation of a new HRIS, as well as indicates where standardization in the process is necessary. The could-be diagrams are the initial recommendations for the future business processes. The business process areas are shown in Exhibit 1 below.

Exhibit 1: Business Process Area and Flows

Business Area	Description	Process Flows
Employee processing (HR1)	Employee processing includes the data entry and processing of an employee's personal information, including an employee's personal data and employment activity.	• HR1.01-New employee
Position data and budgeting (HR2)	The position data and budgeting management includes the primary business processes of budgeting and staffing and the control tool for managing the state's diverse workforce.	• HR2.01-Position budgeting for the new biennium • HR2.02-Budget management-monthly • HR2.03-Budget management-allotment • HR2.04-Budget management-re-projection/rebalance
Personnel administration (HR3)	Personnel administration includes the primary business process of maintaining history by personnel actions, with the effective date of the change stored.	• HR3.01-Job changes (within agency) • HR3.02-Job rotation and/or work out of class • HR3.03-Workforce management • HR3.04-Americans with Disabilities Act (ADA) • HR3.05-Pay changes • HR3.06-Administer separations • HR3.07-Temporary extensions •
Classification and compensation (HR4)	The classification and compensation covers classification and compensation policies for the state, based on a diverse set of criteria,	• HR4.01-Administer compensation plans • HR4.02-Administer reallocations

Business Area	Description	Process Flows
	and ensures that individual employees are adequately and properly compensated and correctly classified.	• HR4.03-Salary setting processes • HR4.04 Classification
Labor relations (HR5)	The labor relations business area covers the individual bargaining units at the state; the American Federation of State, County and Municipal Employees (AFSCME) and the Service Employees International Union (SEIU). The business processes include how to record and manage how each bargaining unit's rules impact compensation, grievances, and disciplinary actions. It also describes the business process to record, manage, and act on employee or union-filed grievances and to record, manage, and act on supervisor or manager-filed disciplinary actions.	• HR5.01-Manage grievances-management service • HR5.02-Labor relations • HR5.03-Progressive discipline • HR5.04-Management and service discipline • HR5.05-Investigations • HR5.06-Manage grievances-AFSCME, SEIU
Performance management (HR6)	The performance management business areas are meant to enhance the state's ability to more clearly define performance goals and expectations and to more effectively manage the performance appraisal process for individual employees.	• HR6.01-Performance evaluations • HR6.02-Performance management
Self-service (HR7)	The self-service capabilities are expected to cross all functional areas and to support both employees and managers.	• HR7.01-Employee self-service • HR7.02-Self-service performance management • HR7.03-Self-service training and development
Health and safety (HR8)	The health and safety business area covers recording, managing, monitoring, and reporting on a wide variety of health issues, safety concerns, and incidents, including compliance with federal and state safety-related requirements.	• HR8.01-Drug Testing • HR8.02-Manage workers' compensation claims • HR8.03-Safety
Leave management (HR9)	Leave management will encompass the Family Medical Leave Act (FMLA) or the Oregon Family Leave Act (OFLA), workers' compensation, military leave, modified duty, hardship, and other types of leave.	• HR9.01-Leave management-FMLA/OFLA • HR9.02-Administer employee status on leave • HR9.03-Leave management-non FMLA/OFLA • HR9.04-Leave management–hardship

Business Area	Description	Process Flows
		• HR9.05-Leave management-military
Reporting and data modeling (HR10)	Addresses reporting and data modeling tools to allow users to design comprehensive, analytical, and summary reports that can be exported to an Excel spreadsheet or other application for further manipulation and analysis.	• HR10.1-Enterprise reporting
Training (HR11)	The training and development features are meant to record, track, monitor, and report on employee training and development. A key function is to track, manage, and report certifications, licenses, and training needed for a position.	• HR11.01-Employee training, tracking, and execution

In addition, the process summary documents the gap analysis that corresponds to each set of the business process diagrams. Each set of process flows has a corresponding process summary to identify key attributes for the gap analysis.

- Purpose and objective: A brief overview of the purpose and key objectives of the process
- Description of process: A brief description of the process
- Process triggers: Identifies the events or documents needed to begin execution of the process (e.g., a month comes to an end, an employee has an injury, et cetera)
- Inputs: List of data, documents, or another process activity that is required to begin or continue the process
- Activities: Identifies each process step and who performs the steps
- Method: Identifies if the process is automated or completed manually
- Outputs/work products: A list of documents, completed activities, et cetera, that result from the end of the process
- Laws, regulations, and policies that govern process: Identifies the laws, regulations, and policies that govern the process
- Strengths: List of what works well with the process
- Weaknesses: Issues and problems with the current process
- Opportunities for improvement: Areas that could potentially improve the process
- Systems: Systems, tools, or software used to prepare or complete the process

The remainder of this document contains the process summaries, as-is, marked-up, and could be diagrams for each business process area.

I. Analysis Results

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A. Employee Processing

The following contains the process summary, as-is, marked-up, and the could-be diagrams for employee processing.

1. HR1.01 New Employee

This business area covers new employee processing.

a. HR1.01 New Employee process summaries

Below are the process summaries for the new employee−employee processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps for setting up a newly hired employee. This process creates the official personnel file with the employee's job duties and expectations, in addition to benefit and payroll information.
Process triggers	This process can start after a new hire/employee successfully completes the criminal history background check. It can also start with an existing employee who transfers to a new state agency.
Inputs	The inputs to this process include the following: • Personnel action (PA), I-9, and W4 forms • Background/criminal history check • Driving records • Employee questionnaire for self-identification (EEQ/AA) • Original, signed employment application • New employee orientation checklist • New employee orientation acknowledgement form • Conditions of employment form • Limited duration agreement • Under fill agreement • Records and privacy expectations • Public Employees' Benefit Board (PEBB) benefits forms
Activities	The following activities are being performed in this process: **Employee** • Receive new hire information from the manager, supervisor or

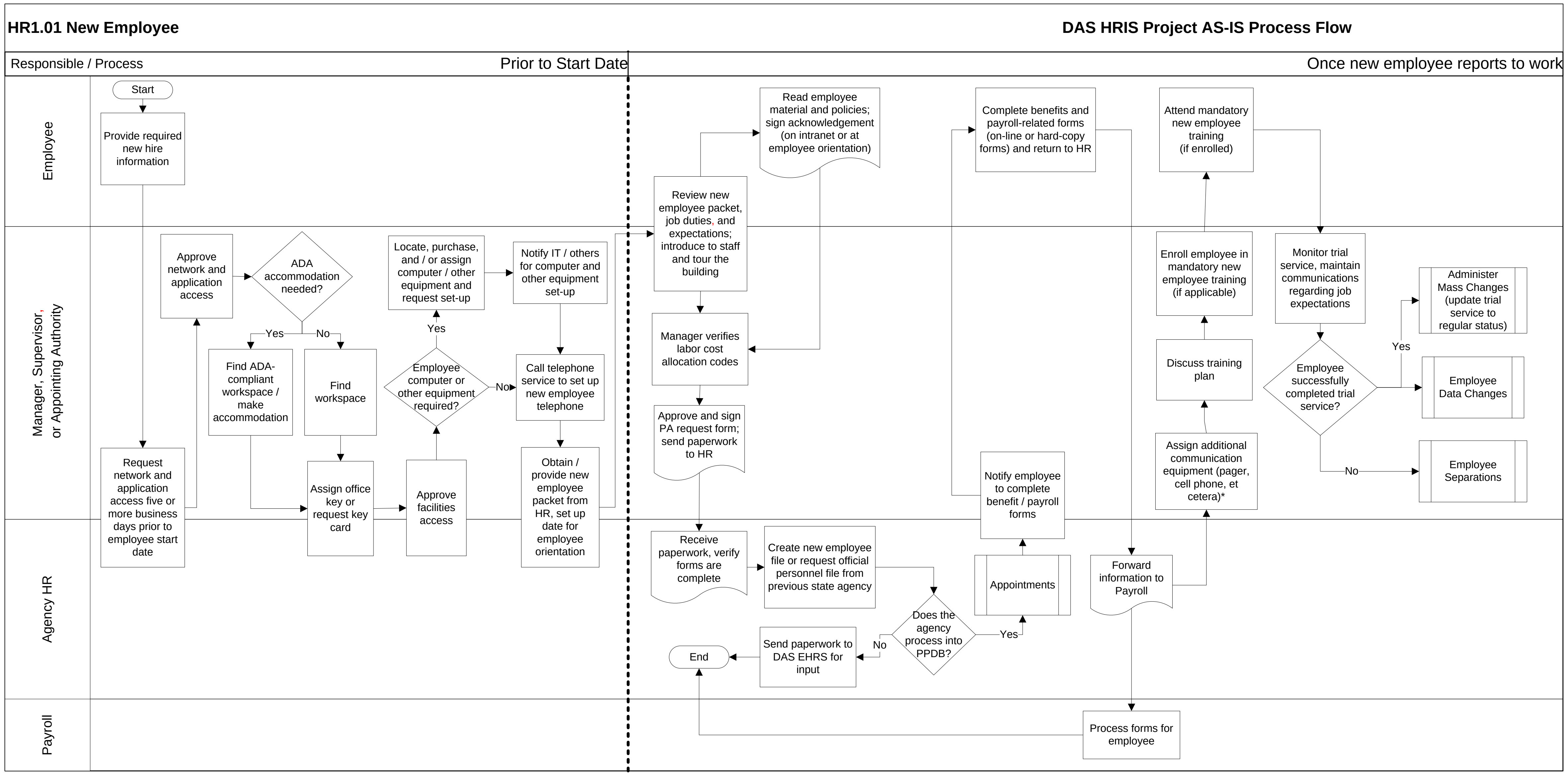
Process Step	Description
	human resources • Review new employee packet, job duties, and expectations; introduce to staff; and tour the building • Read employee material and policies and sign acknowledgement (on intranet or at employee orientation) • Complete benefits and payroll-related forms and return to human resources • Attend mandatory new employee training (if enrolled) **<u>Manager, supervisor, or appointing authority</u>** • Request network and application access five or more business days prior to employee start date • Approve network and application access • Determine if ADA accommodation is needed with agency human resources with agency HR • Find workspace; ADA-compliant workspace or make accommodation, if needed • Assign office key or request key card • Approve facilities access • Determine if a computer or other equipment is required • Locate, purchase, and/or assign computer/other equipment and request set-up • Notify information technology (IT)/others for computer and other equipment set-up • Call telephone service to set up new employee telephone • Obtain new employee packet from HR or from internal website and set up date for employee orientation • Review new employee packet, job duties, and expectations; introduce to staff • Tour the building with employee • Manager verifies labor cost allocation codes • Approve and sign the PA request form and send paperwork to human resources • Notify employee to complete benefit/payroll forms • Assign additional communication equipment (pager, cell phone, et cetera) • Discuss training plan • Enroll employee in mandatory new employee training, if applicable • Monitor trial service and maintain communications regarding job expectations • Determine if employee successfully completed trial service • Initiate the administer mass changes process to update trial service to regular status

Process Step	Description
	• Initiate the employee data changes process • Initiate the employee separations process **<u>Agency human resources</u>** • Request network and application access five or more business days prior to employee start date, if not completed by the manager, supervisor, or appointing authority • Assign office key or request key card, if not completed by the manager, supervisor, or appointing authority • Approve facilities access, if not completed by the manager, supervisor, or appointing authority • Provide new employee packet from human resources and set up date for employee orientation (if not completed by the manager or supervisor of appointing authority) • Receive paperwork and verify that forms are complete • Create new employee file or request official personnel file from previous state agency • Determine if the agency processes the personnel file into the Position and Personnel Data Base (PPDB) • Initiate the appointments process • Notify employee to complete benefit/payroll forms (note: notification can come from payroll) • Forward information to payroll and if applicable, benefit packet is forwarded • Send paperwork to DAS Enterprise Human Resources Services (EHRS) for input **<u>Payroll</u>** • Process forms for employee
Method	The process is performed manually, with inputs from other systems and outputs that feed into other systems.
Outputs/work products	The outputs of this process include the following: • Completed forms • Network identification (ID) • E-mail account • Employee personnel record created/updated • Employee information number (EIN) record created/updated • Payroll record created/updated • PEBB benefit elections • Computer security request form
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; state policy number 10.011.01 for employee personnel records; policy number 107.004.100 for transporting information assets; and policy number 50.020.10 for ADA

Process Step	Description
	and reasonable accommodation in employment
Strengths	Employment is contingent on criminal history check.
Weaknesses	Getting employee access prior to start date can take up to fifteen business days; locating a workspace; inability to store date and status of background check (complete and pass/fail); each agency has different requirements for storing information; forms are manually routed to payroll; inability to verify status/progress of employee's access; manually track forms/required documentation; inability to track and manage employee's licenses and certifications; and inability to track and manage assigned equipment
Opportunities for improvement	Identify and track timeline and delays in employee access; log available workspace and equipment; track date and status of background checks (complete and pass/fail); create standard requirements for storing information; process all employee forms in the system; automate the routing of employee information from completed forms, based on workflow; enable automated check list to manually track forms/required documentation; track and manage employee's licenses and certifications with effective/expiration dates; and track and manage assigned equipment
Systems	The following systems are used to prepare in this process: • Microsoft Outlook • Agency shadow systems like the Transportation Online Personnel Action System (ODOT) and Human Resource Management System (ODFW) • Active directory • Facilities • Agency Intranet • PEBB • PPDB • Public Employees Retirement System (PERS) • Payroll • SharePoint • NeoGov • iLearn or other learning management systems

b. HR1.01 New Employee as-is diagram

Below is the as-is diagram for the new employee–employee processing area.



Inputs
- Personnel Action (PA), I-9, and W4 forms
- Background / criminal history check
- Driving records
- Employee questionnaire for self identification (EEQ / AA)
- Original, signed employment application
- New employee orientation checklist
- New employee orientation acknowledgement form
- Conditions of employment form
- Limited duration agreement
- Underfill agreement
- Records and privacy expectations
- PEBB benefits forms

Outputs
- Completed forms
- Network ID
- E-mail account
- Employee personnel record created / updated
- Employee information number (EIN) record created / updated
- Payroll record created / updated
- PEBB benefits elections
- Computer security request form

Customers
- Employees
- Managers / Supervisors
- Human Resources
- Facilities
- IT Purchasing and Asset Management
- Personnel Action Processors
- Payroll

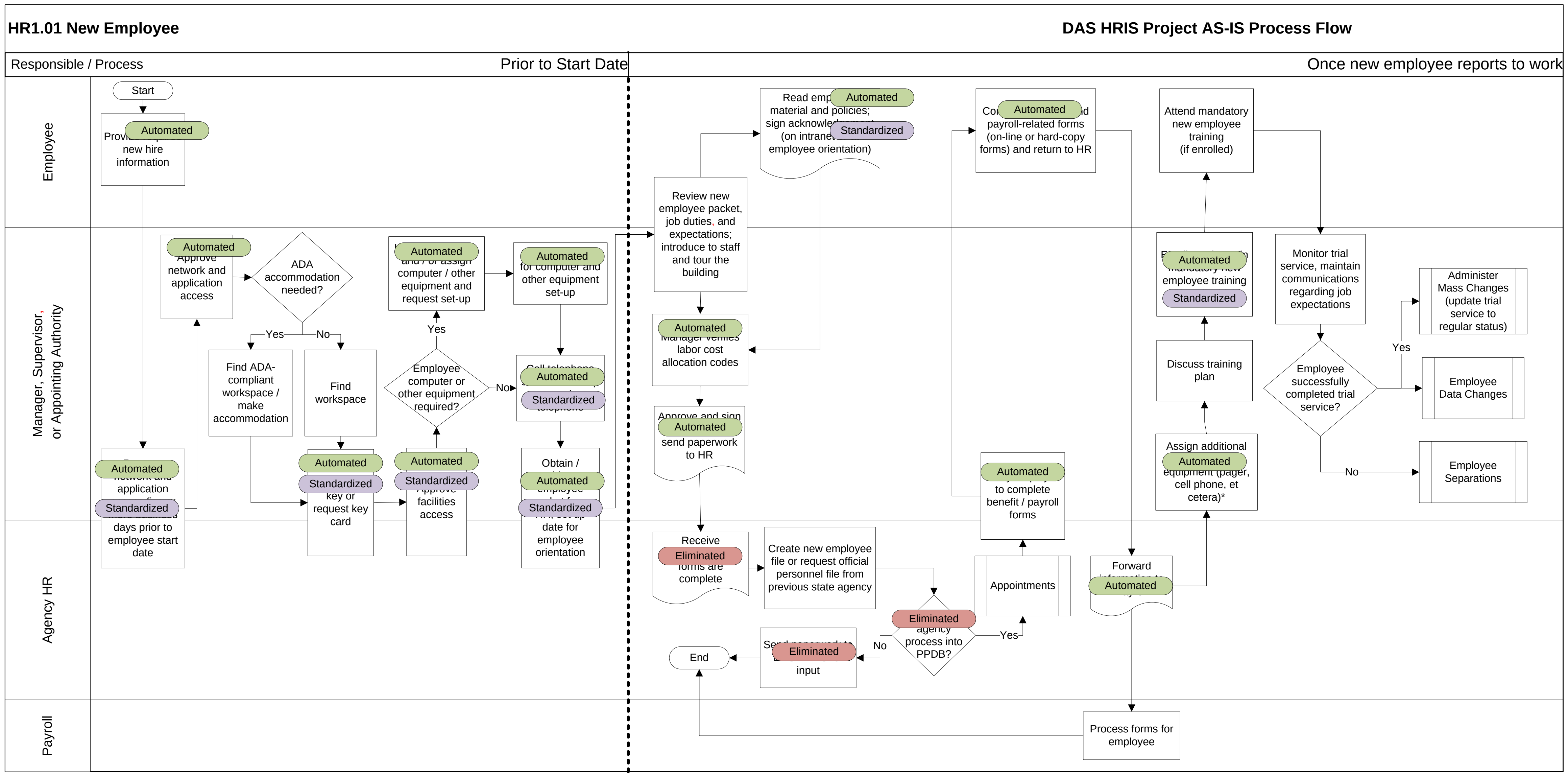
Systems/Interfaces
- Microsoft Outlook
- Transportation Online Personnel Action System (TOPAS-ODOT only)
- Active Directory
- Facilities
- Intranet (DHS)
- PEBB
- PPDB
- PERS
- Payroll
- SharePoint
- NeoGov
- iLearn or other LMS

If licenses / certifications are tracked in an Access database or spreadsheet, update with new employee's licenses / certification information

*If equipment is tracked in an Access database or spreadsheet, update the equipment assigned to the employee

c. HR1.01 New Employee marked-up diagram

Below is the marked-up diagram for the new employee–employee processing area.



Inputs
- Personnel Action (PA), I-9, and W4 forms
- Background / criminal history check
- Driving records
- Employee questionnaire for self identification (EEQ / AA)
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- New employee orientation checklist
- New employee orientation acknowledgement form
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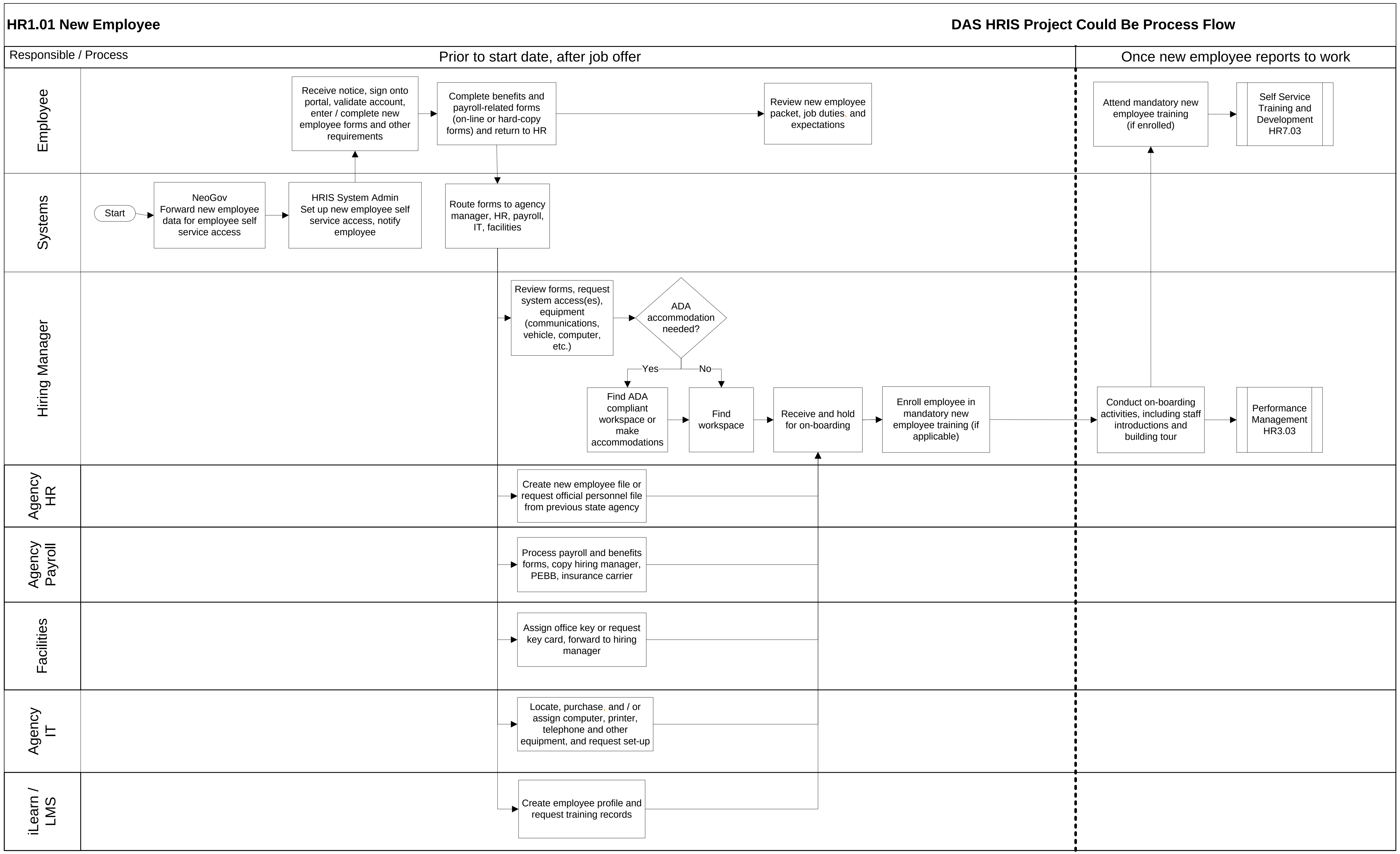
- PERS
- Payroll
- SharePoint
- NeoGov
- iLearn or other LMS

If licenses / certifications are tracked in an Access database or spreadsheet, update with new employee's licenses / certification information

*If equipment is tracked in an Access database or spreadsheet, update the equipment assigned to the employee

d. HR1.01 New Employee could-be diagram

Below is the could-be diagram for the new employee–employee processing area.



B. Position Data and Budgeting

The following contains the process summary, as-is, marked-up, and the could-be diagrams for position data and budgeting.

1. HR2.01 Position Budgeting for New Biennium

This business area covers position budgeting for the new biennium.

a. HR2.01 Position Budgeting for New Biennium process summaries

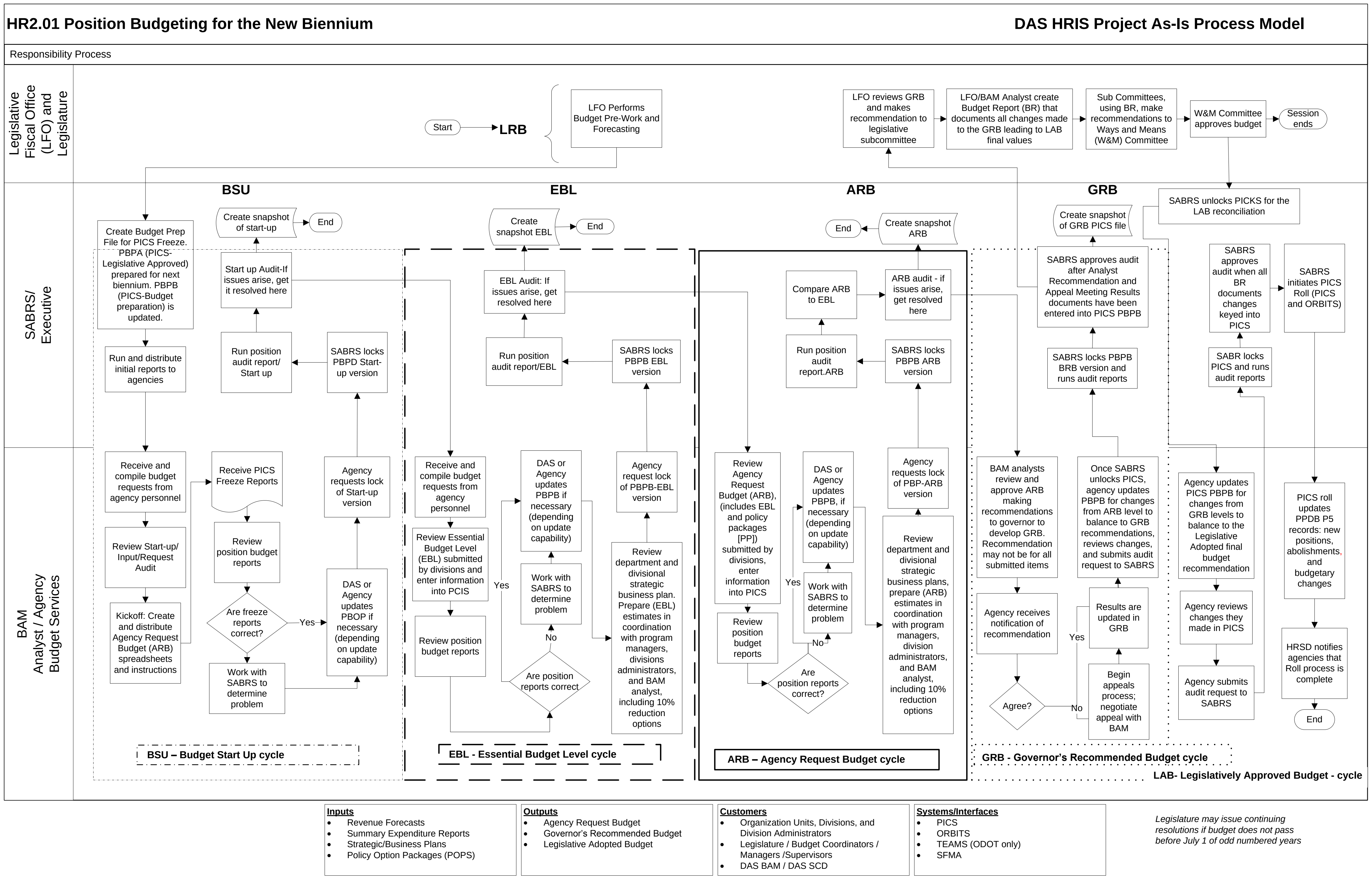
Below are the process summaries for the position budgeting for new biennium– position data and budgeting processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps for drafting, reviewing, and submitting the biennial budget requests, based on existing positions. The budgets submitted include the budget start-up, essential budget, agency request budget, governor's recommended budget, and the legislatively approved budget.
Process triggers	This process starts with the completion of budget pre-work and legislative fiscal office forecasting. The cycle occurs every two years.
Inputs	The inputs to this process include the following: • Revenue forecasts • Summary expenditure reports • Strategic/business plans • Policy option packages (POPs)
Activities	The following activities are being performed in this process: **Legislative Fiscal Office** • Performs budget pre-work and forecasting • Reviews governor's recommended budget • Develops recommendations for the legislature (Ways and Means Committee) **Statewide Audit and Budget Reporting Section (SABRS)** • Creates and distributes budget preparation worksheets, lists, and instructions for each iteration • Locks Position and Personnel Data Base (PPDB) and Position Information Control System (PICS) to create each budget version upon completion of agency and ODAS review • Audits each budget iteration and creates snapshots of each version **Budget and Management Division (BAM) analyst and agency budget services** • Receive and compile budget requests from each agency unit

Process Step	Description
	• Create agency budget request spreadsheets for individual units and distribute • Review and distribute all other budget versions for individual unit review • Work cooperatively to resolve issues and questions • Request system lock when each budget version is ready for submittal
Method	The process is performed manually, with data entry into and reporting from statewide personnel systems.
Outputs/work products	The outputs of this process include the following: • Agency request budget • Governor's recommended budget • Legislative adopted budget
Laws, regulations, and policies that govern process	Include, but not limited to section 18, article IV of the Oregon constitution
Strengths	The current systems track position data in detail and can create snapshots of the data at specified points in time.
Weaknesses	The process is paper-based, with manual transfer of data, review, and approval information. Version capture is static and relies on system copies at designated points in time.
Opportunities for improvement	Simultaneous development of multiple versions of budgets (i.e., what-if functionality); automated delivery of estimated/suggested budgets and automated workflow; and capture of change history
Systems	The following systems are used to prepare in this process: • ODAS Position Information Control System (PICS) • ODAS Oregon budget and information tracking system (ORBITS) • Transportation environment and management system (TEAMS) (ODOT only) • Statewide financial management application (SFMA)

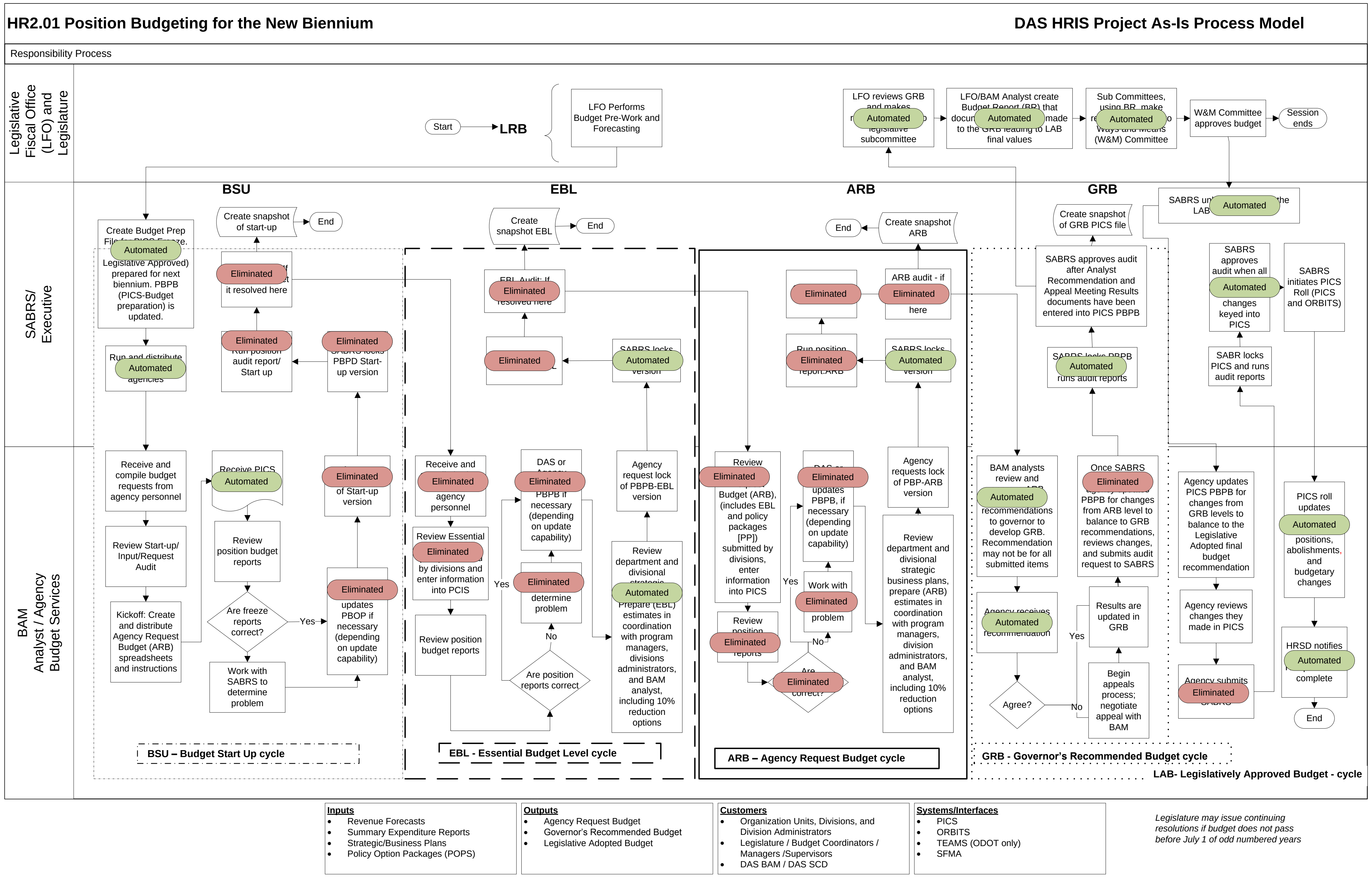
b. HR2.01 Position Budgeting for New Biennium as-is diagram

Below is the as-is diagram for the position budgeting for the new biennium–position data and budgeting processing area.



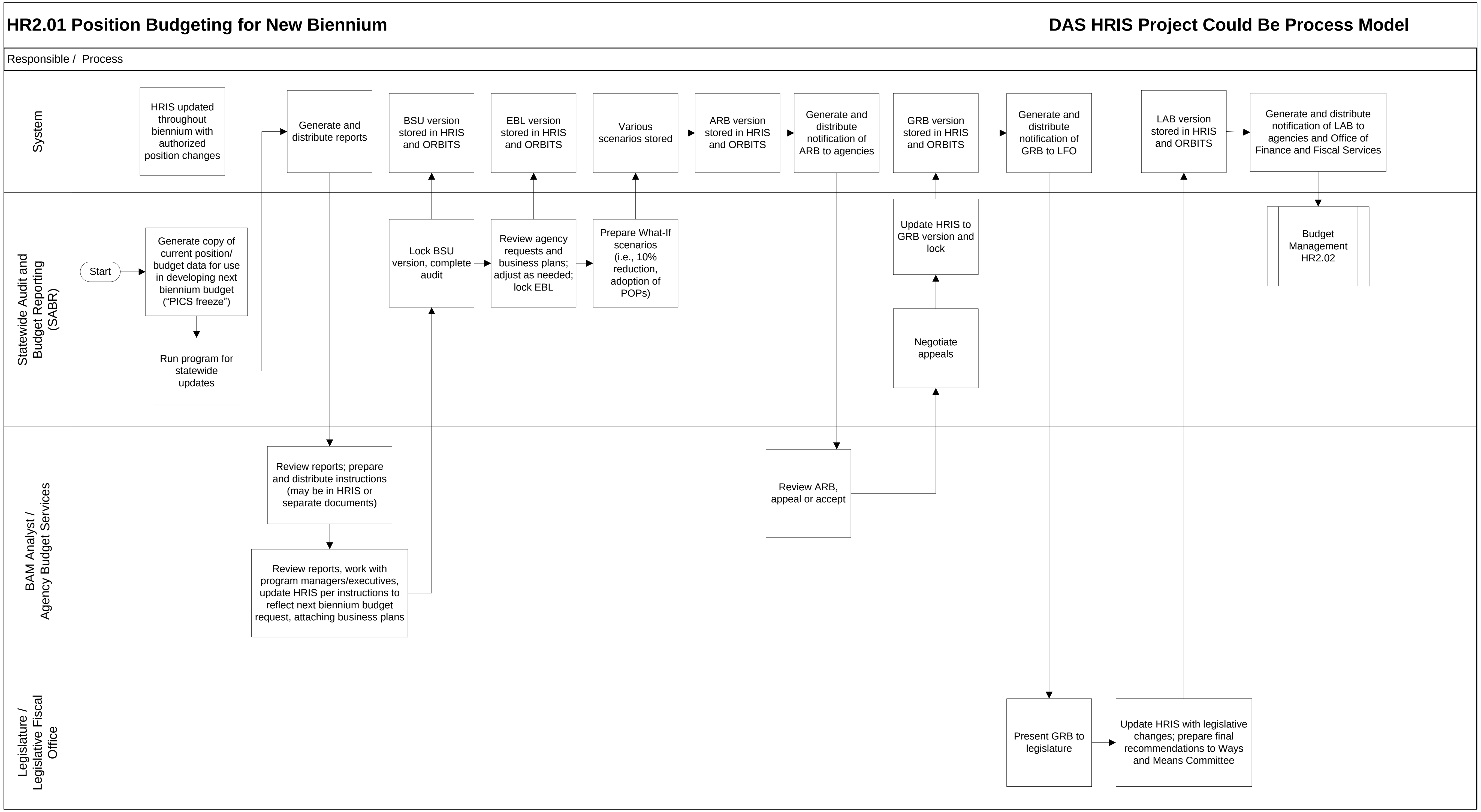
c. HR2.01 Position Budgeting for the New Biennium marked-up diagram

Below is the marked-up diagram for the position budgeting for the new biennium–position data and budgeting processing area.



d. HR2.01 Position Budgeting for the New Biennium could-be diagram

Below is the could-be diagram for the position budgeting for the new biennium–position data and budgeting processing area.



2. HR2.02 Budget Management–Monthly

This business area covers budget management process that occurs on a monthly basis.

a. HR2.02 Budget Management–Monthly process summaries

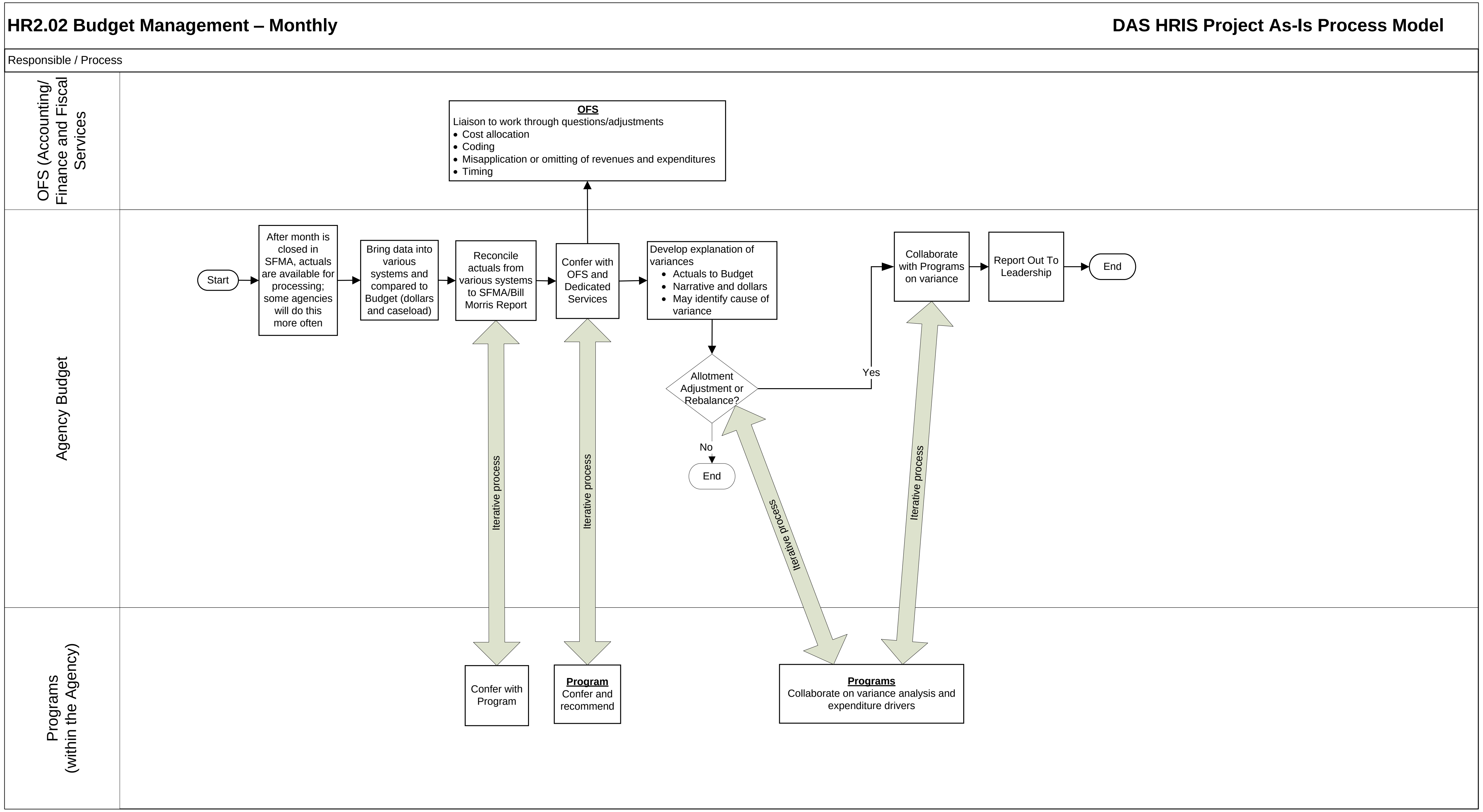
Below are the process summaries for the budget management – monthly−position data and budgeting processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps for monthly reporting and review of the legislatively adopted budget.
Process triggers	This process starts with the close of the month in the statewide financial management system.
Inputs	The inputs to this process include the following: • Month end closure reports
Activities	The following activities are being performed in this process: **Agency budget analyst** • Brings SFMA data into agency budget systems • Compares, analyzes, and reconciles to SFMA and confers with agency program managers, as needed • Prepares documentation of variances and initiates adjustments • Prepares reports for management **Office of Finance and Fiscal Services** • Helps agency budget analyst document variances **Program managers** • Confer with agency budget analyst to document variances
Method	The process is performed manually, outside of a system, with month end reporting and data received from other systems.
Outputs/work products	The outputs of this process include the following: • Monthly budget reports
Laws, regulations, and policies that govern process	Include, but not limited to section 18, article IV of the Oregon constitution
Strengths	The current process recognizes the need to maintain budget data in synchronicity between systems.
Weaknesses	The process is paper-based, with manual transfer of data, review,

Process Step	Description
	and approval information.
Opportunities for improvement	Automation of data transfer between SFMA and agency budget systems; simultaneous development of multiple versions of budgets (i.e., what-if functionality); automated delivery of estimated/suggested budgets and automated workflow; and change history capture
Systems	The following systems are used to prepare in this process: • Budget versus actual (BVA) • PPDB • Hyperion • State Financial Management Application (SFMA) • Oregon Statewide Payroll System (OSPS) • RBase • Cost allocation module for shared services

b. HR2.02 Budget Management–Monthly as-is diagram

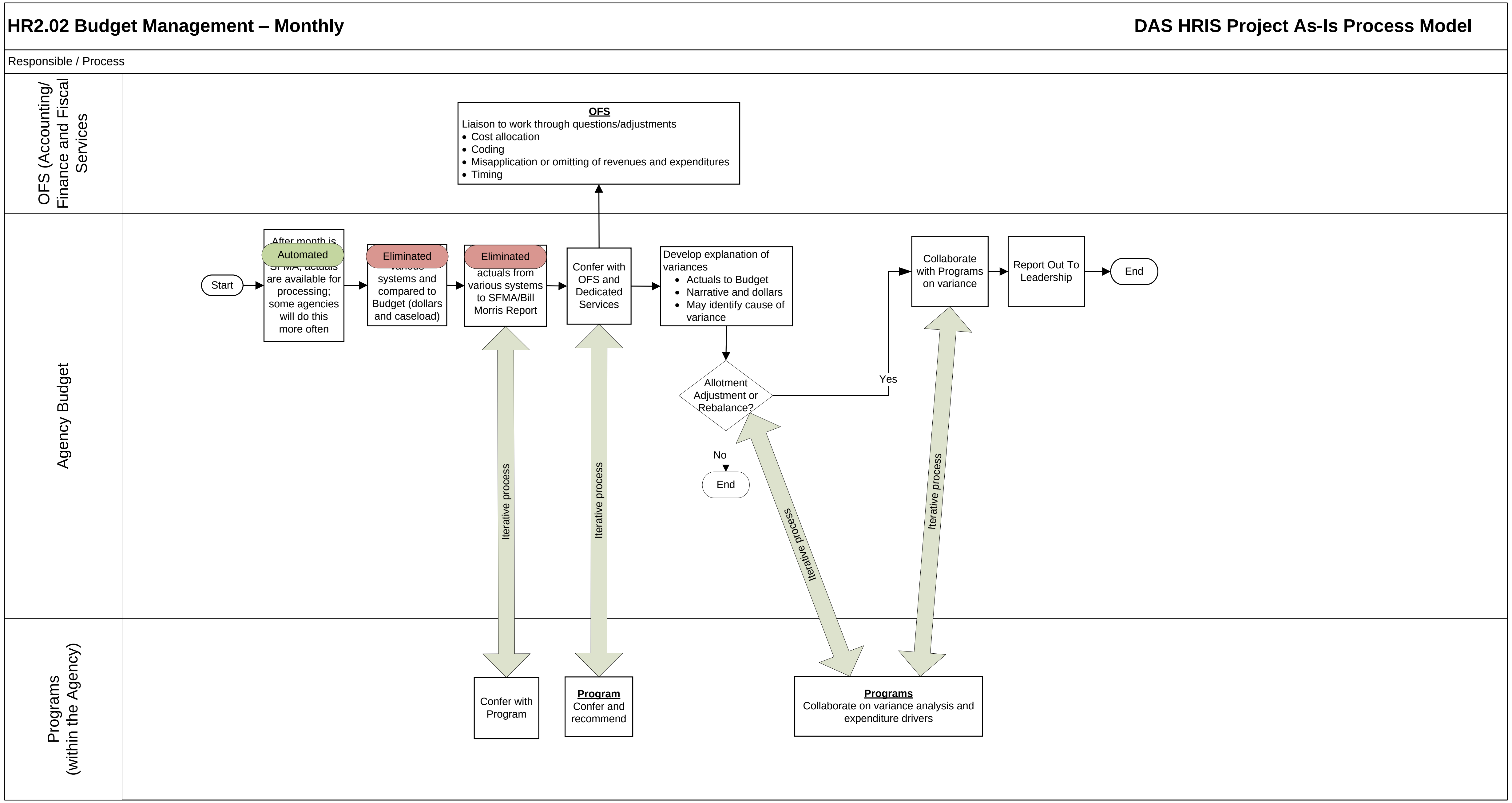
Below is the as-is diagram for the budget management – monthly position data and budgeting processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Month end closes	• Monthly reports	• Employee • Employee's Peers • Manager	• Budget vs. Actual (BVA) • PPDB / CPMS / DSSURS • Hyperion • SFMA / OSPS • RBase • Cost Allocation Module for Shared Services

c. HR2.02 Budget Management – Monthly marked-up diagram

Below is the marked-up diagram for the budget management–monthly–position data and budgeting processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Month end closes	• Monthly reports	• Employee • Employee's Peers • Manager	• Budget vs. Actual (BVA) • PPDB / CPMS / DSSURS • Hyperion • SFMA / OSPS • RBase • Cost Allocation Module for Shared Services

3. HR2.03 Budget Management–Allotment

This business area covers budget management process for allotments. The could-be process is combined in the process for HR2.02 Budget Management.

a. HR2.03 Budget Management–Allotment process summaries

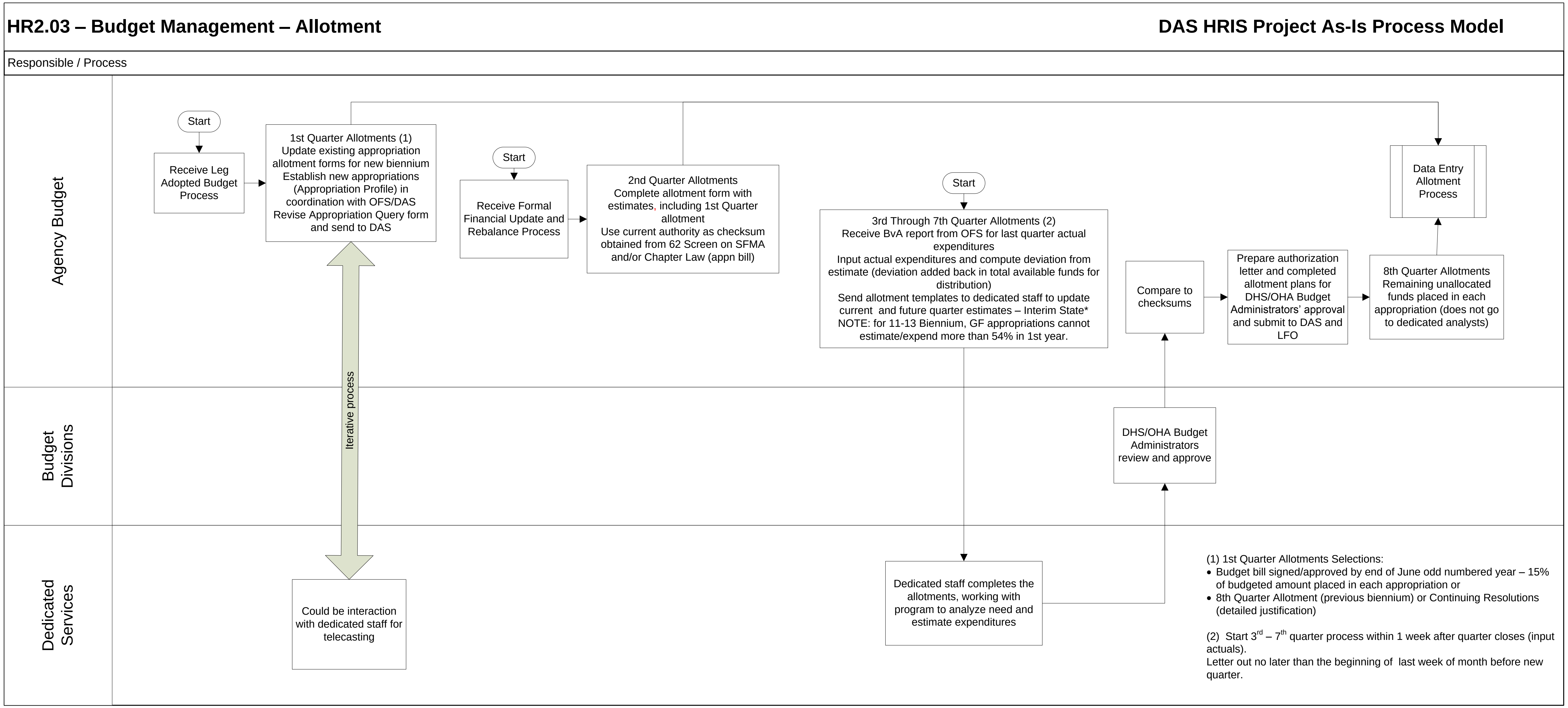
Below are the process summaries for the budget management – allotment position data and budgeting processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to allocate quarterly appropriation allotments, based on the legislatively approved budget.
Process triggers	This process starts after the legislature adopts the biennial budget and cycles through quarterly adjustments.
Inputs	The inputs to this process include the following: • Appropriation allotment forms • Actual expenditures
Activities	The following activities are being performed in this process: **Agency budget analyst** • Update allotment forms and establish new appropriations, when needed • Enter forecasted budget estimates • Update allotment forms with actual expenditures and analyze variances • Prepare authorization letter, complete allotment plans, and submit to DAS and legislative fiscal office (LFO) **Agency budget director** • Review and approve allotment forms
Method	The process is performed manually, with inputs from forms and calculations from other systems.
Outputs/work products	The outputs of this process include the following: • Budget for approval
Laws, regulations, and policies that govern process	Include, but not limited to, section 18, article IV of the Oregon constitution
Strengths	The process allows for the periodic adjustment of budgets to incorporate position changes
Weaknesses	Multiple systems used, which increases the likelihood of duplicative data entry; forms are filled manually; and reviews and approvals occur manually

Process Step	Description
Opportunities for improvement	Automation of data transfer between SFMA and agency budget systems; simultaneous development of multiple versions of budgets (i.e., what-if functionality); automated delivery of estimated/suggested budgets; and automated workflow and capture of change history
Systems	The following systems are used to prepare in this process: • SFMA • Microsoft Office/Excel • Hyperion/Brio • Agency-specific budget and personnel systems

b. HR2.03 Budget Management–Allotment as-is diagram

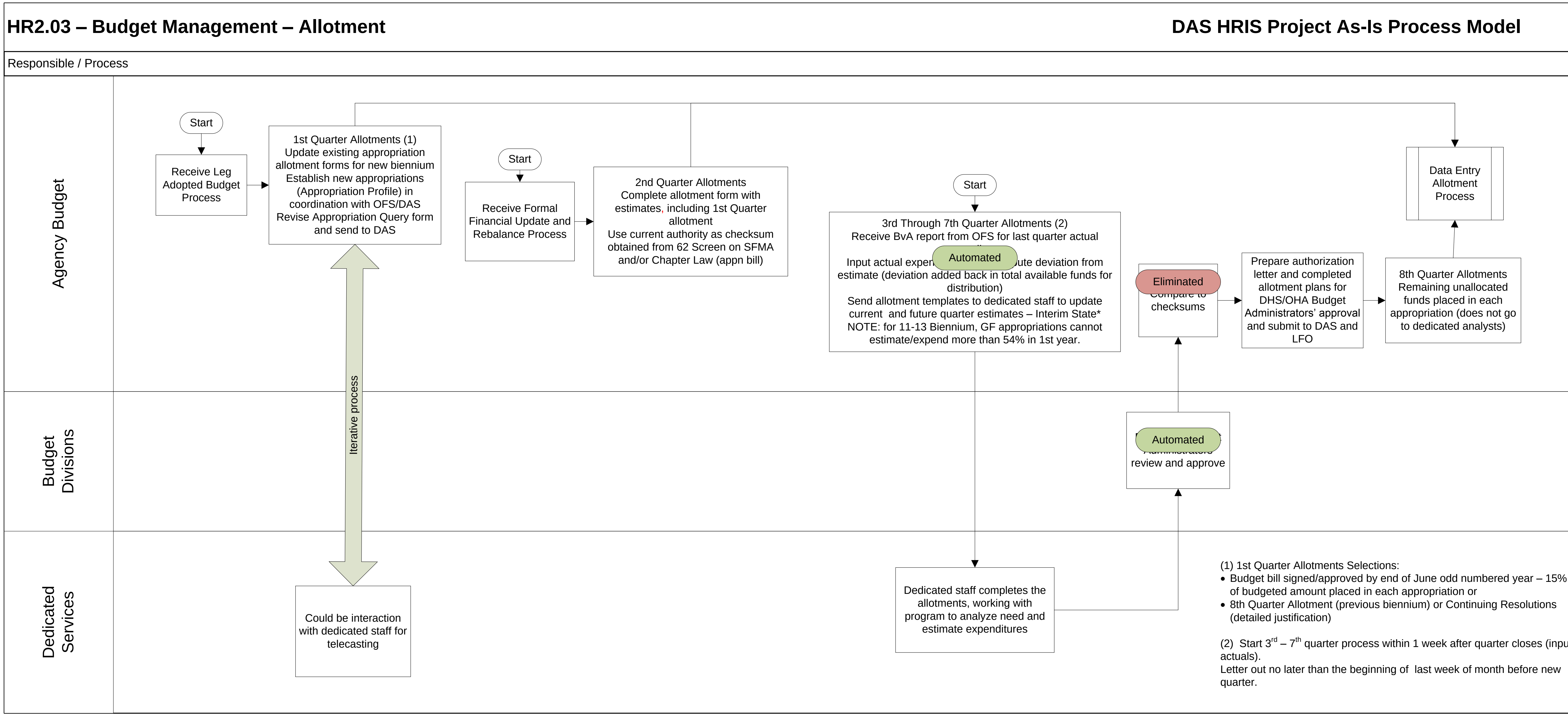
Below is the as-is diagram for the budget management – allotment–position data and budgeting processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Appropriation Allotment Forms • Actual Expenditures	• Budget for Approval	• Agency Budget • Budget Divisions • Dedicated Services	• SFMA • Microsoft Office/Excel • Hyperion/Brio

c. HR2.03 Budget Management–Allotment marked-up diagram

Below are the marked-up diagram for the budget management–allotment–position data and budgeting processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Appropriation Allotment Forms • Actual Expenditures	• Budget for Approval	• Agency Budget • Budget Divisions • Dedicated Services	• SFMA • Microsoft Office/Excel • Hyperion/Brio

4. HR2.04 Budget Management–Re-projection/Rebalance

This business area covers budget management process to perform re-projections or to rebalance the budget.

a. HR2.04 Budget Management–Re-Projection/Rebalance process summaries

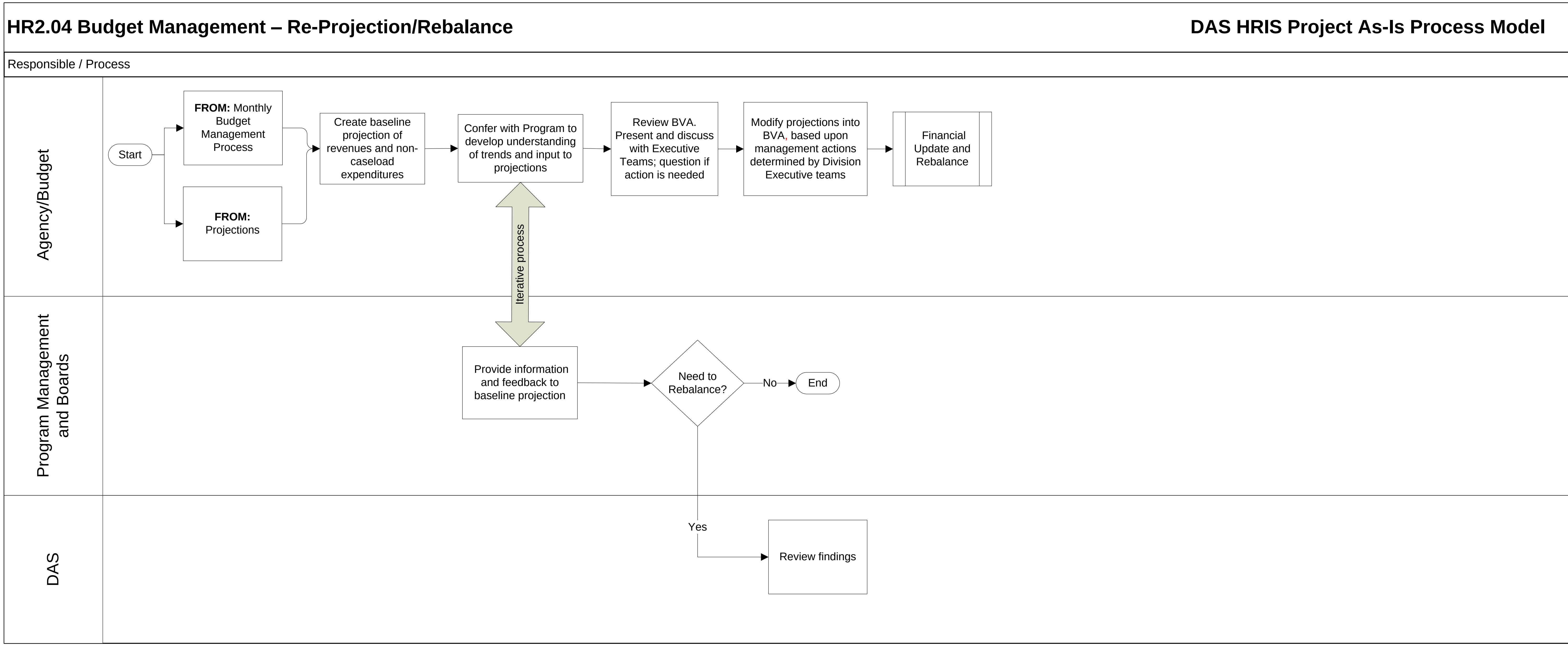
Below are the process summaries for the budget management – re-projection/rebalance position data and budgeting processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to develop re-balancing requests and update budgets to reflect current trends.
Process triggers	This process starts with the review of monthly or quarterly actual expenditures against projected expenditures.
Inputs	The inputs to this process include the following: • Budget versus actual analysis • Passage of time/caseload update • Prepare for rebalance • Program input/new grants • Two financial updates/one rebalance per year
Activities	The following activities are being performed in this process: **Agency budget analyst** • Create baseline expenditure projects • Confer with agency management to update projections • Present to executive management and update with changes, as directed • Prepare documentation for financial updates and rebalances **Agency executives and program managers** • Review projections, update, and approve • Determine if rebalance is needed **DAS** • Review findings
Method	The process is performed manually, with inputs obtained from various systems.
Outputs/work products	The outputs of this process include the following: • Updated working budget
Laws, regulations, and policies that govern process	Include, but not limited to, section 18, article IV of the Oregon constitution
Strengths	The process allows for periodic adjustment of budgets in order to incorporate position changes.

Process Step	Description
Weaknesses	Multiple systems used, which increases the likelihood of duplicative data entry; forms are filled manually; and reviews and approvals occur manually
Opportunities for improvement	Automation of data transfer between SFMA and agency budget systems; simultaneous development of multiple versions of budgets (i.e., what-if functionality); automated delivery of estimated/suggested budgets and automated workflow; and capture of change history
Systems	The following systems are used to prepare in this process: • Budget versus actual (BVA) • PPDB • Client Process Monitoring System (CPMS) • SFMA • OSPS • Hyperion • Office of Private Health Partnerships (OPHP) database • RBase • DSSURS

b. HR2.04 Budget Management–Re-projection/Rebalance as-is diagram

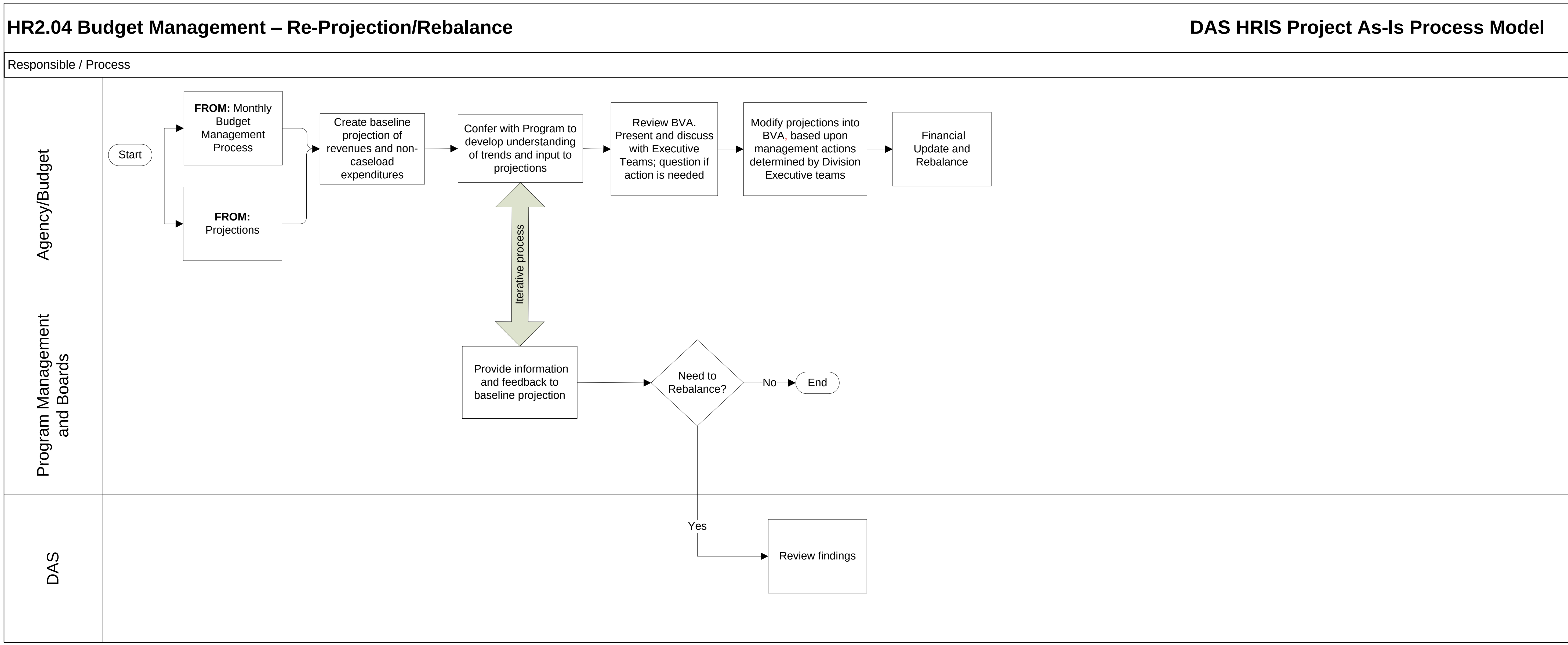
Below is the as-is diagram for the budget management–re-projection/rebalance position data and budgeting processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Budget vs. Actual analysis • Passage of time / Caseload update • Prepare for rebalance • Program input / New grants • Two financial updates/one rebalance per year	• Updated working budget	• Employee • Employee's Peers • Manager	• Budget vs. Actual (BVA) • PPDB / CPMS /SFMA / OSPS • Hyperion • OPHP Database • RBase • DSSURS

c. HR2.04 Budget Management–Re-projection/Rebalance marked-up diagram

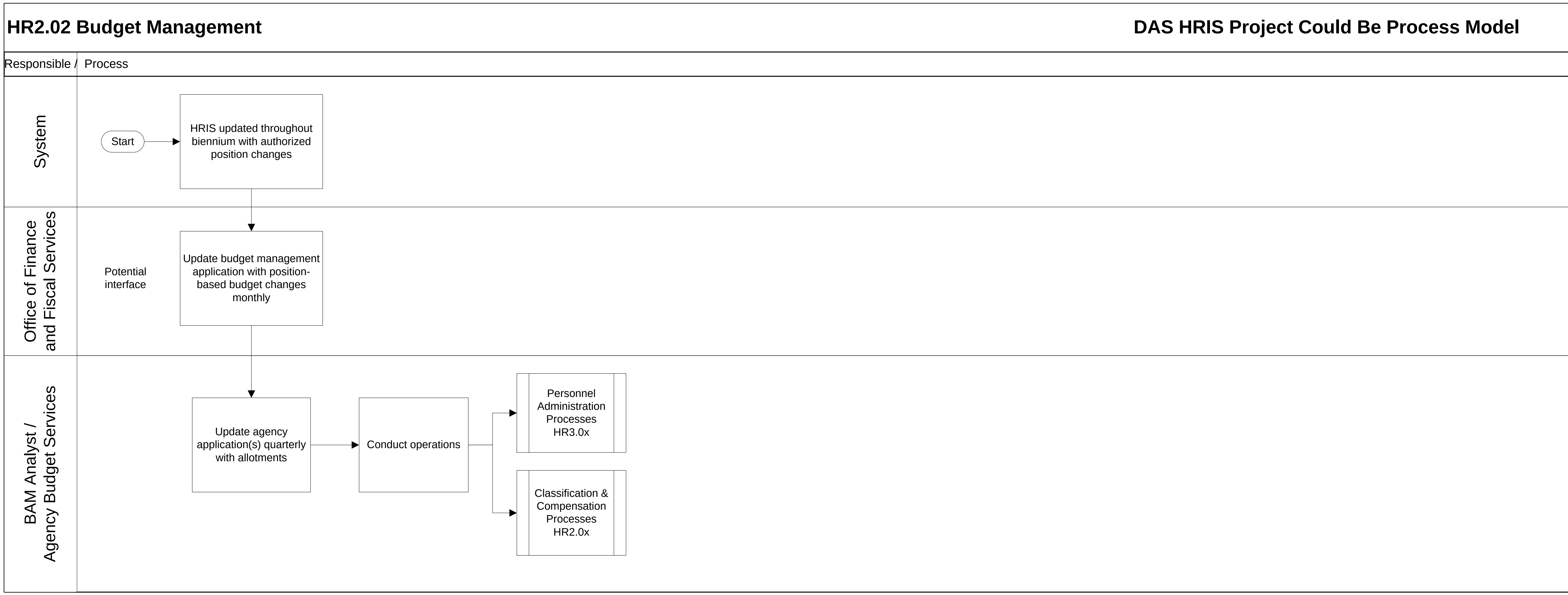
Below is the marked-up diagram for the budget management – re-projection/rebalance position data and budgeting processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Budget vs. Actual analysis • Passage of time / Caseload update • Prepare for rebalance • Program input / New grants • Two financial updates/one rebalance per year	• Updated working budget	• Employee • Employee's Peers • Manager	• Budget vs. Actual (BVA) • PPDB / CPMS /SFMA / OSPS • Hyperion • OPHP Database • RBase • DSSURS

d. HR2.02, HR2.03 and HR2.04 Budget Management could-be diagram

Below is the could-be diagram for the budget management – position data and budgeting processing area. Note that this could-be diagram replaces the as-is diagrams for the monthly, allotment, and re-projection/rebalance areas.



C. Personnel Administration

The following contains the process summary, as-is, marked-up, and the could-be diagrams for personnel administration.

1. HR3.01 Job Changes (Within Agency)

This business area covers job changes within an agency.

a. PHR3.01 Job Changes (Within Agency) process summaries

Below are the process summaries for the job changes (within agency) −personnel administration processing area.

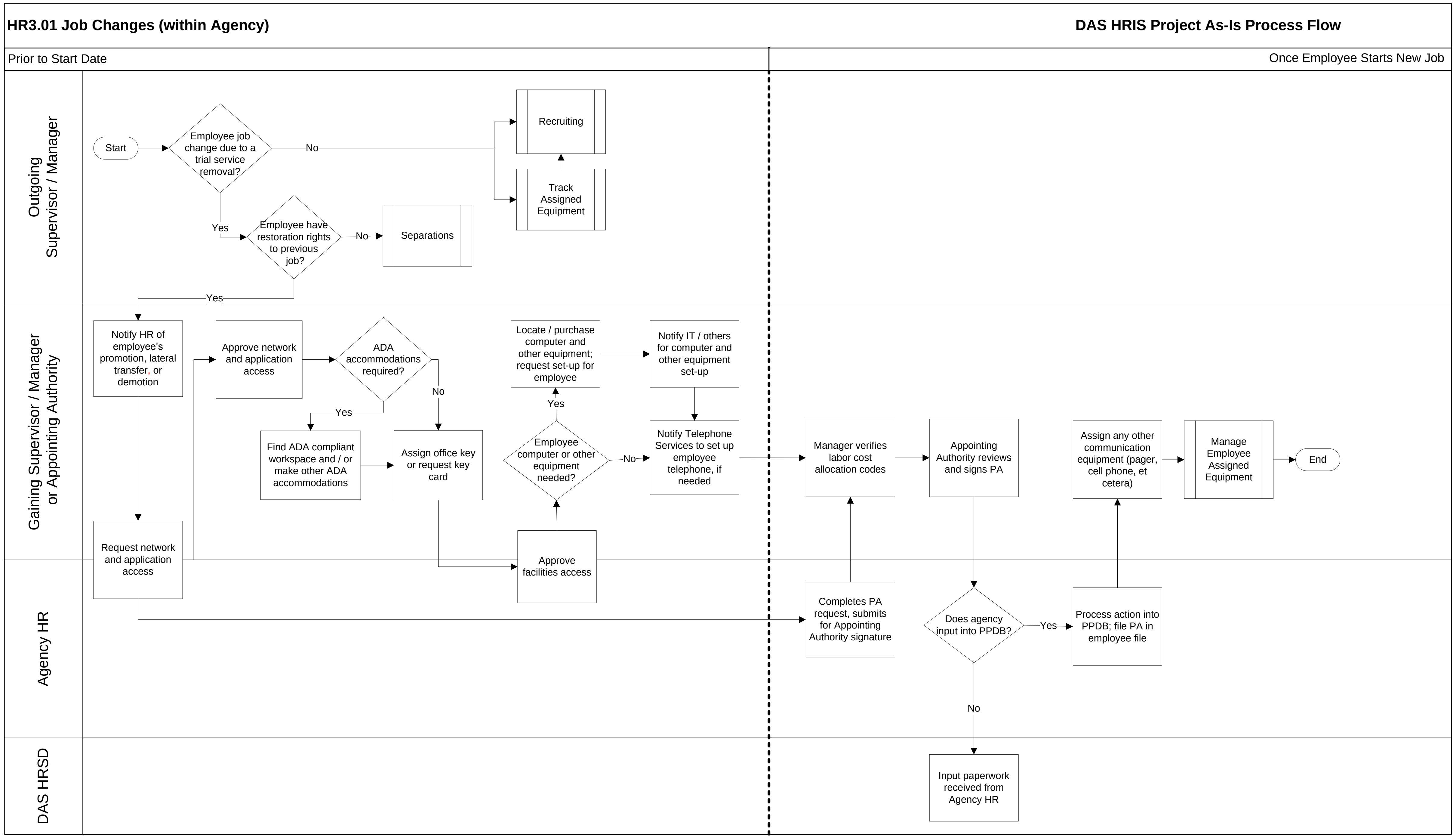
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to manage job or position changes within the agency. The process includes changes from an employee who completed trial service or received a promotion or demotion. It also includes employee transfers within the agency.
Process triggers	This process can start with an employee ending trial service; a promotion; demotion; or a lateral, interagency transfer to another job/ position.
Inputs	The inputs to this process include the following: • Employee performance • Collective bargaining agreements (CBAs) • DAS policies • Agency policies • PA form
Activities	The following activities are being performed in this process: **<u>Outgoing supervisor/manager</u>** • Request trail service removal from appointing authority • Work with HR to determine if the employee has restoration rights to a previous job • Initiate the recruiting process • Initiate the track assigned equipment process • Initiate the separations process **<u>Gain supervisor/manager or appointing authority</u>** • Notify human resources of employee's promotion, lateral transfer, or demotion • Approve network and application access • Determine if ADA accommodations are required and implement any accommodations with agency HR • Assign office key or request key card

Process Step	Description
	• Approve facilities access • Determine if employee needs computer or other equipment • Locate/purchase computer and other equipment and request set-up for employee • Notify IT/others for computer and other equipment set-up • Notify telephone services to set up employee telephone, if needed • Manager verifies labor cost allocation codes • Appointing authority reviews and signs PA • Assign any other communication equipment (pager, cell phone, et cetera) • Initiate the manage employee assigned equipment process **Agency human resources** • Request network and application access • Approve facilities access if appropriate (note: could be some other unit in the agency assigned to perform facilities management) • Complete PA request and submit for appointing authority signature • Process action into PPDB or forward for DAS entry and file PA in employee file • Appointing authority authorizes trail service removal and determines if restoration is appropriate **DAS Human Resources Services Division (HRSD)** • Input paperwork received from agency human resources
Method	The process is performed manually, with data entry into PPDB, PERS, and other systems to complete the process.
Outputs/work products	The outputs of this process include the following: • PA form updated • PPDB update • ADA accommodation • Equipment assignments
Laws, regulations, and policies that govern process	Include, but not limited to: Transfers policy number 40.045.01; trial service period policy number 40.065.01; management service trial service period policy number 105-040-0065; ADA and reasonable accommodation in employment policy number 50.020.10; and CBAs
Strengths	Communication between outgoing and gaining supervisor/manager
Weaknesses	Manual process; timeframe to obtain network and application access; secure workspace and equipment; manual tracking of equipment; manual notifications/requests for equipment and/or access to systems/buildings; and manually enter employee information on forms

Process Step	Description
Opportunities for improvement	Track timeframe to set up employee with access and equipment; automate notifications for system access and security; automate employee information on forms; automate transfer of document/forms; and track and assign equipment in the system
Systems	The following systems are used to prepare in this process: • PPDB • OSPA • PEBB • PERS • Vantage (legislature) • Shadow systems like Transportation Online Personnel Action System (TOPAS)

b. HR3.01 Job Changes (within agency) as-is diagram

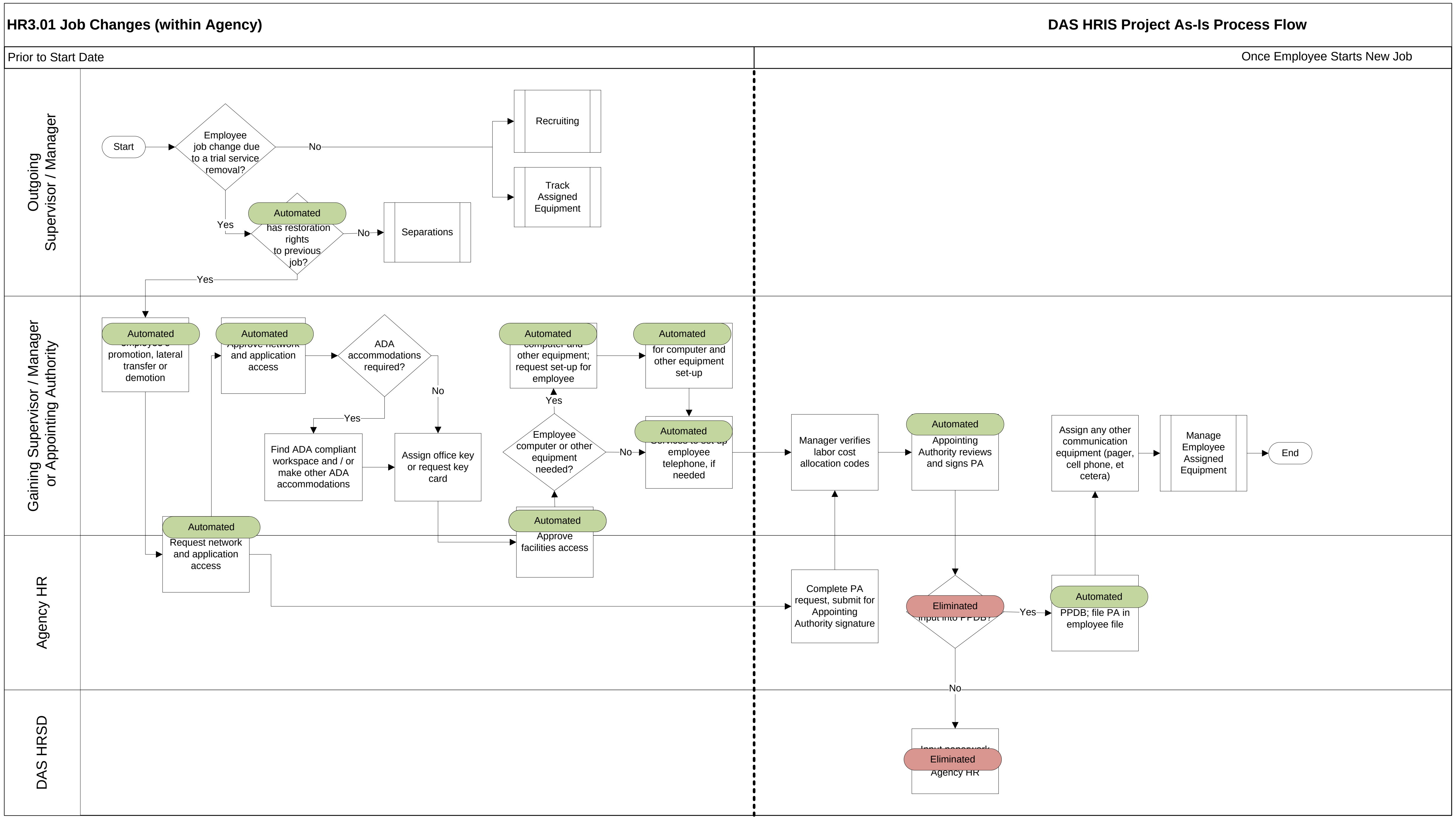
Below is the as-is diagram for the job changes (within agency)−personnel administration processing area.



Inputs	**Outputs**	**Customers**	**Systems/Interfaces**
• Employee performance • Collective Bargaining Agreements • DAS Policies • Agency Policies • Personnel Action (PA) form	• PA form updated • PPDB update • ADA accommodation • Equipment assignments	• Employee • Manager, Supervisor, Appointing Authority • Agency HR • DAS / OSPA • IT and Telephone Services	• PPDB • OSPA • PEBB • PERS • Vantage (Legislature) • TOPAS (ODOT)

c. HR3.01 Job Changes (within agency) marked-up diagram

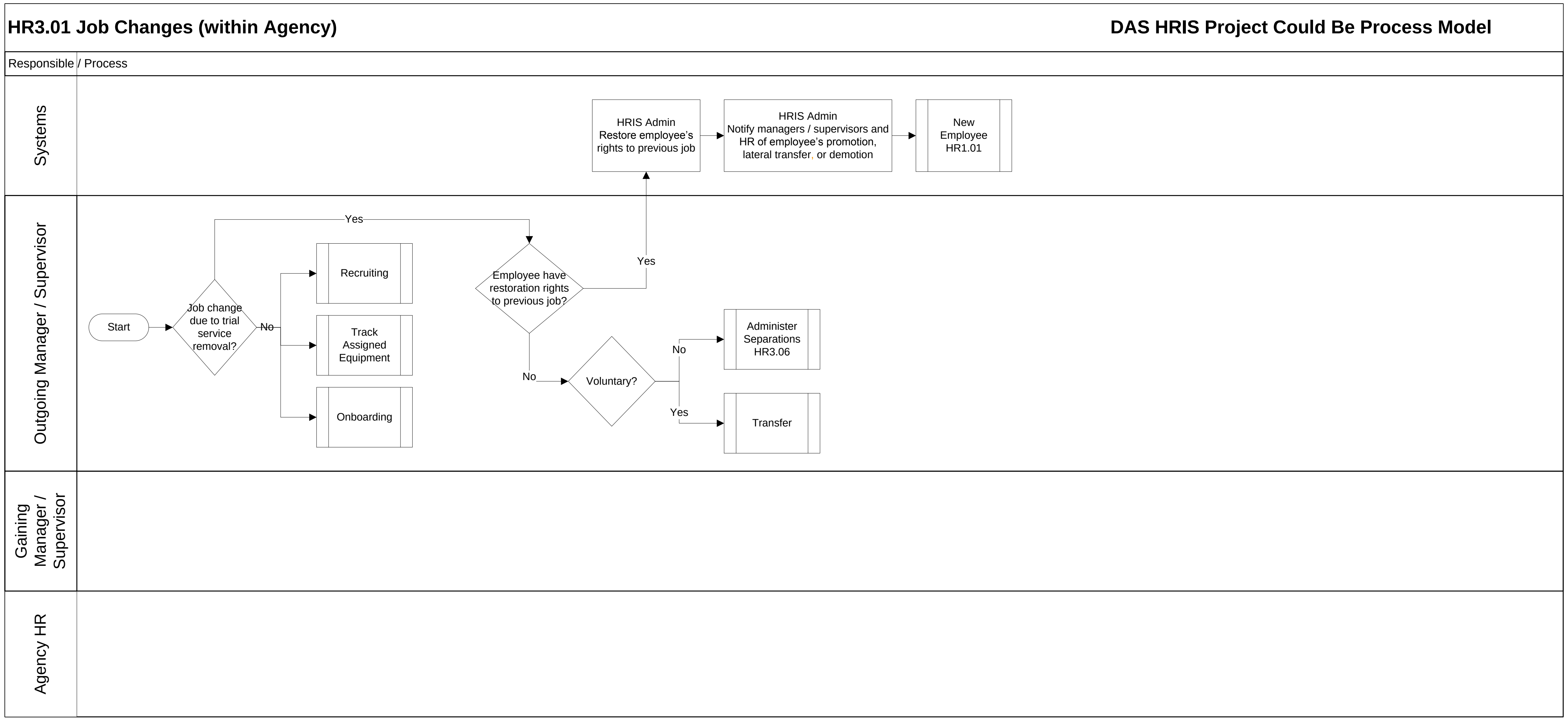
Below is the marked-up diagram for the job changes (within agency)–personnel administration processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Employee performance • Collective Bargaining Agreements • DAS Policies • Agency Policies • Personnel Action (PA) form	• PA form updated • PPDB update • ADA accommodation • Equipment assignments	• Employee • Manager, Supervisor, Appointing Authority • Agency HR • DAS / OSPA • IT and Telephone Services	• PPDB • OSPA • PEBB • PERS • Vantage (Legislature) • TOPAS (ODOT)

d. HR3.01 Job Changes (within agency) could-be diagram

Below is the could-be diagram for the job changes (within agency)–personnel administration processing area.



2. HR3.02 Job Rotation and/or Work Out of Class (WOC)

This business area covers job rotation and/or work out of class.

a. HR3.02 Job Rotation and/or Work Out of Class process summaries

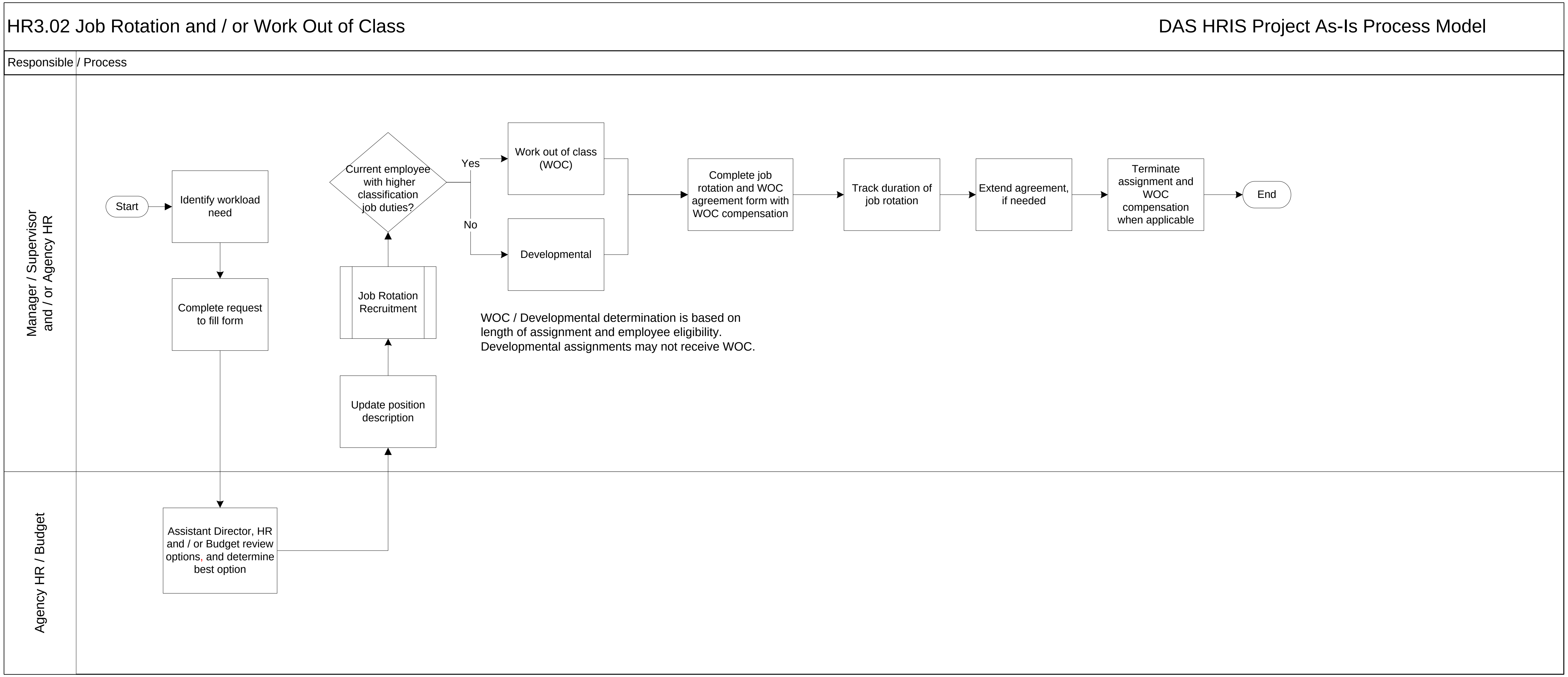
Below are the process summaries for the job rotation and/or work out of class personnel administration processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to manage job rotation or work out of class (WOC) when a workload need is identified for a limited period of time.
Process triggers	This process can start with the identification of a workload need or a position vacancy.
Inputs	The inputs to this process include the following: • Position vacancy • Position description • Fill request form • PA form
Activities	The following activities are being performed in this process: **Manager/supervisor** • Identify workload need • Complete request to fill form • Update position description • Initiate the job rotation recruitment process or select the appropriate person without recruitment • Complete job rotation and WOC agreement form with WOC compensation • Track duration of job rotation • Extend agreement, if needed • Terminate assignment and WOC compensation, when applicable **Agency human resources/budget** • Assistant director, human resources, and/or budget review options and determine best option • Determine if the chosen employee is eligible for WOC or developmental assignment
Method	The process is performed manually, with documents created in Microsoft Word and data entry into PPDB and payroll.
Outputs/work products	The outputs of this process include the following: • PA form

Process Step	Description
	• Job rotation recruitment • Job rotation agreement • WOC agreement • WOC differential form
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; position management policy number 30.000.01; pay practices, including pay differentials policy number 20.005.10; and alternate methods of filling positions policy number 105-040-0070
Strengths	Presents developmental opportunities for employees
Weaknesses	Manual process; manual tracking of job duration; inability to notify personnel about expiration of agreement; manually enter employee information on forms/agreements; and manual transfer of forms
Opportunities for improvement	Automate tracking of job duration; automate notification to employee and manager/supervisor at expiration of job rotation/WOC agreement; automate notification for WOC differential; and enable automation of form/agreement input, review, and approval
Systems	The following systems are used to prepare in this process: • PPDB • Payroll • Microsoft Word

b. HR3.02 Job Rotation and/or Work Out of Class as-is diagram

Below is the as-is diagram for the job rotations and/or work out of class personnel administration processing area.



Inputs
- Position vacancy
- Position description
- Fill request form
- Personnel Action (PA) form
- Job rotation / WOC request form

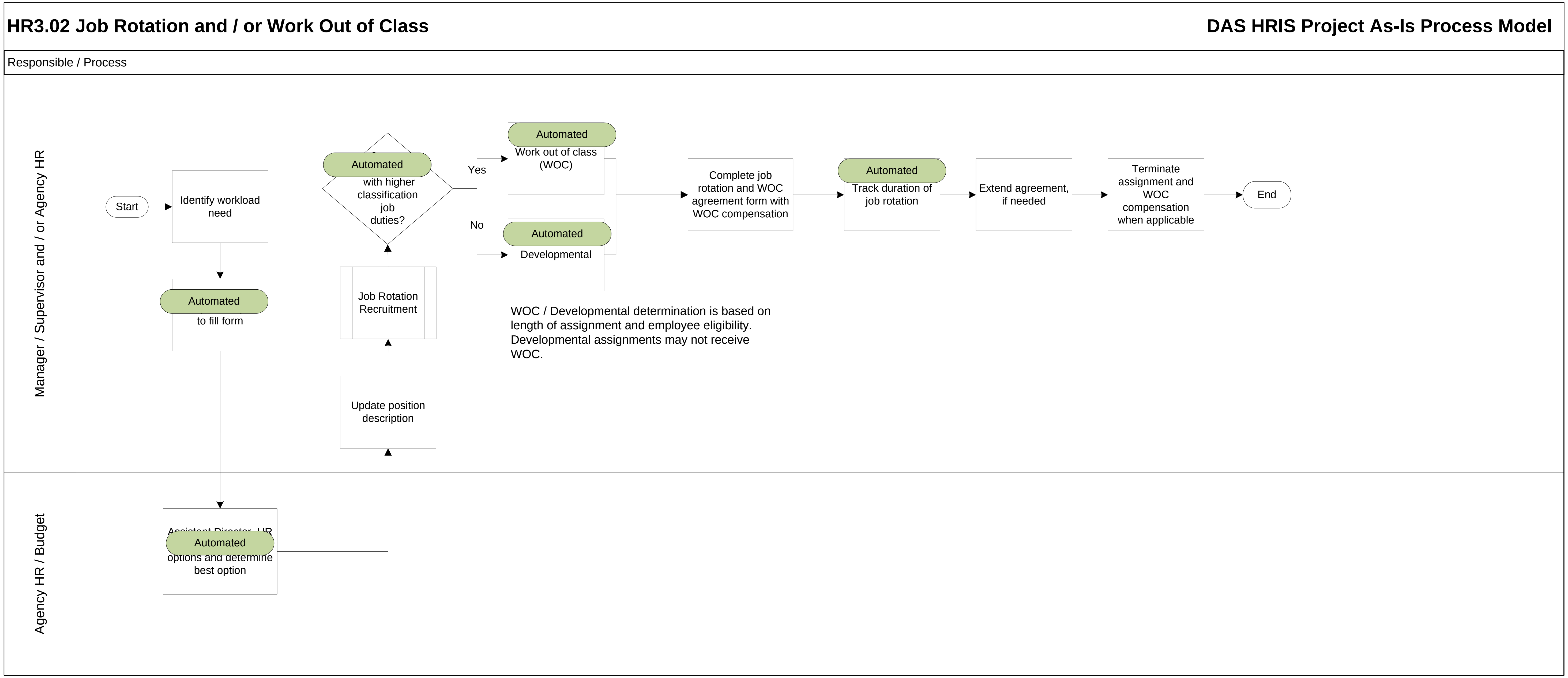
Outputs
- PA form
- Job rotation recruitment
- Job rotation agreement
- WOC agreement
- WOC differential form

Customers
- Employee
- Manager / Supervisor
- Agency HR
- Budget

Systems/Interfaces
- PPDB
- Payroll
- Microsoft Word

c. HR3.02 Job Rotation and/or Work Out of Class marked-up diagram

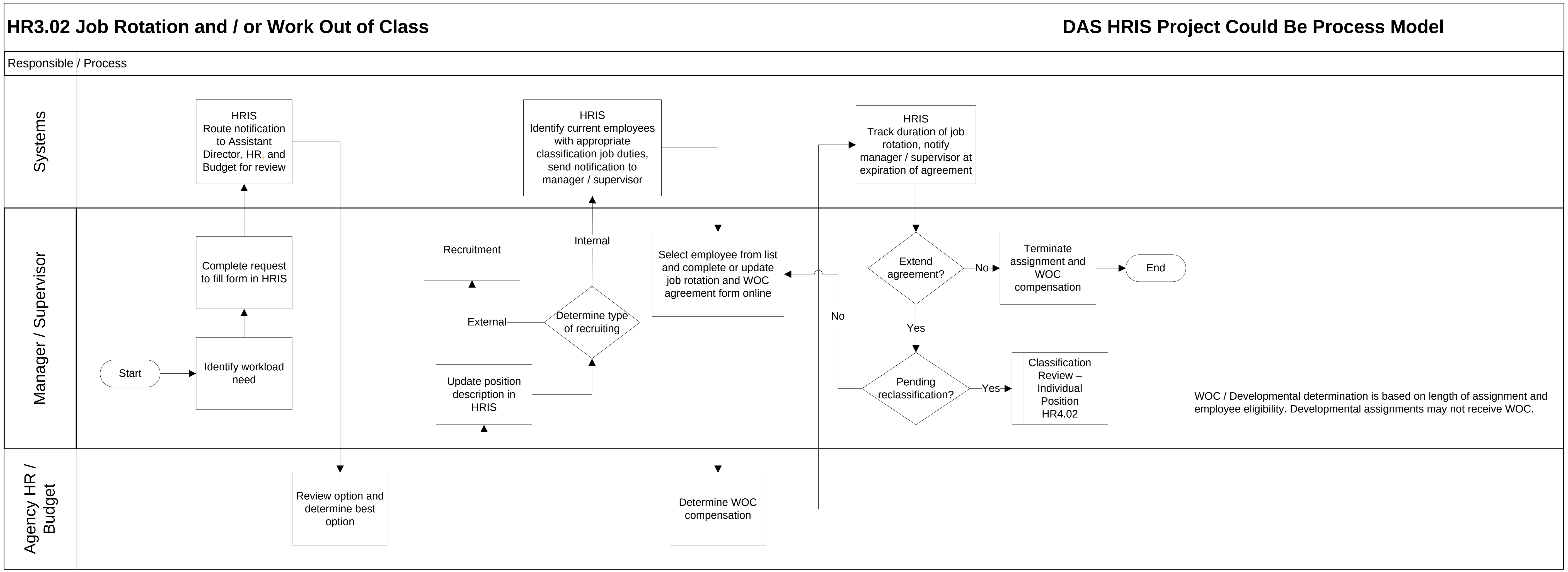
Below is the marked-up diagram for the job rotations and/or work out of class personnel administration processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Position vacancy • Position description • Fill request form • Personnel Action (PA) form • Job rotation / WOC request form	• PA form • Job rotation recruitment • Job rotation agreement • WOC agreement • WOC differential form	• Employee • Manager / Supervisor • Agency HR • Budget	• PPDB • Payroll • Microsoft Word

d. HR3.02 Job Rotation and/or Work Out of Class could-be diagram

Below is the could-be diagram for the job rotations and/or work out of class–personnel administration processing area.



3. HR3.03 Workforce Management

This business area covers general workforce management.

a. HR3.03 Workforce Management process summaries

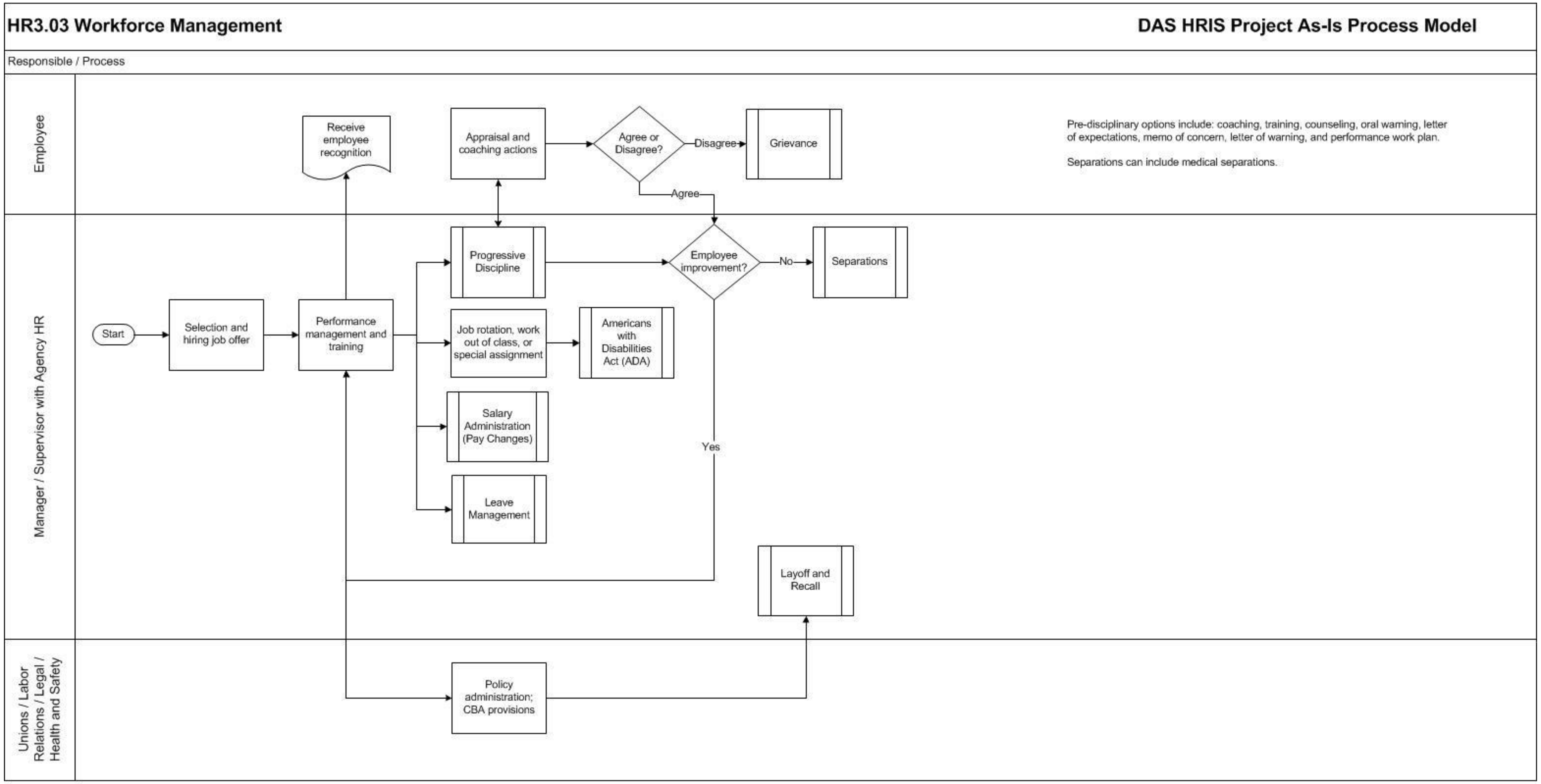
Below are the process summaries for the workforce management−personnel administration processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to manage employee performance after the selection and job offer. This circular process includes the steps taken to initiate other processes, including, but not limited to, leave management, pay changes, and progressive discipline.
Process triggers	This process can start with the selection and hiring of an employee. It can also start with the administration of policies and CBAs.
Inputs	The inputs to this process include the following: • Job offer • Job description • CBAs
Activities	The following activities are being performed in this process: **<u>Employee</u>** • Receive employee recognition • Participate in appraisal and coaching activities • Agree or disagree with appraisal and coaching actions • Initiate the grievance process **<u>Manager/supervisor with agency human resources</u>** • Selection and hiring of employees • Performance management and training with potential resultant processes, which may include: − Progressive discipline − Leave management − Job rotation − Work out of class − Special assignment − Salary administration (pay changes) process − Leave management process − ADA process − Separations process − Layoff and recall process **<u>Unions/labor relations/legal/health and safety</u>**

Process Step	Description
	• Policy administration and CBA provisions
Method	The process is performed manually in Microsoft Word and Excel in most agencies, unless an online learning management system is utilized.
Outputs/work products	The outputs of this process include the following: • Employee recognition • Performance evaluation/appraisal • Progressive discipline • Grievance • Job rotation, work out of class, and special assignment • Salary administration • Leave management • Policy administration/CBA provisions
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs, performance management process policy number 50.035.01; statute chapter 240 state personnel relations; ADA and reasonable accommodation in employment policy number 50.020.10; and job rotation policy number 50.015.01
Strengths	Some agencies use Halogen for training management/development and the ability to use subsequent processes to resolve performance issues
Weaknesses	Evaluations/appraisals to manage the workforce are often behind or overdue; manual or no tracking of employee’s performance in a system; inconsistent processes across agencies; and process implementation is influenced by manager’s desire, workload, and number of employees supervised/managed
Opportunities for improvement	Automate notifications for performance reviews/appraisals; enable tracking of employee’s performance in the system; implement a consistent process across each agency; and establish consistent triggers for subsequent processes
Systems	The following systems are used to prepare in this process: • Halogen, iLearn, or other learning management system(s) • Employee assistance program (EAP) • PERS • Microsoft Word • Microsoft Excel

b. HR3.03 Workforce Management as-is diagram

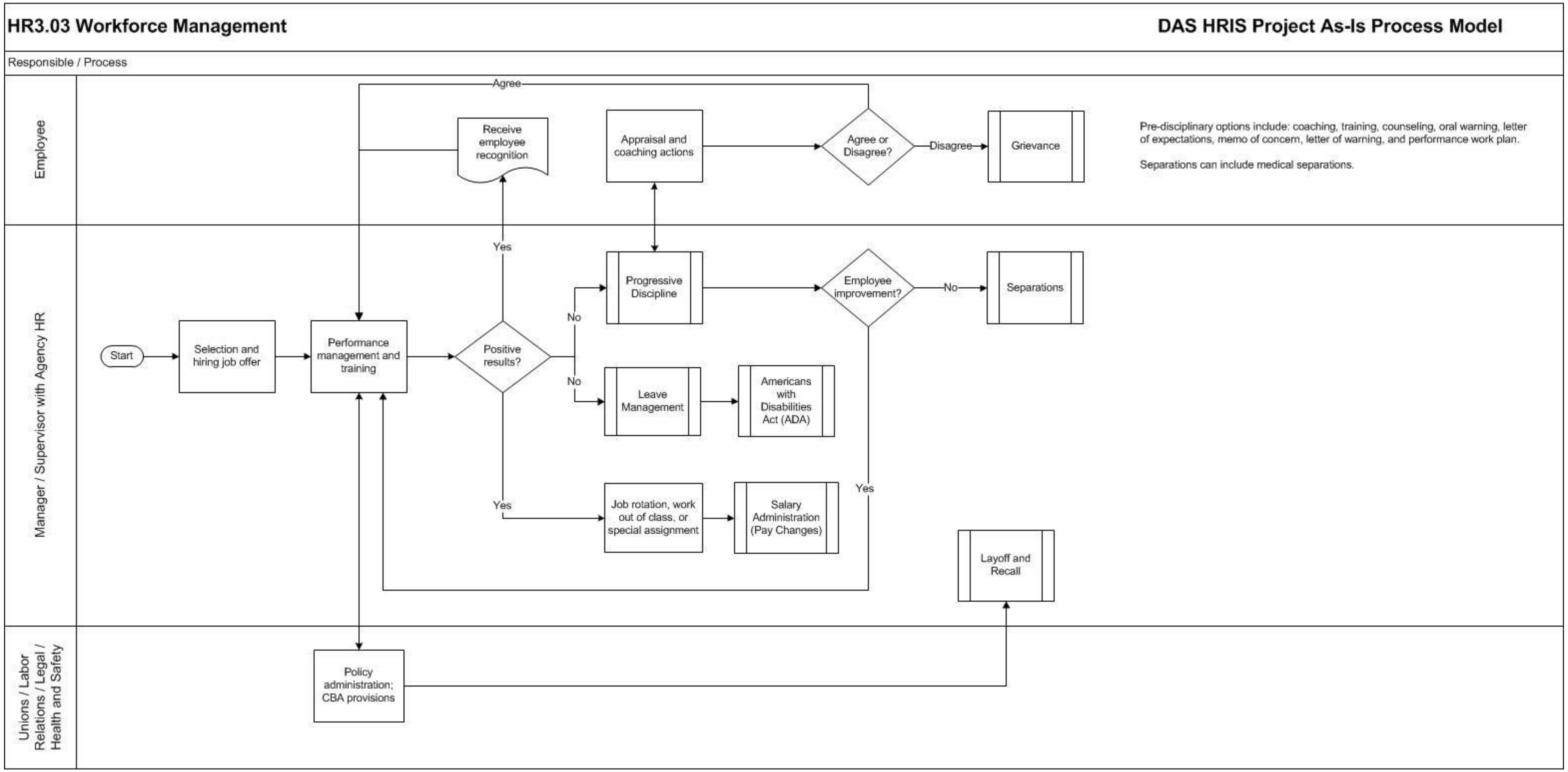
Below is the as-is diagram for the workforce management–personnel administration processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Job offer • Job description • Collective bargaining agreements (CBAs)	• Employee recognition • Performance evaluation / appraisal • Progressive discipline • Grievance • Job rotation, work out of class, special assignment • Salary administration • Leave management • Policy administration / CBA provisions	• Employees • Manager, Supervisor • Agency HR • Payroll • Unions • Labor Relations • Health & Safety • Legal	• Halogen, iLearn, or other LMS • Employee Assistance Program (EAP) • PERS • Microsoft Word • Microsoft Excel

c. HR3.03 Workforce Management marked-up diagram

Below is the marked-up diagram for the workforce management–personnel administration processing area.



Inputs
- Job offer
- Job description
- Collective bargaining agreements (CBAs)

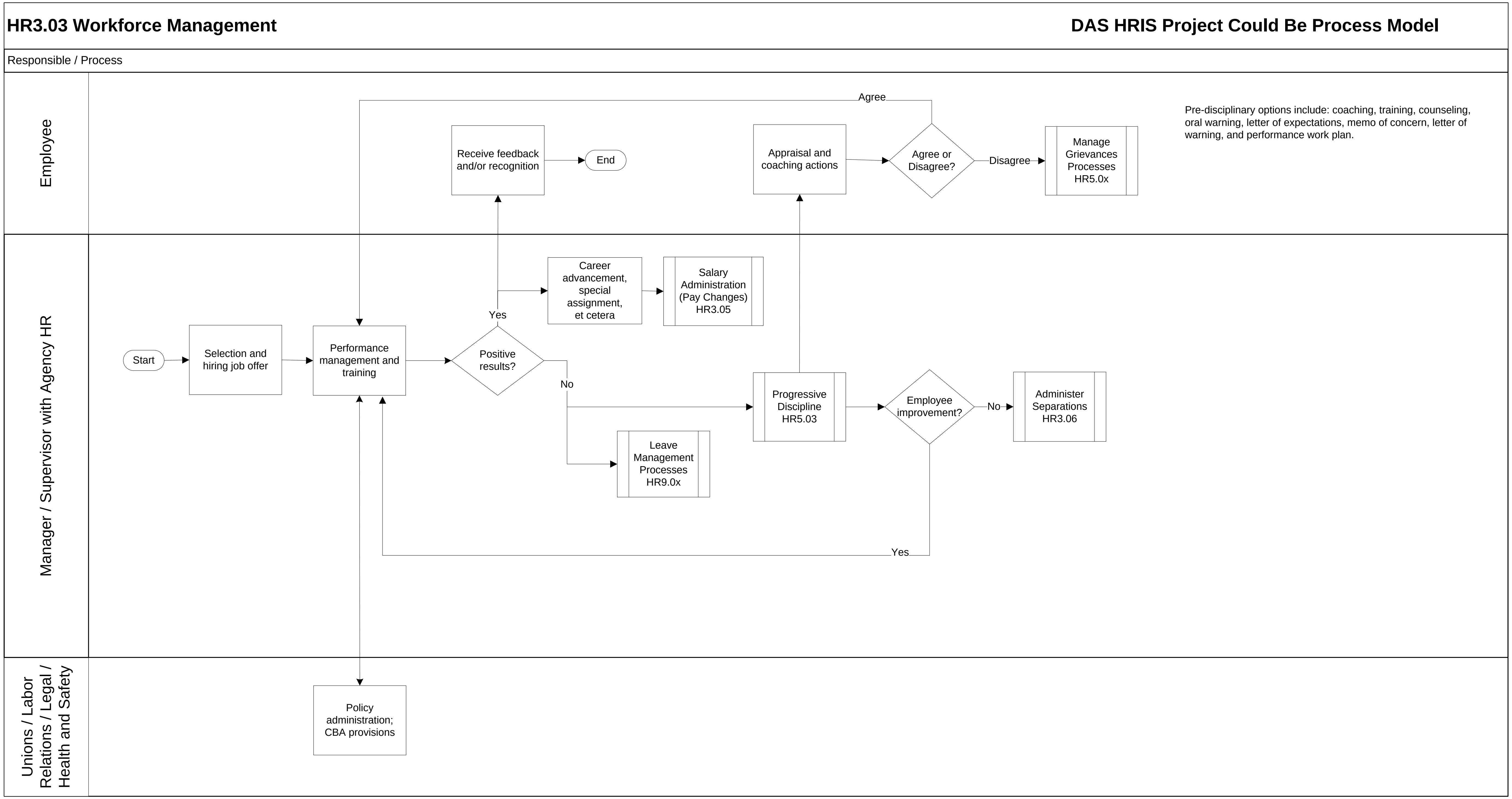
Outputs
- Employee recognition
- Performance evaluation / appraisal
- Progressive discipline
- Grievance
- Job rotation, work out of class, special assignment
- Salary administration
- Leave management
- Policy administration / CBA provisions

Customers
- Employees
- Manager, Supervisor
- Agency HR
- Payroll
- Unions
- Labor Relations
- Health & Safety
- Legal

Systems/Interfaces
- Halogen, iLearn or other LMS
- Employee Assistance Program (EAP)
- PERS
- Microsoft Word
- Microsoft Excel

d. HR3.03 Workforce Management could-be diagram

Below is the could-be diagram for the workforce management–personnel administration processing area.



4. HR3.04 Americans with Disabilities Act (ADA)

This business area covers the processes used to address employees' needs under the ADA.

a. HR3.04 American with Disabilities Act (ADA) process summaries

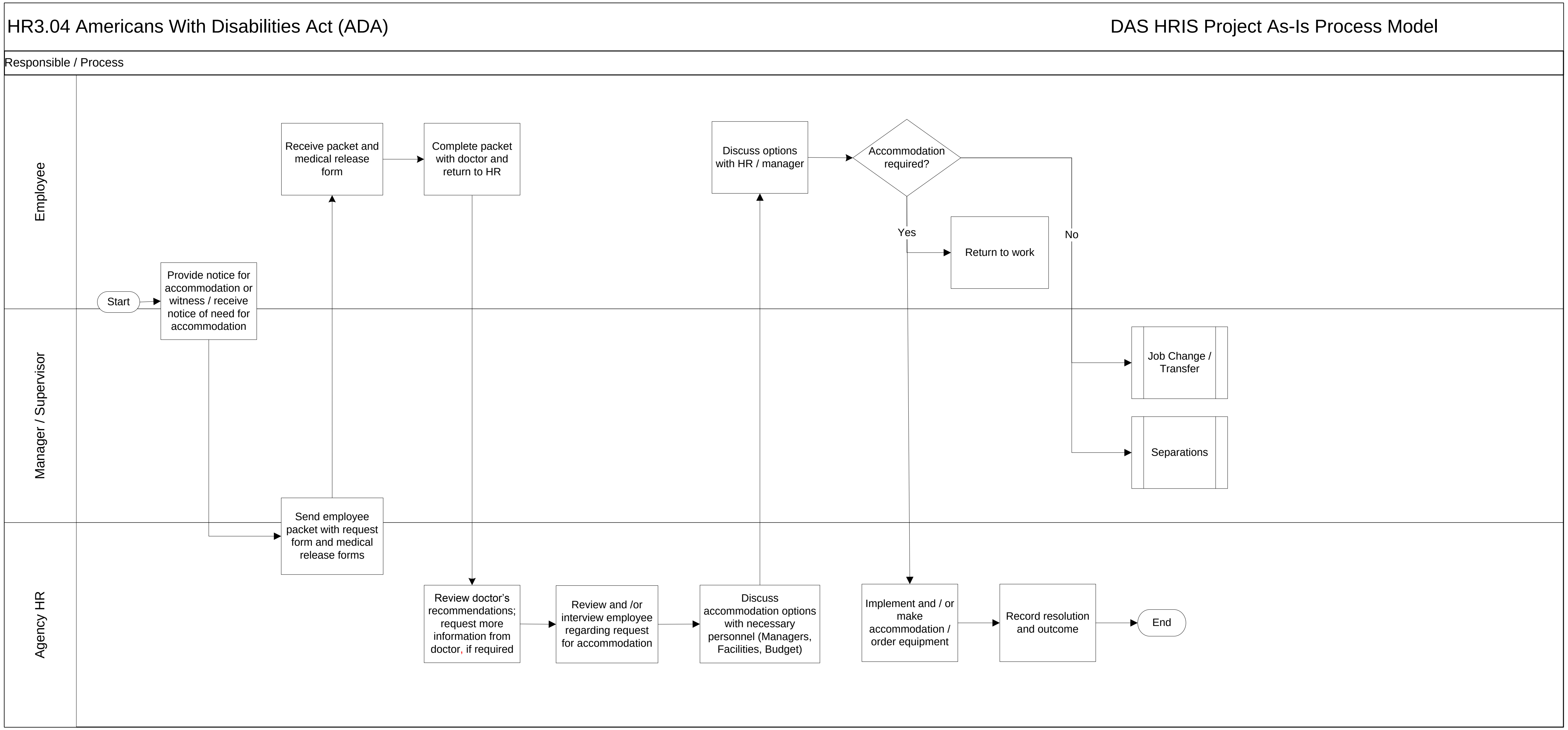
Below are the process summaries for the Americans with Disabilities Act (ADA)−personnel administration processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer the ADA, which prohibits discrimination against qualified individuals with disabilities.
Process triggers	This process can start with the submission of an accommodation request, which can be the result of an internal cause (worker compensation claim or ergonomic assessment) or an external cause (pre-existing visible and known disability or non-work accident).
Inputs	The inputs to this process include the following: • Accommodation request • Medical information forms • Release of information form • Ergonomic assessment
Activities	The following activities are being performed in this process: **Employee** • Provide notice or request for accommodation • Complete qualifying documentation (form packet) with doctor and return to human resources • Discuss options with human resources/manager • Determine mutual agreement for accommodation • Return to work **Agency HR with Manager/supervisor** • Receive notice of need for accommodation • Provide employee with form packet, including request and medical release forms • Determine mutual agreement for accommodation • Implement accommodations as agreed • Initiate job change/transfer process • Initiate the separations process • Review doctor's recommendations and request more information from doctor, if required • Review and/or interview employee about the request for accommodation • Discuss accommodation options with necessary personnel

Process Step	Description
	(managers, facilities, and budget) • Implement accommodation and/or order equipment • Record resolution and outcome
Method	The process is performed manually with Microsoft Word, with data entry into PERS and the workers' compensation systems.
Outputs/work products	The outputs of this process include the following: • Accommodation in current job • Another job/transfer • Leave of absence • Mutual separation agreement
Laws, regulations, and policies that govern process	Include, but not limited to: Title I of the ADA of 1990 and ADA and reasonable accommodation in employment policy number 50.020.10
Strengths	Consistent documentation of request for accommodation; mutual development of accommodation action(s); and employee can complete a job transfer as an accommodation
Weaknesses	Manual process; workspace accommodation(s) may be limited by facility availability; inability to track ADA in system; and inability to track costs to provide accommodations
Opportunities for improvement	Enable automation to submit an accommodation request and track and manage equipment/accommodations made, including costs
Systems	The following systems are used to prepare in this process: • Workers compensation • PERS • Microsoft Word

b. HR3.04 Americans with Disabilities Act (ADA) as-is diagram

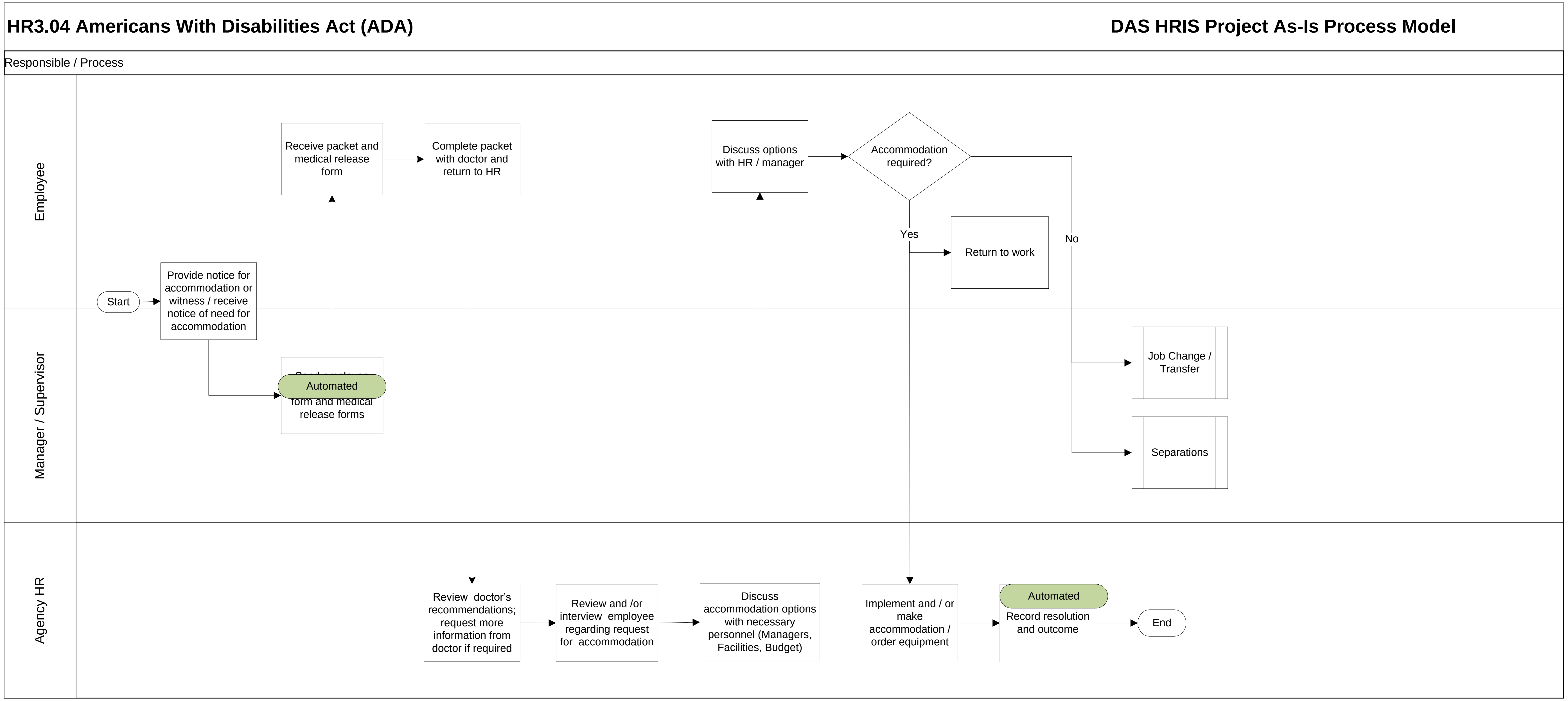
Below is the as-is diagram for the Americans with Disabilities Act (ADA)–personnel administration processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Accommodation request • Medical information forms • Release of information form • Ergonomic assessment	• Accommodation in current job • Another job / transfer • Leave of absence • Mutual separation agreement	• Employee • Employee's Peers • Manager / Supervisor • Agency HR • Facilities	• Workers' compensation • PERS • Microsoft Word

c. HR3.04 Americans with Disabilities Act (ADA) marked-up diagram

Below is the marked-up diagram for the Americans with Disabilities Act (ADA)−personnel administration processing area.



Inputs
- Accommodation request
- Medical information forms
- Release of information form
- Ergonomic assessment

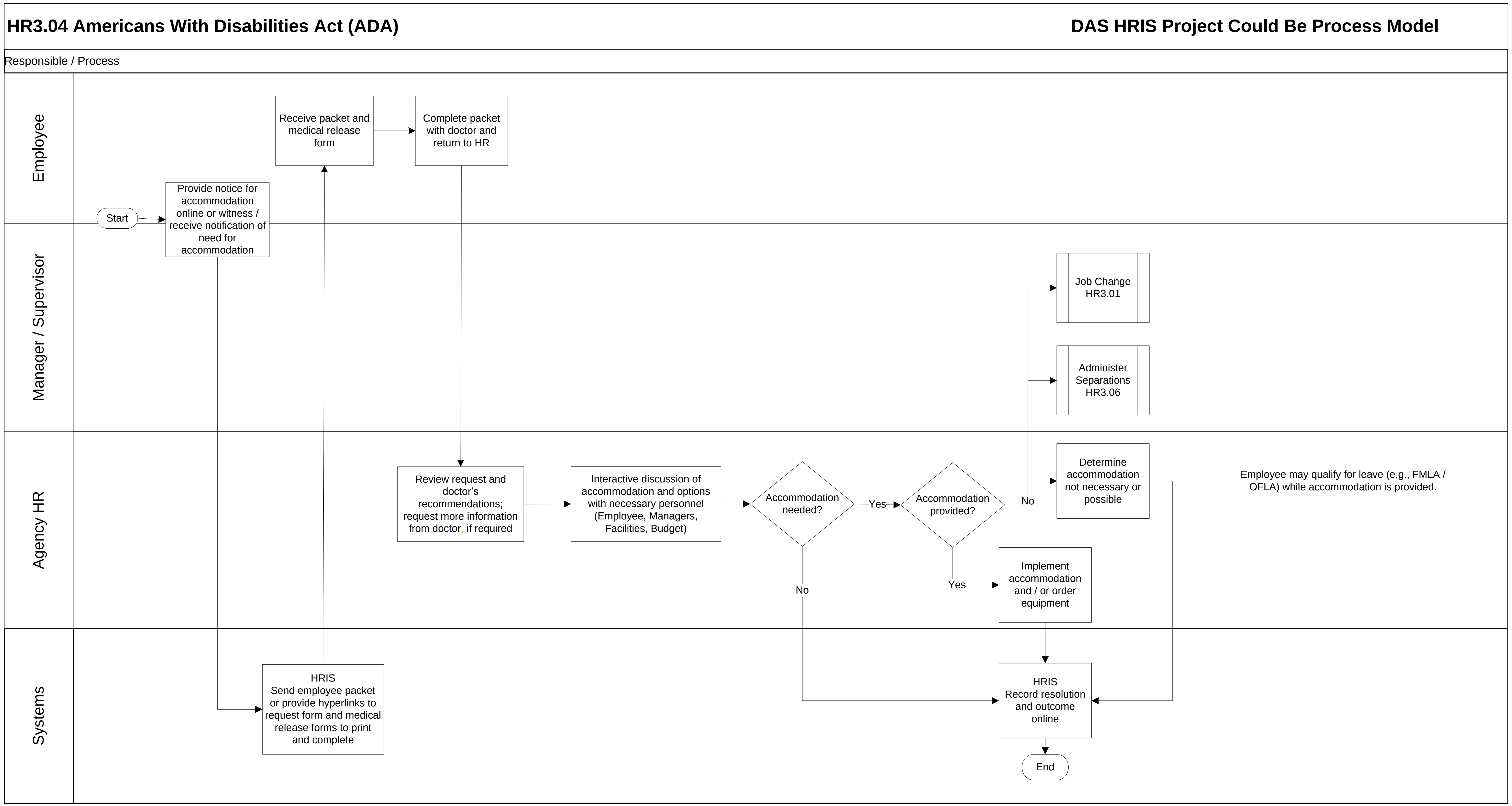
Outputs
- Accommodation in current job
- Another job / transfer
- Leave of absence
- Mutual separation agreement

Customers
- Employee
- Employee's Peers
- Manager / Supervisor
- Agency HR
- Facilities

Systems/Interfaces
- Workers' compensation
- PERS
- Microsoft Word

d. HR3.04 Americans with Disabilities Act (ADA) could-be diagram

Below is the could-be diagram for the Americans with Disabilities Act (ADA)−personnel administration processing area.



5. HR3.05 Pay Changes

This business area covers pay changes to employees.

a. HR3.04 Pay Changes process summaries

Below are the process summaries for the pay changes−personnel administration processing area.

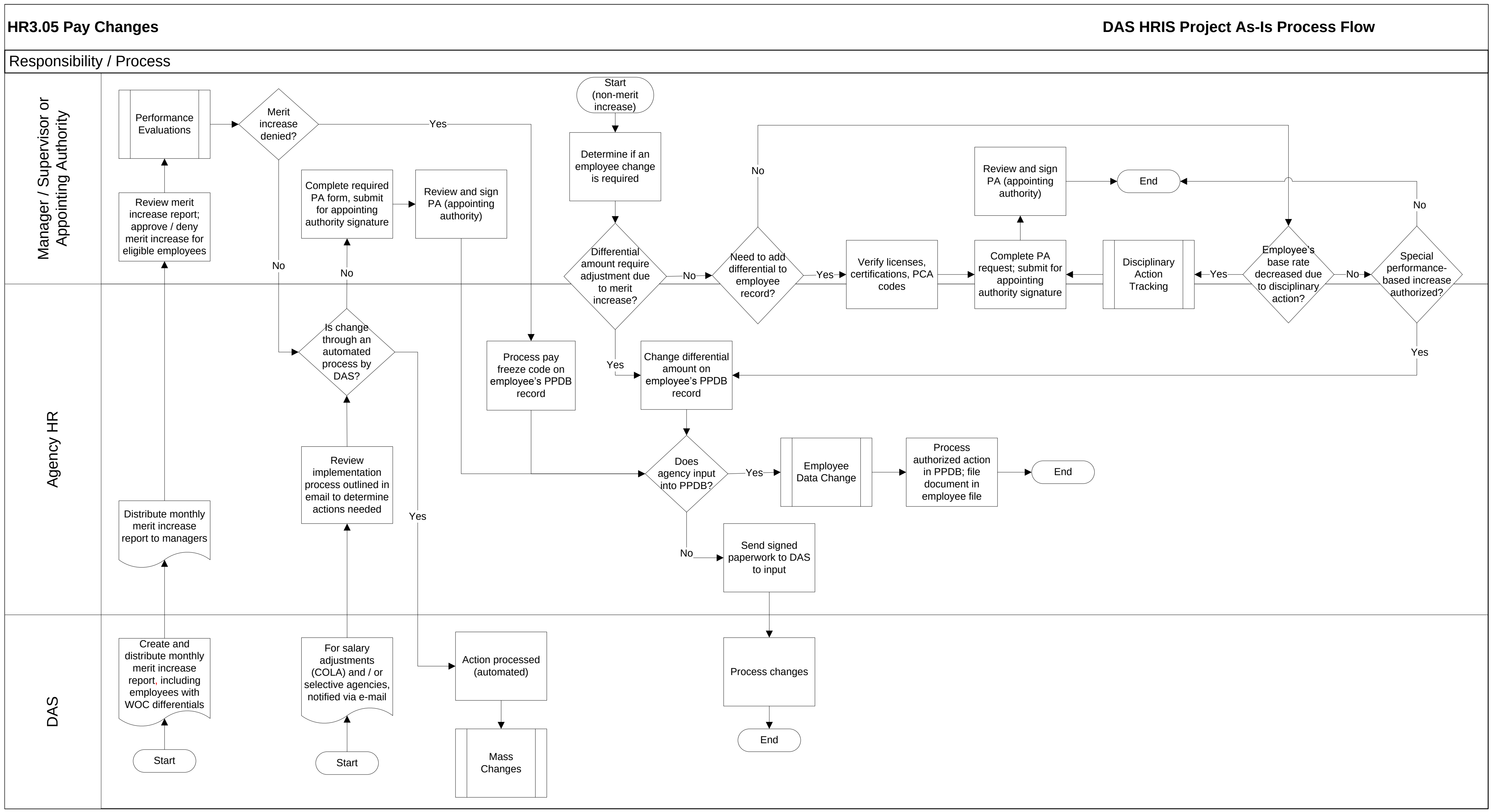
Process Step	Description
Purpose, objective, and description of process	This process describes the steps for salary administration that includes a pay change as a result of a performance evaluation or merit increase. The process includes explanation of how to deny a merit increase.
Process triggers	This process can start with the monthly merit increase report or cost of living adjustment (COLA).
Inputs	The inputs to this process include the following: • Merit increase report • CBAs • Agency policies • PA form • PPDB input forms • COLA
Activities	The following activities are being performed in this process: **<u>Manager/supervisor or appointing authority</u>** • Review merit increase report and approve/deny merit increase for eligible employees • Initiate the performance evaluations process to: – Determine if an employee change is required – Determine if the differential amount requires adjustment, due to a merit increase – Determine the need to add differential to employee record – Verify licenses, certifications, and program codes – Initiate the disciplinary action tracking process – Determine if a special performance-based increase should be authorized – Determine if the employee’s base rate decreased as a result of disciplinary action • Complete required PA form and obtain appointing authority signature **<u>Agency human resources</u>** • Distribute monthly merit increase report to managers • Determine if the change is completed through an automated

Process Step	Description
	process by DAS • Review and complete implementation process for DAS automated changes • Process pay freeze code on employee's PPDB record • Help manager/appointing authority complete the performance evaluation process • Process authorized action in PPDB or forward to DAS for entry and file document in employee file **DAS** • Create and distribute monthly merit increase report, including employees with WOC differentials • For salary adjustments (COLA) and/or selective agencies, notify via e-mail • Verify automated action processed • Initiate the mass change process
Method	The process is performed manually, with reporting from and data entry into multiple systems.
Outputs/work products	The outputs of this process include the following: • PA form • PPDB update • Pay change • Pay freeze
Laws, regulations, and policies that govern process	Include, but not limited to: employee personnel records policy number 10.011.01; including pay practices, which includes pay differentials policy number 20.005.10; Fair Labor Standards Act policy number 20.005.20; federal minimum wage; Oregon minimum wage determination; and Oregon revised statute (ORS) chapter 652 hours, wages, wage claims, and records
Strengths	Monthly merit increase report provides list of employees eligible for a merit increase, and the process is aligned with the performance evaluation cycle
Weaknesses	Manual distribution of the merit increase report; manual verification of licenses, certifications, and PCA codes; and manual tracking of last performance evaluation and merit increase
Opportunities for improvement	Automate the distribution of merit increase report or notify managers/supervisors, based on selected criteria; automate approval of changes through workflow; track licenses/certifications expiration date; and provide an automated notification, prior to expiration of licenses/certifications
Systems	The following systems are used to prepare in this process: • PPDB

Process Step	Description
	• OSPA • PEBB • PERS • Vantage (legislature) • TOPAS (ODOT)

b. HR3.05 Pay Changes as-is diagram

Below is the as-is diagram for the pay changes−personnel administration processing area.



Inputs
- Merit increase report
- Collective bargaining agreements
- Agency policies
- Personnel Action (PA) form
- PPDB input forms
- Cost of living adjustment (COLA)

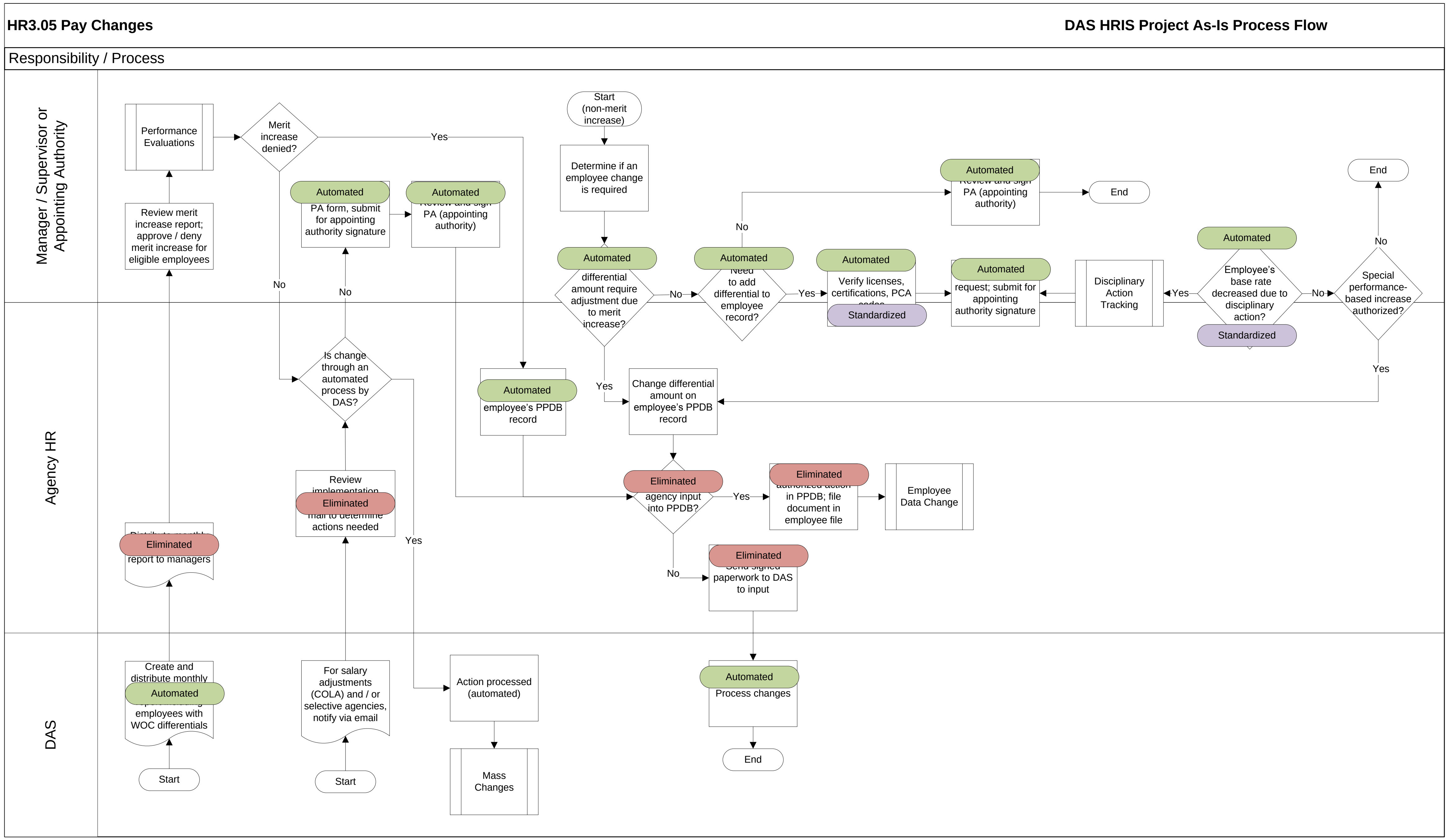
Outputs
- PA form
- PPDB update
- Pay change
- Pay freeze

Customers
- Employee
- Manager, Supervisor, Appointing Authority
- Agency HR
- DAS
- OSPA

Systems/Interfaces
- PPDB
- OSPA
- PEBB
- PERS
- Vantage (Legislature)
- TOPAS (ODOT)

c. HR3.05 Pay Changes marked-up diagram

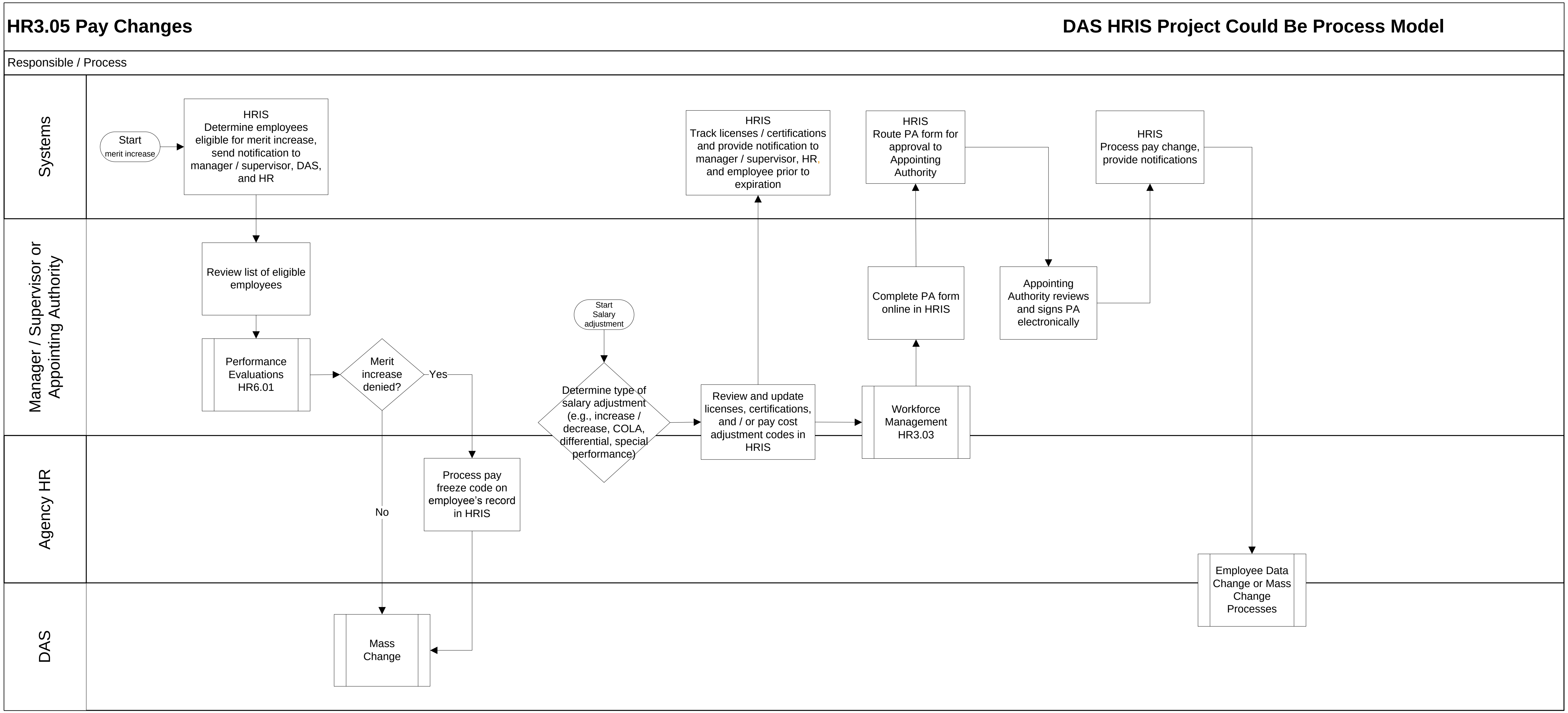
Below is the marked-up diagram for the pay changes−personnel administration processing area.



Inputs	**Outputs**	**Customers**	**Systems/Interfaces**
• Merit increase report • Collective bargaining agreements • Agency policies • Personnel Action (PA) form • PPDB input forms • Cost of living adjustment (COLA)	• PA form • PPDB update • Pay change • Pay freeze	• Employee • Manager, Supervisor, Appointing Authority • Agency HR • DAS • OSPA	• PPDB • OSPA • PEBB • PERS • Vantage (Legislature) • TOPAS (ODOT)

d. HR3.05 Pay Changes could-be diagram

Below is the could-be diagram for the pay changes–personnel administration processing area.



6. HR3.06 Administer Separations

This business area covers the management and administration of employee separations.

a. HR3.06 Administer Separations process summaries

Below are the process summaries for the administer separations−personnel administration processing area.

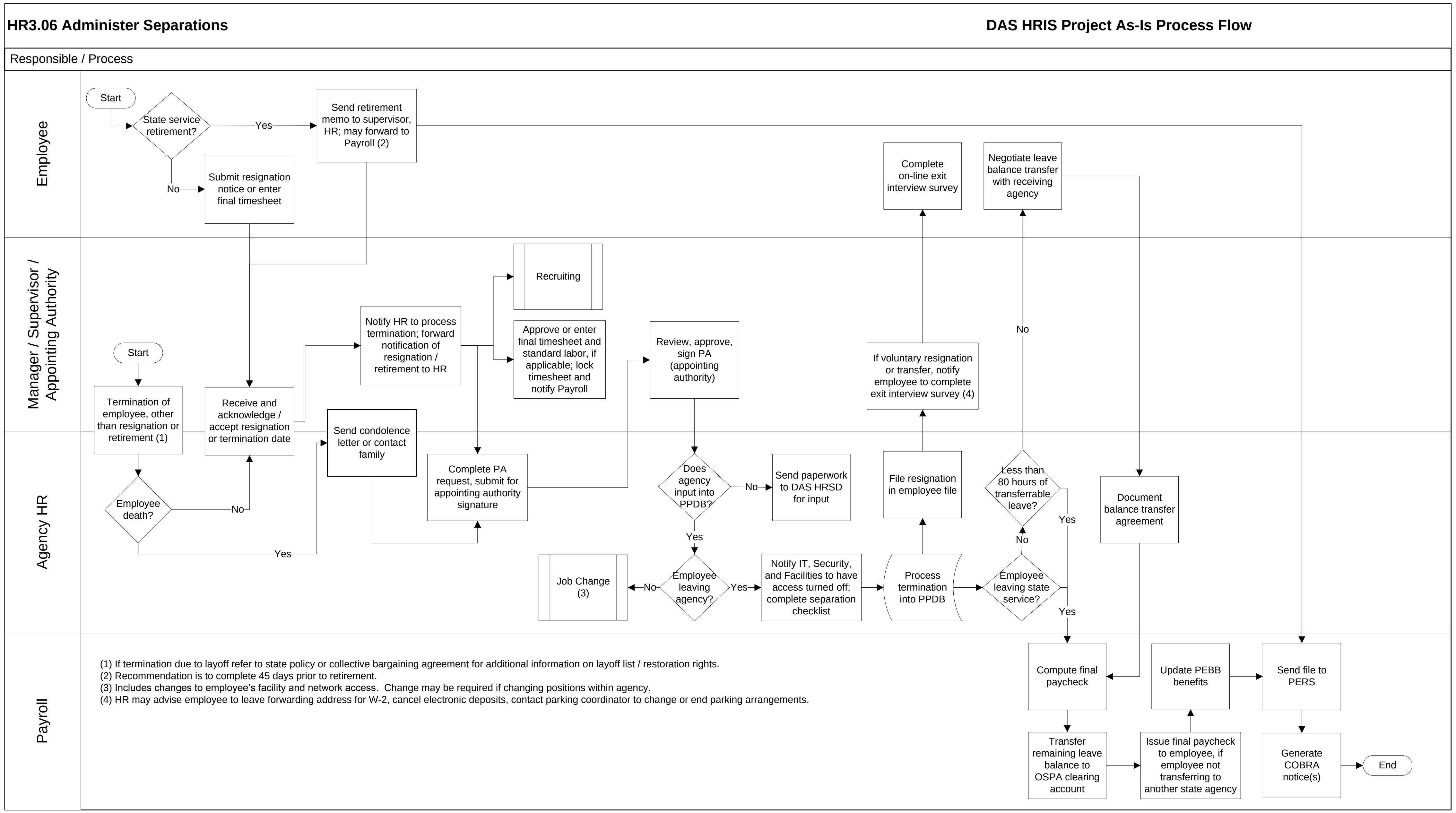
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to administer employee separations as a result of termination, including retirement, resignation, or death.
Process triggers	This process can start if an employee is retiring from an agency, retiring from state service, or has submitted a resignation to leave an agency. It can also start as a result of an employee's death or if an employee is terminated for a reason other than a resignation or retirement.
Inputs	The inputs to this process include the following: • Employee resignation/retirement • Employee termination not due to resignation or retirement • PA form • CBAs
Activities	The following activities are being performed in this process: **Employee** • Determine if it is state service retirement • Submit resignation notice, retirement notice, or enter final timesheet • Complete online exit interview survey • Negotiate leave balance transfer with receiving agency, if applicable **Manager/supervisor/appointing authority** • Receive and acknowledge/accept resignation or termination date • Forward notification of resignation/retirement, termination, or employee death to human resources • Send condolence letter or contact family if termination is from an employee death (if applicable) • Initiate the recruiting process • Approve or enter final timesheet and standard labor, if applicable, lock timesheet, and notify payroll • Review, approve, and sign PA (appointing authority) • If applicable, notify employee to complete exit interview survey **Agency human resources**

Process Step	Description
	• Send condolence letter or contact family if termination is from an employee death (if necessary, and not sent by the manager/supervisor) • Receive and acknowledge/accept resignation or termination date • Complete PA request and submit for appointing authority signature • For transfers, document leave balance and balance transfer agreement • Initiate the job change process • Notify IT, security, and facilities to have access turned off and to complete separation checklist • Process termination into PPDB or forward to DAS for entry • File resignation in employee file **Payroll** • Transfer remaining leave balance to OSPA clearing account • Compute and issue final paycheck to employee if employee is not transferring to another state agency • Update PEBB benefits • Send file to PERS • Generate Consolidated Omnibus Budget Reconciliation Act (COBRA) notice(s)
Method	The process is performed with inputs to and outputs from multiple systems.
Outputs/work products	The outputs of this process include the following: • Paycheck • IT and building security inactivated • Leave balance transfer • Position vacancy • Assigned equipment returned • Exit interview results • COBRA notification • PA form
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; layoff/removal policy number 50.025.01; drug-free workplace policy number 50.000.01; employment at will; and Oregon law 652.140 for payment of wages on termination of employment
Strengths	COBRA notices are always generated and a retirement checklist and separation checks are both available

Process Step	Description
Weaknesses	Retirement process can be lengthy and frustrating (the recommendation is to complete notice of retirement forty-five days prior to retirement); calculation of retirement estimates are inconsistent or inaccurate but would remain as an output from PERS (estimate for retirement is not always accurate and employees have had to "un-retire" because they did not qualify for retirement); inability to track reasons for voluntary separations; manual transfer of paperwork for processing; manual notifications cancel/stop employee access; manual completion/tracking of retirement and separation checklist; manually tracking of assigned equipment; and manual notification to complete exit interview survey
Opportunities for improvement	Interface systems to verify retirement eligibility; flag employees eligible for retirement; track reasons for voluntary separations; automate paper processing; automate notifications to deactivate employee access, based on effective date; automate the retirement and separation checklists; track assigned equipment in the system; and automate notification to employee to complete exit interview survey
Systems	The following systems are used to prepare in this process: • PPDB • OSPA (interface) • APPL/CERT (interface) • PICS (vacancy) • PEBB benefits (file)/PERS Jclarety (file) • E-GOV LDAP (file)/RACF (file)

b. HR3.06 Administer Separations as-is diagram

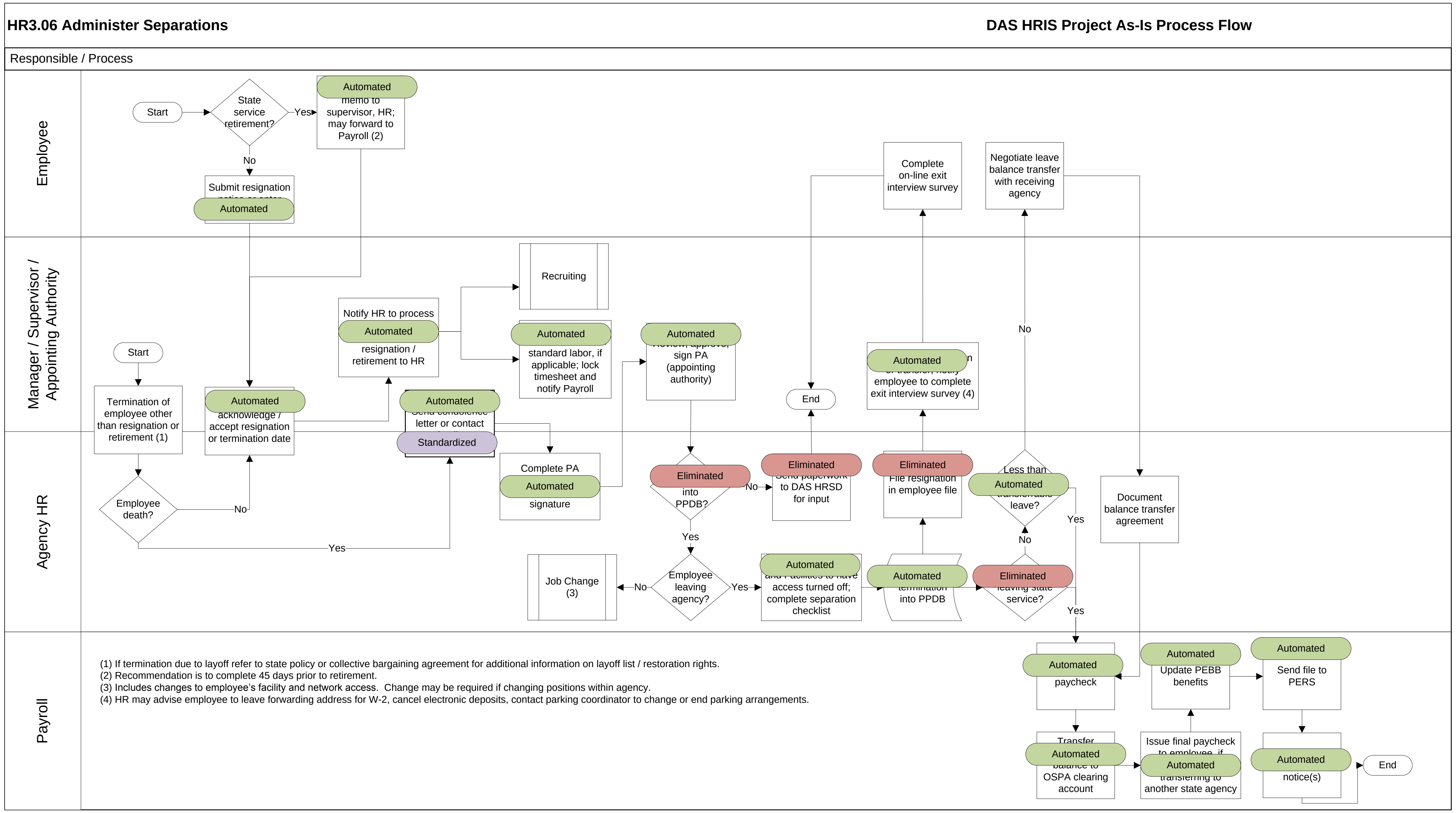
Below is the as-is diagram for the administer separations−personnel administration processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Employee resignation / retirement	• Paycheck	• Employees	• PPDB
• Employee termination not due to resignation / retirement	• IT and building security inactivated	• Manager / Supervisor / Appointing Authority	• OSPA (interface)
• Personnel Action (PA) form	• Leave balance transfer	• Agency HR	• APPL/CERT (interface)
• Collective bargaining agreements	• Position vacancy	• Payroll	• PICS (vacancy)
	• Assigned equipment returned	• IT	• PEBB benefits (file) / PERS Jclarety (file)
	• Exit interview results	• Security	• E-GOV LDAP (file) / RACF (file)
	• COBRA notification	• Facilities	
	• PA form		

c. HR3.06 Administer Separations marked-up diagram

Below is the marked-up diagram for the administer separations−personnel administration processing area.



Inputs
- Employee resignation / retirement
- Employee termination not due to resignation / retirement
- Personnel Action (PA) form
- Collective bargaining agreements

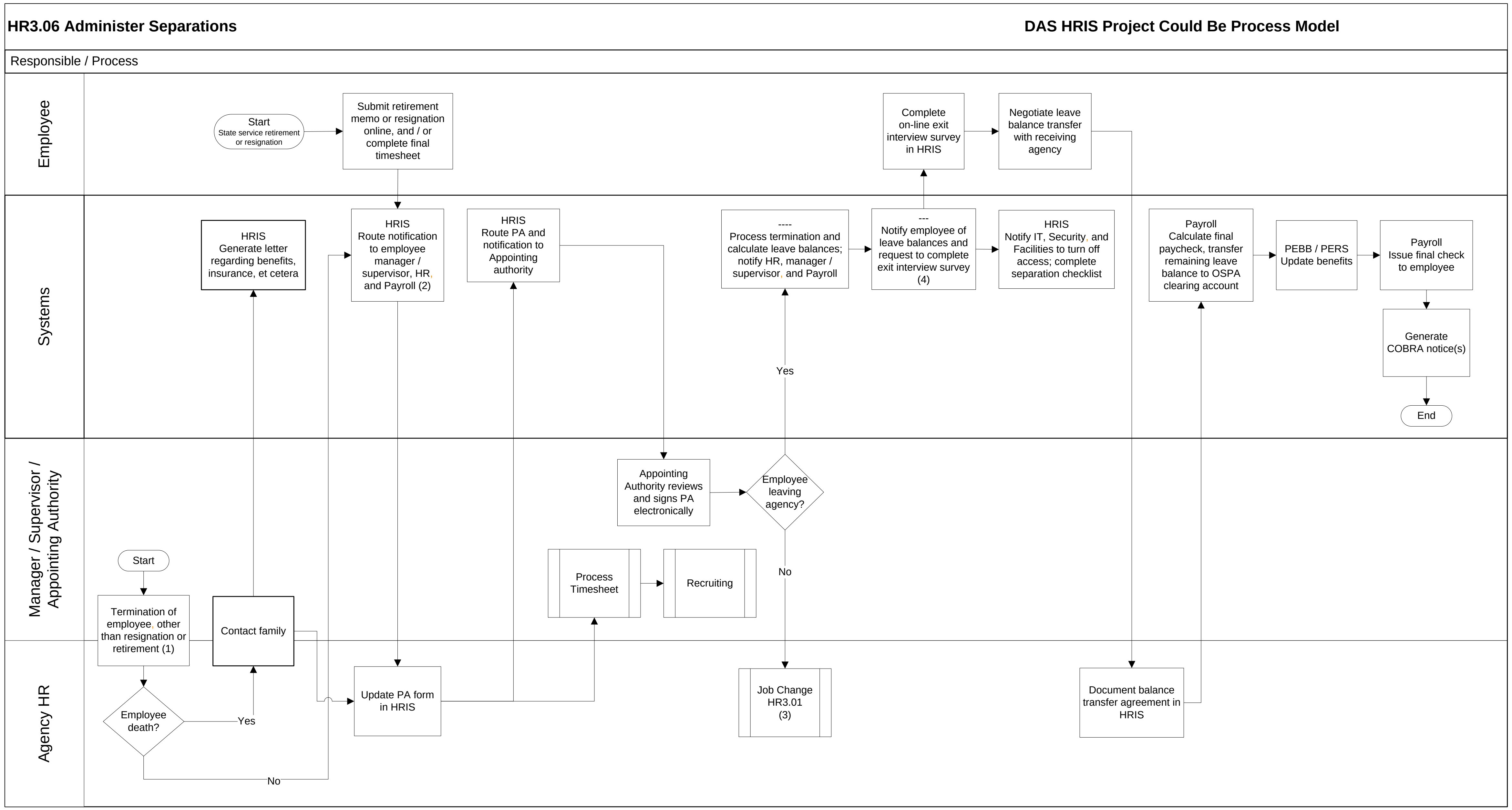
Outputs
- Paycheck
- IT and building security inactivated
- Leave balance transfer
- Position vacancy
- Assigned equipment returned
- Exit interview results
- COBRA notification
- PA form

Customers
- Employees
- Manager / Supervisor / Appointing Authority
- Agency HR
- Payroll
- IT
- Security
- Facilities

Systems/Interfaces
- PPDB
- OSPA (interface)
- APPL/CERT (interface)
- PICS (vacancy)
- PEBB benefits (file) / PERS Jclarety (file)
- E-GOV LDAP (file) / RACF (file)

d. HR3.06 Administer Separations could-be diagram

Below is the could-be diagram for the administer separations–personnel administration processing area.



(1) If termination due to layoff, refer to state policy or collective bargaining agreement for additional information on layoff list / restoration rights.
(2) Recommendation is to complete 45 days prior to retirement.
(3) Includes changes to employee's facility and network access. Change may be required if changing positions within agency.
(4) HR may advise employee to leave forwarding address for W-2, cancel electronic deposits, and contact parking coordinator to change or end parking arrangements.

7. HR3.07 Temporary Extensions

This business area covers the management and administration of employee temporary extensions.

a. HR3.07 Temporary Extensions process summaries

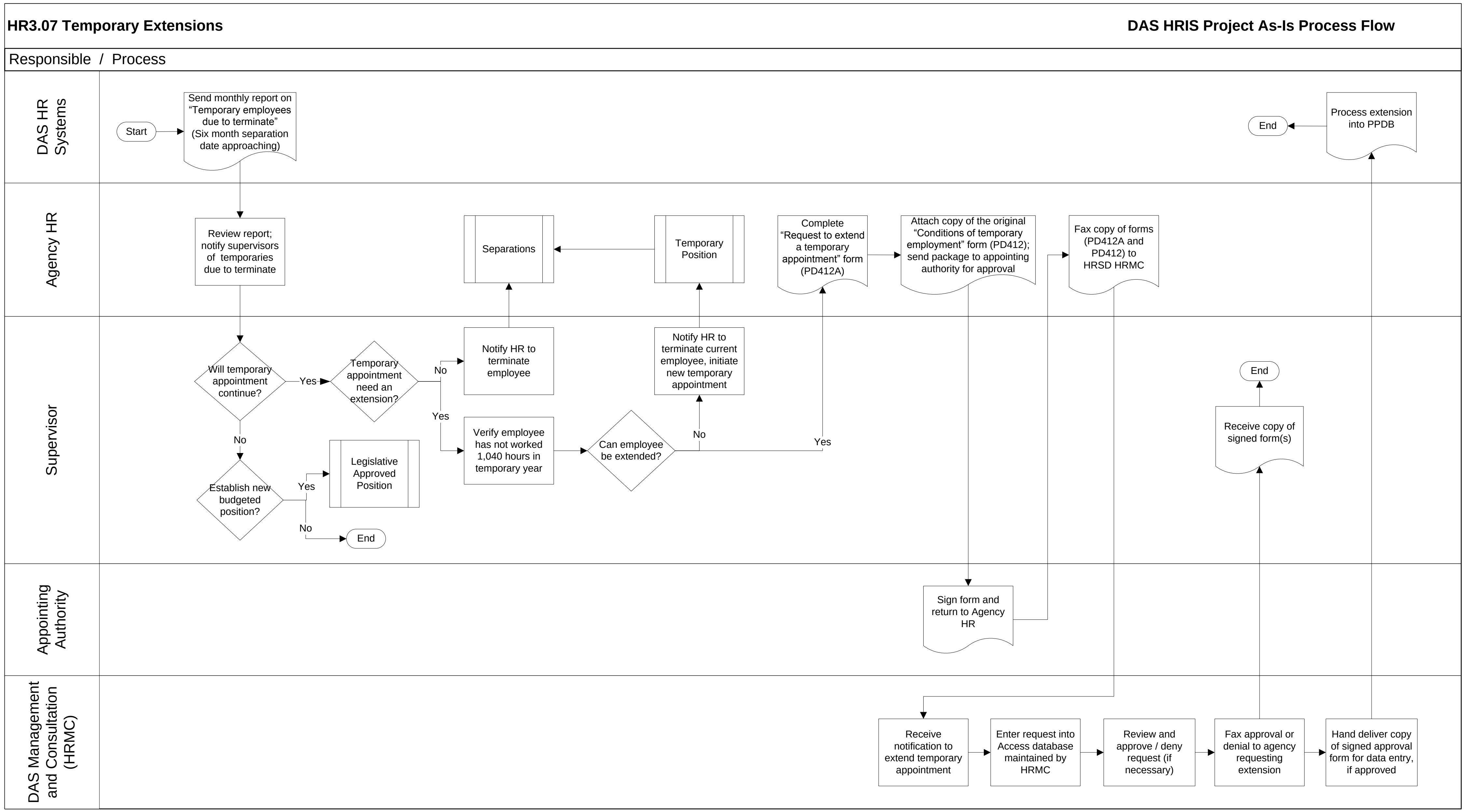
Below are the process summaries for the temporary extensions−personnel administration processing area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer extensions of temporary position assignments. The process includes verifying if the temporary employee has not worked more than 1,040 hours so that he or she can remain a temporary employee.
Process triggers	This process can start with a review of the monthly report called "Temporary Employees Due to Terminate."
Inputs	The inputs to this process include the following: • Temporary employee assignment • "Temporary Employees Due to Terminate" report
Activities	The following activities are being performed in this process: **DAS human resources systems** • Send monthly report on "Temporary Employees Due to Terminate" (six month separation date approaching) • Process extension into PPDB **Agency human resources** • Review report and notify supervisors of temporary employees due to terminate • Process review results/decision, including: – Initiate the separations process – Initiate the temporary position process – Complete the request to extend a temporary appointment form (PD412A) and supporting documentation (conditions of temporary employment form (PD412) • Obtain appointing authority approval • Fax copy of forms (PD412A and PD412) to HRSD human resources management and consultation (HRMC), when appropriate **Supervisor** • Determine if temporary appointment will continue • Determine if the temporary employee is eligible to continue appointment by verifying employee has/will not work in excess

Process Step	Description
	of 1,040 hours in temporary year • Notify human resources of desired action, which can include: – Terminate employee – Extend employee – Initiate new temporary appointment – Establish a new budgeted position to replace the temporary position • Initiate the legislative approved position process **Appointing authority** • Sign request to extend a temporary appointment form (PD412A) and/or conditions of temporary employment form (PD412) and return it to agency human resources **DAS HRMC** • Review and approve/deny request to extend temporary appointment • Track request into access database that HRMC maintains • Fax approval or denial to agency that requests extension • Hand deliver copy of signed approval form for data entry, if approved
Method	The process is performed with data entry in Microsoft Access and PPDB.
Outputs/work products	The outputs of this process include the following: • Conditions of temporary employment form (PD412) • Request to extend a temporary appointment form (PD412A)
Laws, regulations, and policies that govern process	Include, but not limited to: temporary appointments policy number 40.025.01 and recruitment and selection record retention policy number 40.010.01
Strengths	Ability to fill temporary need, renew current employee, and monthly report of temporary employees due to terminate
Weaknesses	Hand delivery of signed approval form for data entry; inability to track calendar year by temporary employee; manual tracking of hours by employee (not to exceed 1,040 hours); and agency-specific processes and tracking
Opportunities for improvement	Automate notifications to supervisor for employees due to terminate; automate notification for temporary employees who reach 1,040 hours across all agencies; establish a uniform process across all agencies; and automate/store documents to eliminate hand delivery and duplicate data entry
Systems	The following systems are used to prepare in this process: • PPDB • Access database

b. HR3.07 Temporary Extensions as-is diagram

Below is the as-is diagram for the temporary extensions−personnel administration processing area.



Inputs
- Temporary employee
- "Employees due to terminate" report

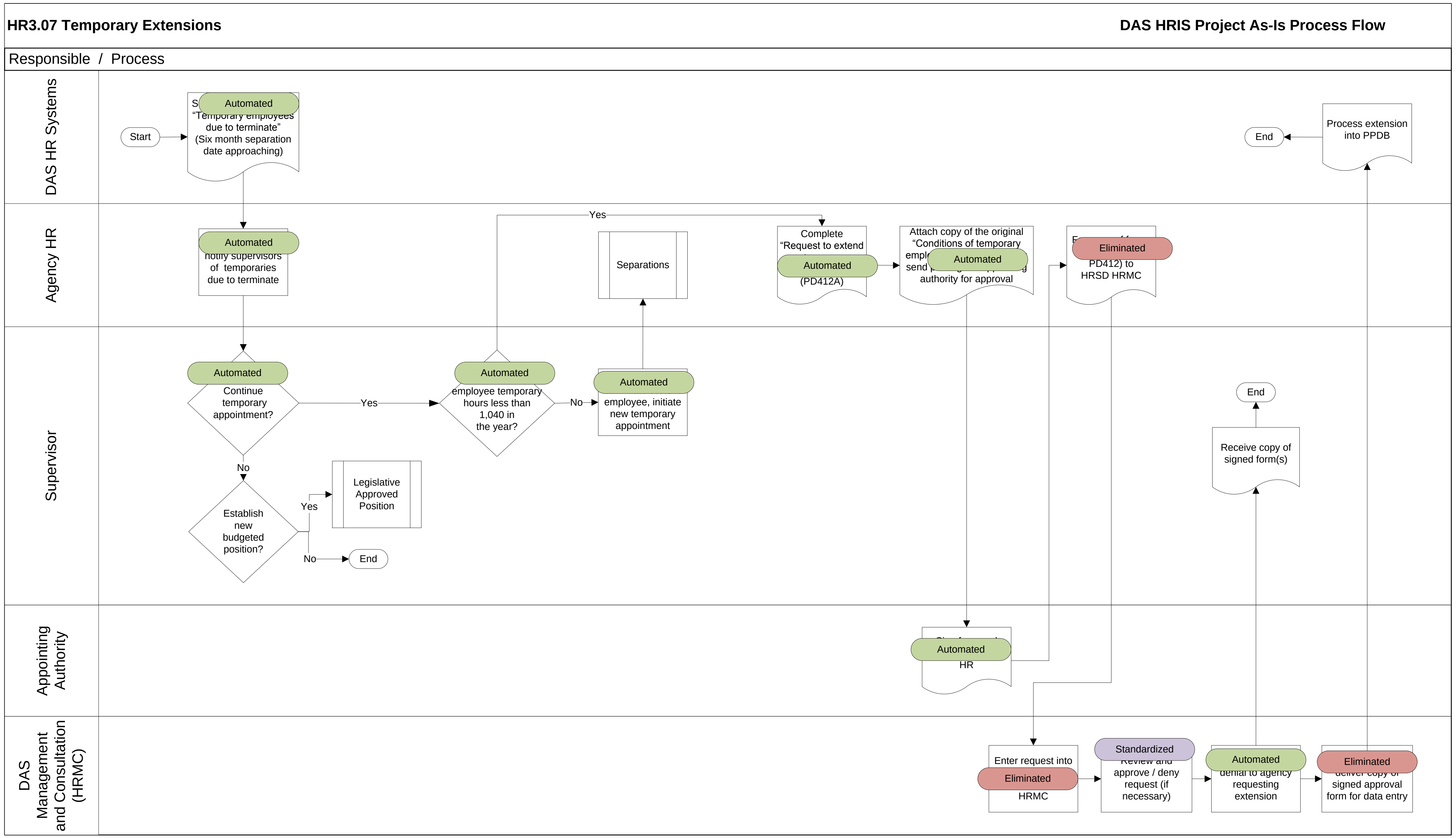
Outputs
- "Conditions of temporary employment" form (PD412)
- "Request to extend a temporary appointment" form (PD412A)

Customers
- DAS HR Systems
- Agency HR Office
- Supervisor
- Appointing Authority
- DAS Management and Construction (HRMC)
- Employee

Systems/Interfaces
- PPDB
- Access database

c. HR3.07 Temporary Extensions marked-up diagram

Below is the marked-up diagram for the temporary extensions−personnel administration processing area.



Inputs
- Temporary employee
- "Employees due to terminate" report

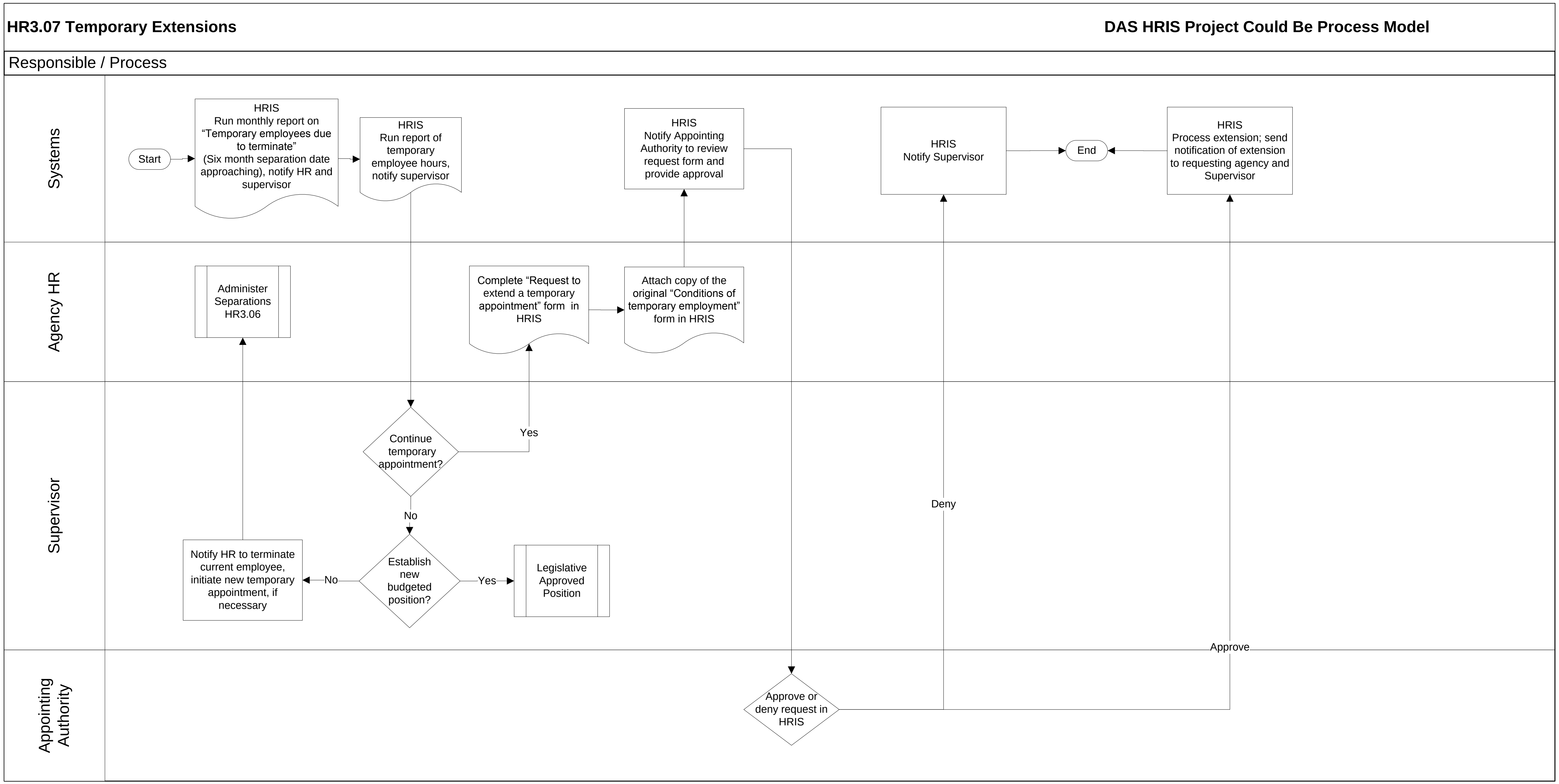
Outputs
- "Conditions of temporary employment" form (PD412)
- "Request to extend a temporary appointment" form (PD412A)

Customers
- DAS HR Systems
- Agency HR Office
- Supervisor
- Appointing Authority
- DAS Management and Construction
- Employee

Systems/Interfaces
- PPDB
- Access database

d. HR3.07 Temporary Extensions could-be diagram

Below is the could-be diagram for the temporary extensions−personnel administration processing area.



D. Classification and Compensation

The following contains the process summary, as-is, marked-up, and the could-be diagrams for classification and compensation.

1. HR4.01 Administer Compensation Plans

This business area covers the administration of compensation plans.

a. HR4.01 Administer Compensation Plans process summaries

Below are the process summaries for the administer compensation plans−classification and compensation area.

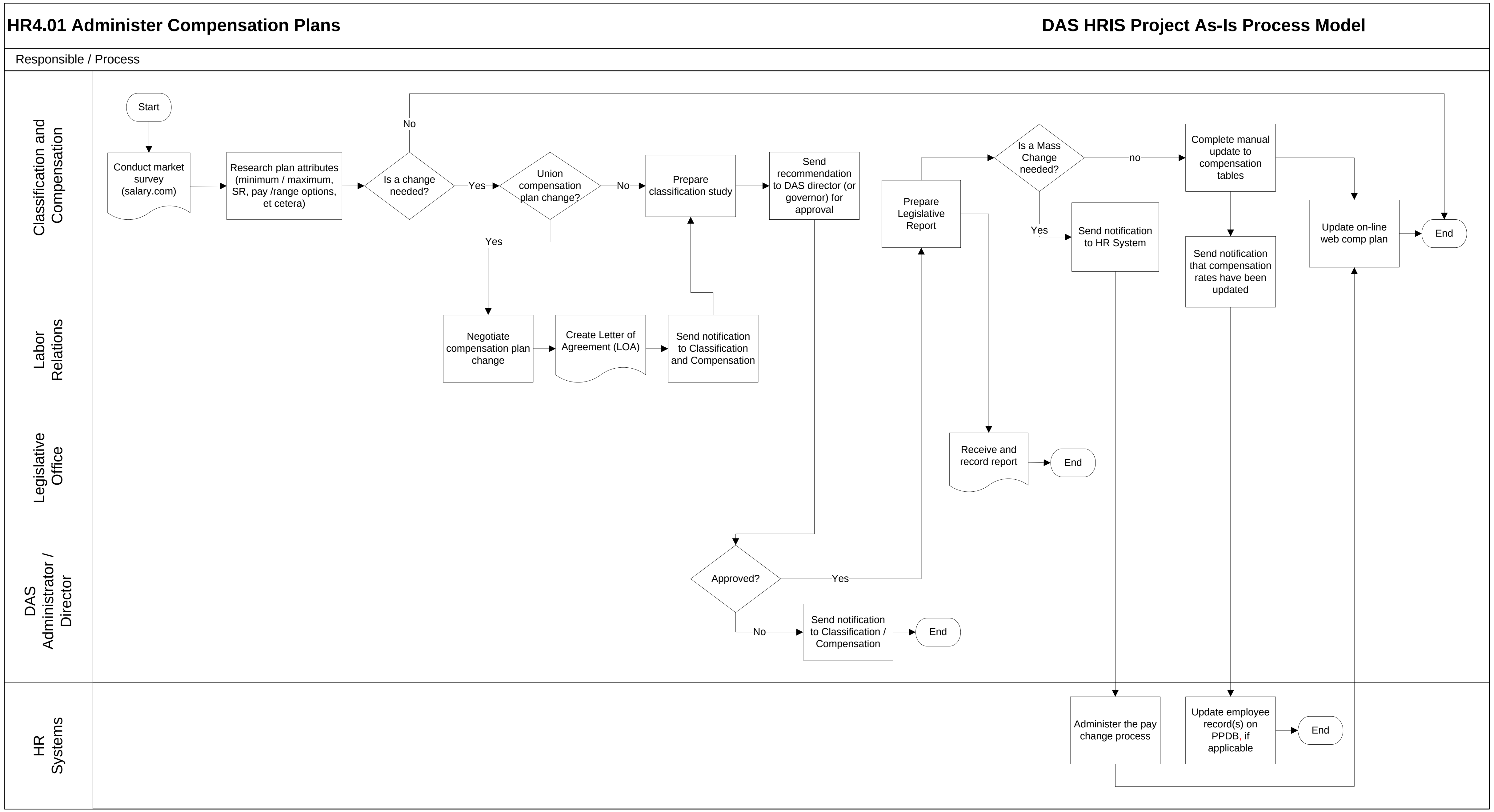
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to analyze, approve, and implement changes to compensation plans.
Process triggers	This process begins with the completion of a market survey that assesses the particular job classification.
Inputs	The inputs to this process include the following: • Market (salary) survey • Collective bargaining contract • Letter of agreement (LOA) • Management directive • Classification study
Activities	The following activities are being performed in this process: **Classification and compensation section** • Conduct market survey (salary.com) • Research plan attributes (minimum/maximum, SR, pay/range options, et cetera) • Determine if a change is needed • Determine if there is a union compensation plan change • Prepare classification study • Send recommendation to DAS director (or governor) for approval • Prepare legislative report • Determine if a mass change is needed • Send notification to human resources system • Complete a manual update to compensation tables • Send notification that compensation rates have been updated • Update online web compensation plan

Process Step	Description
	Labor relations section • Negotiate compensation plan change • Create LOA • Send notification to classification and compensation • Send notification that compensation rates have been updated **Legislative office** • Receive and record the legislative report(s) **DAS/administrative director** • Provide approval for the classification study • Send notification to classification/compensation
Method	The process is performed manually, with data entry into and reporting from statewide personnel systems.
Outputs/work products	The outputs of this process include the following: • Classification study • Recommendations • Legislative report(s) • Compensation plan reports • Web compensation plan updates
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; state policy numbers10.011.01 for employee personnel records for classification plan development and maintenance; 105-020-0001 comparability of work; 20.005.01 general compensation policy; 20.005.05 merit pay system; 20.005.10 pay practices; 20.005.15 exceptions to Hay evaluated salary; 20.005.20 Fair Labor Standards Act; and 30.005.01 effect of position classification change on incumbents
Strengths	The process incorporates internal controls and multiple levels of review and approval.
Weaknesses	Analysis of complex data is manual; data is not delivered electronically; notifications occur manually; outputs are created manually, outside the system; implementation of approved changes occurs manually and in multiple systems
Opportunities for improvement	Automation of analysis functionality, such as what-if modeling; ability to develop simultaneous multiple versions; workflow automation; integration with personnel records; automate and standardize employee and agency notification; and role-based security could support cooperative inter-unit development and analysis and shorten review and approval cycles
Systems	The following systems are used to prepare in this process: • PPDB • PICS • Web

Process Step	Description
	• OSPS

b. HR4.01Administer Compensation Plans as-is diagram

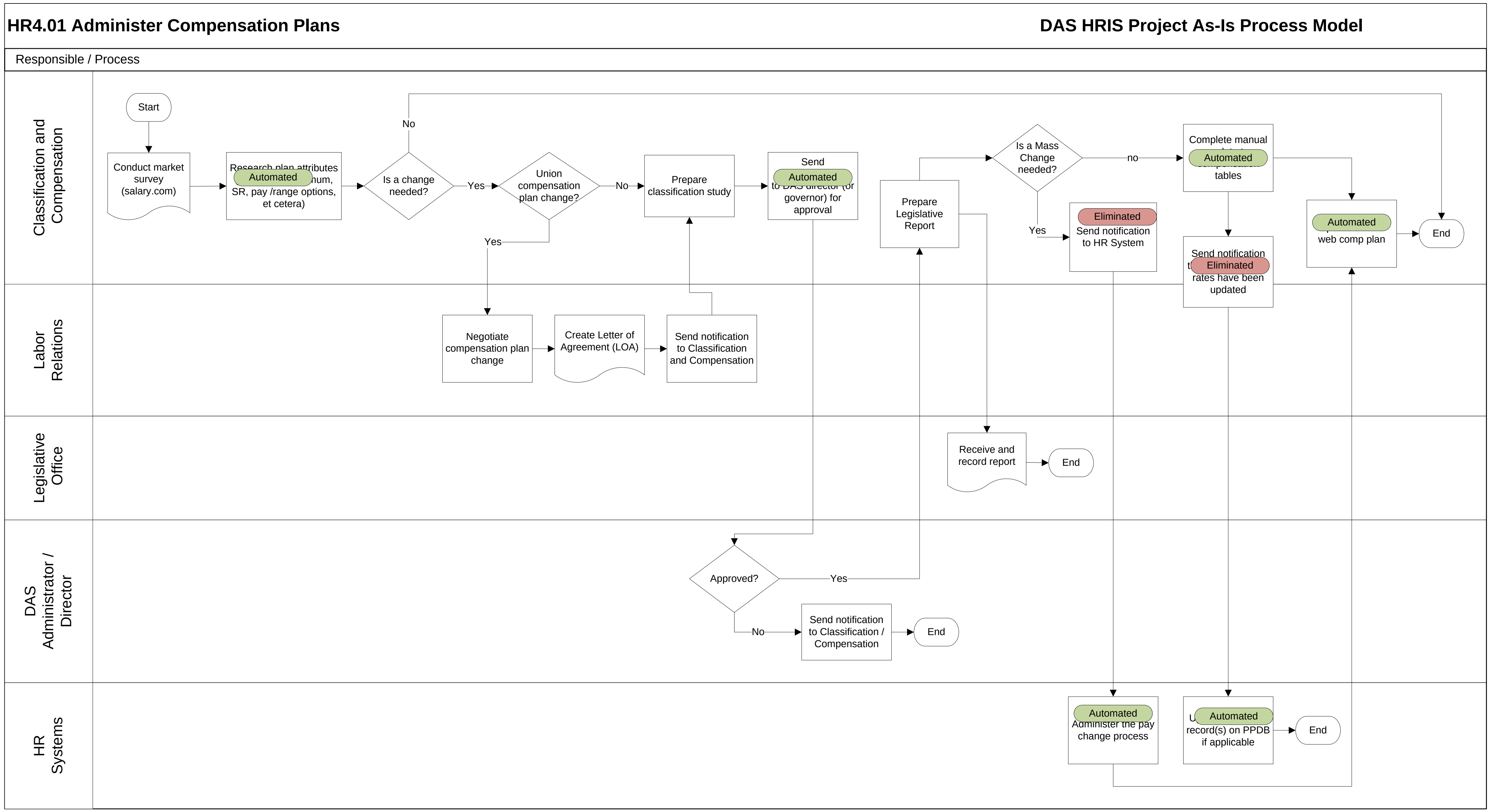
Below is the as-is diagram for the administer compensation plans−classification and compensation processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Collective Bargaining Contract • Letter of Agreement (LOA) • Management Directive • Salary Survey • Classification Study	• Compensation Plan Reports • Web Compensation Plan	• Legislature • Labor Relations • DAS Administrator/Director • DAS HR Systems • State Agencies • Employees	• PPDB • PICS • Web • OSPS

c. HR4.01Administer Compensation Plans marked-up diagram

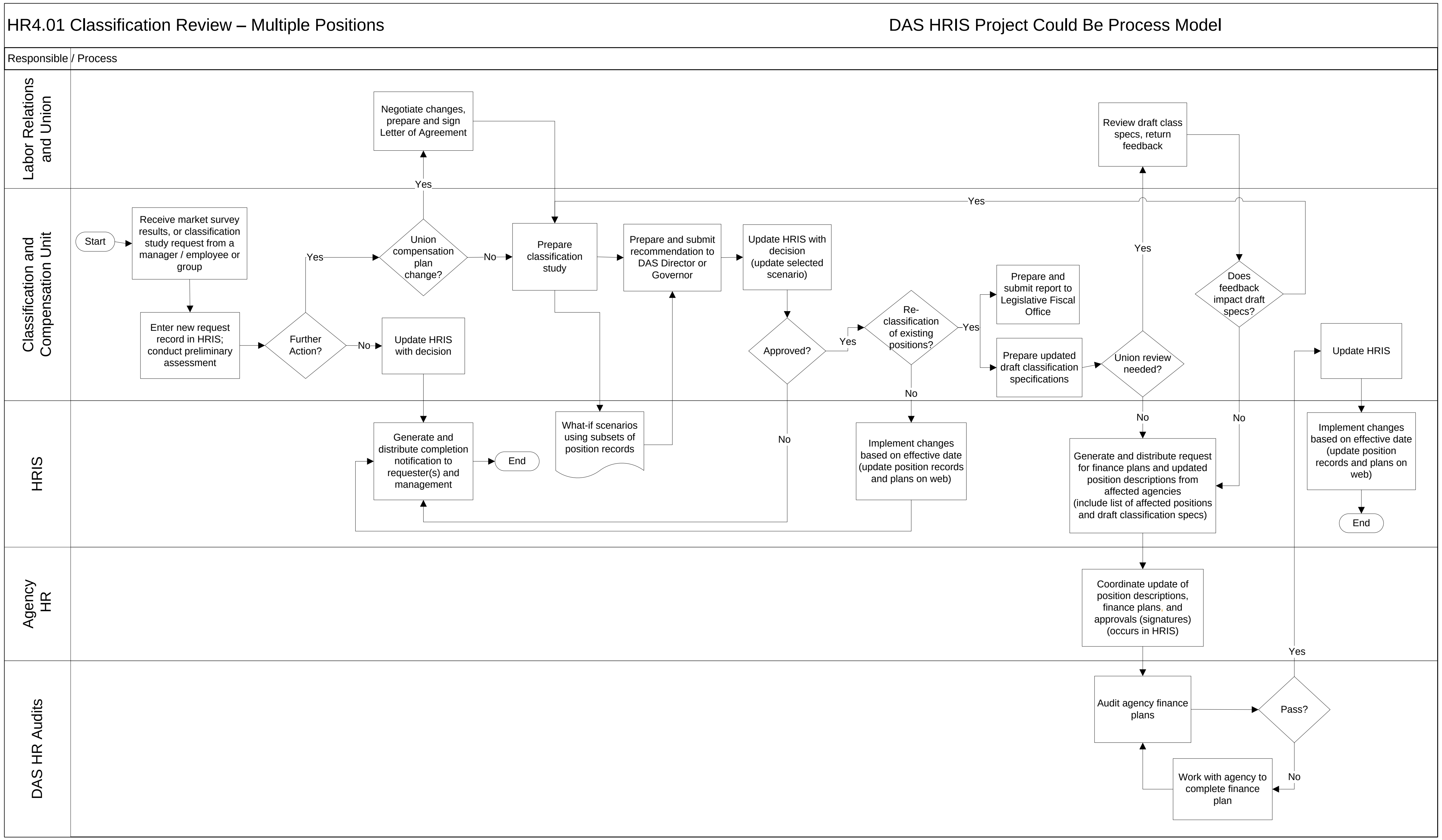
Below is the marked-up diagram for the administer compensation plans−classification and compensation processing area.



Inputs	**Outputs**	**Customers**	**Systems/Interfaces**
• Collective Bargaining Contract • Letter of Agreement (LOA) • Management Directive • Salary Survey • Classification Study	• Compensation Plan Reports • Web Compensation Plan	• Legislature • Labor Relations • DAS Administrator/Director • DAS HR Systems • State Agencies • Employees	• PPDB • PICS • Web • OSPS

d. HR4.01Administer Compensation Plans could-be diagram

Below is the could-be diagram for the administer compensation plans−classification and compensation processing area.



2. HR4.02 Administer Reallocations

This business area covers the administration of reallocations in the classification and compensation plans.

a. HR4.02 Administer Reallocation process summaries

Below are the process summaries for the administer reallocation–classification and compensation area.

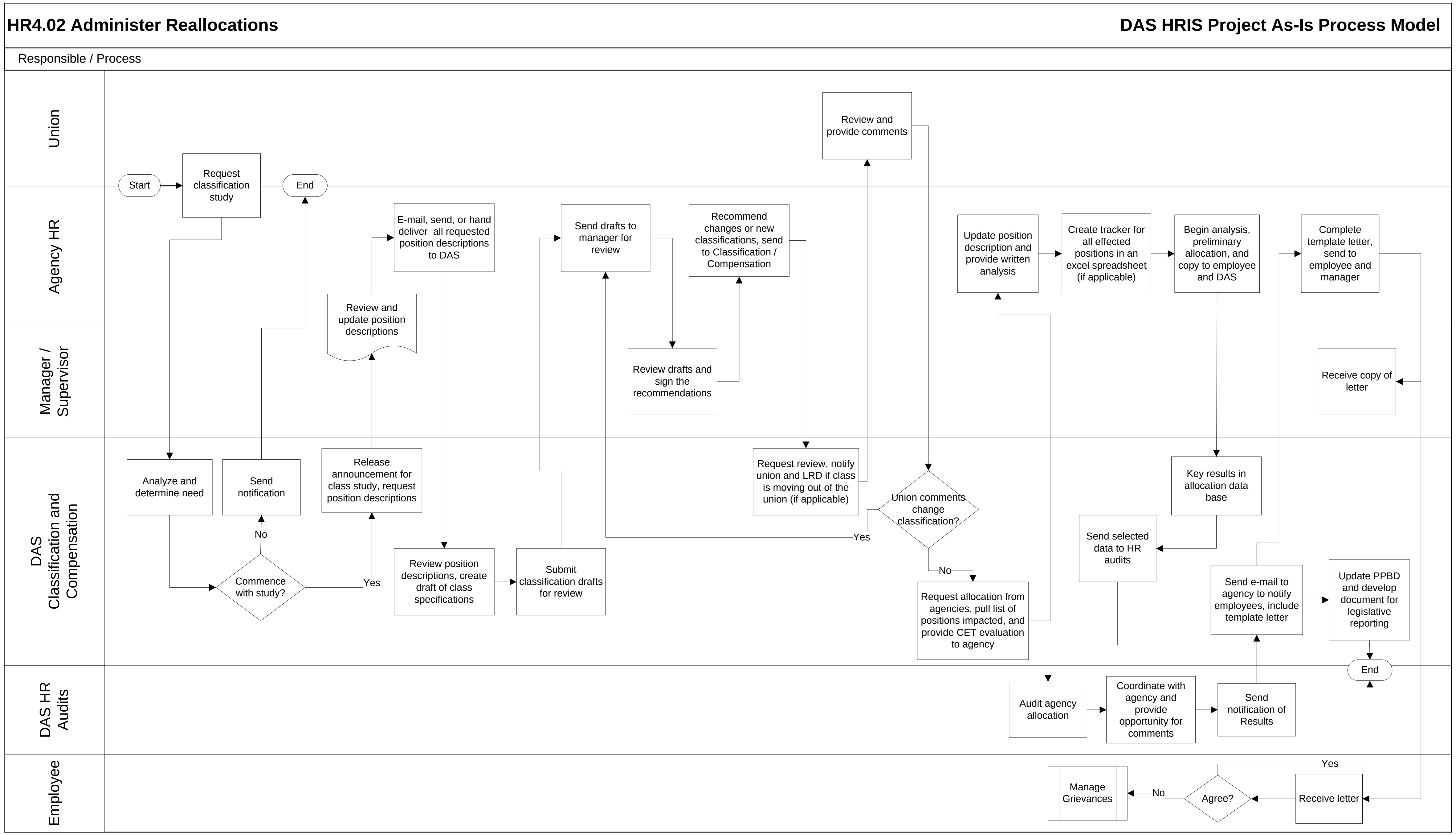
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to analyze, approve, and implement changes that result from classification studies that a union or state agency requests.
Process triggers	This process begins with a union or an agency human resources unit's request for a review of specific job classification(s).
Inputs	The inputs to this process include the following: • Position descriptions • Personnel action forms • Classification specifications • Union review and comments • Agency allocation lists • Reallocation letter template • Request for classification study
Activities	The following activities are being performed in this process: **Union** • Request classification study • Review and provide comments **Agency human resources** • Review and update position descriptions • E-mail, send, or hand deliver all requested position descriptions to DAS • Send classification drafts to manager for review • Recommend changes or new classifications and send to classification/compensation • Update position description and provide written analysis • Create a tracker for all affected positions in an Excel spreadsheet (if applicable) • Begin analysis, preliminary allocation, and copy to employee and DAS • Complete template letter and send to employee and manager **Manager/supervisor** • Review and update position descriptions • Review drafts and sign the recommendations

Process Step	Description
	• Receive copy of letter **Classification and compensation section** • Analyze and determine need of classification study • Decide to commence with the study • Release announcement for class study and request position descriptions • Submit classification drafts for review • Review position descriptions and create draft of class specifications • Request review and notify union and labor relations division LRD if class is moving out of the union (if applicable) • Decide if the union comments change classification • Request allocation from agencies, pull list of positions impacted, and provide central evaluation team evaluation to agency • Send selected data to human resources audits • Key results in allocation database • Send e-mail to agency to notify employees and include template letter • Update PPBD and develop document for legislative reporting **DAS human resources audits section** • Audit agency allocation • Coordinate with agency and provide opportunity for comments • Send notification of results **Employee** • Receive letter • Determine if in agreement with results • Initiate a grievance process if not in agreement
Method	The process is performed manually, with data entry into and reporting from statewide personnel systems.
Outputs/work products	The outputs of this process include the following: • Position description updates • Classification specifications updates • PA forms • Position control forms • Organization hierarchy chart
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; state policy numbers 10.011.01 for employee personnel records; 20.000.01 for classification plan development and maintenance; 105-020-0001 comparability of work; 20.005.01 general compensation policy; 20.005.05 merit pay system;

Process Step	Description
	20.005.10 pay practices; 20.005.15 exceptions to hay evaluated salary; 20.005.20 Fair Labor Standards Act; and 30.005.01 effect of position classification change on incumbents
Strengths	The process incorporates internal controls and multiple levels of review and approval. The process is standardized between DAS and the agencies.
Weaknesses	Analysis of complex data is not automated; data is not delivered electronically; notifications occur manually; outputs are created manually, outside the system; implementation of approved changes occurs manually and in multiple systems; and wet signatures are required
Opportunities for improvement	Automation of analysis functionality, such as what-if modeling; ability to develop simultaneous multiple versions; workflow automation could eliminate manual notifications and wet signatures; integration with personnel records could automate implementation of changes; employee and agency notifications could be standardized and automated; and role-based security could support cooperative inter-unit development and analysis and shorten review and approval cycles
Systems	The following systems are used to prepare in this process: • PPDB • PICS • OSPA • List Serve

b. HR4.02Administer Reallocation as-is diagram

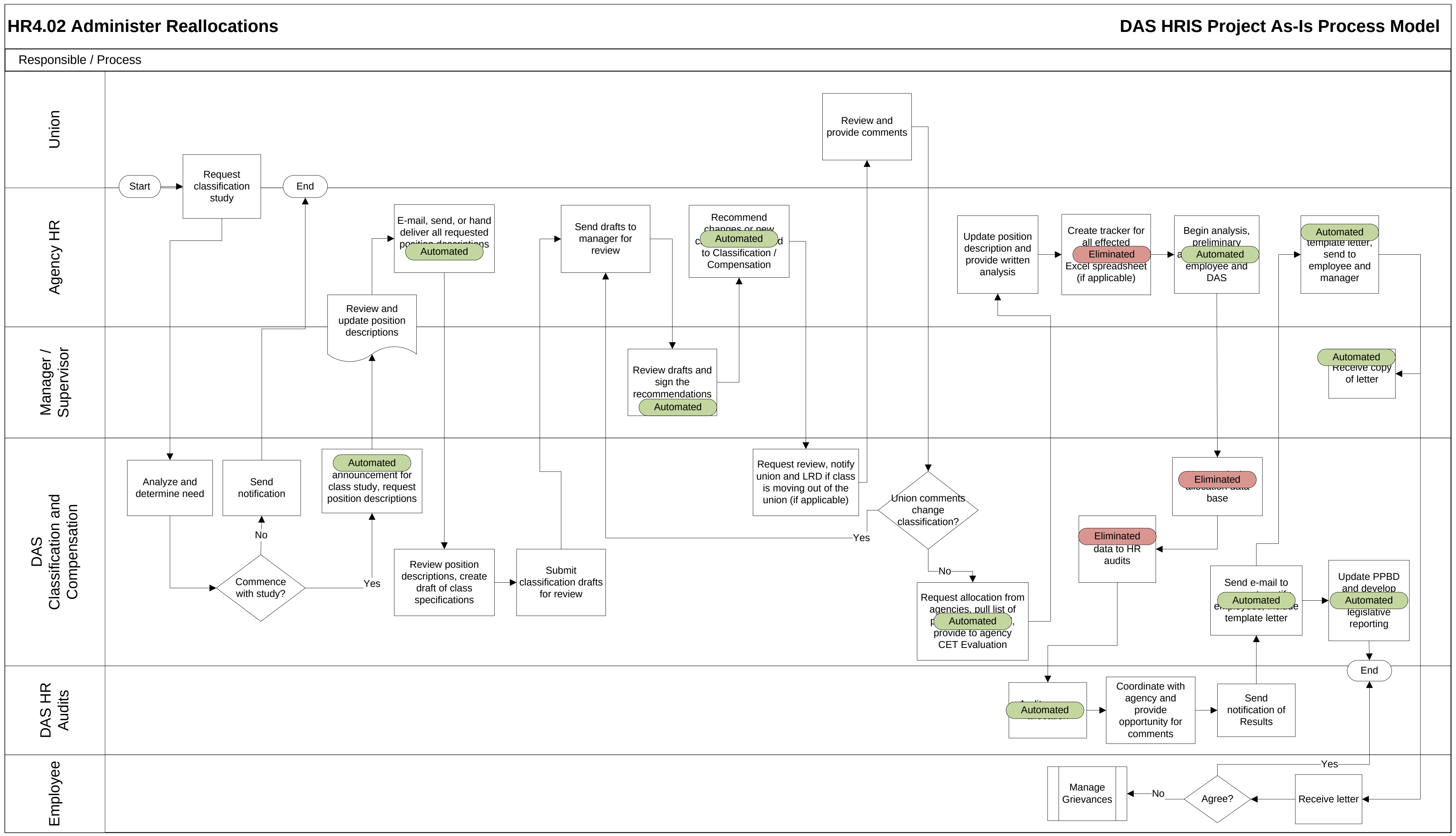
Below is the as-is diagram for the administer reallocation−classification and compensation processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Position Descriptions • Personnel Action • Reallocation Letter Template • Request for Classification Study	• Position Description • Classification Specifications • Personnel Action Form • Position Control Form • Organization Hierarchy Chart	• Employees • Manager/Supervisors • Union • DAS Class/Comp, Audits • Budget and Management	• PPDB • PICS • OSPA • List Serve

c. HR4.02Administer Reallocation marked-up diagram

Below is the marked-up diagram for the administer reallocation–classification and compensation processing area.



Inputs	Outputs	Customers	Systems/Interfaces
• Position Descriptions • Personnel Action • Reallocation Letter Template • Request for Classification Study	• Position Description • Classification Specifications • Personnel Action Form • Position Control Form • Organization Hierarchy Chart	• Employees • Manager/Supervisors • Union • DAS Class/Comp, Audits • Budget and Management	• PPDB • PICS • OSPA • List Serve

3. HR4.03 Salary Setting

This business area covers the salary setting process.

a. HR4.03 Salary Setting process summaries

Below are the process summaries for the salary setting−classification and compensation area.

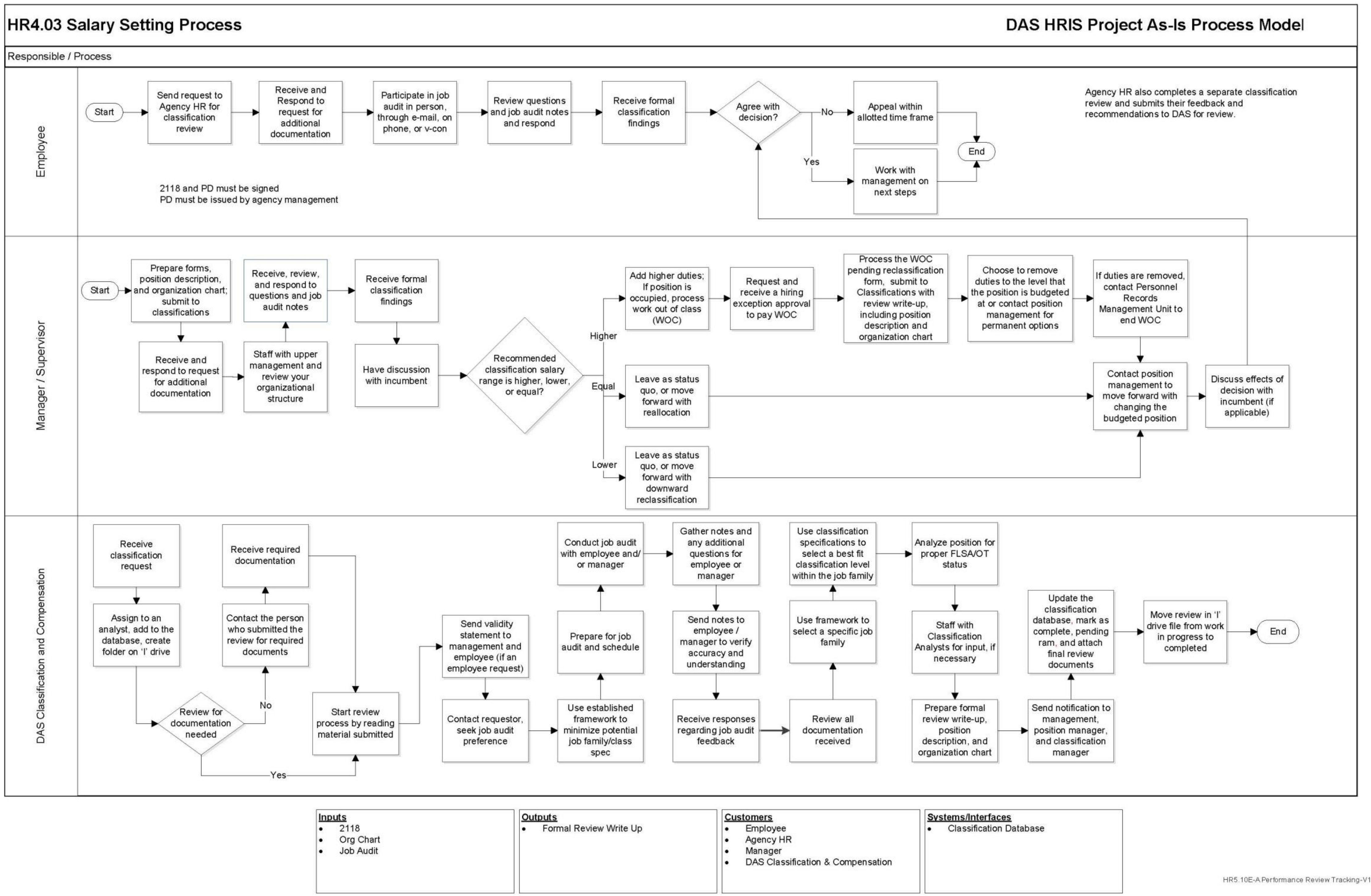
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to analyze, approve, and implement a position-specific salary change, including permanent resolution of a work out of class.
Process triggers	This process begins with the request for an employee and/or position manager’s review of specific position salary level b.
Inputs	The inputs to this process include the following: • Representative renewal or termination form 440-2118 • Organization chart • Job audit
Activities	The following activities are being performed in this process: **Employee** • Send request to agency human resources for classification review • Receive and respond to request for additional documentation • Participate in job audit in person or through e-mail, phone, or voice conference • Review questions and job audit notes and respond • Receive formal classification findings • Appeal within allotted time frame • Work with management on next steps **Agency manager/supervisor** • Prepare forms, position description, and organization chart and submit to classifications • Receive and respond to request for additional documentation • Receive and review questions and job audit notes and respond • Staff with upper management and review organizational structure • Receive formal classification findings • Have discussion with incumbent • Add higher duties; if position is occupied, process WOC • Request and receive a hiring exception approval to pay WOC • Process the WOC pending reclassification form and submit to classifications with review write-up, including position description and organization chart

Process Step	Description
	• Choose to remove duties to the level that the position is budgeted at or contact position management for permanent options • If duties are removed, contact personnel records management unit to end WOC • Leave as status quo or move forward with reallocation • Leave as status quo or move forward with downward reclassification • Contact position management to move forward with changes to the budgeted position • Discuss effects of decision with incumbent (if applicable) **<u>Agency HR or DAS classification and compensation for client agencies</u>** • Receive classification request • Assign to an analyst, add to the database, and create folder on 'I' drive • Contact the person who submitted the review for required documents • Receive required documentation • Read material submitted to start the review process • Send validity statement to management and employee (if an employee request) • Contact requestor and seek job audit preference • Use established framework to minimize potential job family/class specification • Prepare for job audit and schedule • Conduct job audit with employee and/or manager • Gather notes and any additional questions for employee or manager • Send notes to employee/manager to verify accuracy and understanding • Receive responses regarding job audit feedback • Review all documentation received • Use framework to select a specific job family • Use classification specifications to select a best-fit classification level within the job family • Analyze position for proper leave or overtime status • Staff with classification analysts for input, if necessary • Prepare formal review write-up, position description, and organization chart • Send notification to management, position manager, and classification manager • Update the classification database, mark as complete, pending

Process Step	Description
	ram, and attach final review documents • Move review in 'I' drive file from work in progress to completed
Method	The process is performed manually, with data entry into a section-specific tracking database.
Outputs/work products	The outputs of this process include the following: • Formal review write-up
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; state policy numbers 10.011.01 for employee personnel records; 20.000.01 for classification plan development and maintenance; 105-020-0001 comparability of work; 20.005.01 general compensation policy; 20.005.05 merit pay system; 20.005.10 pay practices; 20.005.15 exceptions to Hay evaluated salary; 20.005.20 Fair Labor Standards Act; and 30.005.01 effect of position classification change on incumbents
Strengths	The process is standardized between DAS and the agencies.
Weaknesses	Analysis of data is not automated; data is not delivered electronically; notifications occur manually; outputs are created manually, outside the system; implementation of approved changes occurs manually and in multiple systems; and wet signatures are required
Opportunities for improvement	Automation of analysis functionality, such as what-if modeling and ability to develop simultaneous multiple versions; workflow automation could eliminate manual notifications and wet signatures; integration with personnel records could automate implementation of changes; employee and agency notifications could be standardized and automated; and role-based security could support cooperative inter-unit development and analysis and shorten review and approval cycles
Systems	The following systems are used to prepare in this process: • Classification database

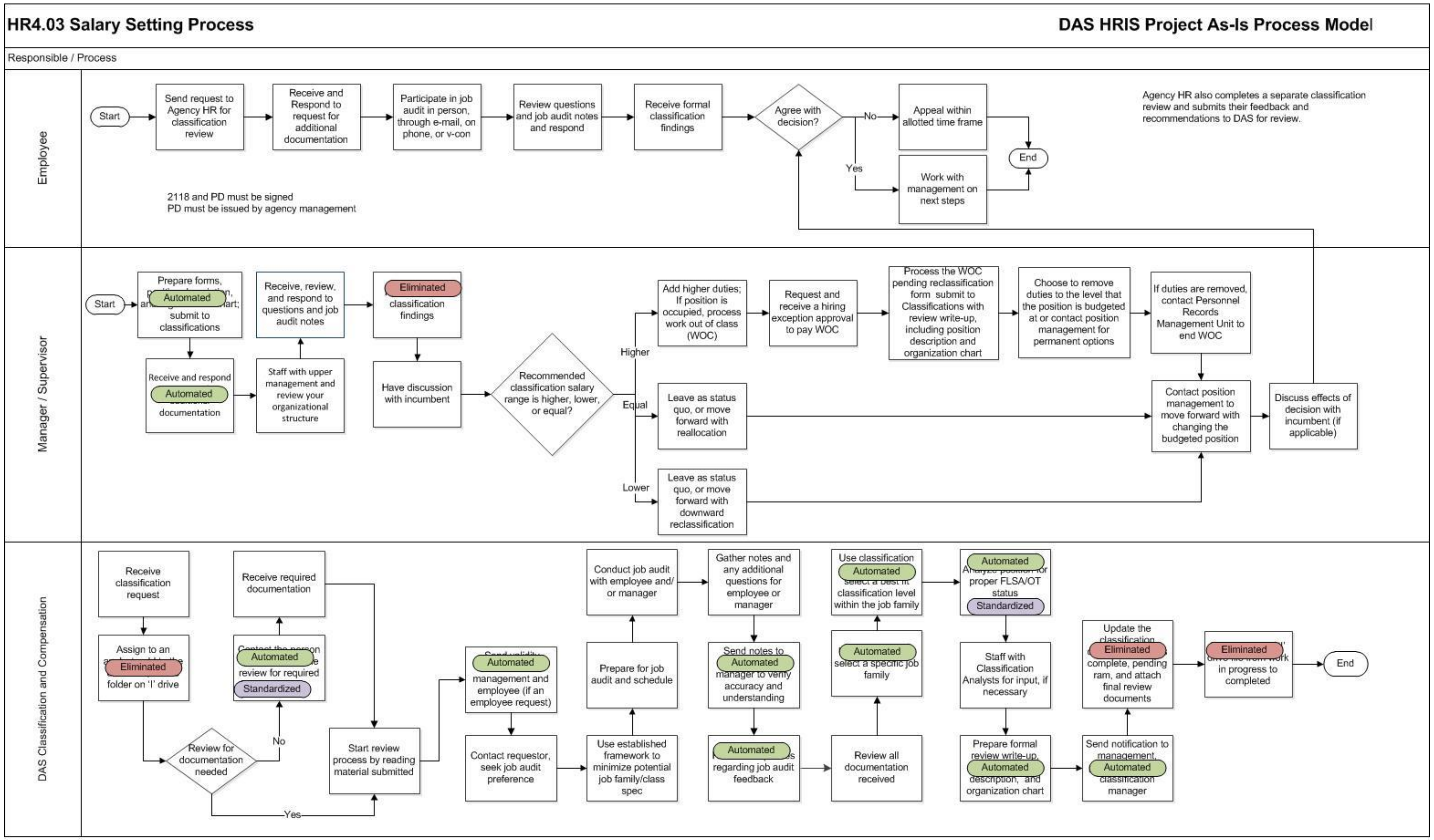
b. HR4.03Salary Setting as-is diagram

Below is the as-is diagram for the salary setting–classification and compensation processing area.



c. HR4.03Salary Setting marked-up diagram

Below is the marked-up diagram for the salary setting–classification and compensation processing area.



Inputs	**Outputs**	**Customers**	**Systems/Interfaces**
• 2118 • Org Chart • Job Audit	• Formal Review Write-Up	• Employee • Agency HR • Manager • DAS Classification & Compensation	• Classification Database

4. HR4.04 Classification

This business area covers the general classification process.

a. HR4.04 Classification process summaries

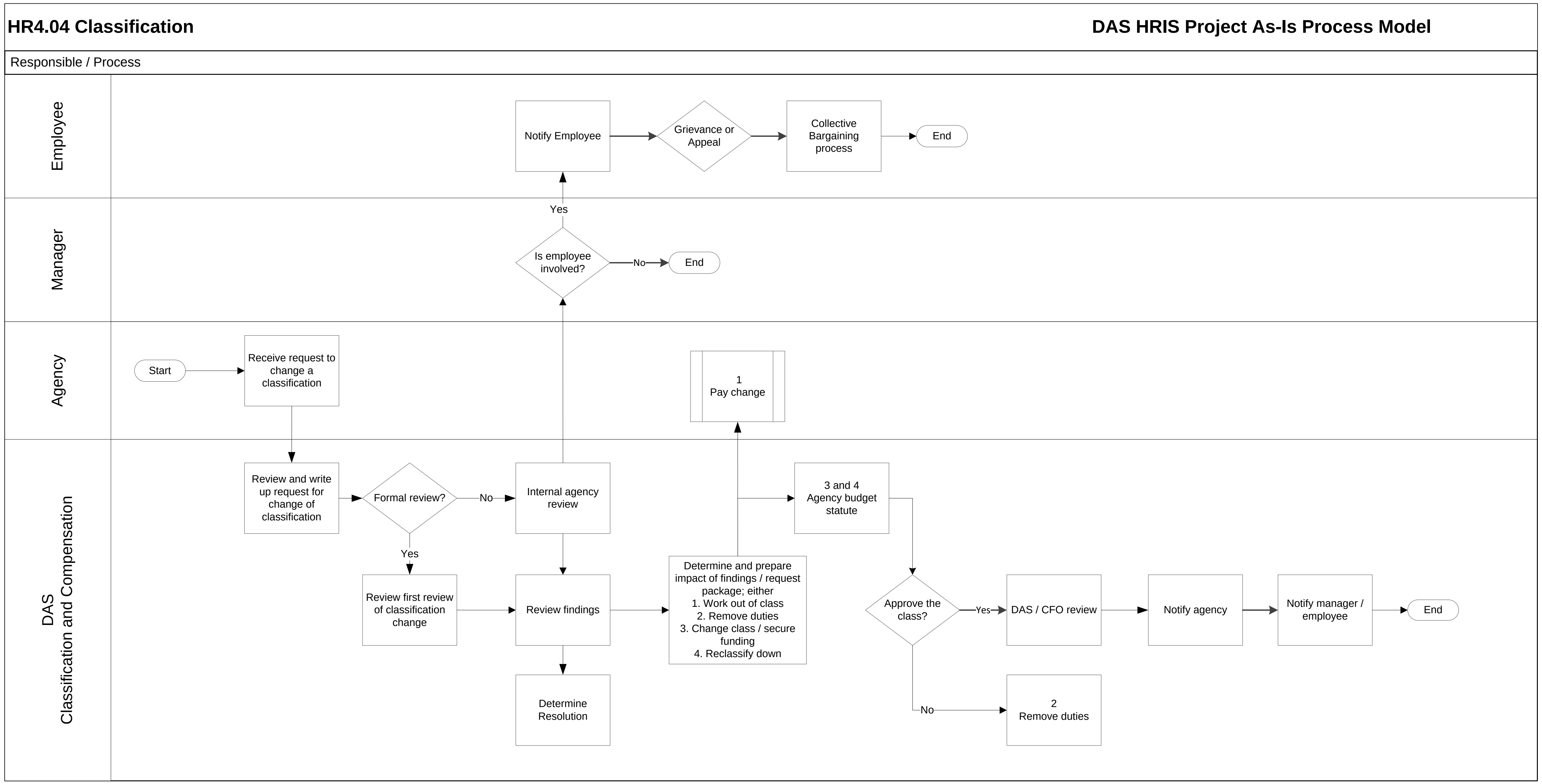
Below are the process summaries for the classification−classification and compensation area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to analyze, approve, and implement a position-specific classification change.
Process triggers	This process begins with the request for a position manager's review of a specific position classification.
Inputs	The inputs to this process include the following: • Position description • Request for classification review
Activities	The following activities are being performed in this process: **<u>Agency</u>** • Receive a request to change a classification • Complete the pay change process, if applicable **<u>Employee</u>** • Decide to file grievance or appeal • Collective bargaining process **<u>Manager</u>** • Determine if employee is involved **<u>Agency HR DAS classification and compensation section for client agencies</u>** • Review and write request for change of classification • Determine if a formal review is required • Complete an internal agency review • Review first review of classification change • Review findings • Determine resolution • Determine and prepare impact of findings/request package for either work out of class, remove duties, change class/secure funding, or reclassify down • Agency and budget statute • Determine to approve the classification • DAS/CFO review • Notify agency and manager/employee • Remove duties
Method	The process is performed manually, outside the system.

Process Step	Description
Outputs/work products	The outputs of this process include the following: • Formal review write-up
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; state policy numbers 10.011.01 for employee personnel records; 20.000.01 for classification plan development and maintenance; 105-020-0001 comparability of work; 20.005.01 general compensation policy; 20.005.05 merit pay system; 20.005.10 pay practices; 20.005.15 exceptions to Hay evaluated salary; 20.005.20 Fair Labor Standards Act; and 30.005.01 effect of position classification change on incumbents
Strengths	The process is standardized between DAS and the agencies.
Weaknesses	Analysis of data is not automated; data is not delivered electronically; notifications occur manually; outputs are created manually, outside the system; implementation of approved changes occurs manually and in multiple systems; and wet signatures are required
Opportunities for improvement	Automation of analysis functionality, such as what-if modeling, and ability to develop simultaneous multiple versions; workflow automation could eliminate manual notifications and wet signatures; integration with personnel records could automate implementation of changes; employee and agency notifications could be standardized and automated; and role-based security could support cooperative inter-unit development and analysis and shorten review and approval cycles
Systems	No systems are used to prepare in this process.

b. HR4.04 Classification as-is diagram

Below is the as-is diagram for the classification−classification and compensation processing area.



Inputs
- Position Descriptions
- Personnel Action
- Reallocation Template Letter
- Request for Classification Study

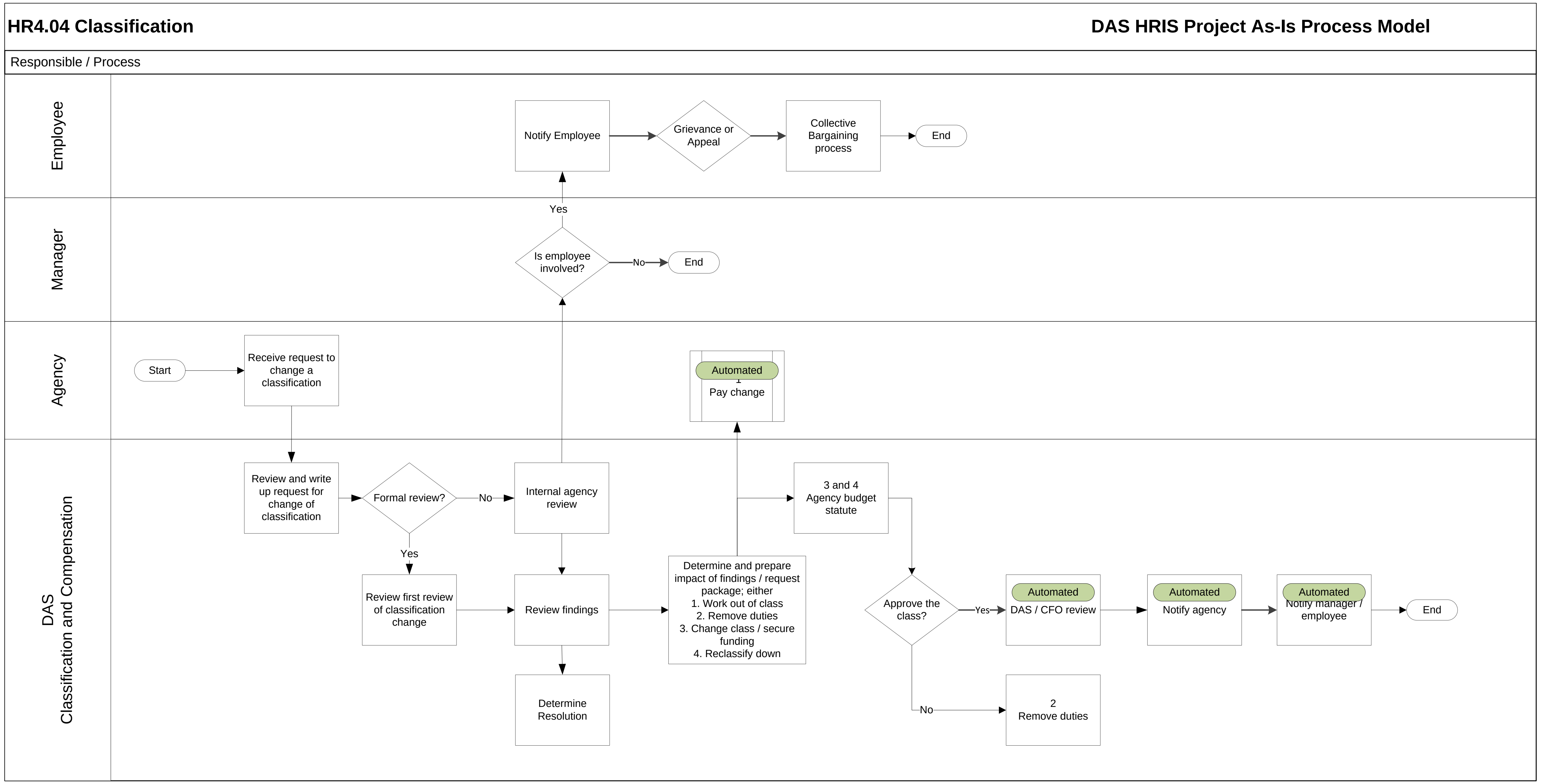
Outputs
- Position Description
- Classification Specifications
- Personnel Action Form
- Position Control Form
- Organization Hierarchy Chart

Customers
- Employees
- Manager/Supervisors
- Union
- DAS Class/Comp, Audits
- Budget and Management

Systems/Interfaces
- PPDB
- PICS
- OSPA
- List Serve

c. HR4.04 Classification marked-up diagram

Below is the marked-up diagram for the classification−classification and compensation processing area.



Inputs
- Position Descriptions
- Personnel Action
- Reallocation Template Letter
- Request for Classification Study

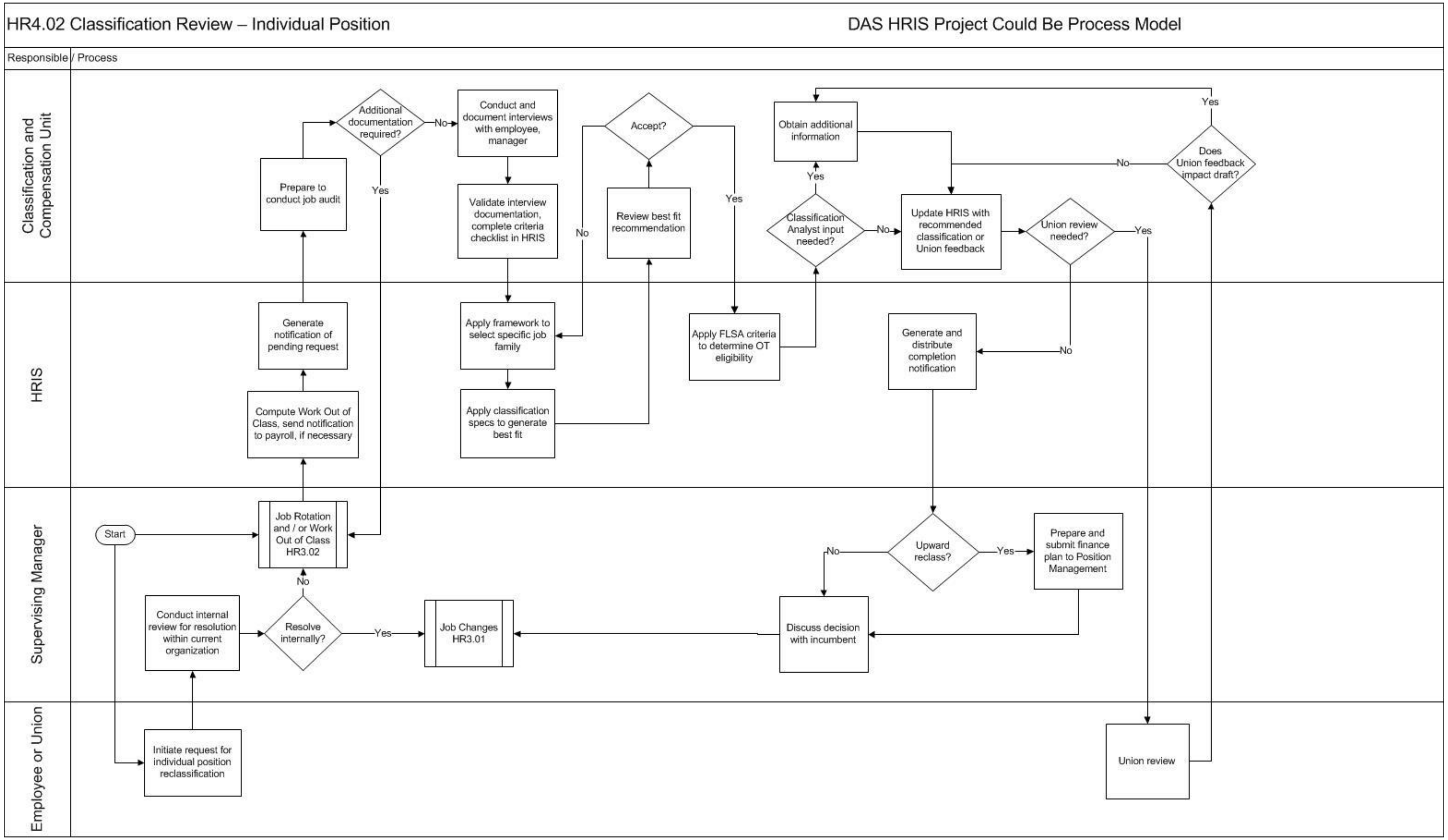
Outputs
- Position Description
- Classification Specifications
- Personnel Action Form
- Position Control Form
- Organization Hierarchy Chart

Customers
- Employees
- Manager/Supervisors
- Union
- DAS Class/Comp, Audits
- Budget and Management

Systems/Interfaces
- PPDB
- PICS
- OSPA
- List Serve

d. HR4.02, HR4.03, and HR4.04 Classification Review could-be diagram

Below is the could-be diagram for the classification review−classification and compensation processing area.



E. Labor Relations

The following contains the process summaries, as-is, marked-up, and the could-be diagrams for labor relations.

1. HR5.01 Manage Grievances−Management Services

This business area covers the management of grievances for management services employees.

a. HR5.01 Manage Grievances−Management Services process summaries

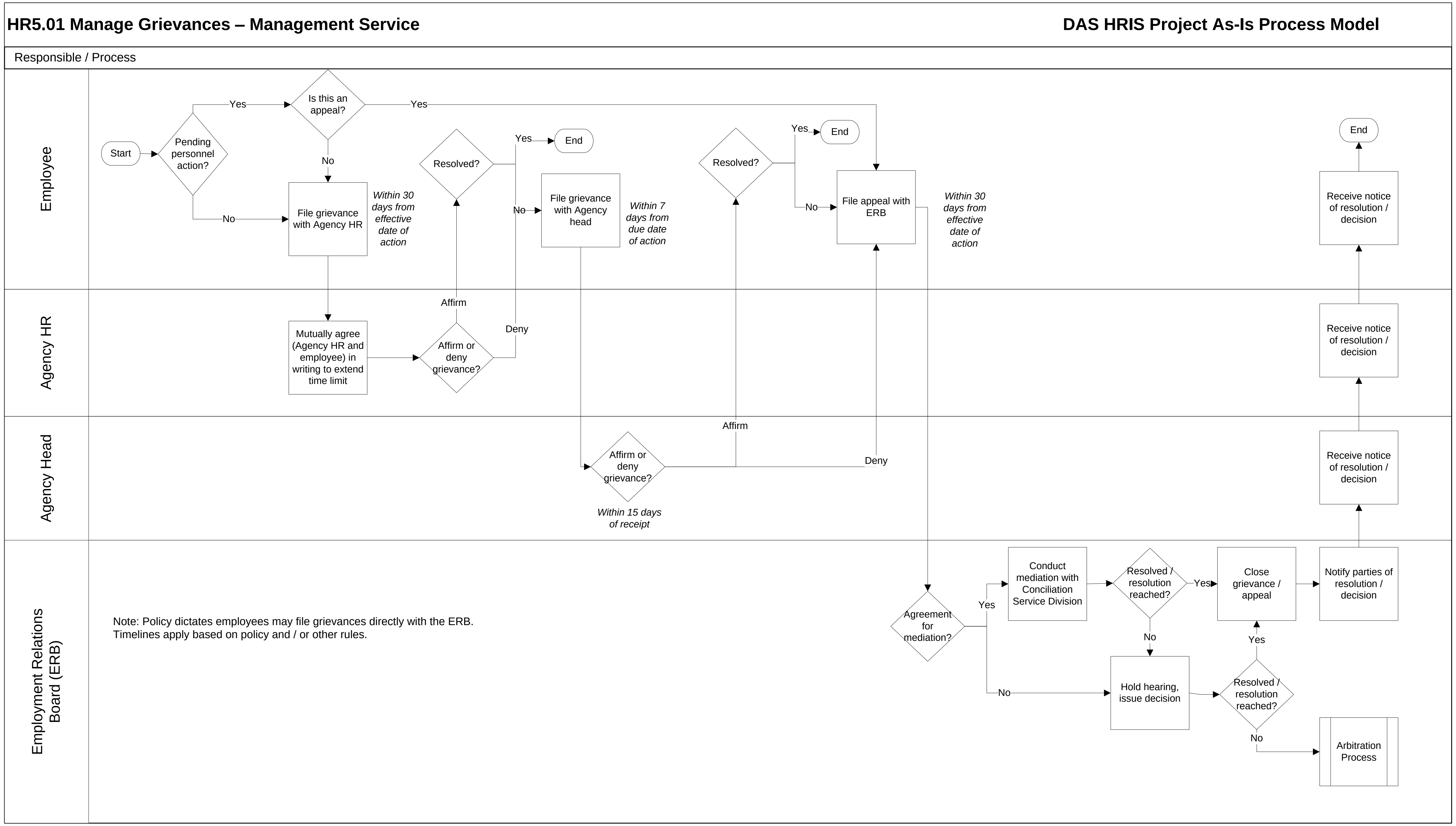
Below are the process summaries for the manage grievances−management services−labor relations area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to address a grievance from a management service employee. The process also describes an appeal to pending personnel action against a management service employee.
Process triggers	This process can start with deficient conduct or performance by a management service employee that warrants discipline. In addition, the process can start as a result of an appeal of pending personnel action.
Inputs	The inputs to this process include the following: • Grievance • Employee performance • Suspension, demotion, or dismissal • Appeals • Supporting documentation • Letter of expectation
Activities	The following activities are being performed in this process: **Employee** • Appeal pending PA • File grievance with agency human resources • Resolve grievance • File grievance with agency head • File appeal with Employment Relations Board (ERB) • Receive notice of resolution/decision **Agency HR** • Mutually agree in writing to extend time limit • Affirm or deny grievance • Receive notice of resolution/decision **Agency Head**

Process Step	Description
	• Affirm or deny grievance • Receive notice of resolution/decision **Employment Relations Board (ERB)** • Agree to mediation • Conduct mediation with Conciliation Service Division • Reach resolution • Hold hearing and issue decision • Close grievance/appeal • Notify parties of resolution/decision
Method	The process is performed manually, outside of a system. Most agencies use Microsoft Word to develop the necessary documents.
Outputs/work products	The outputs of this process include the following: • Written grievance response • Settlement agreement • Appeal letter(s) • Mediation/mediation hearing(s) • Arbitration
Laws, regulations, and policies that govern process	Include, but not limited to: Public Employee Bargaining Act (PEBA); statute chapter 240 state personnel relations; and management service grievance review policy number 70.000.10
Strengths	Ability to address specific problems; no retaliation against employees who use the grievance or appeal process
Weaknesses	Manual process with no ability to track schedule or timeline; slow/lengthy process; lots of paper documentation to manage (no electronic file transfer); inability to track status of grievance; no history of grievances; and no numbering system for grievances
Opportunities for improvement	Complete process with notes in the system to reduce paper documentation and enable information/file sharing; establish consistency in disciplinary action by personnel action; create standardized letters; track progress/discipline; track timeline/schedule; track status of grievance by employee(s); enable access to prior grievances and results; track trends, based on grievance type; and enable automated numbering of grievances
Systems	The following systems are used to prepare in this process: • Microsoft Word

b. HR5.01 Manage Grievances – Management Services as-is diagram

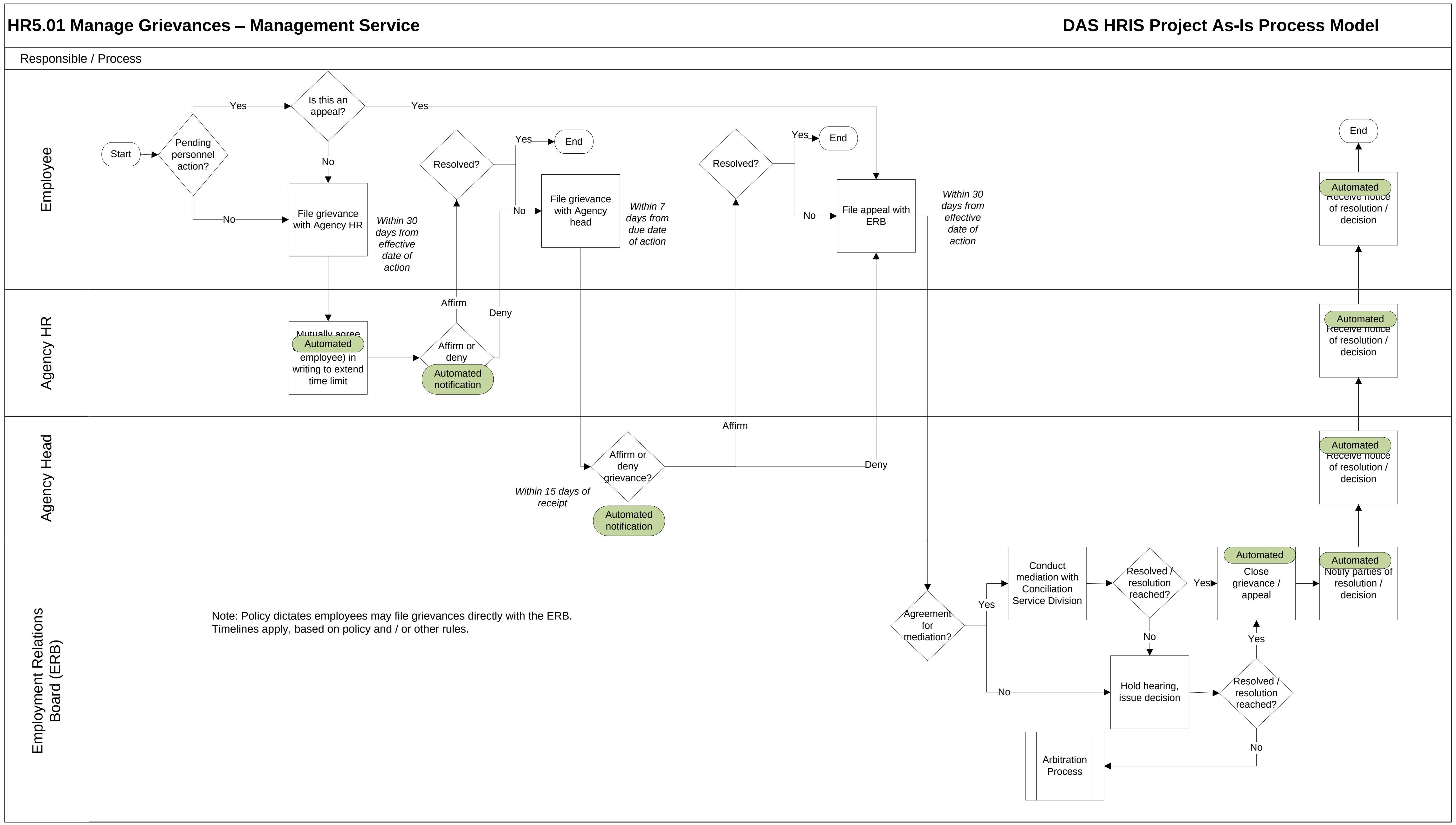
Below is the as-is diagram for the manage grievances−management services−labor relations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Grievance • Employee performance • Suspension, demotion, or dismissal • Appeals • Supporting documentation • Letter of expectation	• Written grievance response • Settlement agreement • Appeal letter(s) • Mediation / mediation hearing(s)	• Employee • Employee's Peers • Human Resources • Agency Head • Employment Relations Board (ERB)	• Microsoft Word

c. HR5.01 Manage Grievances – Management Services marked-up diagram

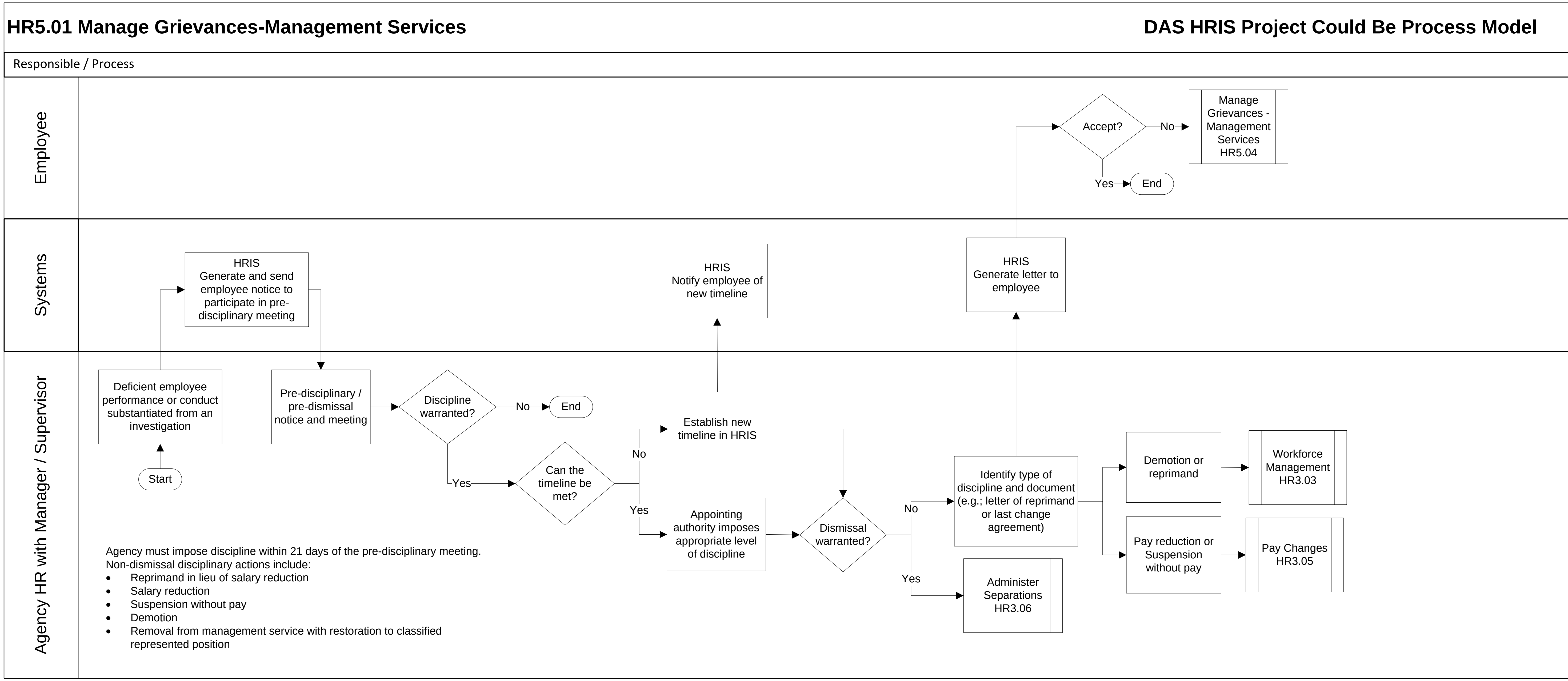
Below is the marked-up diagram for the manage grievances−management services−labor relations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Grievance • Employee performance • Suspension, demotion, or dismissal • Appeals • Supporting documentation • Letter of expectation	• Written grievance response • Settlement agreement • Appeal letter(s) • Mediation / mediation hearing(s)	• Employee • Employee's Peers • Human Resources • Agency Head • Employment Relations Board (ERB)	• Microsoft Word

d. HR5.01 Manage Grievances – Management Services could-be diagram

Below is the could-be diagram for the manage grievances–management services–labor relations area.



2. HR5.02 Labor Relations

This business area covers the management of labor relations. The could-be diagrams for this process are covered in the other HR5 process diagrams.

a. HR5.02 Labor Relations process summaries

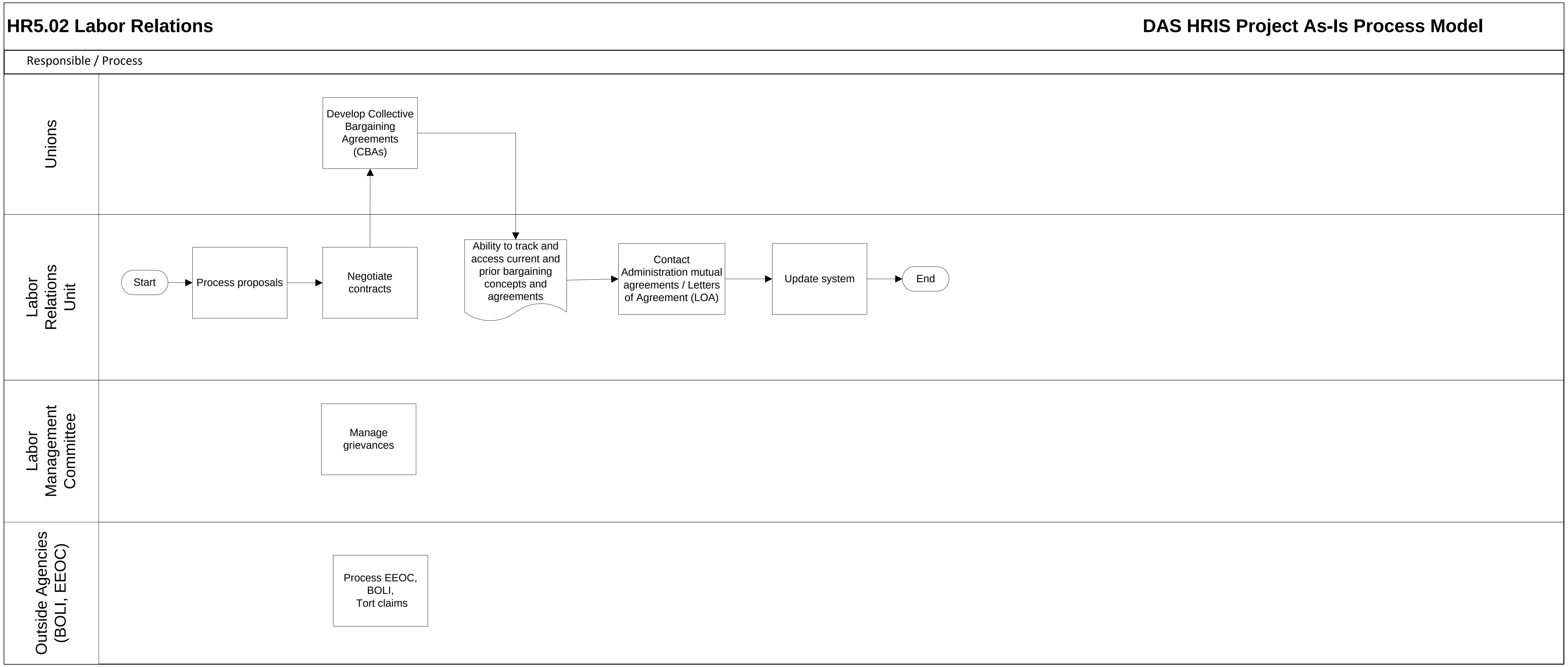
Below are the process summaries for the labor relations–labor relations area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps for the overall activities that occur in labor relations and involve unions and other outside agencies.
Process triggers	This process can start with contract negotiations and changes to union affiliations and/or CBAs. The process also involves addressing Equal Employment Opportunity Commission (EEOC), Bureau of Labor and Industries (BOLI), and tort claims.
Inputs	The inputs to this process include the following: • CBAs • Contract negotiations • Agency negotiations • Claims • Grievances
Activities	The following activities are being performed in this process: **Unions** • Develop CBAs proposals **Labor relations unit** • Process proposals • Negotiate contracts • Track and access current and prior bargaining concepts and agreements • Contract administration and mutual agreements/LOAs • Update system **Agency HR and DAS** • Manage grievances • Develop agency specific proposals and draft letters of agreement for DAS unions **Outside agencies (BOLI and EEOC)** • Process EEOC, BOLI, and tort claims
Method	The process is performed manually, with data entry into PPDB and tracking in Microsoft Excel.

Process Step	Description
Outputs/work products	The outputs of this process include the following: • CBAs • Proposals • Contracts • Resolution of grievances • LOAs
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; PEBA; statute chapter 240 state personnel relations; EEOC regulations in title 29 of the Code of Federal Regulations (CFR); and BOLI administrative rules and regulations
Strengths	Third party expertise and cooperation
Weaknesses	Manual paper processes; lack of automation; lack of training; inability to track timelines; inability to track grievances and claims, as well as the status of grievances and claims; and no numbering system on grievances
Opportunities for improvement	Provide the ability to search current and previous CBAs, concepts, and agreements; enable the ability to track progress and outcome from grievances and claims; provide the ability to track timeline/schedule; provide and communicate access to training; and enable automated numbering of grievances
Systems	The following systems are used to prepare in this process: • PPDB • Microsoft Excel

b. HR5.02 Labor Relations as-is diagram

Below is the as-is diagram for the labor relations–labor relations area.



Inputs
- Collective Bargaining Agreements (CBAs)
- Contract negotiations
- Agency negotiations
- Claims

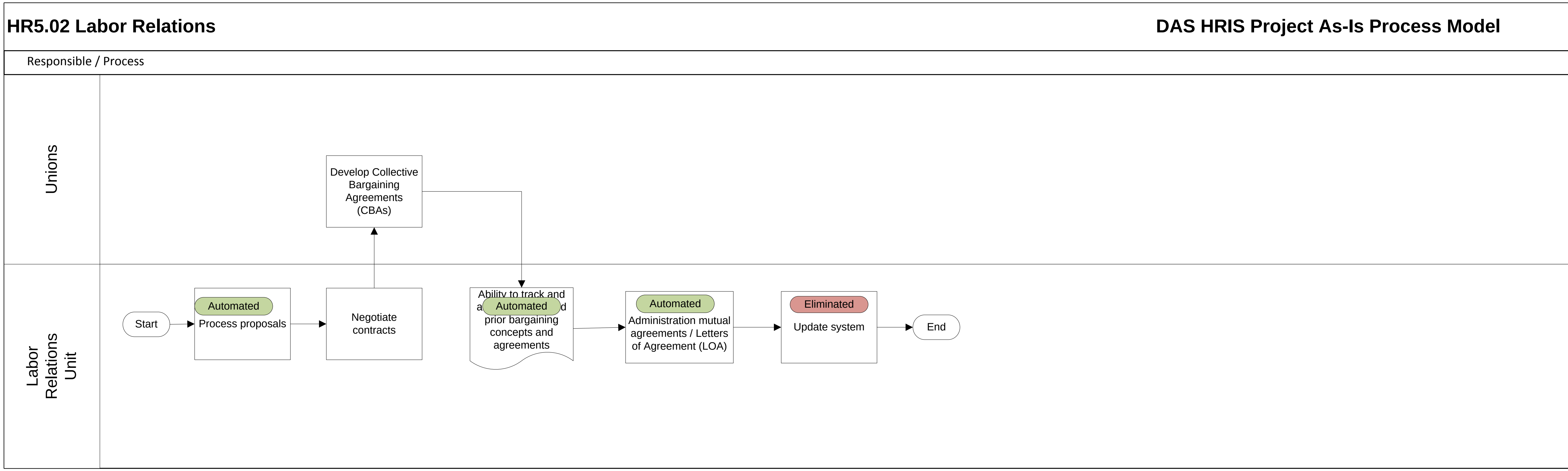
Outputs
- CBAs
- Proposals
- Contracts
- Resolution of grievances
- Letters of Agreement (LOA)

Customers
- Unions
- Employees
- Human Resources
- Labor Relations
- Third party agencies

Systems/Interfaces
- PPDB
- Microsoft Excel

c. HR5.02 Labor Relations marked-up diagram

Below is the marked-up diagram for the labor relations–labor relations area.



Inputs
- Collective Bargaining Agreements (CBAs)
- Contract negotiations
- Agency negotiations
- Claims

Outputs
- CBAs
- Proposals
- Contracts
- Resolution of grievances
- Letters of Agreement (LOA)

Customers
- Unions
- Employees
- Human Resources
- Labor Relations
- Third party agencies

Systems/Interfaces
- PPDB
- Microsoft Excel

3. HR5.03 Progressive Discipline

This business area covers the progressive discipline labor relations area.

a. HR5.03 Progressive Discipline process summaries

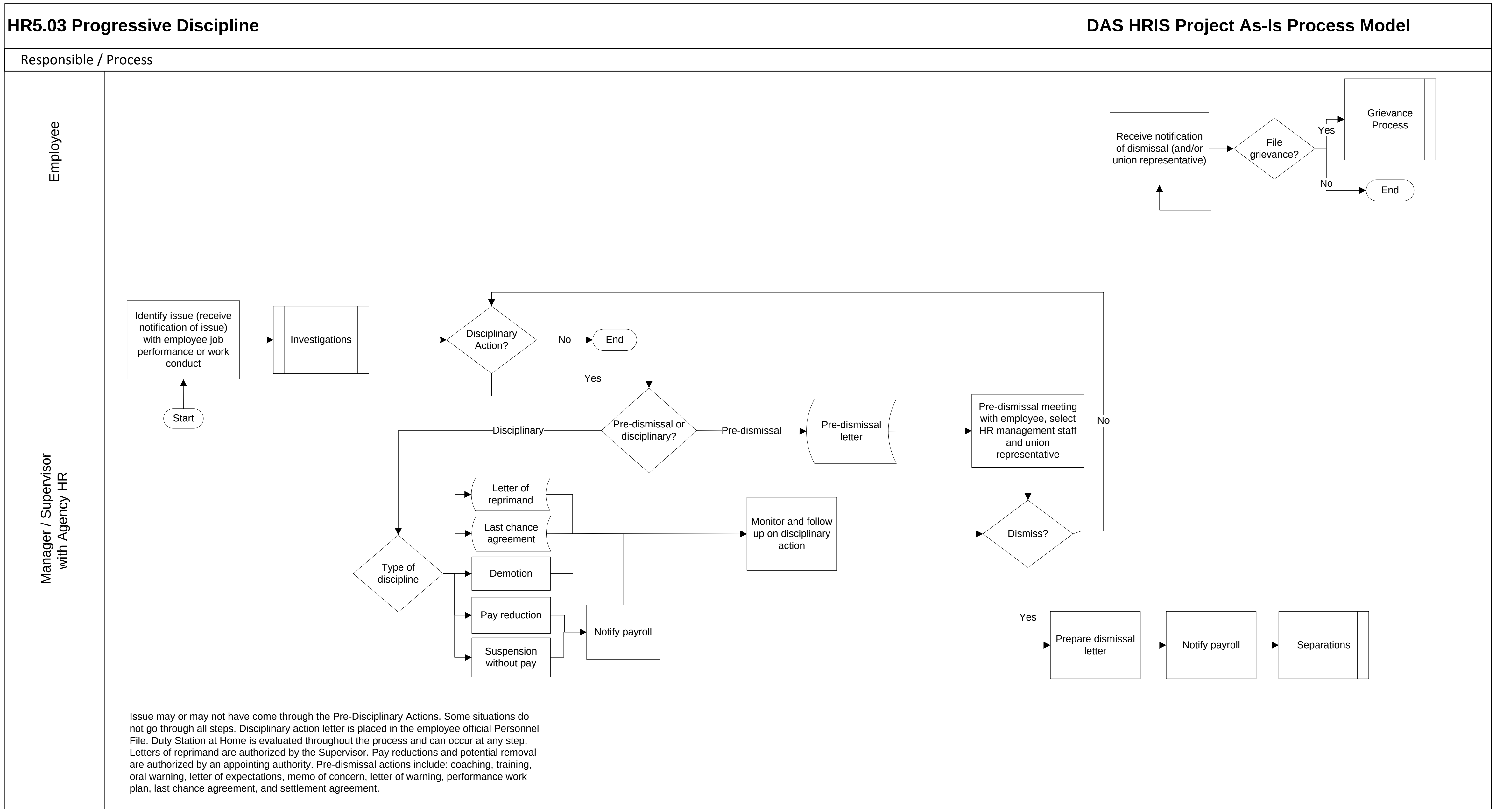
Below are the process summaries for the progressive discipline−labor relations area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer progressive discipline with employees as a result of job performance or conduct. Depending on the circumstances, discipline may be a written reprimand, pay reduction, demotion, suspension, or dismissal.
Process triggers	This process can start with a complaint from a third party, the employee's work performance, observance of an employee's inappropriate conduct, an investigation, and fact finding from a previous investigation or complaint. In addition, negative test results or failure to submit to a drug trust can initiate the process.
Inputs	The inputs to this process include the following: • Employee conduct • Performance evaluation(s) • Investigation/fact finding • Third party complaint • Drug test results • CBAs, policies, and procedures
Activities	The following activities are being performed in this process: **Employee** • Receive notification of dismissal or dscipline • File grievance • Initiate the grievance or appeal process **Manager/supervisor with agency human resources** • Identify issue (receive notification of issue) with employee job performance or work conduct • Initiate investigations • Determine if disciplinary action is warranted • Determine type of disciplinary action • Prepare disciplinary letters • Conduct disciplinary meeting with employee, human resources management staff, and union representative • Notify payroll • Monitor and follow up on disciplinary action

Process Step	Description
	• Determine if dismissal is warranted • Prepare dismissal letter • Initiate the separations process
Method	The process is performed manually, with tracking in Microsoft Excel and data entry in payroll.
Outputs/work products	The outputs of this process include the following: • Disciplinary actions • Last change agreement (LCA) • Performance work plan • Settlement agreement • Coaching/training • Oral or written warning
Laws, regulations, and policies that govern process	Include, but not limited to: division 70 discipline and discharge policy number 70.005.02 for classified unrepresented discipline and dismissal; Public Employee Bargaining Act (PEBA); CBAs; statute chapter 240 state personnel relations; and division 20 classification/compensation policy number 20.000.01 for job evaluation and position benchmarks
Strengths	Ability to address specific problems with the employee; documentation and fact gathering for issues to eliminate discipline, based on egregious issues; and collaboration between human resources and the management team
Weaknesses	Manual process with a lot of paper documentation required; slow process; multiple interpretations and inconsistency in discipline; difficult to track and to stay within the planned schedule; and inability to track patterns based on employee, position, or agency, et cetera
Opportunities for improvement	Complete process with notes in the system to reduce paper documentation and enable reporting by type of discipline; establish consistency in disciplinary action by personnel action; create standardized letters or agreements; track progress/discipline; and track and monitor timeline/schedule
Systems	The following systems are used to prepare in this process: • Payroll (OSPA) • Microsoft Excel

b. HR5.03 Progressive Discipline as-is diagram

Below is the as-is diagram for the progressive discipline–labor relations area.



Inputs
- Employee conduct
- Performance evaluation(s)
- Investigation / fact finding
- Third party complaint
- Drug test results
- CBAs, policies, and procedures

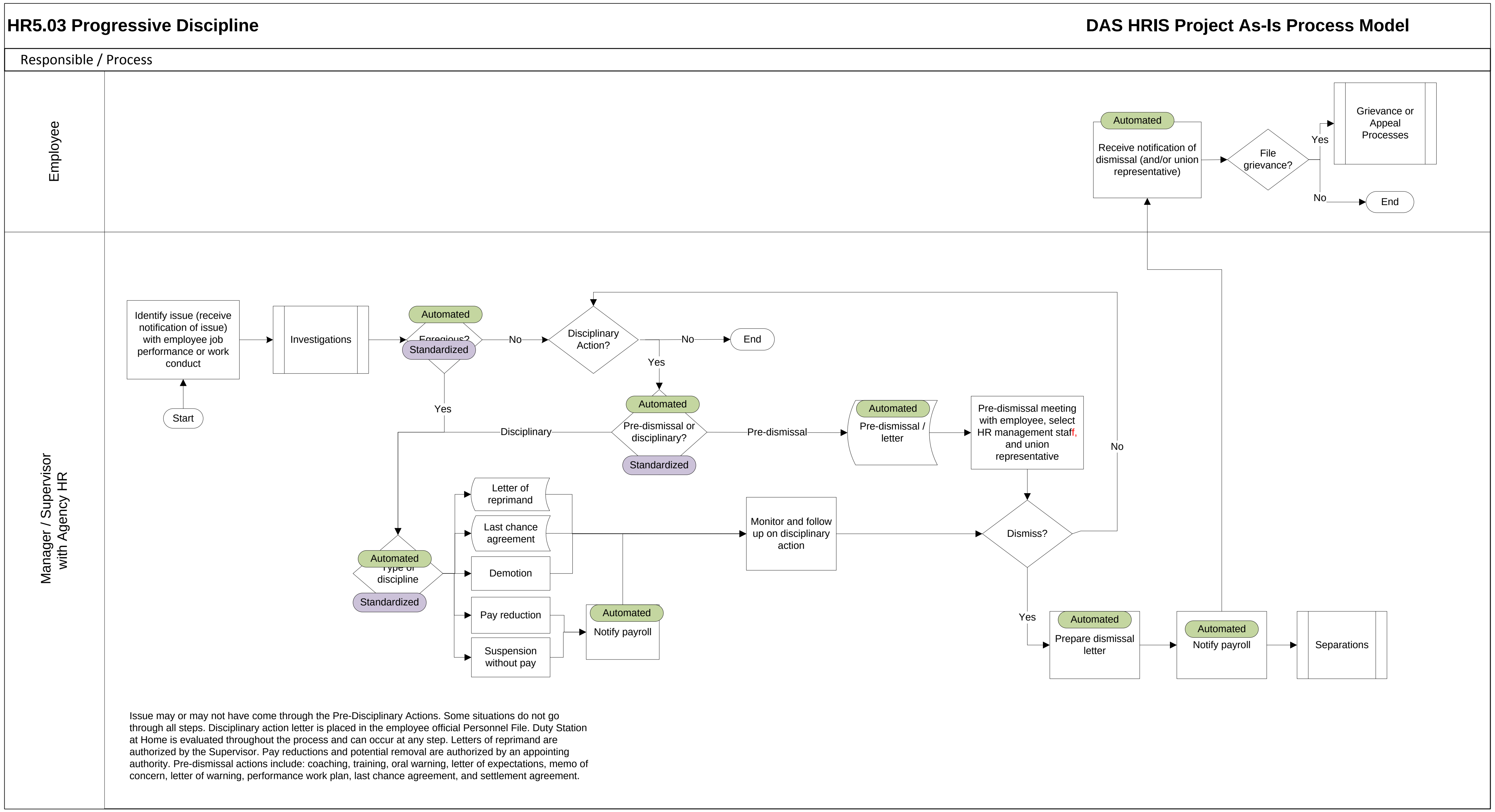
Outputs
- Disciplinary actions
- Last change agreement (LCA)
- Performance Work Plan
- Settlement agreement
- Coaching / Training
- Oral or written warning

Customers
- Employee
- Employee's Peers
- Manager
- Human Resources

Systems/Interfaces
- OSPA / Payroll
- Microsoft Excel

c. HR5.03 Progressive Discipline marked-up diagram

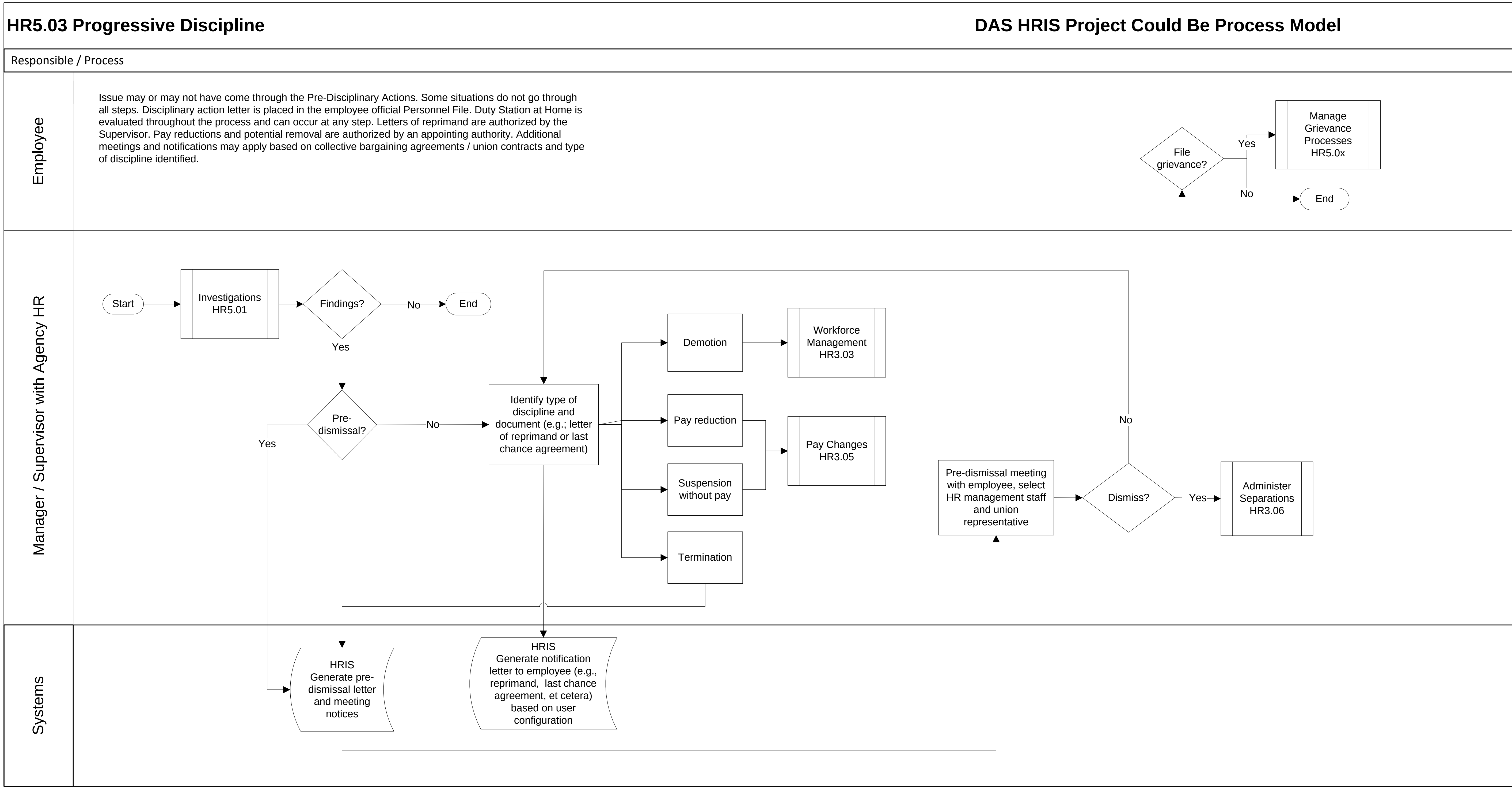
Below is the marked-up diagram for the progressive discipline−labor relations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Employee conduct • Performance evaluation(s) • Investigation / fact finding • Third party complaint • Drug test results • CBAs, policies, and procedures	• Disciplinary actions • Last change agreement (LCA) • Performance Work Plan • Settlement agreement • Coaching / Training • Oral or written warning	• Employee • Employee's Peers • Manager • Human Resources	• OSPA / Payroll • Microsoft Excel

d. HR5.03 Progressive Discipline could-be diagram

Below is the could-be diagram for the progressive discipline−labor relations area.



4. HR5.04 Management Services Discipline

This business area covers disciplinary actions for management services employees.

a. HR5.04 Management Services Discipline process summaries

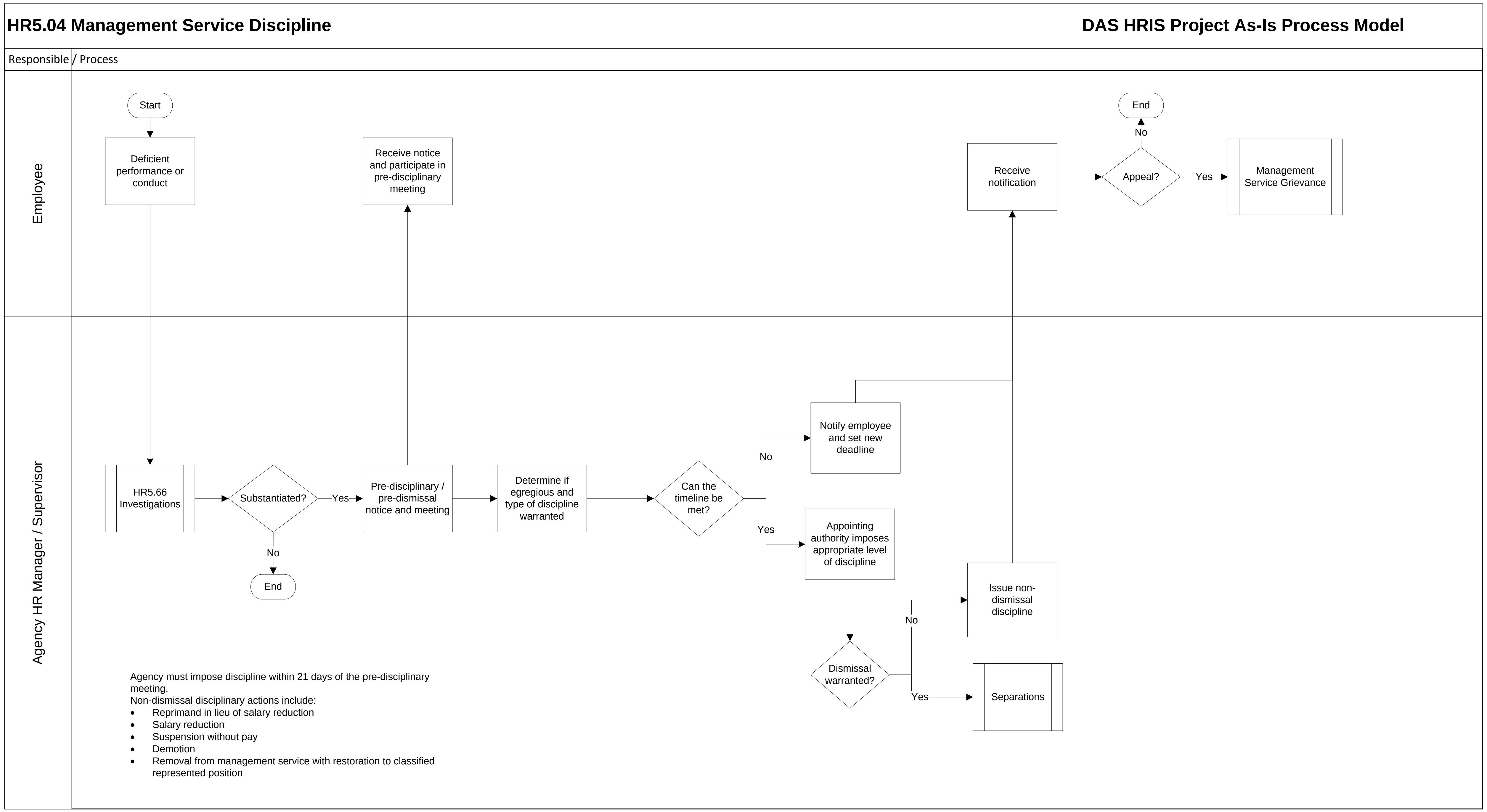
Below are the process summaries for the management services discipline−labor relations area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer progressive discipline with management services employees as a result of job performance or conduct. If substantiated, discipline may include dismissal.
Process triggers	This process can start with a complaint or grievance from a third party, poor work performance or deficient conduct, an investigation, and/or fact finding from an investigation or complaint.
Inputs	The inputs to this process include the following: • Employee conduct/performance • Investigations • Complaints/grievances • Policies and procedures
Activities	The following activities are being performed in this process: **Employee** • Deficient performance or conduct • Receive notice and participate in pre-disciplinary meeting • Receive notification of discipline • Decision to appeal discipline • Initiate the management service grievance process **Agency human resources manager/supervisor** • Complete investigation process • Determine if discipline is substantiated • Conduct pre-disciplinary/pre-dismissal notice and meeting • Determine if findings are egregious and if discipline is warranted • Determine if timeline can be met • Notify employee and set new deadline • Impose appropriate level of discipline (appointing authority) • Determine if dismissal is warranted • Issue non-dismissal discipline • Initiate the separations process

Process Step	Description
Method	The process is performed manually, outside of a system.
Outputs/work products	The outputs of this process include the following: • Disciplinary actions • Pre-disciplinary notice/meeting • Coaching/training/counseling • Letter of expectations • Memo of concern • Warning/letter of warning
Laws, regulations, and policies that govern process	Include, but not limited to: division 70 discipline and discharge policy number 70.000.02 for management service discipline and dismissal/removal; division 20 classification/compensation policy number 20.000.01 for job evaluation and position benchmarks; division 50 workforce management policy number 50.010.03 for maintaining a professional workplace; and statute chapter 240 state personnel relations
Strengths	Ability to address specific problems
Weaknesses	Slow, manual process and difficult to manage schedule, timeline, and progress of disciplinary actions
Opportunities for improvement	Complete process, with notes in the system to reduce paper documentation and enable reporting by type of discipline; create standardized letters; track progress/discipline; and track and monitor timeline/schedule
Systems	The following systems are used to prepare in this process: • N/A

b. HR5.04 Management Services Discipline as-is diagram

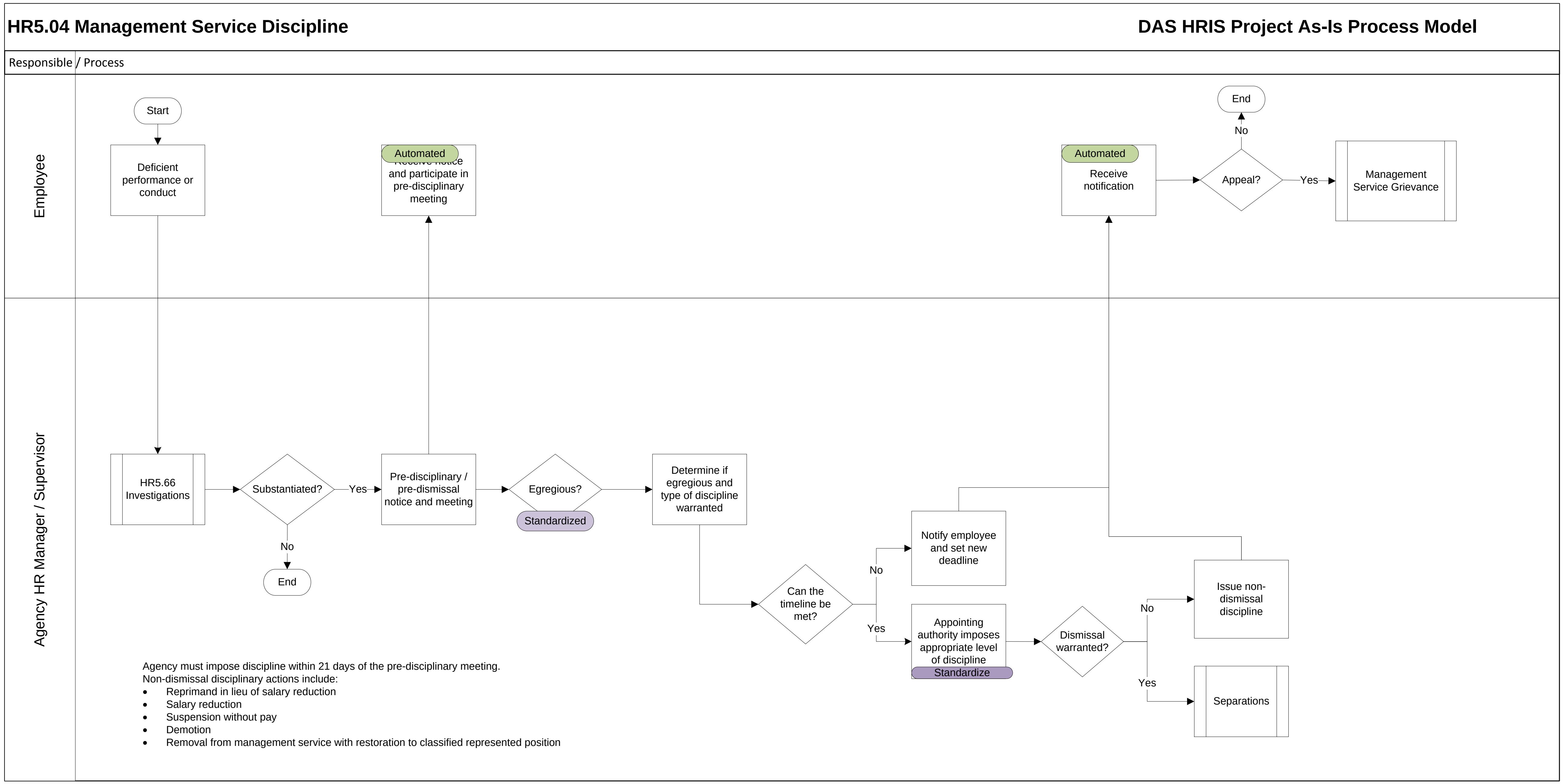
Below is the as-is diagram for the management services discipline−labor relations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Employee conduct / performance • Investigations • Complaints / grievances • Policies and procedures	• Disciplinary actions • Pre-disciplinary notice / meeting • Coaching / Training / Counseling • Letter of Expectations • Memo of Concern • Warning / Letter of Warning	• Employee • Employee's Peers • Manager • Human Resources	• N/A

c. HR5.04 Management Services marked-up diagram

Below is the marked-up diagram for the management services discipline−labor relations area.



Inputs
- Employee conduct / performance
- Investigations
- Complaints / grievances
- Policies and procedures

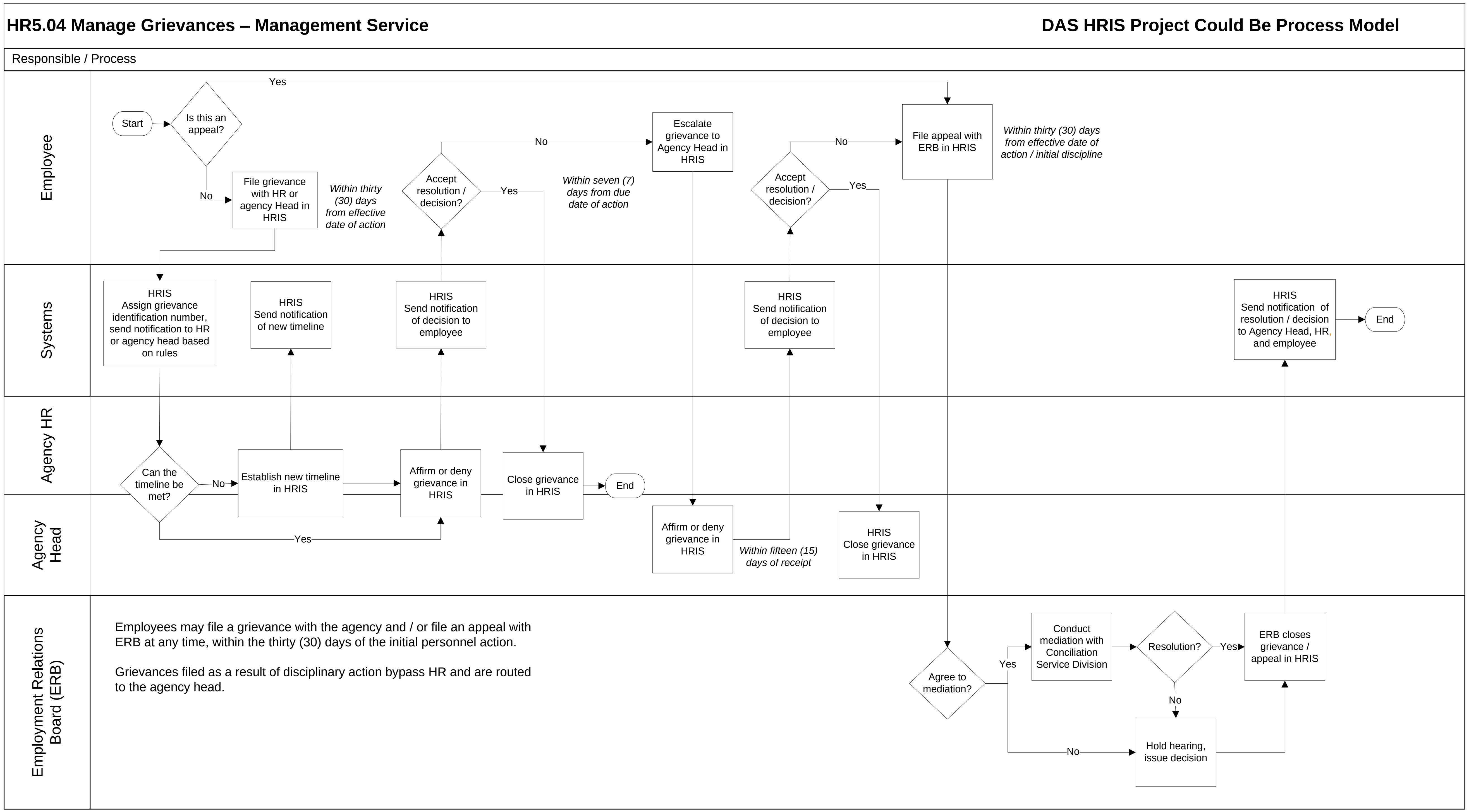
Outputs
- Disciplinary actions
- Pre-disciplinary notice / meeting
- Coaching / Training / Counseling
- Letter of Expectations
- Memo of Concern
- Warning / Letter of Warning

Customers
- Employee
- Employee's Peers
- Manager
- Human Resources

Systems/Interfaces
- N/A

d. HR5.04 Management Services could-be diagram

Below is the could-be diagram for the management services grievance −labor relations area.



5. HR5.05 Investigations

This business area covers investigations related to employee grievances.

a. HR5.05 Investigations process summaries

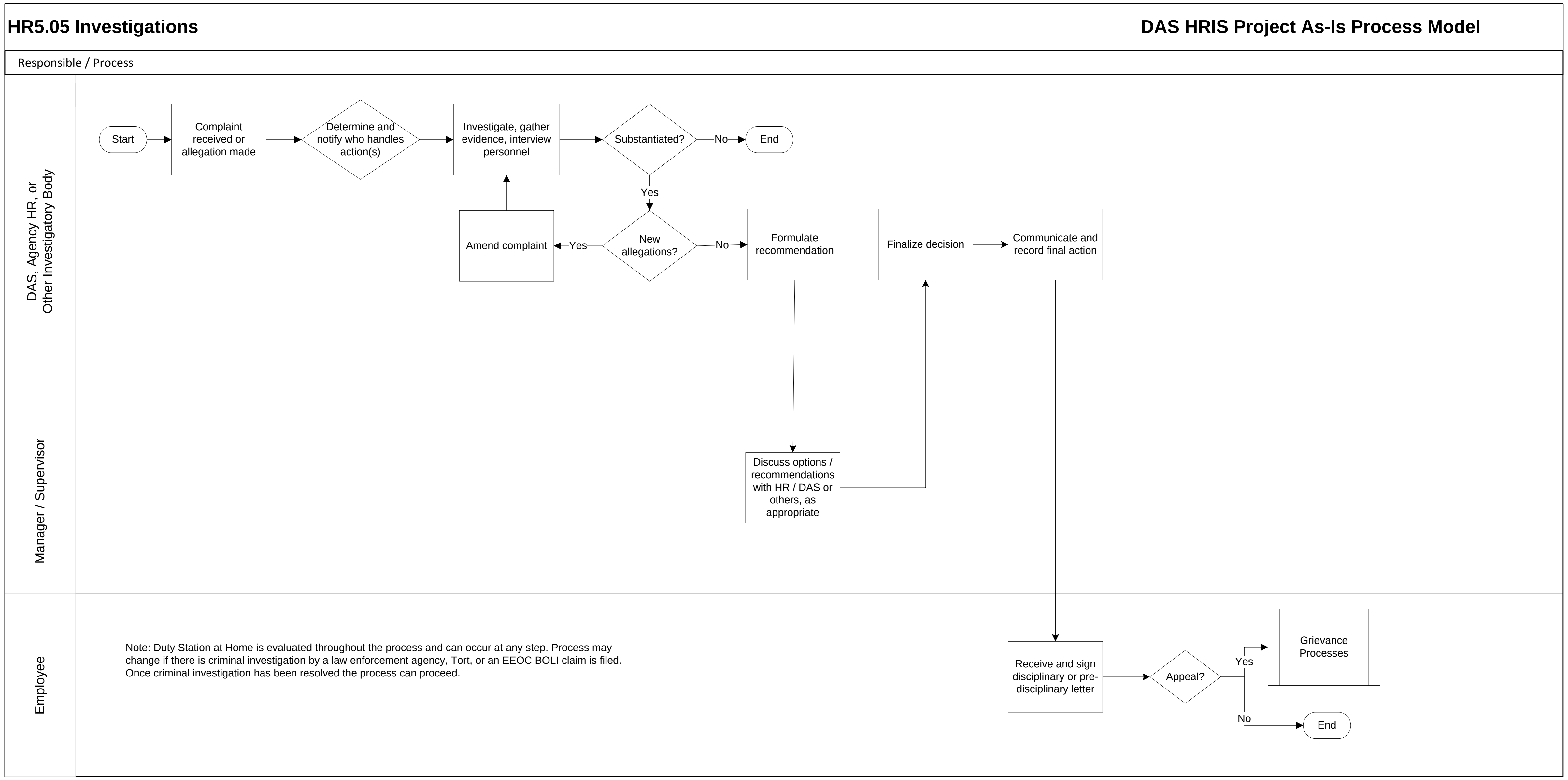
Below are the process summaries for the investigations−labor relations area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to conduct a personnel investigation. The process and outcome of the investigation help maintain compliance with federal and state policies and procedures and CBAs. The process uses a review of facts to address written and verbal allegations, complaints, and/or grievances.
Process triggers	This process can start with an allegation, complaint, or grievance that warrants an investigation to determine if the complaint is substantiated and/or egregious. Findings and new allegations discovered in the initial investigation can also trigger additional investigations.
Inputs	The inputs to this process include the following: • Allegations • Complaint/grievance • Written documents and electronic files • Tapes and witness interviews • Employee conduct/performance
Activities	The following activities are being performed in this process: **DAS, agency human resources, or other investigatory body** • Receive complaint or allegation • Determine and notify who handles action(s) • Investigate, gather evidence, and interview personnel • Determine if complaint/allegation is substantiated • Determine if there are new allegations • Amend complaint • Formulate recommendation • Finalize decision • Deliver record of final decision **Manager/supervisor** • Discuss options/recommendations with human resources/DAS or others **Employee** • Receive and sign disciplinary or pre-disciplinary letter • Decide to appeal

Process Step	Description
	• Initiate the grievance process
Method	The process is performed manually, with data entry and tracking in Microsoft Word and/or Excel.
Outputs/work products	The outputs of this process include the following: • Recommendations • Disciplinary action/letter • Report or investigation results • Written documents and electronic files • DESA/DBOS tapes and witness interviews
Laws, regulations, and policies that govern process	Include, but not limited to: Employment Relations Board (ERB) administrative rules; Public Employees Collective Bargaining Act (PECBA) ORS 243.650 through 243.766; state personnel relations law ORS chapter 240; BOLI chapter 659A unlawful discrimination in employment, public accommodations, and real property transactions; administrative and civil enforcement; EEOC regulations, including title VII of the Civil Rights Act of 1964; Equal Pay Act of 1963 (EPA); Age Discrimination in Employment Act of 1967 (ADEA); and title I of the ADA
Strengths	Investigations and findings can occur before the employee is aware that he or she is being investigated
Weaknesses	Manual process with a lot of paper documentation required; slow, detailed driven process; and investigations are not kept confidential, once employee interviews begin
Opportunities for improvement	Complete process, with notes in the system to reduce paper documentation and to enable reporting by type of investigation; track progress/outcome of investigation; track and monitor timeline/schedule; and implement confidentiality agreements
Systems	The following systems are used to prepare in this process: • Microsoft Word • Microsoft Excel

b. HR5.05 Investigations as-is diagram

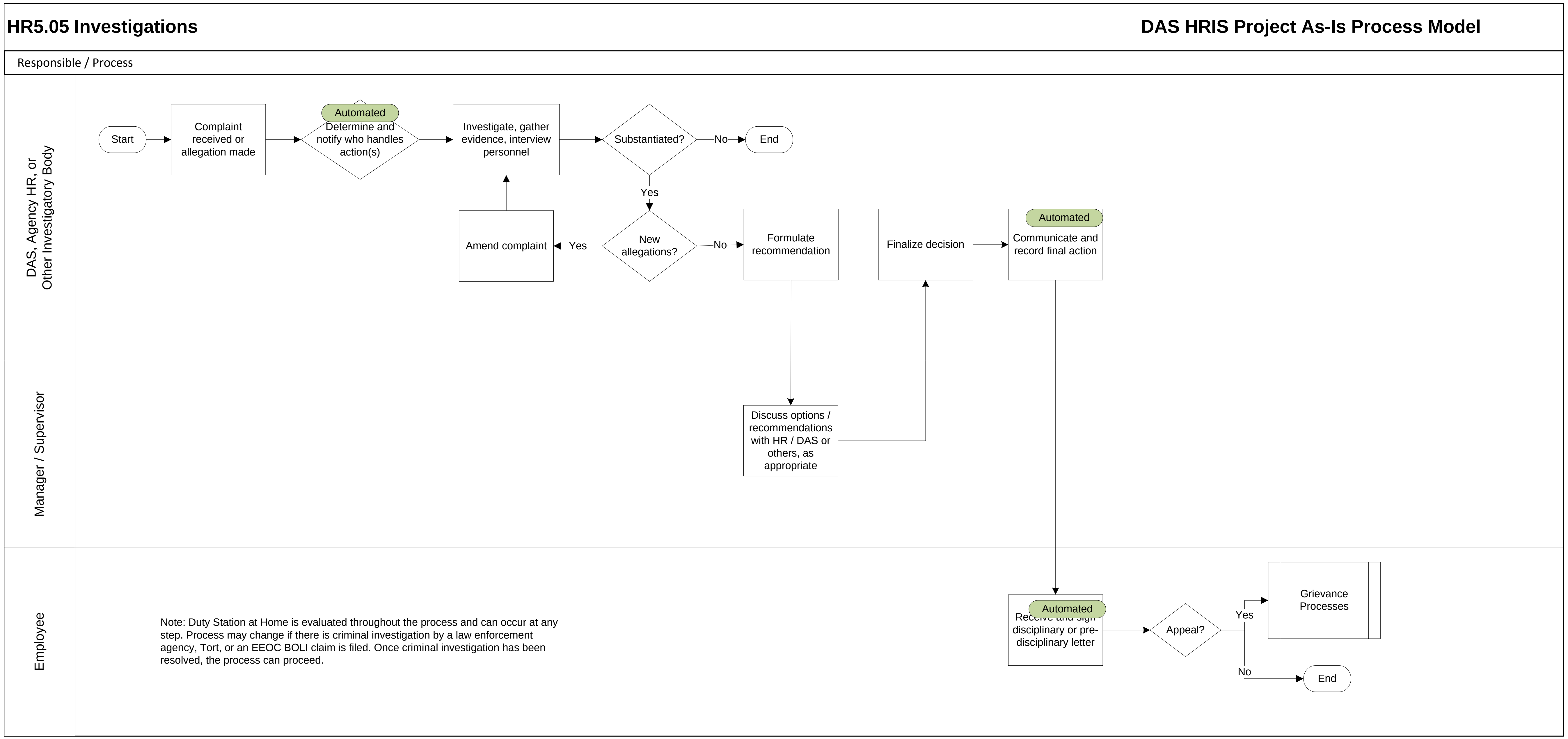
Below is the as-is diagram for the investigations−labor relations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Allegations • Compliant / grievance • Written documents, electronic files DESA / DBOS tapes, witness interviews • Employee conduct / performance	• Recommendations • Disciplinary action / letter • Report of investigation results • Written documents, electronic files DESA / DBOS tapes, witness interviews	• Employee • Employee's Peers • Manager / Supervisor • DAS • Human Resources	• Microsoft Word • Microsoft Excel

c. HR5.05 Investigations marked-up diagram

Below is the marked-up diagram for the investigations–labor relations area.



Inputs
- Allegations
- Compliant / grievance
- Written documents, electronic files DESA / DBOS tapes, witness interviews
- Employee conduct / performance

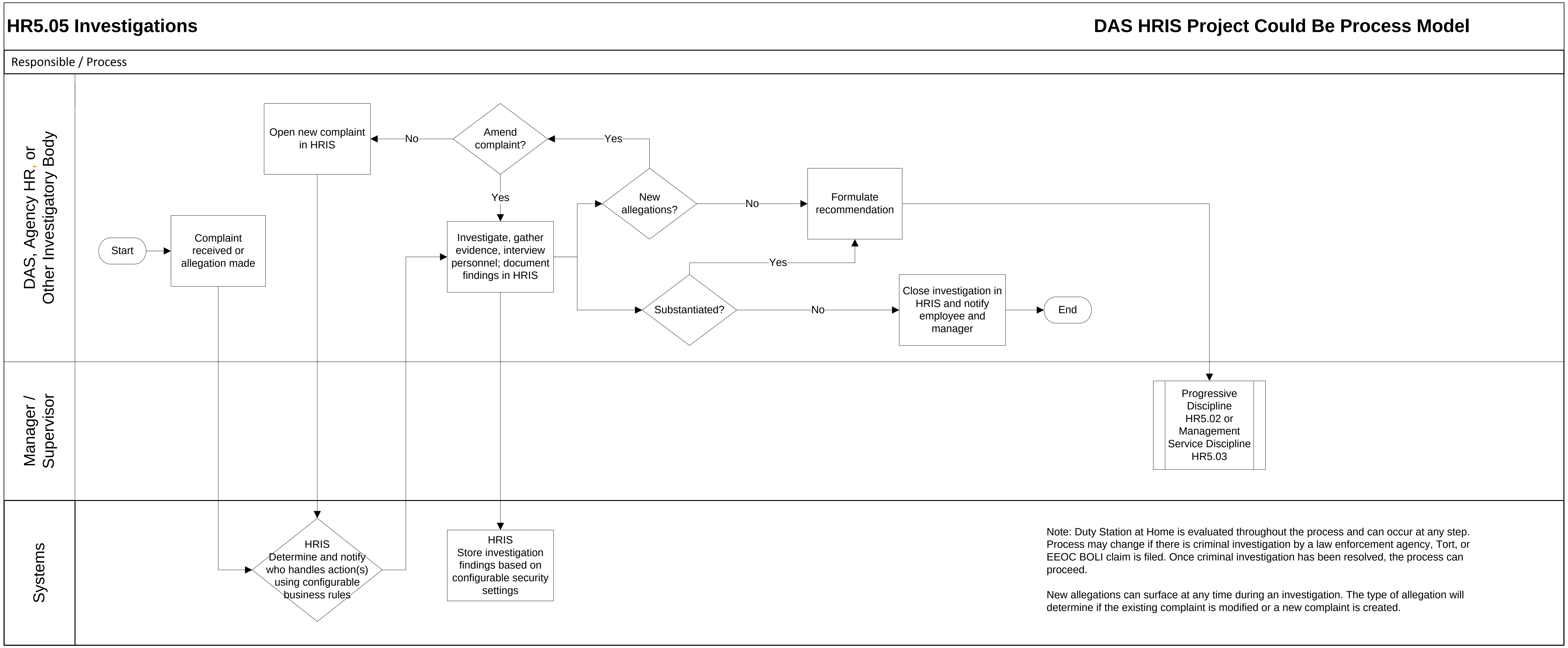
Outputs
- Recommendations
- Disciplinary action / letter
- Report of investigation results
- Written documents, electronic files DESA / DBOS tapes, witness interviews

Customers
- Employee
- Employee's Peers
- Manager / Supervisor
- DAS
- Human Resources

Systems/Interfaces
- Microsoft Word
- Microsoft Excel

d. HR5.05 Investigations could-be diagram

Below is the could-be diagram for the investigations−labor relations area.



6. HR5.06 Manage Grievances–AFSCME, SEIU (Union Represented Employee/Group)

This business area covers the management of grievances related to union represented employees or groups of employees.

a. HR5.06 Manage Grievances–AFSCME, SEIU (Union Represented Employee/Group process summaries

Below are the process summaries for the manage grievances–AFSCME, SEIU (union represented employee/group)−labor relations area.

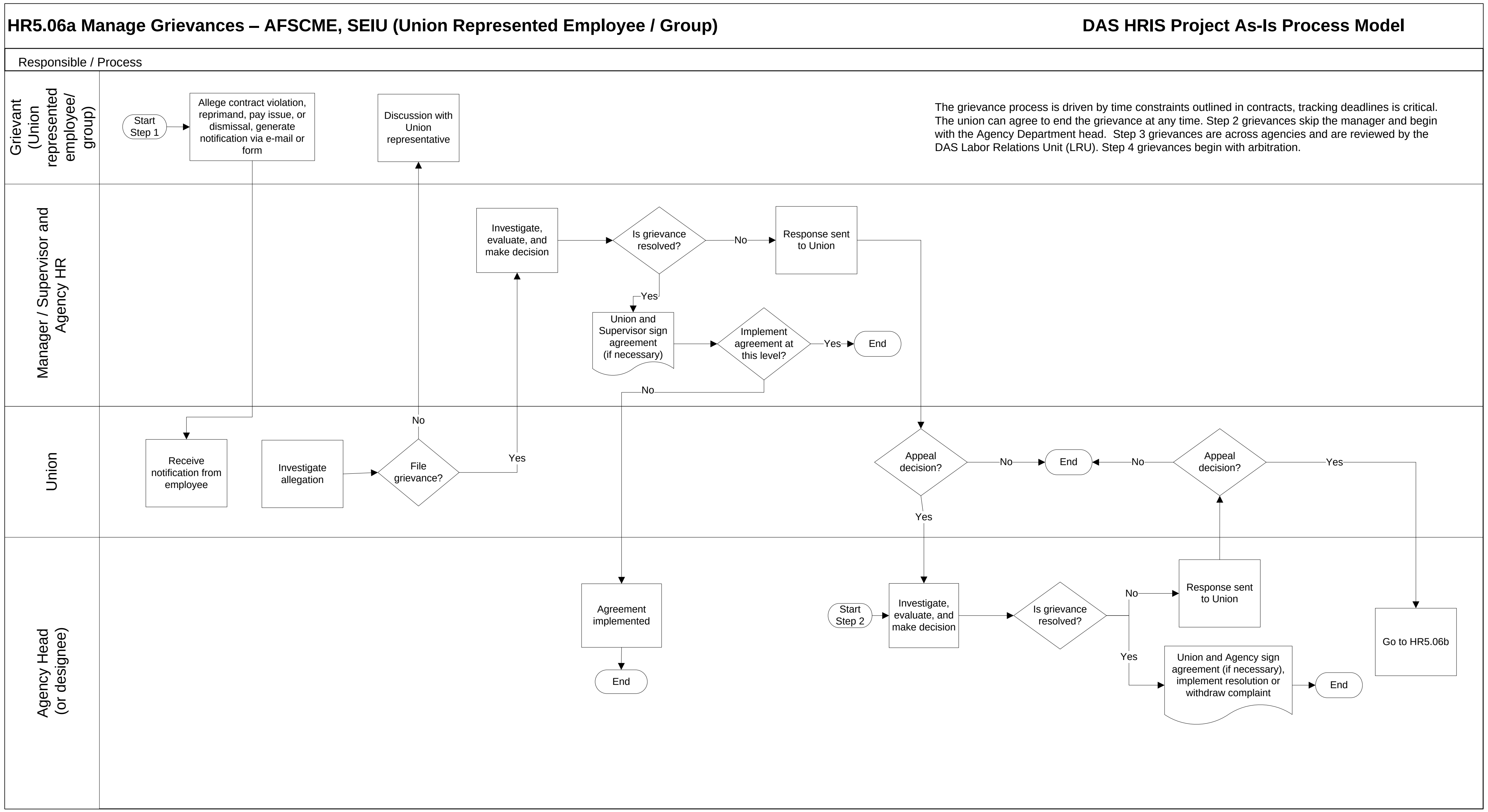
Process Step	Description
Purpose, objective, and description of process	This process describes the steps involved to resolve a grievance that a union or union represented employee or group has filed.
Process triggers	This process can start when a union representative, a union represented employee, or a group of employees file a notice of a grievance. The grievance and/or allegation can result from a contract violation, reprimand, pay/merit issue, or dismissal. In addition, the process can also result in an appeal of an unresolved issue and/or proposed solution.
Inputs	The inputs to this process include the following: • Contract article violation/reprimand • Letter of reprimands • Last change agreements • Pay reductions • Merit increase withheld/reduction in pay • Suspension, demotion, dismissal, and appeals • Supporting documentation • CBAs • Policies
Activities	The following activities are being performed in this process: **<u>Grievant (union represented employee/group)</u>** • Allege contract violation, reprimand, pay issue, or dismissal and generate notification via e-mail or form • Discussion with union representative **<u>Manager/supervisor and agency human resources</u>** • Investigate, evaluate, and make decision • Determine if grievance is resolved • Sign agreement with union • Send response to union

Process Step	Description
	• Implement agreement **Union** • Receive notification from employee • Investigate allegation • Decide to file grievance • Decide to appeal • Meeting with labor relations unit and other parties involved • Decide to request arbitration **Agency head (or designee)** • Implement agreement • Investigate, evaluate, and make decision • Determine if grievance is resolved • Send response to union • Sign agreement with union and agency, implement resolution, or withdraw complaint **DAS labor relations** • Contacts appropriate arbitrator • Investigate, evaluate, and make decision • Determine if grievance is resolved • Sign agreement with union and implement agreement/resolution **Arbitrator** • Administers the arbitration process
Method	Microsoft Office (Word, Excel and Access) is used to perform the process. Some agencies use a grievance tracking database.
Outputs/work products	The outputs of this process include the following: • Written grievance response • Settlement agreement • Various communications • Appeal letter(s) • Report(s) of appeal proceedings • Report(s)/findings of investigations
Laws, regulations, and policies that govern process	Include, but not limited to: PECBA ORS 243.650 through 243.766; CBAs with SEIU, the American Federation of State, County and Municipal Employees (AFSCME), and other organized labor unions; and state personnel relations law ORS chapter 240
Strengths	Not applicable, as the process is manual and it is difficult to manage where the process is and which grievances are unresolved

Process Step	Description
Weaknesses	No numbering system on grievances; no tracking of grievances; no history of grievances to show trends; all information is submitted by paper for review (no electronic file transfer); and inability to track timeline
Opportunities for improvement	Complete process, with notes in the system to reduce paper documentation and enable information/file sharing; track progress/discipline; track timeline/schedule; track status of grievance by employee(s); enable access to prior grievances and results; track trends, based on grievance type; and enable automated numbering of grievances
Systems	The following systems are used to prepare in this process: • Grievance tracking Microsoft Access database • Microsoft Excel • Microsoft Word • Microsoft Access

b. HR5.06a Manage Grievances–AFSCME, SEIU (Union Represented Employee/Group) as-is diagrams

Below are the as-is diagrams for the manage grievances–AFSCME, SEIU (union represented employee/group)−labor relations area.



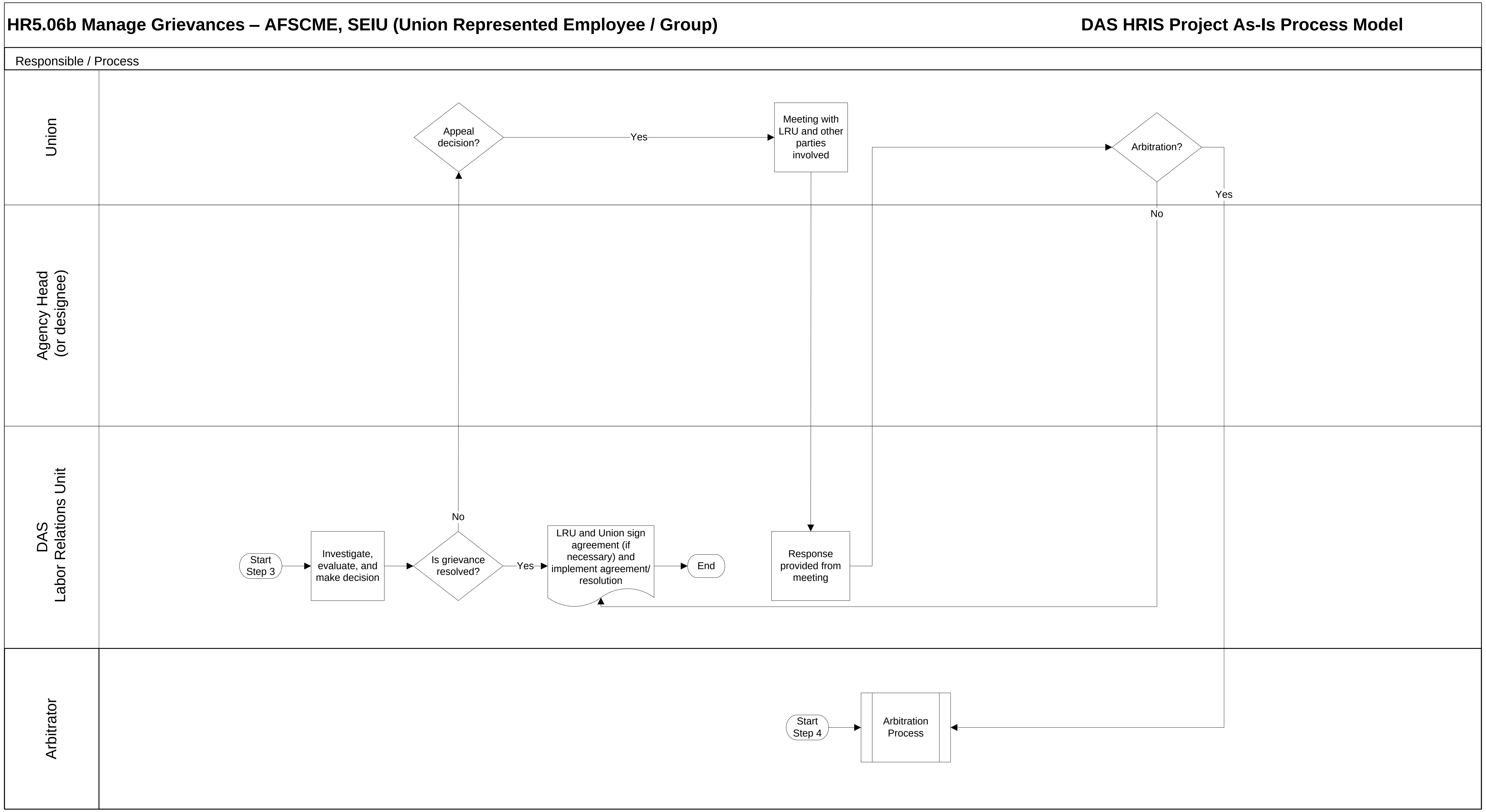
Inputs
- Contract article violation / Reprimand
- Merit increase withheld / reduction in pay
- Suspension, demotion, dismissal, appeals
- Supporting documentation
- Collective bargaining agreements (CBAs)
- Policies

Outputs
- Written grievance response
- Settlement agreement
- Various communications
- Appeal letter(s)
- Report(s) of appeal proceedings
- Report(s) /findings of investigations

Customers
- Grievant(s)
- Union
- Labor Relations
- Agency HR

Systems/Interfaces
- Grievance Tracking Access Database
- Microsoft Excel
- Microsoft Word
- Microsoft Access

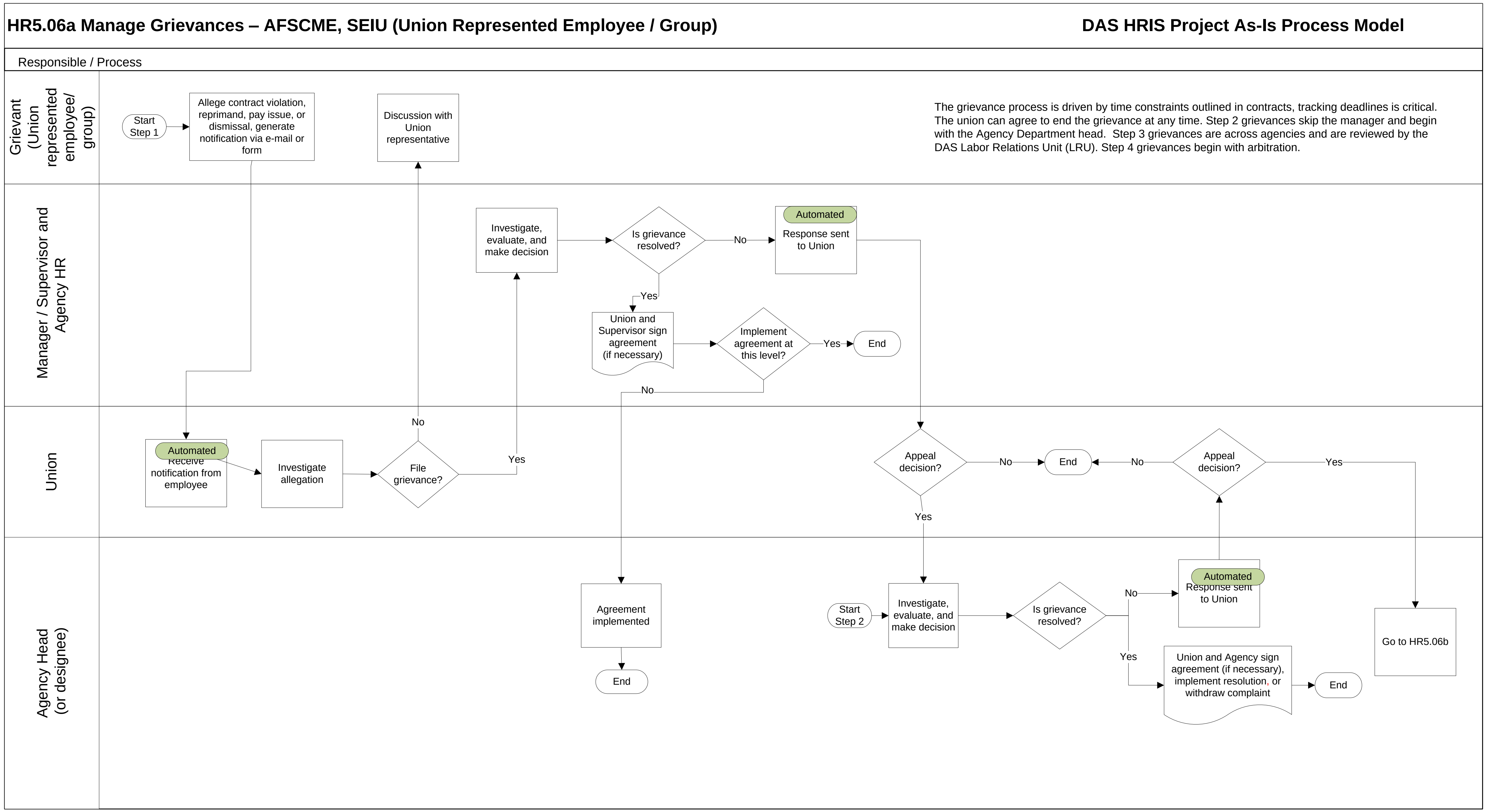
HR5.06b Manage Grievances–AFSCME, SEIU (Union Represented Employee/Group) as-is diagrams



Inputs	Outputs	Customers	Systems/Interfaces
• Contract article violation / Reprimand • Merit increase withheld / reduction in pay • Suspension, demotion, dismissal, appeals • Supporting documentation • Collective bargaining agreements (CBAs) • Policies	• Written grievance response • Settlement agreement • Various communications • Appeal letter(s) • Report(s) of appeal proceedings • Report(s) /findings of investigations	• Grievant(s) • Union • Labor Relations • Agency HR	• Grievance Tracking Access Database • Microsoft Excel • Microsoft Word • Microsoft Access

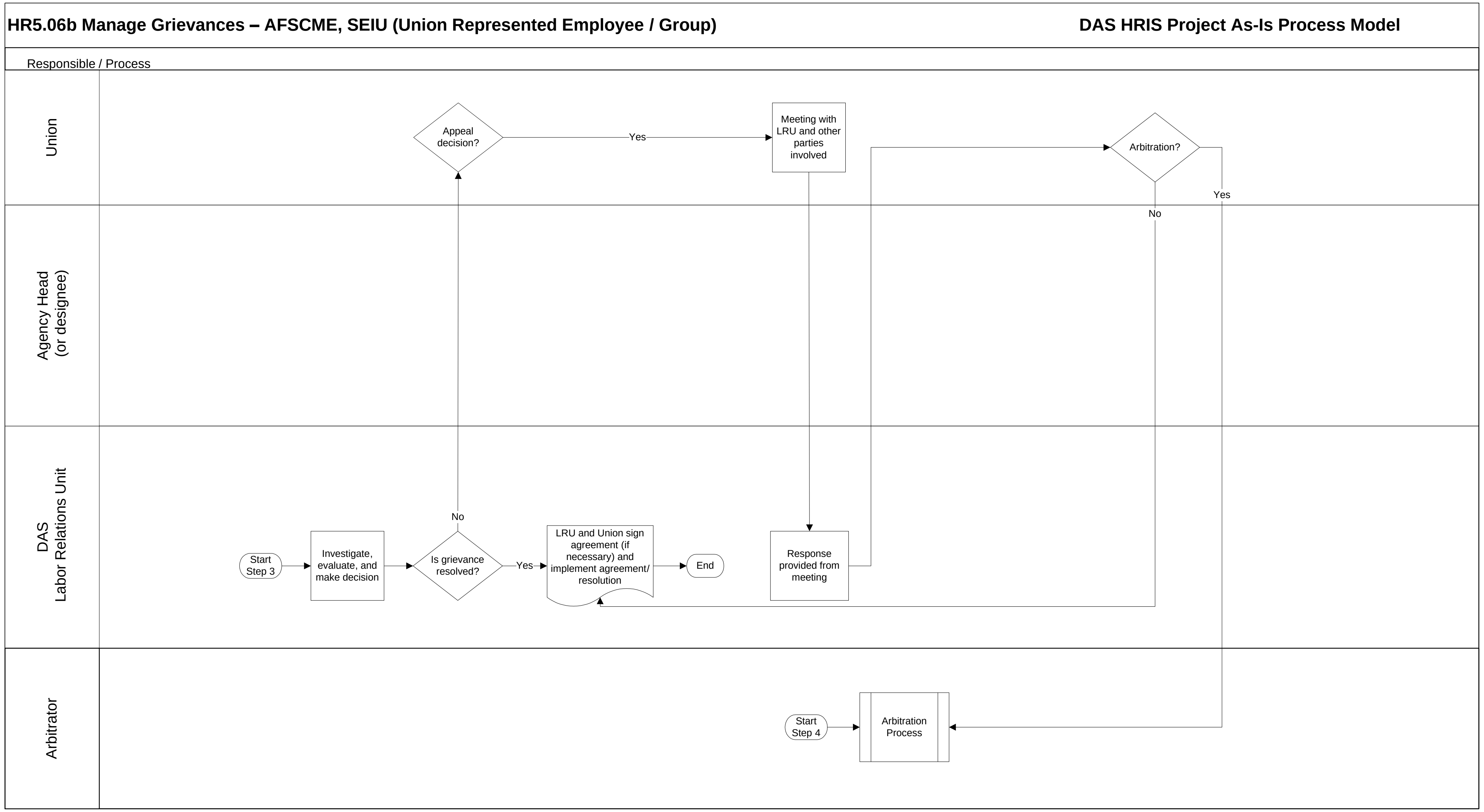
c. HR5.06a Manage Grievances–AFSCME, SEIU (Union Represented Employee/Group) marked-up diagrams

Below are the marked-up diagrams for the manage grievances–AFSCME, SEIU (union represented employee/group)−labor relations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Contract article violation / Reprimand • Merit increase withheld / reduction in pay • Suspension, demotion, dismissal, appeals • Supporting documentation • Collective bargaining agreements (CBAs) • Policies	• Written grievance response • Settlement agreement • Various communications • Appeal letter(s) • Report(s) of appeal proceedings • Report(s) /findings of investigations	• Grievant(s) • Union • Labor Relations • Agency HR	• Grievance Tracking Access Database • Microsoft Excel • Microsoft Word • Microsoft Access

HR5.06b Manage Grievances–AFSCME, SEIU (Union Represented Employee/Group) marked-up diagrams



Inputs
- Contract article violation / Reprimand
- Merit increase withheld / reduction in pay
- Suspension, demotion, dismissal, appeals
- Supporting documentation
- Collective bargaining agreements (CBAs)
- Policies

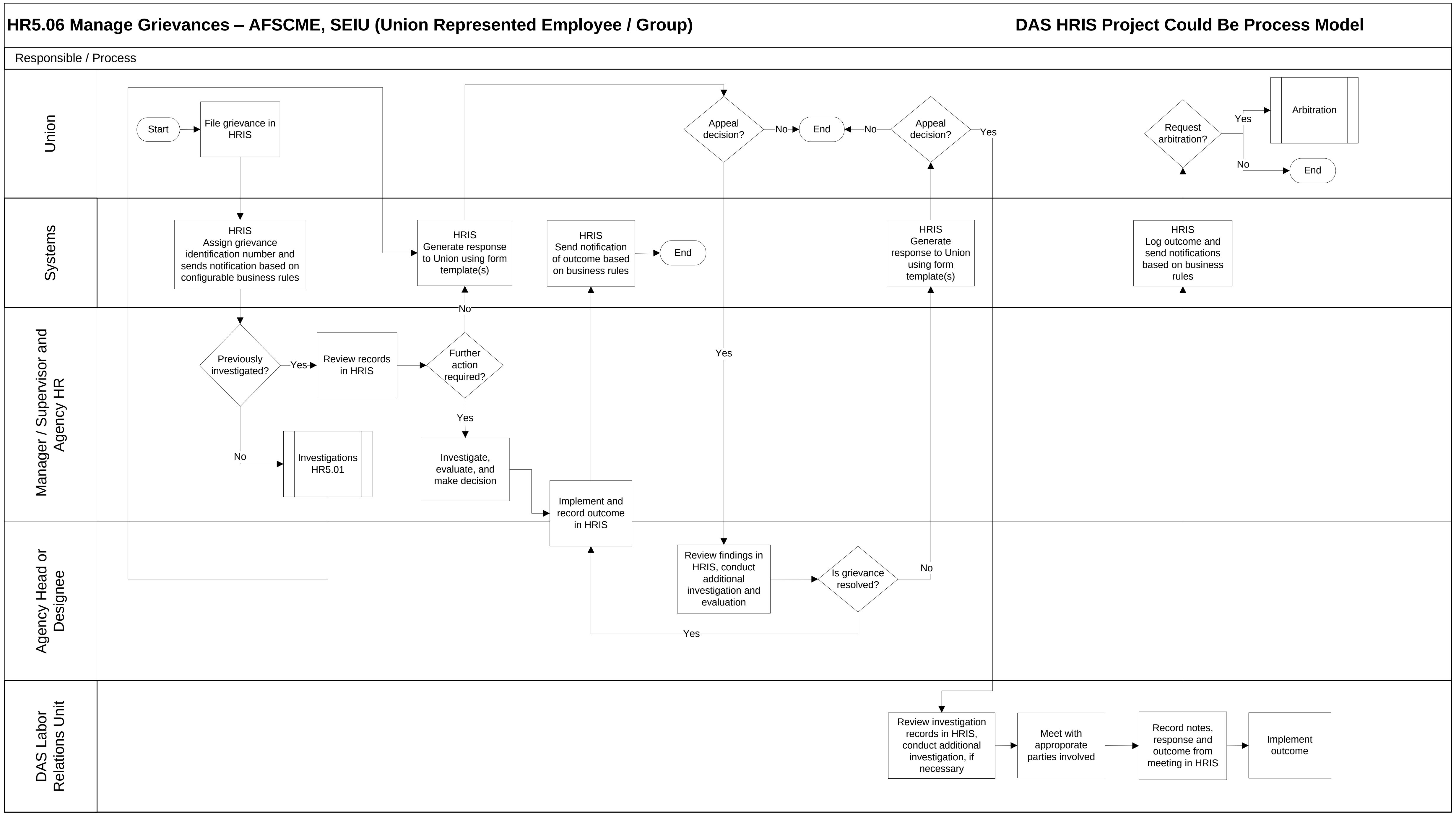
Outputs
- Written grievance response
- Settlement agreement
- Various communications
- Appeal letter(s)
- Report(s) of appeal proceedings
- Report(s) /findings of investigations

Customers
- Grievant(s)
- Union
- Labor Relations
- Agency HR

Systems/Interfaces
- Grievance Tracking Access Database
- Microsoft Excel
- Microsoft Word
- Microsoft Access

d. HR5.06 Manage Grievances–AFSCME, SEIU (Union Represented Employee/Group) could-be diagram

Below is the could-be diagram for the manage grievances–AFSCME, SEIU (union represented employee/group)−labor relations area.



The grievance process is driven by time constraints outlined in contracts, and tracking deadlines is critical. The Union works with the employee / group of employees to investigate the allegation to determine if grievance is filed. The union can agree to end the grievance at any time. Step 2 grievances skip the manager and begin with the Agency Department head. Step 3 grievances are across agencies and are reviewed by the DAS Labor Relations Unit (LRU). Step 4 grievances begin with arbitration.

F. Performance Evaluations

The following contains the process summary, as-is, marked-up, and the could-be diagrams for performance evaluations.

1. HR6.01 Performance Evaluations

This business area covers the management of performance evaluations.

a. HR6.01 Performance Evaluations Services process summaries

Below are the process summaries for the performance evaluations−performance evaluations area.

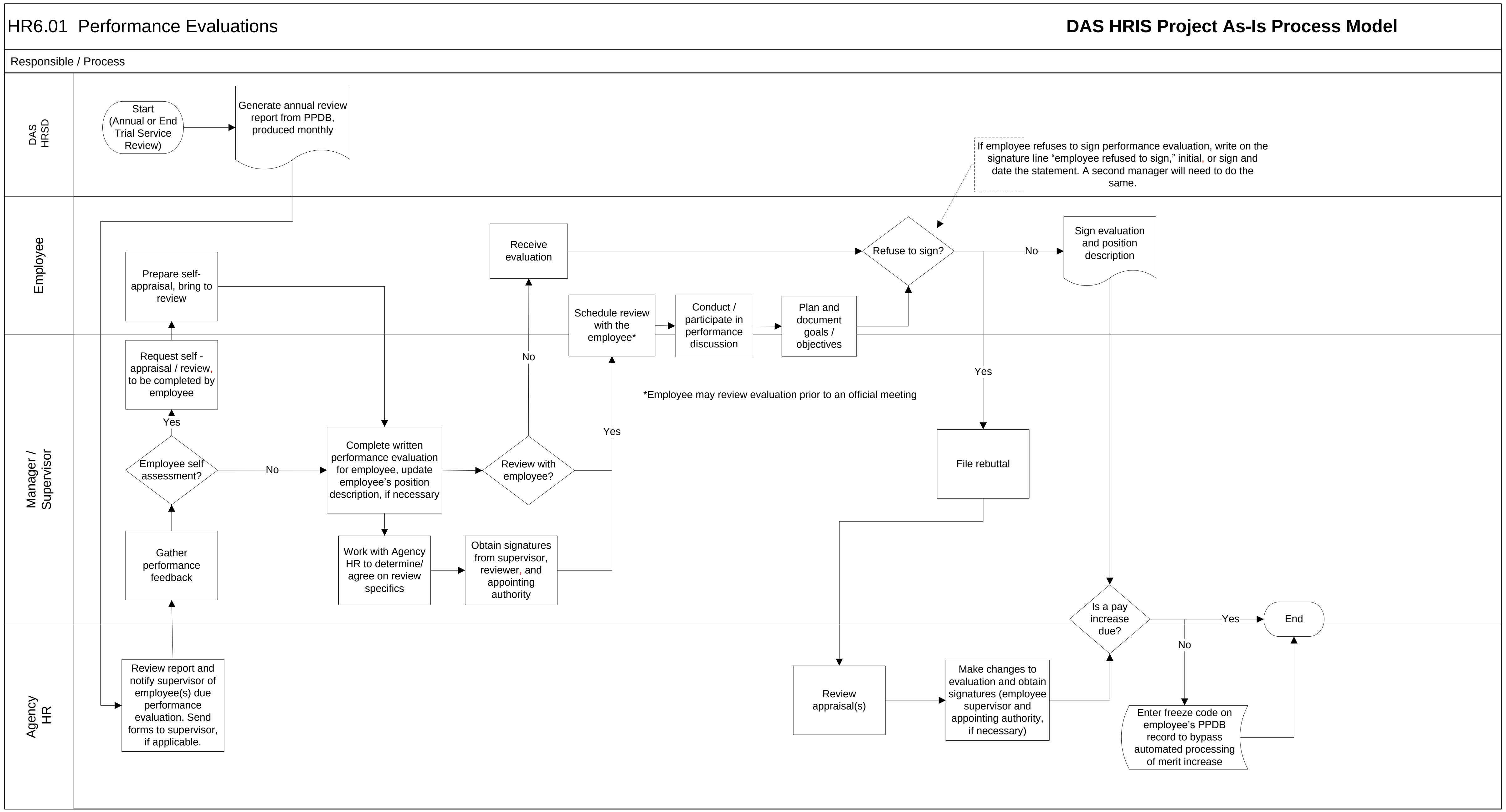
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to complete performance evaluations, which include the employee self-appraisal/assessment and the manager's evaluation. This process is used as a reminder for employees to update their contact information, including emergency contacts and their list of assigned assets/equipment.
Process triggers	This process starts with the monthly report from PPDB that identifies which employees are due a performance evaluation. After the report is reviewed, the process is triggered when the manager/supervisor gathers feedback and instructs the employee to complete a self-assessment.
Inputs	The inputs to this process include the following: • Time-driven and annual review • Type of review, end of trial service, behavioral issues, and change in work duty • Performance review form • Report of upcoming annual performance review dates
Activities	The following activities are being performed in this process: **DAS HRSD** • Generate annual review report from PPDB, produced monthly **Employee** • Prepare self-evaluation and bring to review • Receive evaluation • Schedule review with manager/supervisor • Participate in performance discussion • Plan and document goals/objectives • Make decision to sign document(s) • Sign evaluation and position description **Manager/supervisor**

Process Step	Description
	• Gather performance feedback • Determine whether to conduct employee self-evaluation • Request self-appraisal/review; to be completed by employee • Complete written performance evaluation for employee and update employee's position description, if necessary • Work with agency human resources to determine/agree on review specifics • Obtain signatures from supervisor, reviewer, and appointment authority • Schedule review with employee • Conduct performance discussion • Plan and document goals/objectives • File rebuttal • Determine if pay increase is due • If denying pay increase, request denial of pay increase from appointing authority **Agency human resources** • Review report and notify supervisor of employee(s) due for performance evaluation. Send forms to supervisor, if applicable. • Review evaluations(s) • Make changes to evaluation and obtain signatures (employee supervisor and appointing authority, if necessary) • Determine if pay increase is due (note: appointing authority can deny pay increase) • Enter freeze code on employee's PPDB record to bypass automated processing of merit increase
Method	The process is performed manually, outside the system, unless the agency uses Halogen and/or Survey Monkey to collect feedback.
Outputs/work products	The outputs of this process include the following: • Completed performance review form • Performance improvement plan • Disciplinary/non-disciplinary action
Laws, regulations, and policies that govern process	Include, but not limited to: state human resources policy 50.035.01 and CBAs; and division 50 workforce management policy, including number 50.045.01 for employee development and implementation of Oregon benchmarks for workforce development
Strengths	Evaluations for seasonal employees are completed based on their seasonal schedules and Halogen is legally compliant
Weaknesses	Evaluations are often behind or overdue; after three months of not completing an evaluation, the system no longer reports the evaluation as overdue/incomplete; evaluation process is not standard/consistent

Process Step	Description
	across agencies; forms vary by agency; manual or no tracking of employee's last evaluation date; and manual or no tracking of manager's/supervisor's completed evaluations
Opportunities for improvement	Hold managers/supervisors accountable for completing evaluations; flag overdue evaluations; notify human resources if/when evaluations are overdue; develop and use statewide evaluation form; track date of last evaluation by employee; and track manager's/supervisor's trends/percentage complete
Systems	The following systems are used to prepare in this process: • PPDB • Survey Monkey for peer review • Halogen

b. HR6.01 Performance Evaluations as-is diagram

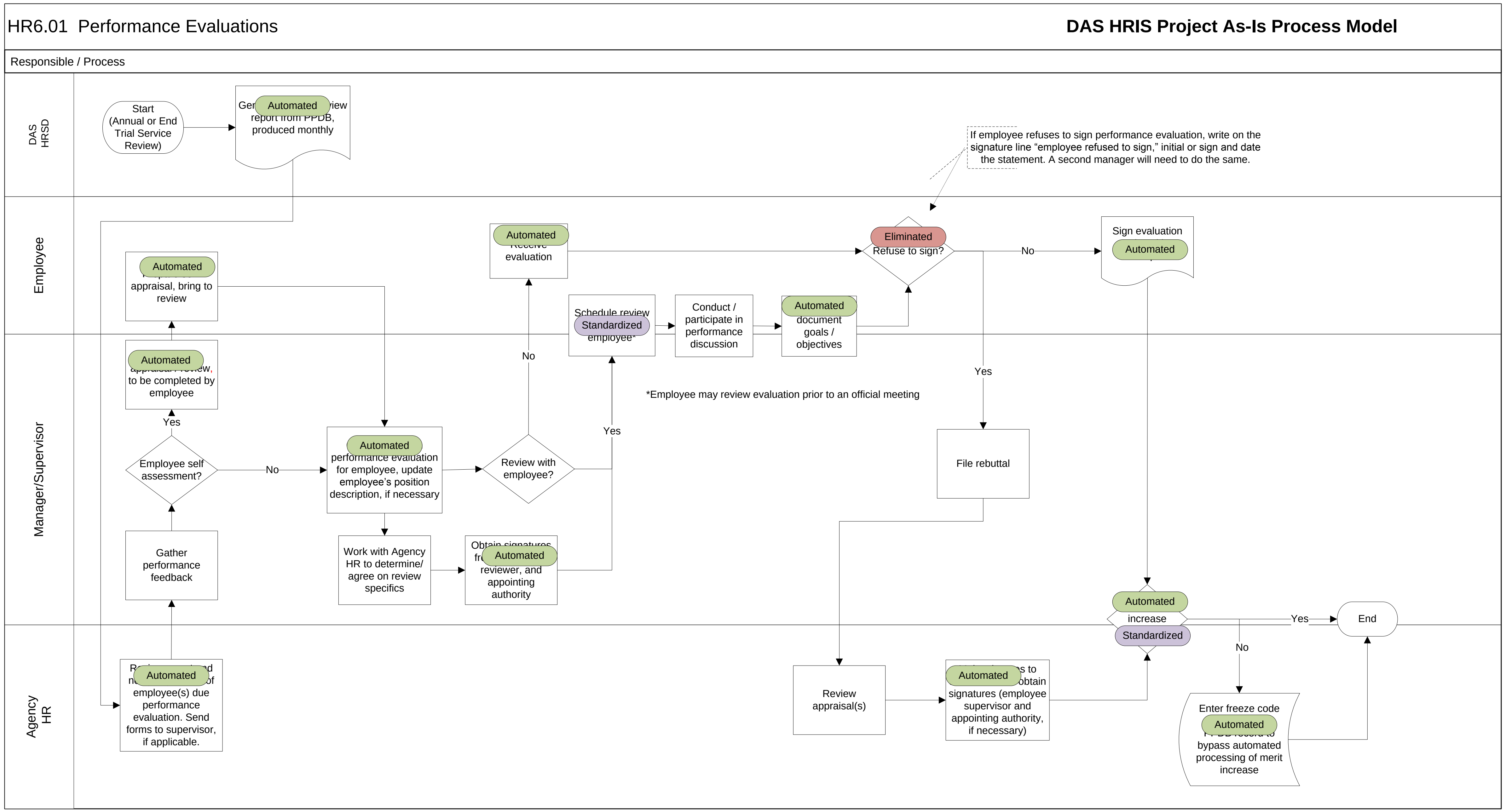
Below is the as-is diagram for the performance evaluations–performance evaluations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Time-driven, annual review • Type of review: end of trial service, behavioral issues, change in work duty • Performance review form • Report of upcoming annual performance review dates	• Completed review form • Performance Improvement plan • Disciplinary / non-disciplinary action	• Employee • Employee's Peers • Manager • Agency HR	• PPDB • Survey Monkey for peer review • Halogen

c. HR6.01 Performance Evaluations marked-up diagram

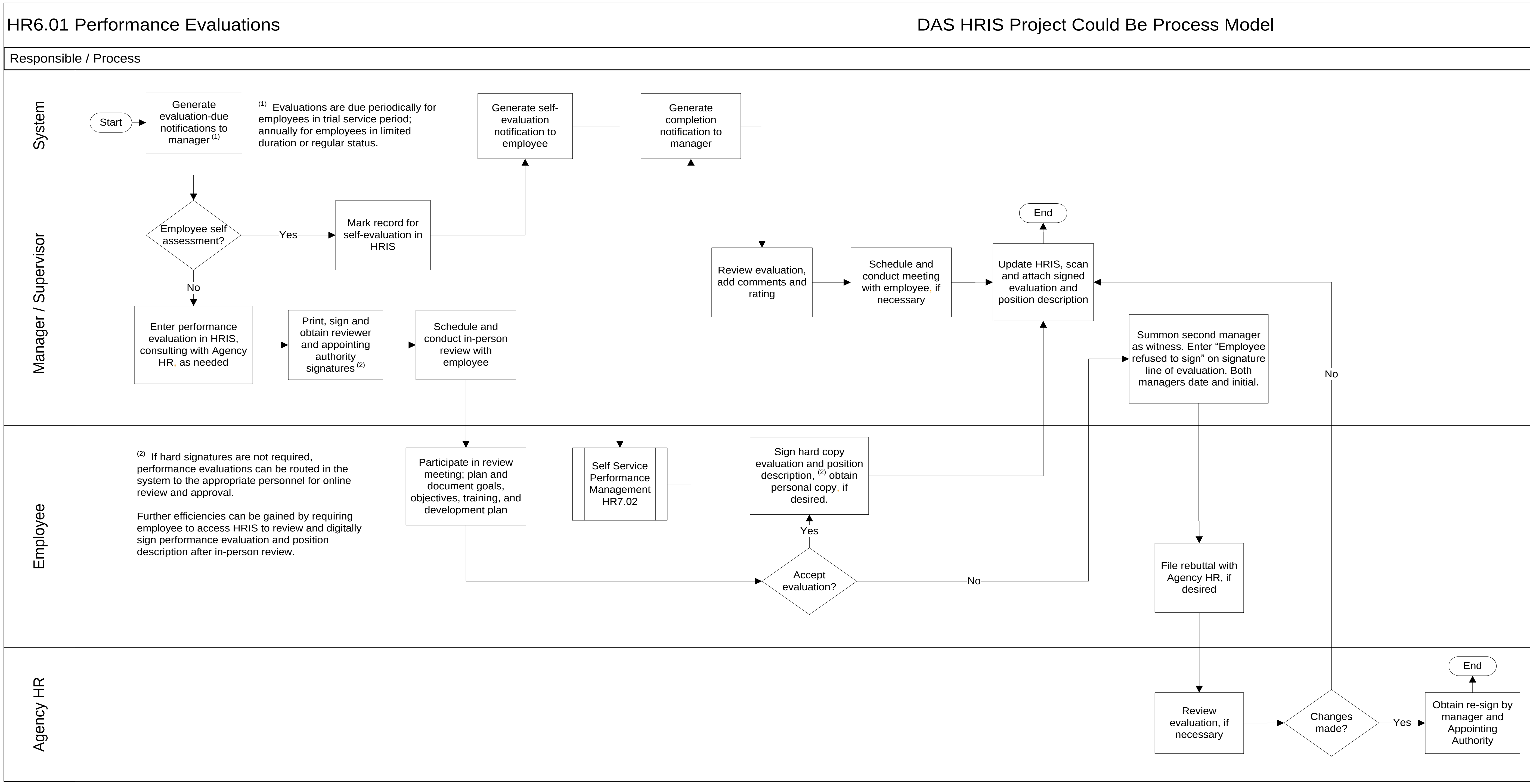
Below is the marked-up diagram for the performance evaluations–performance evaluations area.



Inputs	Outputs	Customers	Systems/Interfaces
• Time-driven, annual review • Type of review: end of trial service, behavioral issues, change in work duty • Performance review form • Report of upcoming annual performance review dates	• Completed review form • Performance Improvement plan • Disciplinary / non-disciplinary action	• Employee • Employee's Peers • Manager • Agency HR	• PPDB • Survey Monkey for peer review • Halogen

d. HR6.01 Performance Evaluations could-be diagram

Below is the could-be diagram for the performance evaluations–performance evaluations area.



2. HR6.02 Performance Management

This business area covers the management of performance management. The could-be diagram for this process is combined in HR6.01 Performance Evaluations.

a. HR6.02 Performance Management process summaries

Below are the process summaries for the performance management–performance evaluation area.

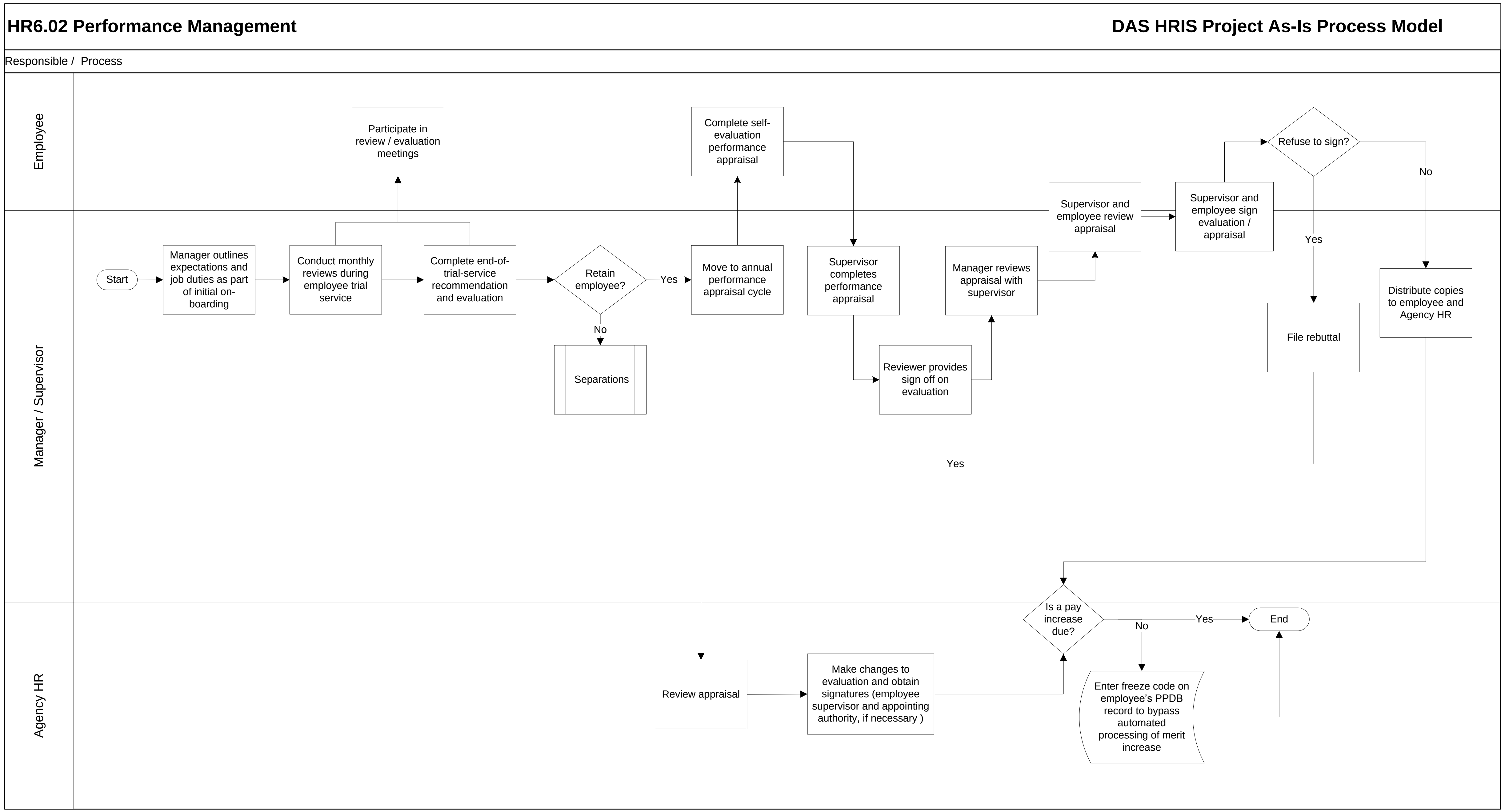
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer performance expectations and job duties. The process includes monthly reviews and reviews for the duration of trial service.
Process triggers	This process can start with new hires' need to complete trial service reviews and with feedback needed for annual performance evaluations.
Inputs	The inputs to this process include the following: • Time-driven and annual review • Type of review, end of trial service, behavioral issues, and change in work duty • Performance review form • Report of upcoming annual performance review dates
Activities	The following activities are being performed in this process: **Employee** • Participate in review/evaluation meetings • Complete self-evaluation performance evaluation • Review appraisal with supervisor • Decide to sign evaluation • Sign evaluation • File rebuttal **Manager/supervisor** • Manager outlines expectations and job duties as part of initial on-boarding • Conduct monthly reviews during employee trial service • Complete end-of-trial-service recommendation and evaluation • Decide to retain employee • Recommend separations to appointing authority • Move employee to annual performance evaluation cycle • Manager reviews evaluation with supervisor • Reviewer provides sign-off on evaluation • Supervisor reviews evaluation with employee

Process Step	Description
	• Sign evaluation/appraisal • Distribute copies to employee and agency human resources • Determine if pay increase is due • If denying, requests denial of pay increase from agency appointing authority **Agency human resources** • Review evaluations • Make changes to evaluation and obtain signatures (employee supervisor and appointing authority, if necessary) • Determine if pay increase is due (note: appointing authority can deny pay increase) • Enter freeze code on employee's PPDB record to bypass automated processing of merit increase • Agency appointing authority can remove employee from trial service
Method	The process is performed manually outside the system, unless the agency uses Halogen and/or Survey Monkey to collect feedback.
Outputs/work products	The outputs of this process include the following: • Completed performance review form • Performance Improvement plan • Letter of expectation • Updated position description/job duties • Disciplinary/non-disciplinary action
Laws, regulations, and policies that govern process	Include, but not limited to: state human resources policy 50.035.01; CBAs, division 50 workforce management policy, including number 50.035.01 for performance management process; policy number 50.040.01 for employee performance recognition program; and policy number 50.045.01 for employee development and implementation of Oregon benchmarks for workforce development
Strengths	Annual performance begins on the employee start date, regardless of trial service date, and Halogen is legally compliant
Weaknesses	Personnel manually track or do not track ongoing performance; inconsistent processes across agencies; timelines vary by agency (e.g., semi-annually versus monthly; based on salary eligibility date; based on a particular day of a month; or based on workload/schedule demand); and process is dependent on manager's desire, workload, and number of employees supervised
Opportunities for improvement	Enforce performance management and hold managers accountable; establish consistent timeline, based on specific criteria (e.g., classification and position/job role); track date of last performance meeting; enable personnel to use the system to document performance; and enable notifications, based on performance review

Process Step	Description
	cycle
Systems	The following systems are used to prepare in this process: • PPDB • Survey Monkey for peer review • Halogen

b. HR6.02 Performance Management as-is diagram

Below is the as-is diagram for the performance management–performance evaluation area.



Inputs
- Time-driven, annual review
- Type of review: end of trial service, behavioral issues, change in work duty
- Performance review form
- Report of upcoming annual performance review dates

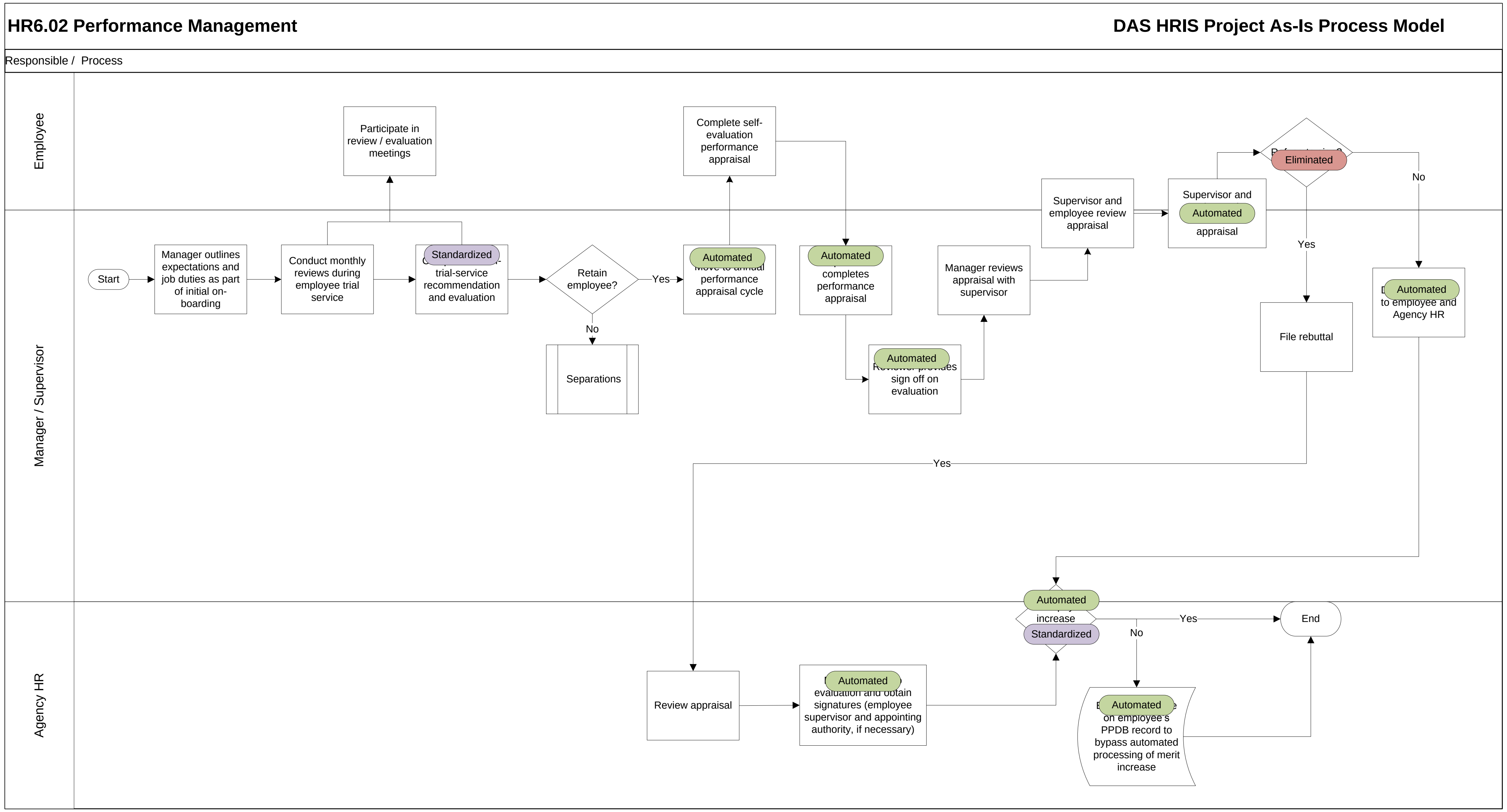
Outputs
- Completed review form
- Performance Improvement plan
- Letter of expectation
- Updated position description / job duties
- Disciplinary / non-disciplinary action

Customers
- Employee
- Employee's Peers
- Manager / Supervisor
- Agency HR

Systems/Interfaces
- PPDB
- Survey Monkey for peer review
- Halogen

c. HR6.02 Performance Management marked-up diagram

Below is the marked-up diagram for the performance management–performance evaluation area.



Inputs
- Time-driven, annual review
- Type of review: end of trial service, behavioral issues, change in work duty
- Performance review form
- Report of upcoming annual performance review dates

Outputs
- Completed review form
- Performance Improvement plan
- Letter of expectation
- Updated position description / job duties
- Disciplinary / non-disciplinary action

Customers
- Employee
- Employee's Peers
- Manager / Supervisor
- Agency HR

Systems/Interfaces
- PPDB
- Survey Monkey for peer review
- Halogen

G. Self Service

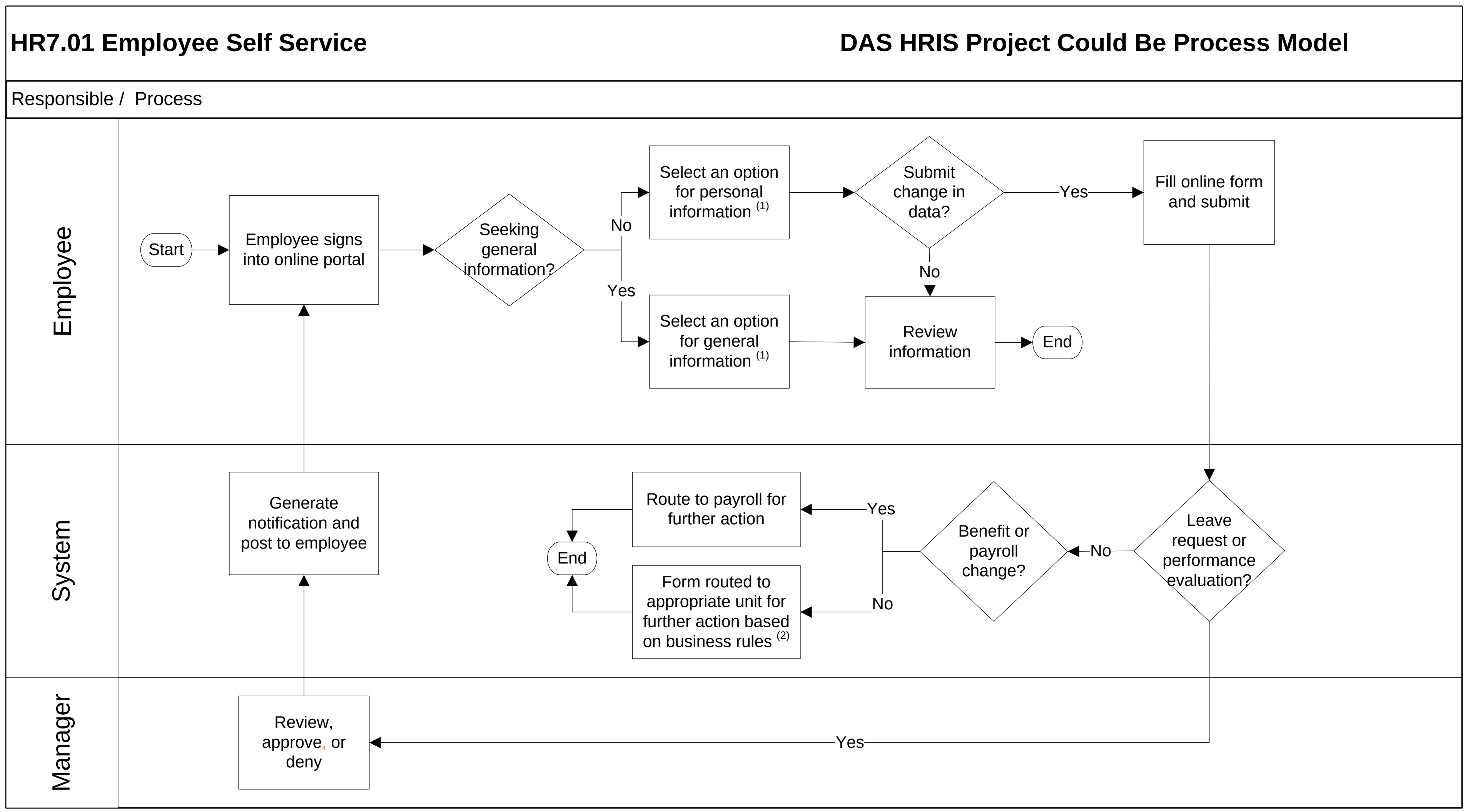
The following contains only the could-be diagrams for the self service area. There are not any current process summaries, as-is, or marked up diagrams for employee and manager self service.

1. HR7.01Self Service

This business area covers the management of the could-be self service business functions.

a. HR7.01 Employee Self Service could-be diagrams

Below is the could-be diagram for the employee self service–self service area.

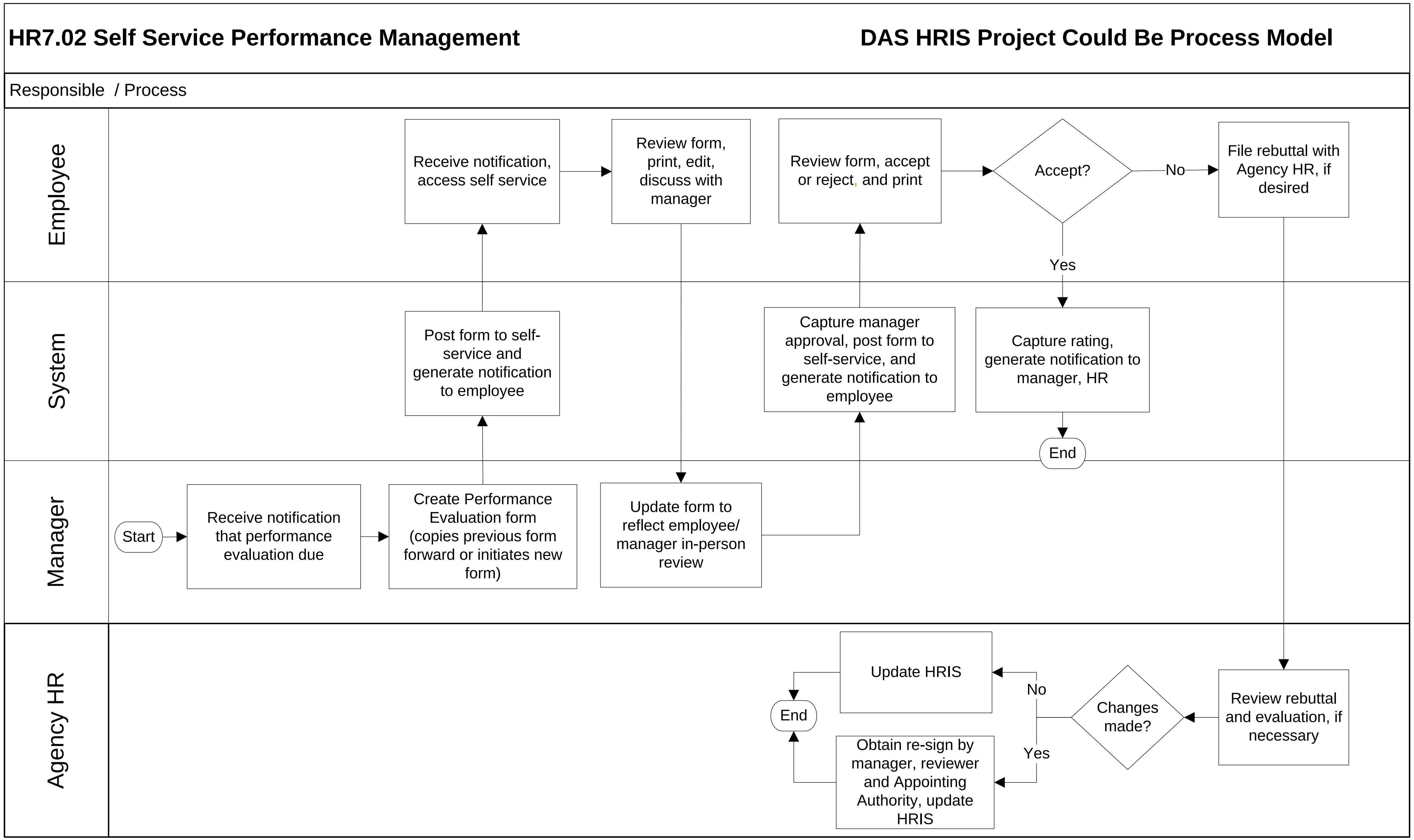


(1) Options expected to be available include HR policies, training offerings, general announcements, and notifications. Employee-specific options expected to be available include personalized notifications, pay stubs, and enrolled benefits.

(2) Payroll and benefit change forms should be routed to agency Payroll unit. If benefit changes included, further routing to PEBB may be accomplished via automated interface(s). Leave and performance forms should be routed to the supervising manager for further action.

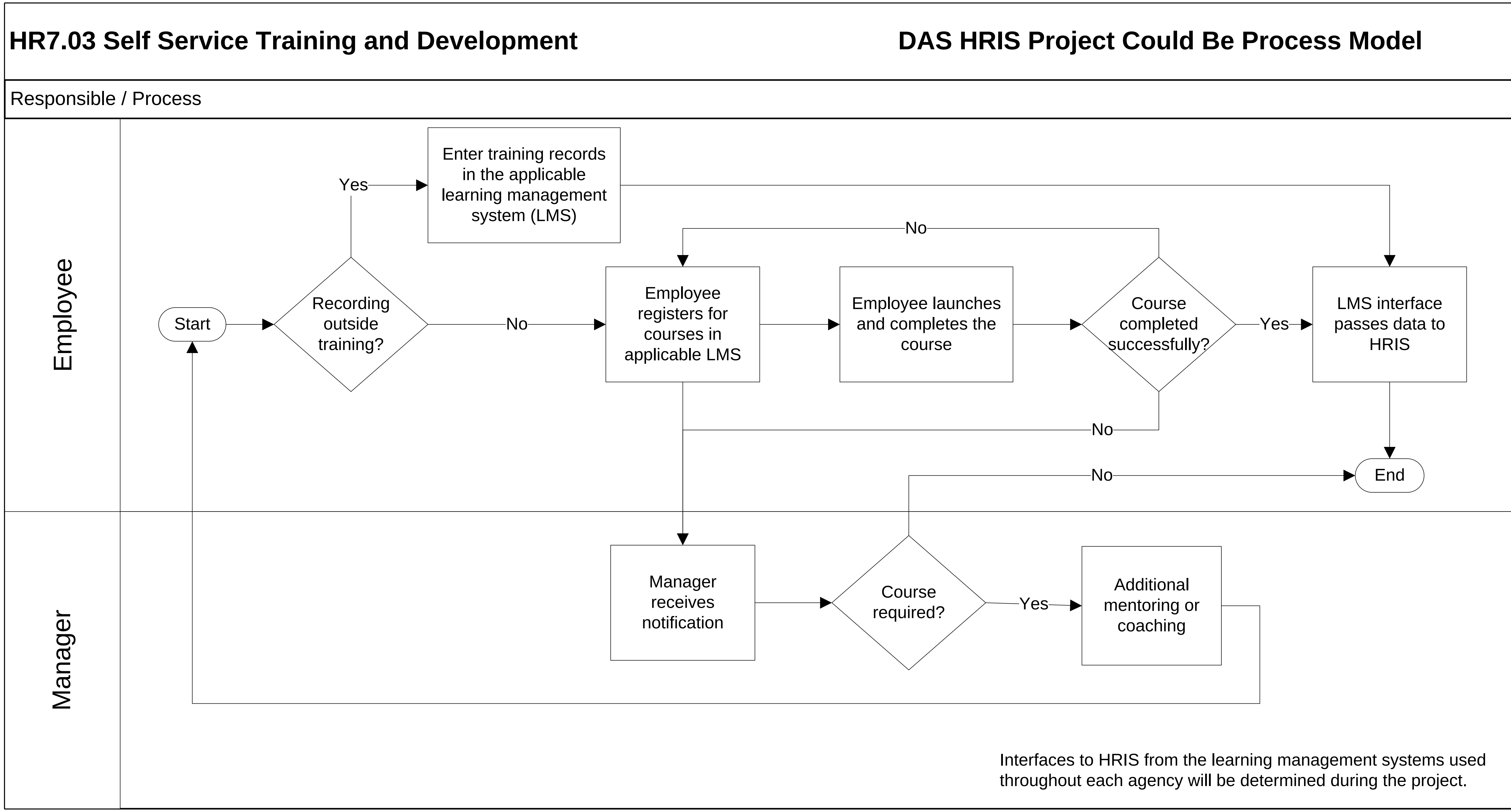
b. HR7.02 Performance Management could-be diagram

Below is the could-be diagram for the performance management–self service area.



c. HR7.03 Training and Development could-be diagram

Below is the could-be diagram for the training and development–self service area.



H. Health and Safety

The following contains the process summary, as-is, marked-up, and the could-be diagrams for the health and safety area.

1. HR8.01 Drug Testing

This business area covers the process used to manage drug testing.

a. HR8.01 Drug Testing process summaries

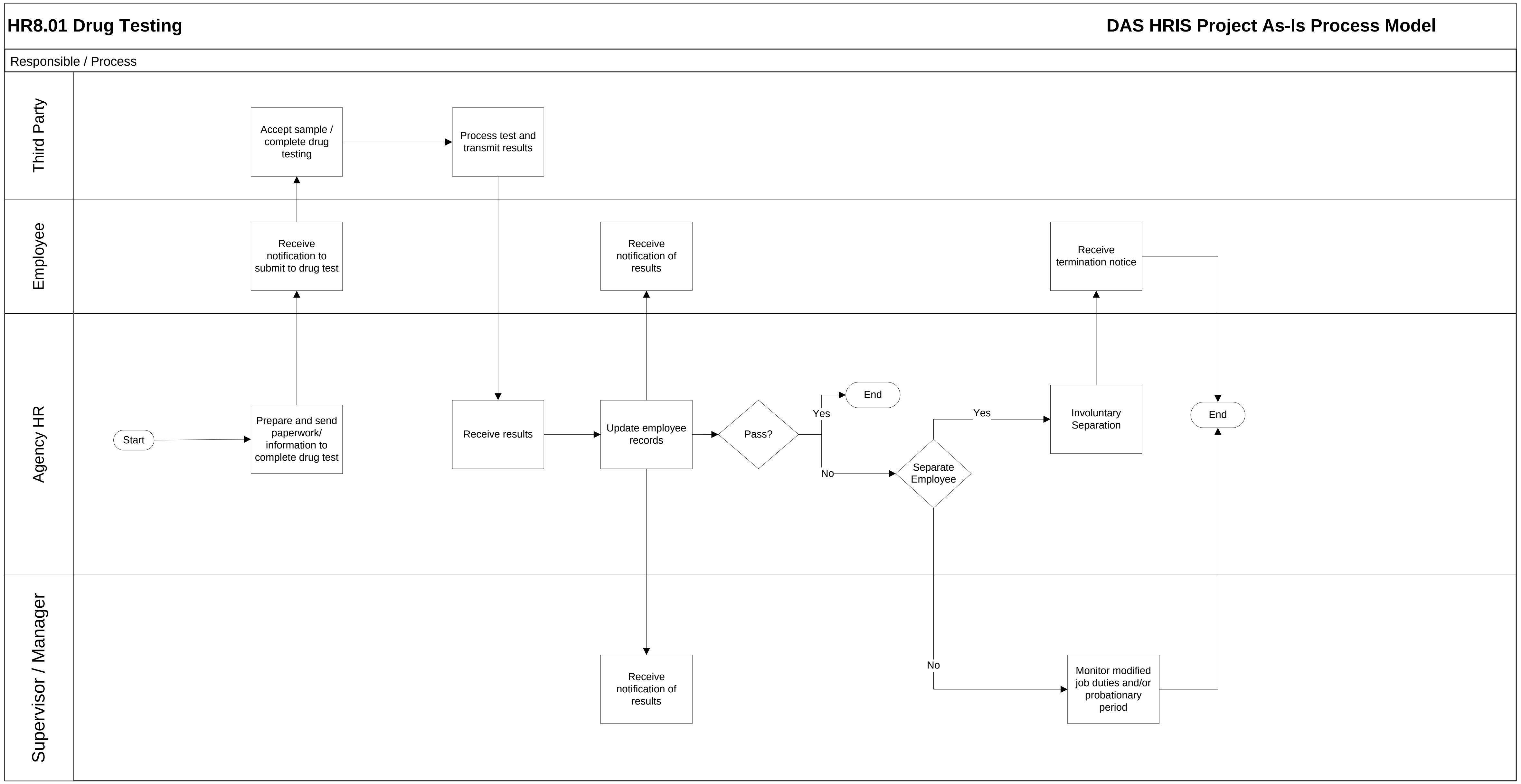
Below are the process summaries for the drug testing−health and safety area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take administer drug testing, including annual and random drug tests. Testing is administered to ensure that the state of Oregon maintains a workplace free of alcohol and controlled substances, in particular for those with designated positions and licenses.
Process triggers	This process can start with new hire applicants who desire to work with the state. Human resources notifies new employees that they must successfully pass drug tests before they are eligible for employment. The process also includes annual/recurring and random testing in order for the employee to remain in various positions, such as those that require a commercial drivers' license (CDL). Employees who do not pass may be asked to retest after an elapsed period.
Inputs	The inputs to this process include the following: • New hire applicant • Random drug testing • Retest/follow up drug test • Recurring/annual drug test
Activities	The following activities are being performed in this process: **Third party** • Accept sample/complete testing • Process test and transmit test results **Employee** • Receive notification to submit to test • Complete test • Receive notification of results **Agency human resources** • Prepare and send paperwork/information for test • Receive test results

Process Step	Description
	• Update employee records • Determine to separate employee, or other disciplinary action like a last chance agreement • Process involuntary separation or allow for resignation **Supervisor/manager** • Receive notification of results • Monitor modified job duties and/or probationary period
Method	The process is performed manually, with tracking and data entry in Microsoft Excel.
Outputs/work products	The outputs of this process include the following: • New hire • Test results • Disciplinary action
Laws, regulations, and policies that govern process	Include, but not limited to: division 50 workforce management polices, including drug-free workplace policy number 50.000.01; drug testing of employees in designated classifications/positions policy number 50.000.02; alcohol and controlled substance testing of employees that have commercial driver's license policy number 105-050-0003; and drug testing of final applicants for certain state classifications/positions policy number 105-050-0004
Strengths	New hire offers for employment are contingent on successful drug test results and various third party providers across the state provide testing that is convenient for employees/new hire applicants
Weaknesses	Manual process; random testing is triggered manually; random test dates are not logged/tracked; last test date is not tracked; and third party notifications are sent by mail
Opportunities for improvement	Automate the selection and notification for random testing; enable tracking of random test candidates and dates; enable tracking of test dates/results; and provide electronic test results
Systems	The following systems are used to prepare in this process: • Microsoft Excel

b. HR8.01 Drug Testing as-is diagram

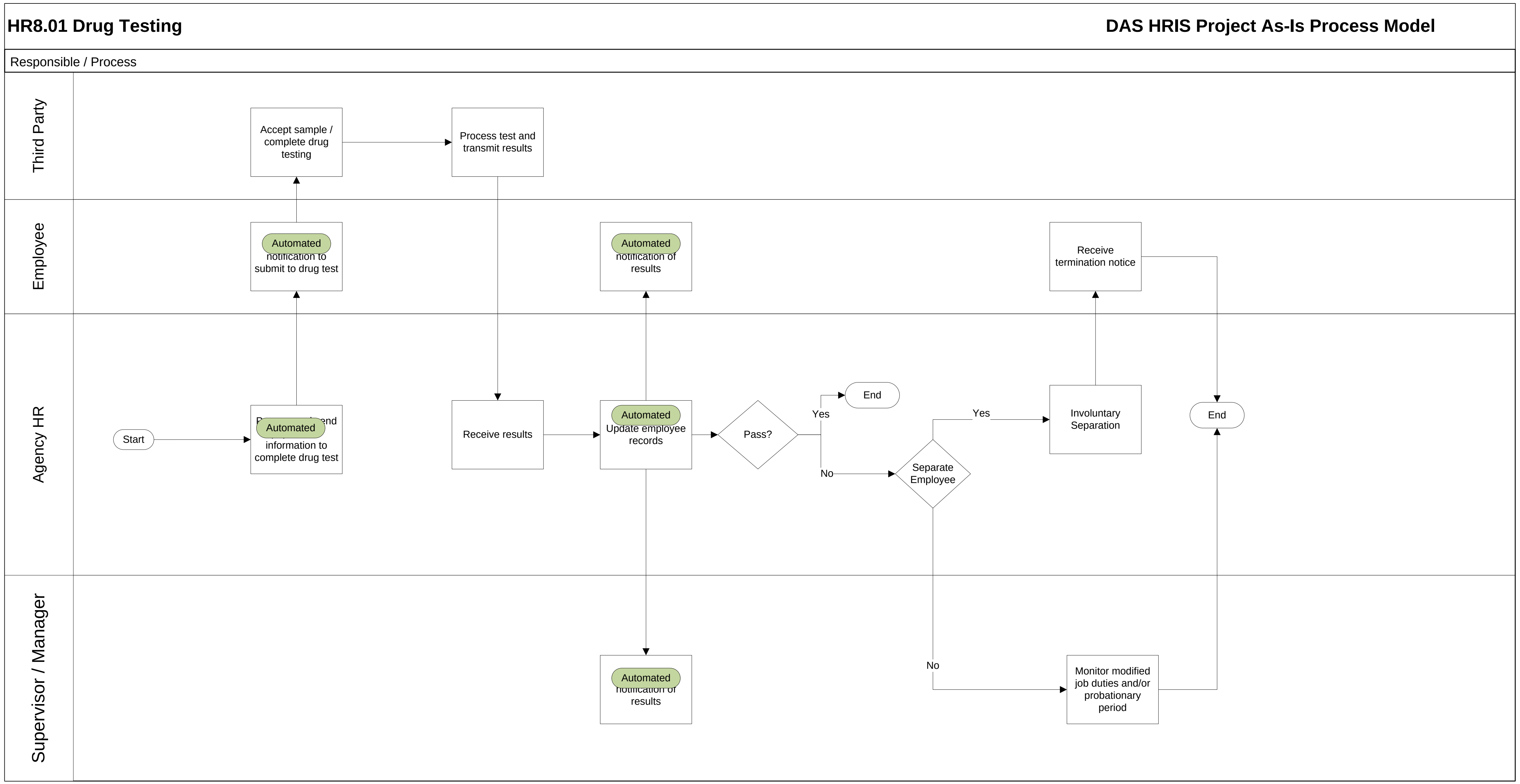
Below is the as-is diagram for the drug testing–health and safety area.



Inputs	**Outputs**	**Customers**	**Systems/Interfaces**
• New hire applicant • Random drug testing • Retest / follow up drug test • Recurring / annual drug test	• New hire • Test results • Disciplinary action	• Employee • Employee's Peers • Manager / Supervisor • Human Resources • Third Party	• Microsoft Excel

c. HR8.01 Drug Testing marked-up diagram

Below is the marked-up diagram for the drug testing–health and safety area.



Inputs
- New hire applicant
- Random drug testing
- Retest / follow up drug test
- Recurring / annual drug test

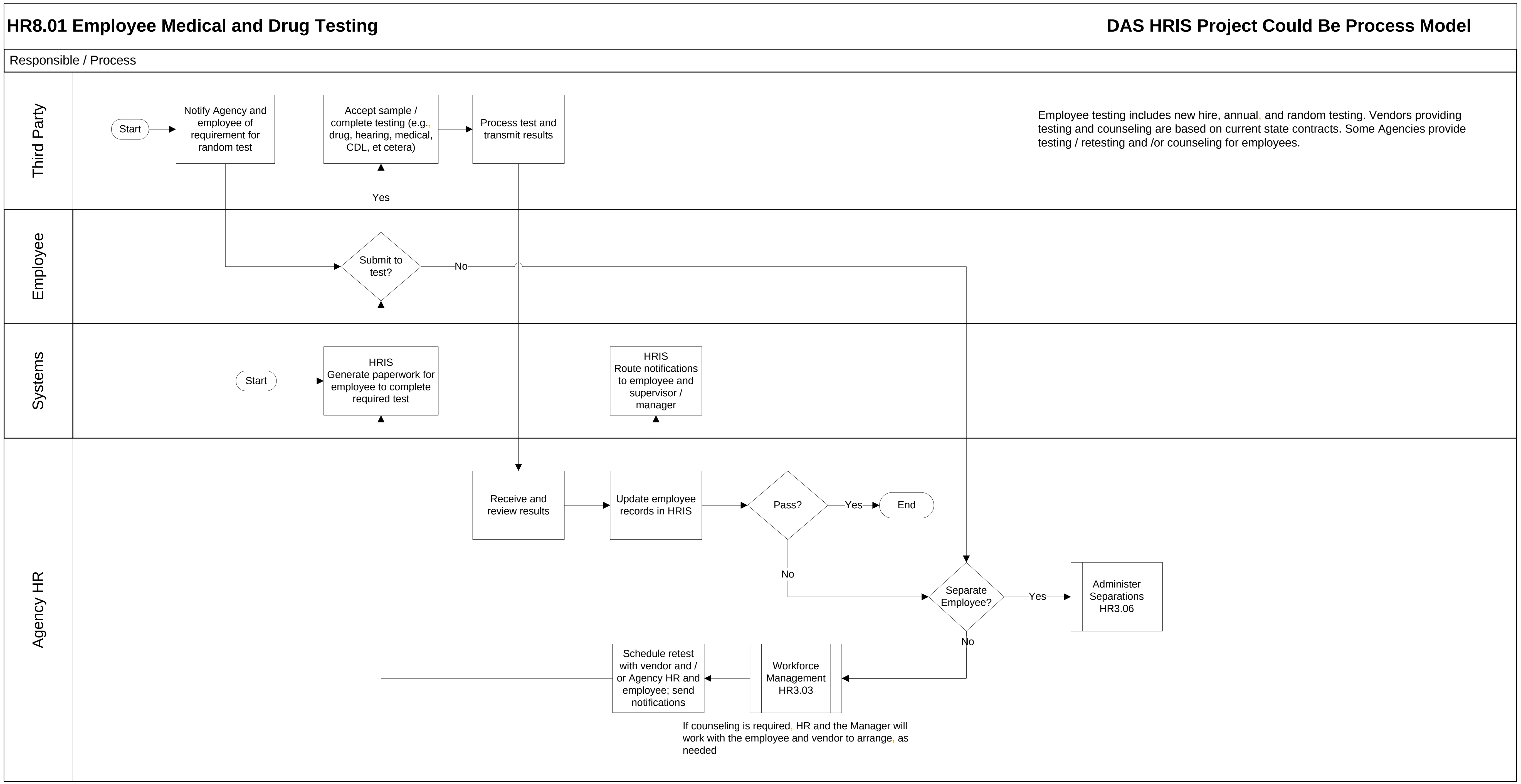
Outputs
- New hire
- Test results
- Disciplinary action

Customers
- Employee
- Employee's Peers
- Manager / Supervisor
- Human Resources
- Third Party

Systems/Interfaces
- Microsoft Excel

d. HR8.01 Drug Testing could-be diagram

Below is the could-be diagram for the drug testing−health and safety area.



2. HR8.02 Manage Workers' Compensation Claims

This business area covers the process to manage workers' compensation claims.

a. HR8.02 Manage Workers' Compensation Claims process summaries

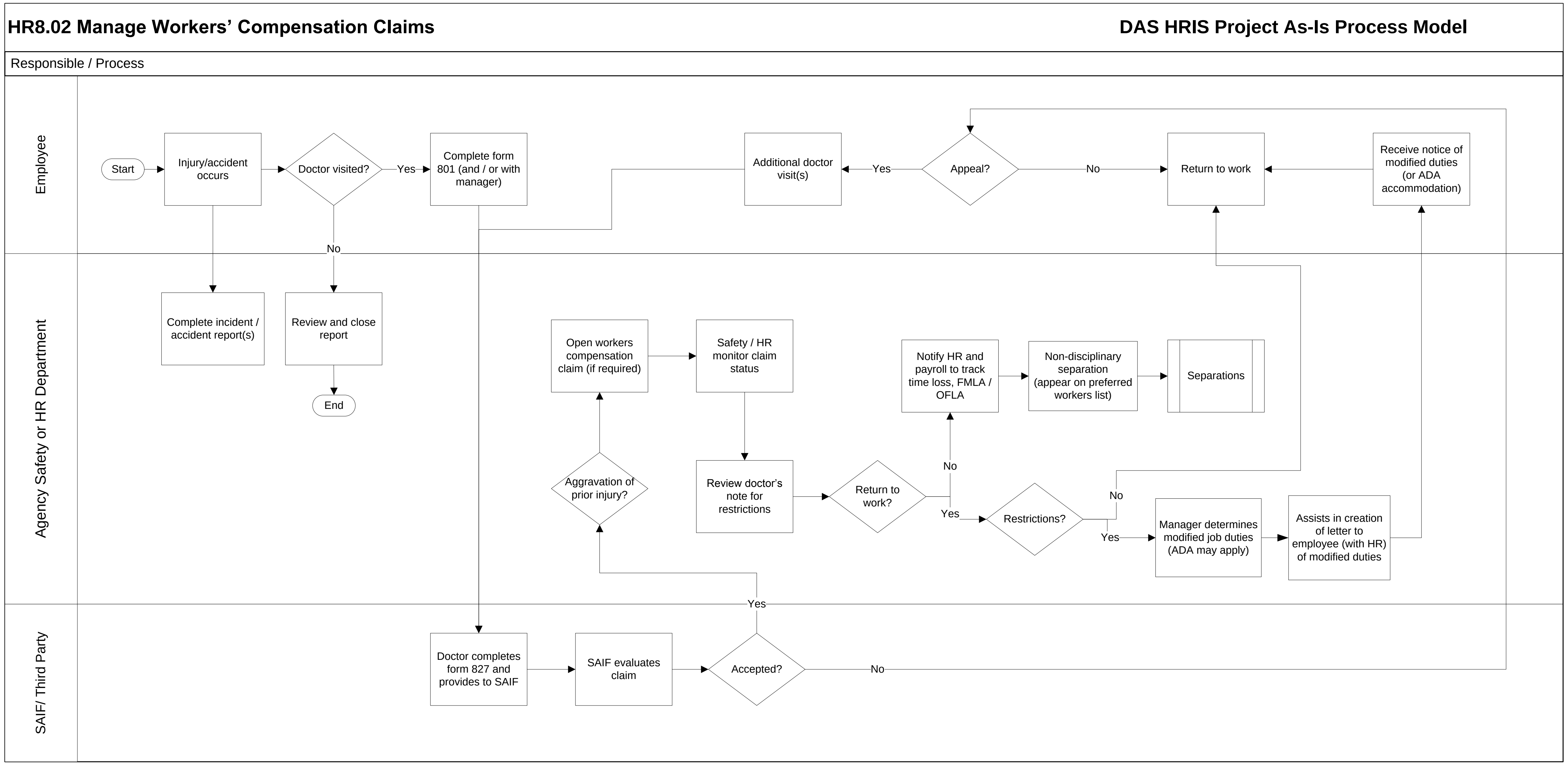
Below are the process summaries for the manage workers' compensation claims−health and safety area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to manage a workers' compensation claim that is a result of an on the job or work-related injury, accident, or other event.
Process triggers	This process can start with an occurrence or report of an injury or accident to an employee while he or she is on the job. The process can also be triggered by a doctor's visit for an aggravated injury from a previous accident.
Inputs	The inputs to this process include the following: • Injury or accident • Injury or accident report • Doctor's note • Claim/claim number
Activities	The following activities are being performed in this process: **<u>Employee</u>** • Injury or accident occurs • Visit doctor • Complete form 801 • Appeals claim decision • Return to work • Receive notice of modified duties **<u>Agency safety or human resources department</u>** • Enter/complete incident or accident report • Manage (review, open, and close) incident/accident reports • Open workers' compensation claims • Review doctor's notes for restrictions • Notify human resources and payroll to track time loss and FLMA/OFLA • Process non-disciplinary separations • Determine modified job duties • Create letters to employee **<u>SAIF/third party</u>**

Process Step	Description
	• Complete SAIF form 827 • Evaluate claims (approve or deny)
Method	The process is performed with data entry into various systems, including a third party system (SAIF).
Outputs/work products	The outputs of this process include the following: • Form 827 • Form 801 • Claim/claim number
Laws, regulations, and policies that govern process	Include but not limited to: Oregon revised statutes; chapter 656 for workers' compensation and chapter 654 for occupational safety and health; division 50 workforce management polices, including number 50.020.03 for reinstatement and reemployment of injured workers; number 50.020.05 for early return to work of injured workers; number 50.020.10 for ADA and reasonable accommodation in employment; and number 105-050-0025 for injured worker preference for light duty assignments
Strengths	Forms are maintained by and available from the SAIF website
Weaknesses	Manual process; manual duplication of employee information on various forms; inability to track claim numbers; and inability to track the status of claims
Opportunities for improvement	Link to latest/last version of forms on the SAIF website; enable tracking claims by claim number; and automate employee information to populate forms
Systems	The following systems are used to prepare in this process: • PPDB • PICS • Safety Tracker • SAIF

b. HR8.02 Manage Workers' Compensation Claims as-is diagram

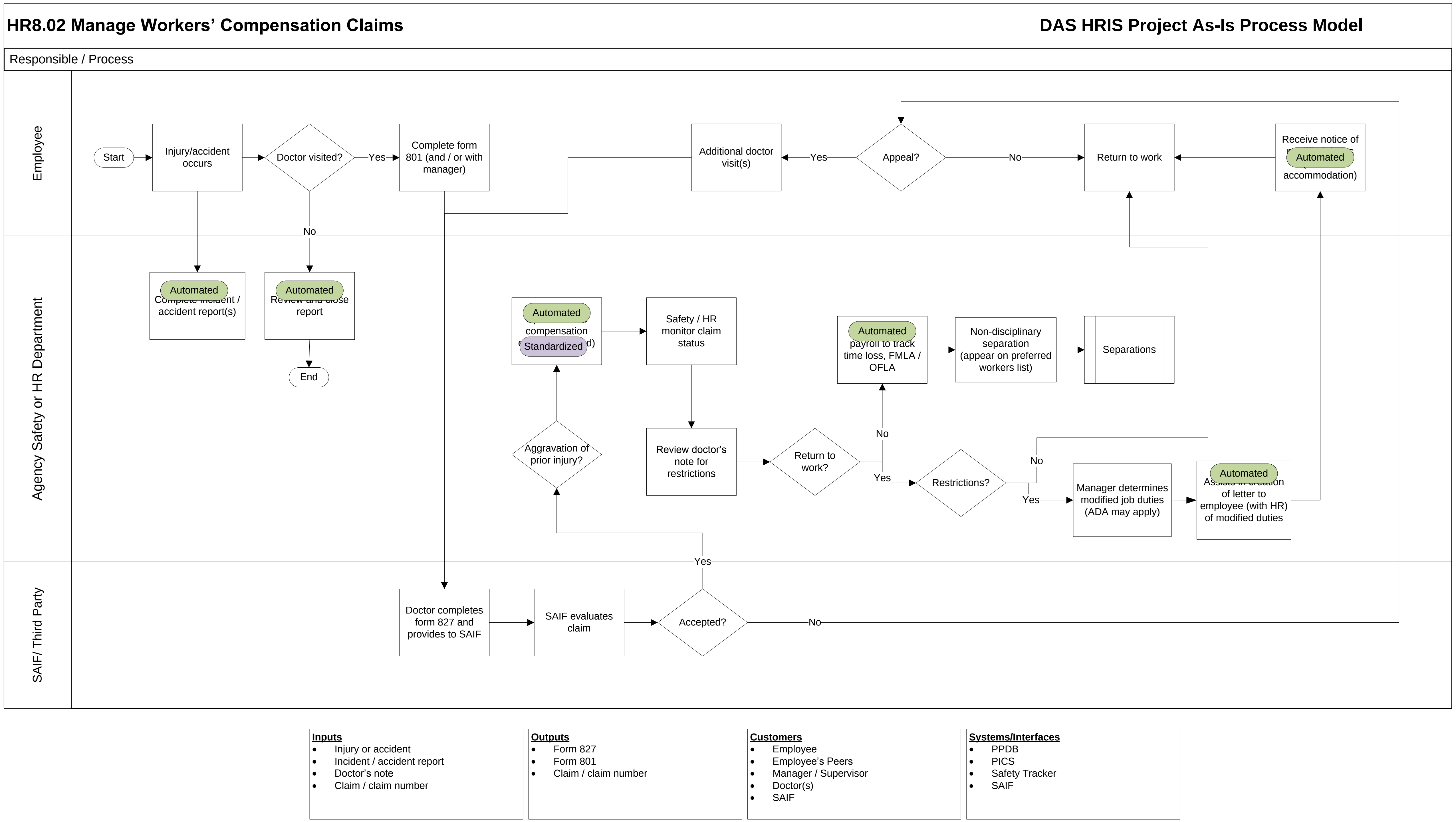
Below is the as-is diagram for the manage workers' compensation claims–health and safety area.



Inputs	Outputs	Customers	Systems/Interfaces
• Injury or accident • Incident / accident report • Doctor's note • Claim / claim number	• Form 827 • Form 801 • Claim / claim number	• Employee • Employee's Peers • Manager / Supervisor • Doctor(s) • SAIF	• PPDB • PICS • Safety Tracker • SAIF

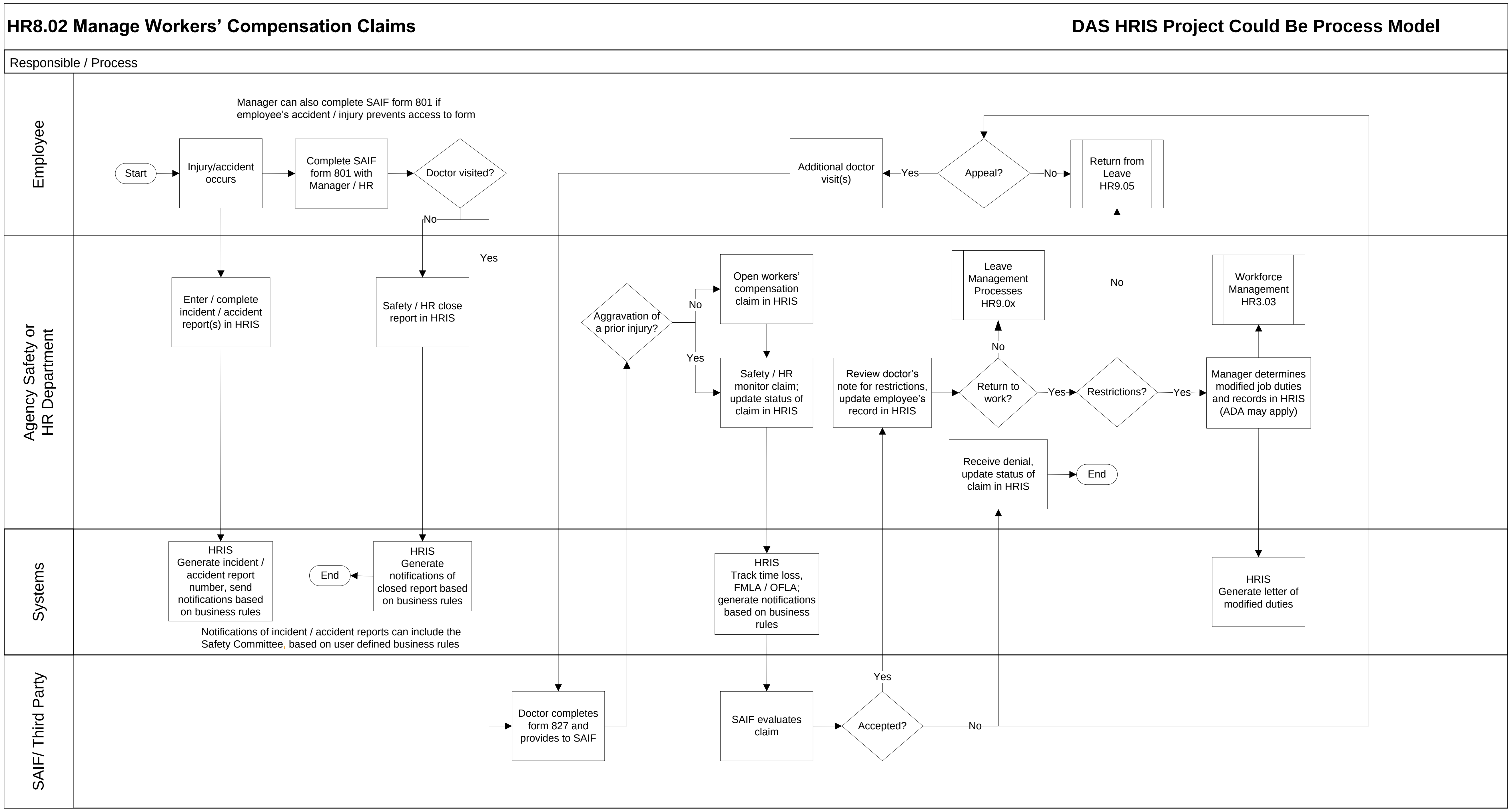
c. HR8.02 Manage Workers' Compensation Claims marked-up diagram

Below is the marked-up diagram for the manage workers' compensation claims–health and safety area.



d. HR8.02 Manage Workers' Compensation Claims could-be diagram

Below is the could-be diagram for the manage workers' compensation claims–health and safety area.



3. HR8.03 Safety

This business area covers the process to manage employee safety. The could-be diagram for this area is covered in the could-be diagram for HR8.01−Drug Testing.

a. HR8.03 Safety process summaries

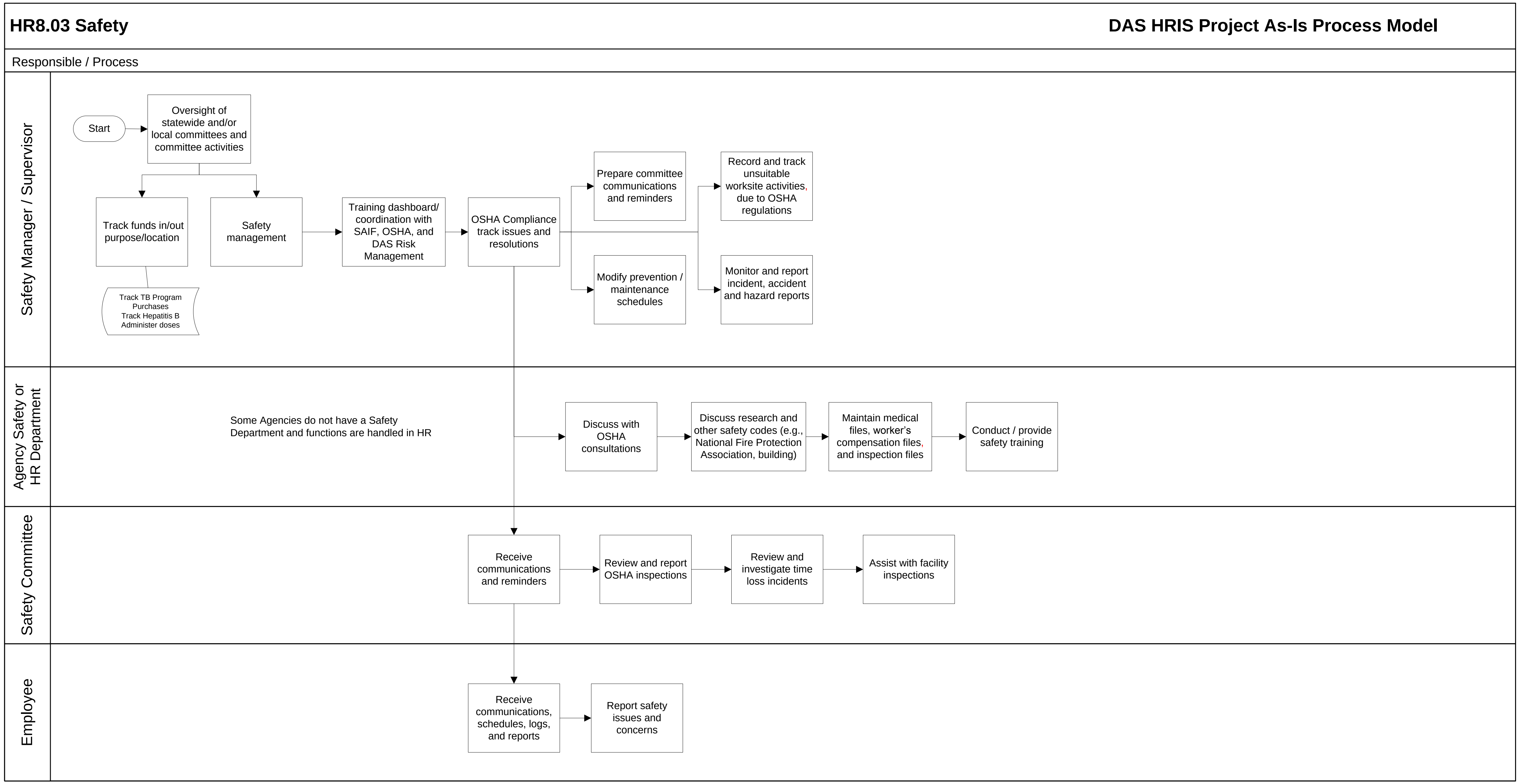
Below are the process summaries for the safety−health and safety area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to ensure safety processes, promote best practices, and help the state meet the federal and state guidelines and regulations.
Process triggers	This process can start with inspections, accidents, incidents, near miss accidents/incidents, compliance issues, and changes to safety standards or Occupational Safety and Health Administration (OSHA) regulations.
Inputs	The inputs to this process include the following: • Safety standards • State regulations • OSHA regulations and compliance • Accidents/incidents • Near miss accidents/incidents
Activities	The following activities are being performed in this process: **<u>Manager/supervisor</u>** • Oversight of statewide and/or local committees and committee activities • Track funds in/out and purpose/location • Safety management • Coordinate training dashboard with SAIF, OSHA, and DAS risk management • Track issues and resolutions with OSHA compliance • Prepare committee communications and reminders • Modify prevention/maintenance schedules • Record and track unsuitable worksite activities due to OSHA regulations • Monitor and report incident, accident, and hazard reports **<u>Agency safety or human resources department</u>** • Discuss OSHA consultations • Discuss research and other safety codes (e.g., National Fire Protection Association and building) • Maintain medical files, workers’ compensation files, and

Process Step	Description
	inspection files • Conduct/provide safety training **Safety committee** • Receive communications and reminders • Review and report OSHA inspections • Review and investigate time loss incidents • Assist with facility inspections **Employee** • Receive communications, schedules, logs, and reports • Report safety issues and concerns
Method	The process is performed manually, outside the system.
Outputs/work products	The outputs of this process include the following: • Prevention/maintenance schedules • Accident/incident reporting/reports • Compliance logs
Laws, regulations, and policies that govern process	Include, but not limited to: Oregon administrative rules (OAR chapter 437); Oregon Safe Employment Act (ORS 654); and OSHA safety regulations and training compliance
Strengths	SAIF maintains/updates the forms used for incident/accident reporting
Weaknesses	Manual process for tracking; percentage of employees who should be trained is lower than required; and employees do not know where to obtain information/lack of access to communications
Opportunities for improvement	Link to SAIF website/forms; enable consistent, online tracking/recording of inspections, compliance issues, and other events to include date, location, findings, and actions; train/educate and communicate with employees regarding access to schedules, committee communications, and reports; and track training requirements by position and/or employee
Systems	The following systems are used to prepare in this process: • Safety Tracker • iLearn • Microsoft Excel

b. HR8.03 Safety as-is diagram

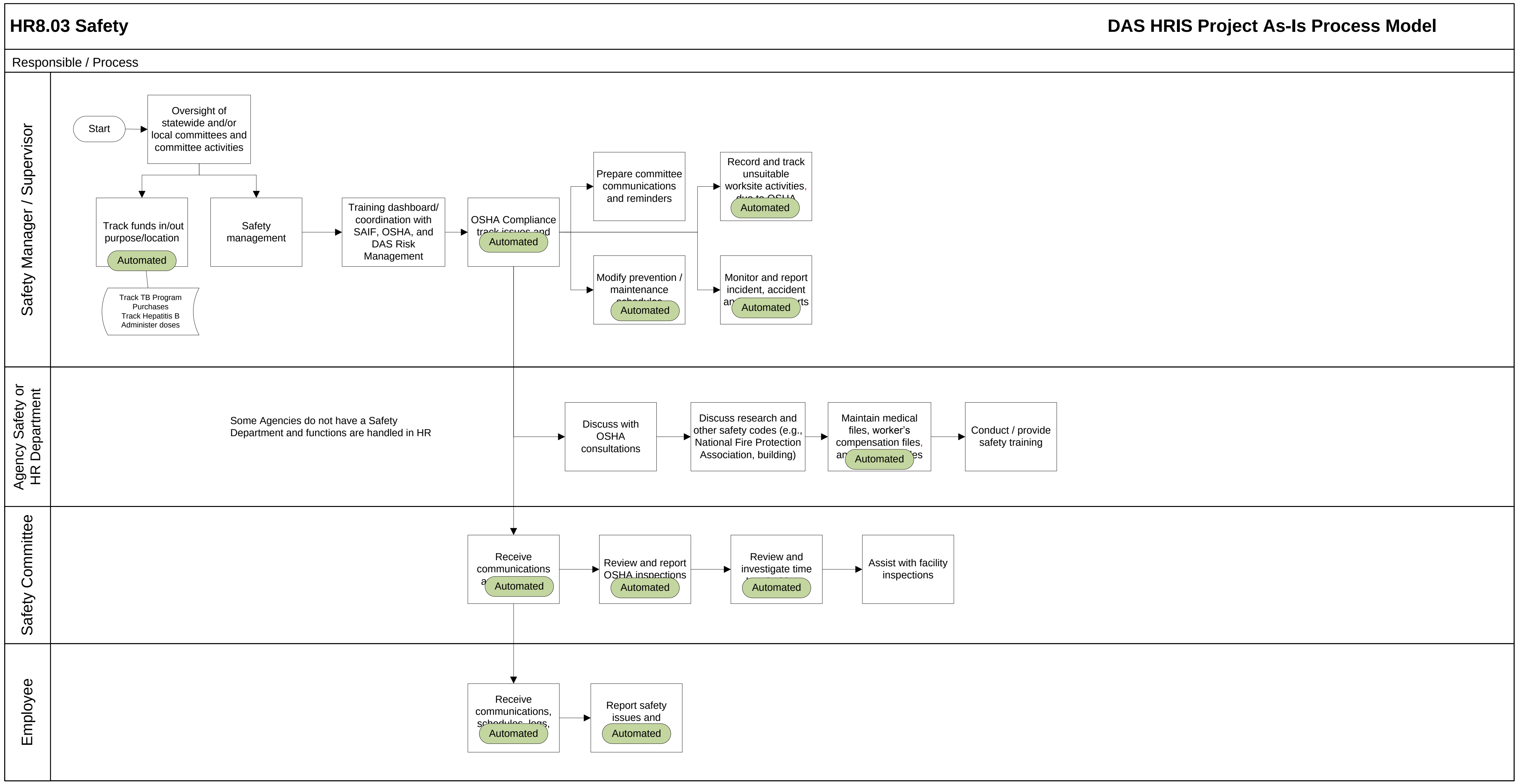
Below is the as-is diagram for the safety–health and safety area.



Inputs	Outputs	Customers	Systems/Interfaces
• OSHA Regulations • Safety Standards • State Safety Regulations • OSHA Compliance • Accidents / incidents	• Prevention / maintenance schedules • Accident / incident reporting / reports • Compliance logs	• Employee • Employee's Peers • Managers / Supervisors • Human Resources • OSHA	• Safety Tracker • iLearn • Microsoft Excel

c. HR8.03 Safety marked-up diagram

Below is the marked-up diagram for the safety–health and safety area.



Inputs	Outputs	Customers	Systems/Interfaces
• OSHA Regulations • Safety Standards • State Safety Regulations • OSHA Compliance • Accidents / incidents	• Prevention / maintenance schedules • Accident / incident reporting / reports • Compliance logs	• Employee • Employee's Peers • Managers / Supervisors • Human Resources • OSHA	• Safety Tracker • iLearn • Microsoft Excel

I. Leave Management

The following contains the process summary, as-is, marked-up, and the could-be diagrams for leave management.

1. HR9.01 Leave Management−FMLA/OFLA

This business area covers the process to manage leave for both FMLA and OFLA.

a. HR9.01 Leave Management−FMLA/OFLA process summaries

Below are the process summaries for the leave management−FMLA/OFLA−leave management area.

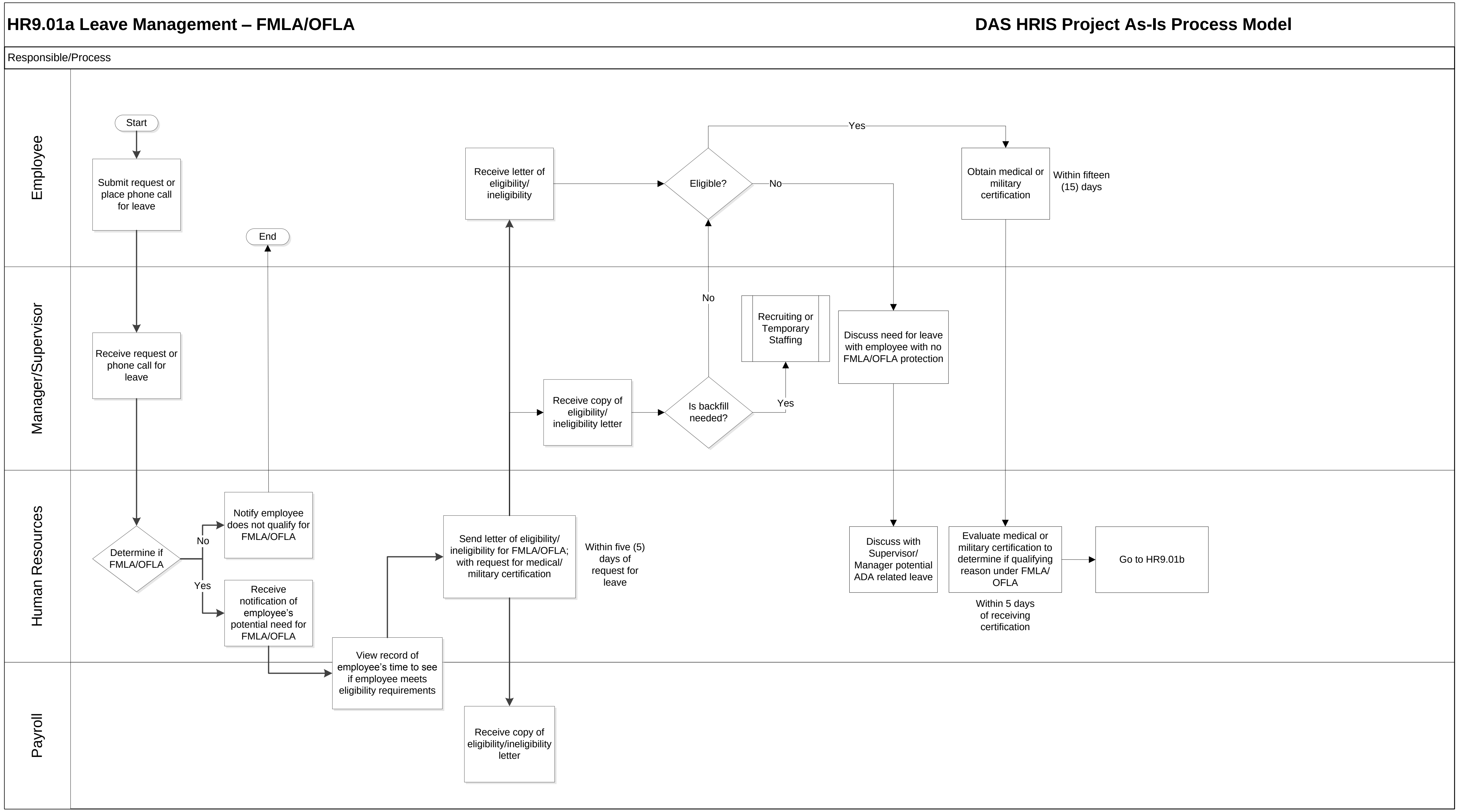
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to review, grant, and administer FMLA and/or OFLA leave.
Process triggers	This process can start with a leave request from an employee that qualifies under FMLA or OFLA. The process stops once the employee has exhausted his or her FMLA and/or OFLA allotment of hours.
Inputs	The inputs to this process include the following: • Medical, military, or other leave under FMLA or OFLA • Supporting records or documentation
Activities	The following activities are being performed in this process: **Employee** • Submit request or place phone call for leave • Receive letter of eligibility/ineligibility • Obtain medical or military certification • Obtain and provide supplemental information • Receive designation letter • Follow instructions in designation letter for amount of time off • Discuss need for additional leave with manager/supervisor • Code time appropriately • Request extension of FMLA/OFLA leave • Return to work at end of leave and provide necessary documentation • Resume work **Manager/supervisor** • Receive request or phone call for leave • Receive copy of eligibility/ineligibility letter • Determine if backfill is needed

Process Step	Description
	• Initiate the recruiting or temporary staffing process • Discuss need for leave with employee without FMLA/OFLA protection • Receive copy of designation letter • Discuss potential ADA with human resources • Complete timesheet(s), when necessary, and monitor for leave without pay (LWOP) • Track hours used and duration • Work with human resources and employee to determine if ADA, if more time can be granted, or if no longer protected under FMLA/OFLA; notify payroll • Return employee to same or similar job and notify payroll and human resources **<u>Human resources</u>** • Receive notification of employee's potential need for FMLA/OFLA • Determine if leave qualifies as FMLA and/or OFLA • Send letter of eligibility/ineligibility for FMLA/OFLA with a request for medical/military certification • Discuss potential ADA-related leave with manager/supervisor • Evaluate medical or military certification to determine if it is a qualifying reason under FMLA/OFLA • Obtain additional information/documentation as needed • Prepare designation letter • Discuss with employee potential ADA-related leave • Track hours used and duration • Provide renewal/extension forms to employee • Prepare exhaust letter for employee • Discuss need for continued leave • Receive notification of employee's return to work and ensure that job restoration rights are upheld under FMLA/OFLA **<u>Payroll</u>** • View record of employee's time to see if employee meets eligibility requirements • Receive copy of eligibility/ineligibility letter • Receive copy of designation letter • Monitor timesheet(s), watch for LWOP, and facilitate COBRA, when needed • Monitor for COBRA if employee is in or will enter LWOP • Receive notification of employee's return and start insurance, if needed/appropriate
Method	The process is performed manually, with tracking and calculations in

Process Step	Description
	Microsoft Excel, and data entry into payroll.
Outputs/work products	The outputs of this process include the following: • Eligibility/ineligibility letter • Determination/designation letter • Recruiting and temporary staffing
Laws, regulations, and policies that govern process	Include, but not limited to: Department of Labor FMLA (29 CFR part 825); OFLA; ADA; Oregon Revised Statue (ORS) 240 for State Personnel Relations Law
Strengths	Process is driven by FMLA/OFLA tracking
Weaknesses	Manual process and tracking for hours used and duration; no automation or notification for renewal/extension or exhaust letters, no automation to flag for COBRA or LWOP; and manual process and tracking increases compliance risks
Opportunities for improvement	Automate tracking of FMLA/OFLA hours used and duration; flag user to send renewal letter; notify user when hours near exhaustion; flag employees on LWOP; flag employees with COBRA; and provide visibility to twelve month rollback by employee
Systems	The following systems are used to prepare in this process: • Payroll (OSPA) • Insurance (COBRA) • Microsoft Excel

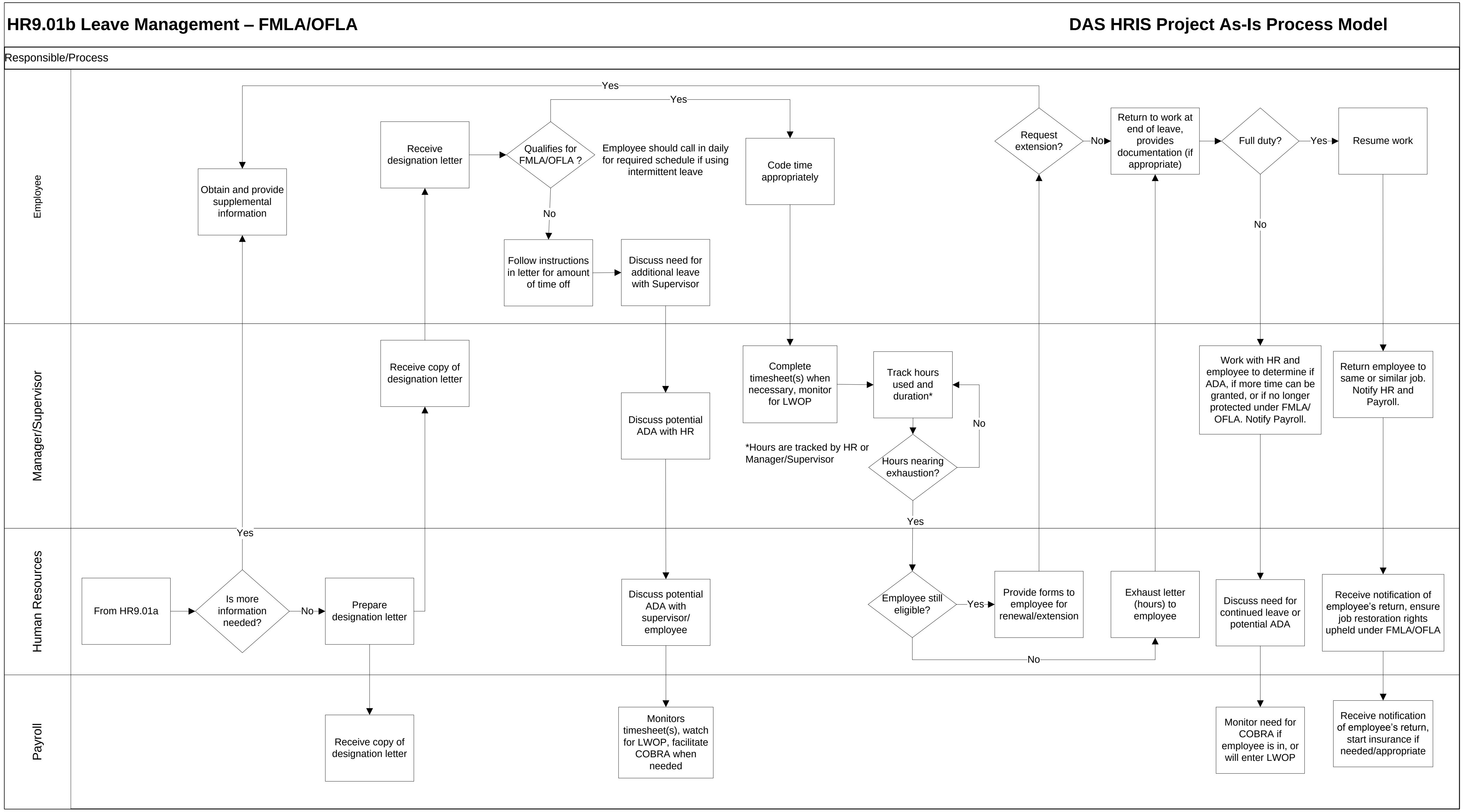
b. HR9.01a Leave Management-FMLA/OFLA as-is diagrams

Below are the as-is diagrams for the leave management−FMLA/OFLA−leave management area.



Inputs	Outputs	Customers	Systems/Interfaces
• Medical, military or other leave under FMLA or OFLA • Supporting records or documentation	• Eligibility/ineligibility letter • Determination/designation letter • Recruiting, temporary staffing	• Employee • Employee's Peers • Managers/Supervisors • Human Resources • Payroll	• Payroll (OSPA) • Insurance (COBRA) • Microsoft Excel

HR9.01b Leave Management-FMLA/OFLA as-is diagrams



Inputs
- Medical, military or other leave under FMLA or OFLA
- Supporting records or documentation

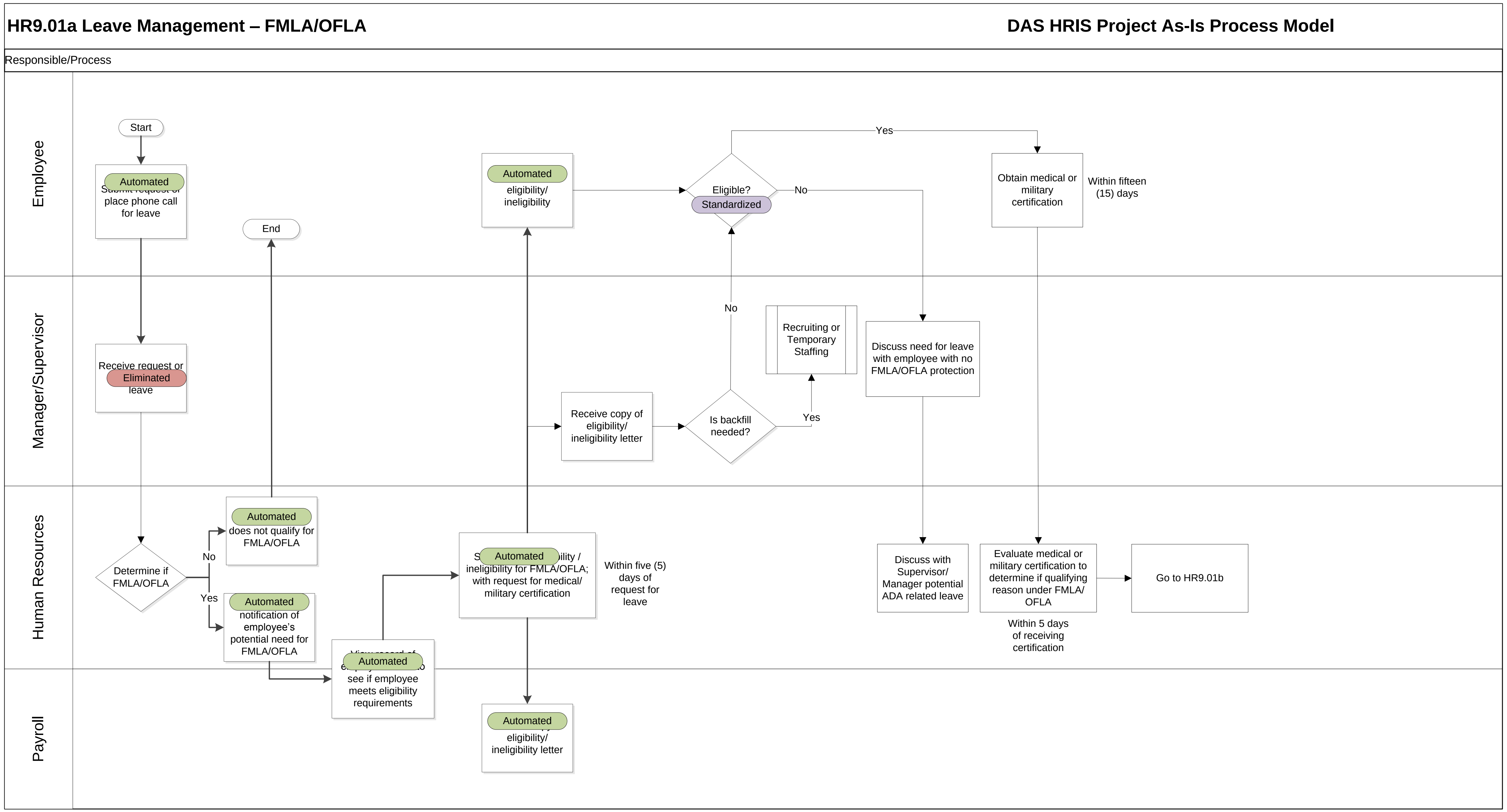
Outputs
- Eligibility/ineligibility letter
- Determination/designation letter
- Recruiting, temporary staffing

Customers
- Employee
- Employee's Peers
- Managers/Supervisors
- Human Resources
- Payroll

Systems/Interfaces
- Payroll (OSPA)
- Insurance (COBRA)
- Microsoft Excel

c. HR9.01a Leave Management–FMLA/OFLA marked-up diagrams

Below are the marked-up diagrams for the leave management–FMLA/OFLA–leave management area.



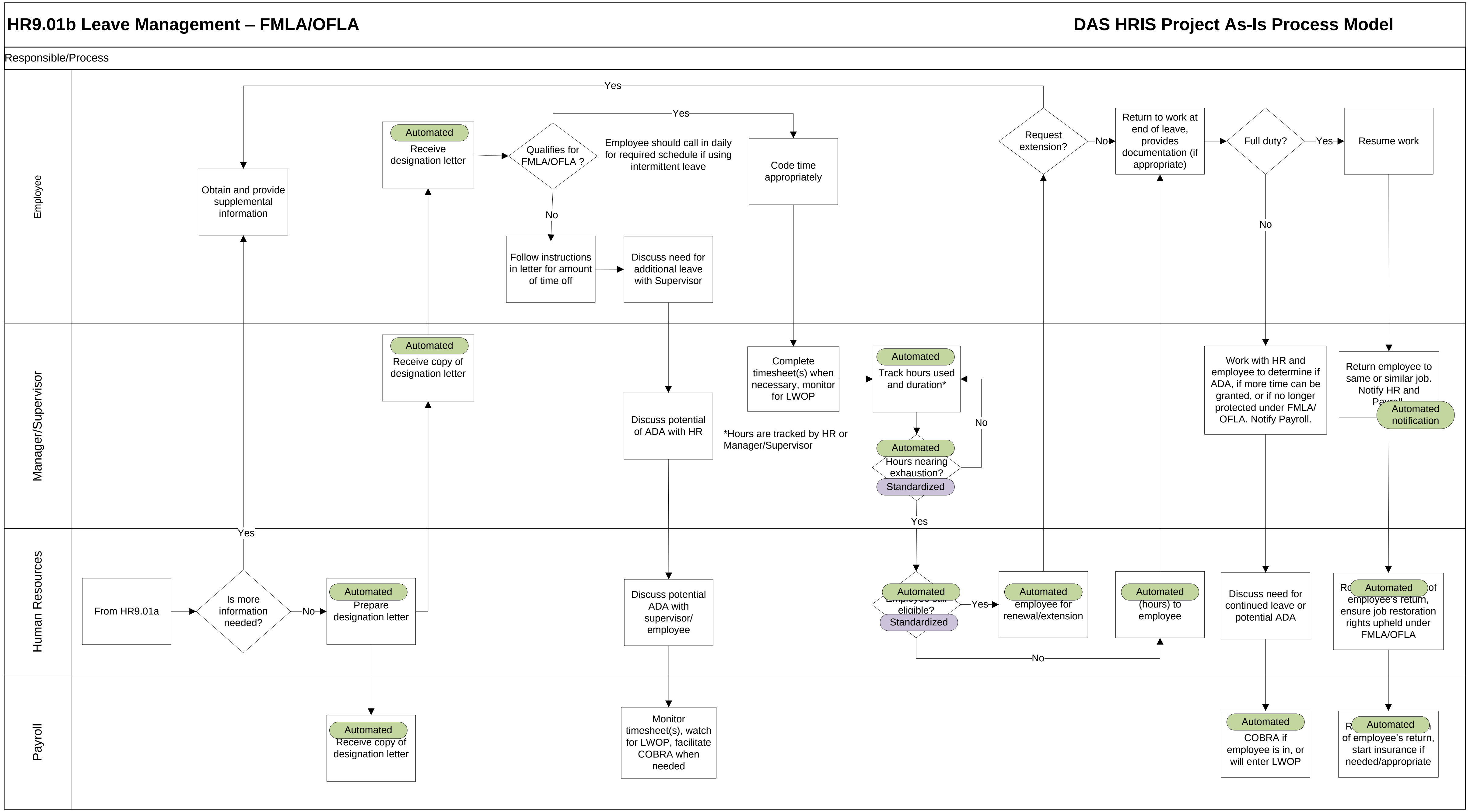
Inputs
- Medical, military or other leave under FMLA or OFLA
- Supporting records or documentation

Outputs
- Eligibility/ineligibility letter
- Determination/designation letter
- Recruiting, temporary staffing

Customers
- Employee
- Employee's Peers
- Managers/Supervisors
- Human Resources
- Payroll

Systems/Interfaces
- Payroll (OSPA)
- Insurance (COBRA)
- Microsoft Excel

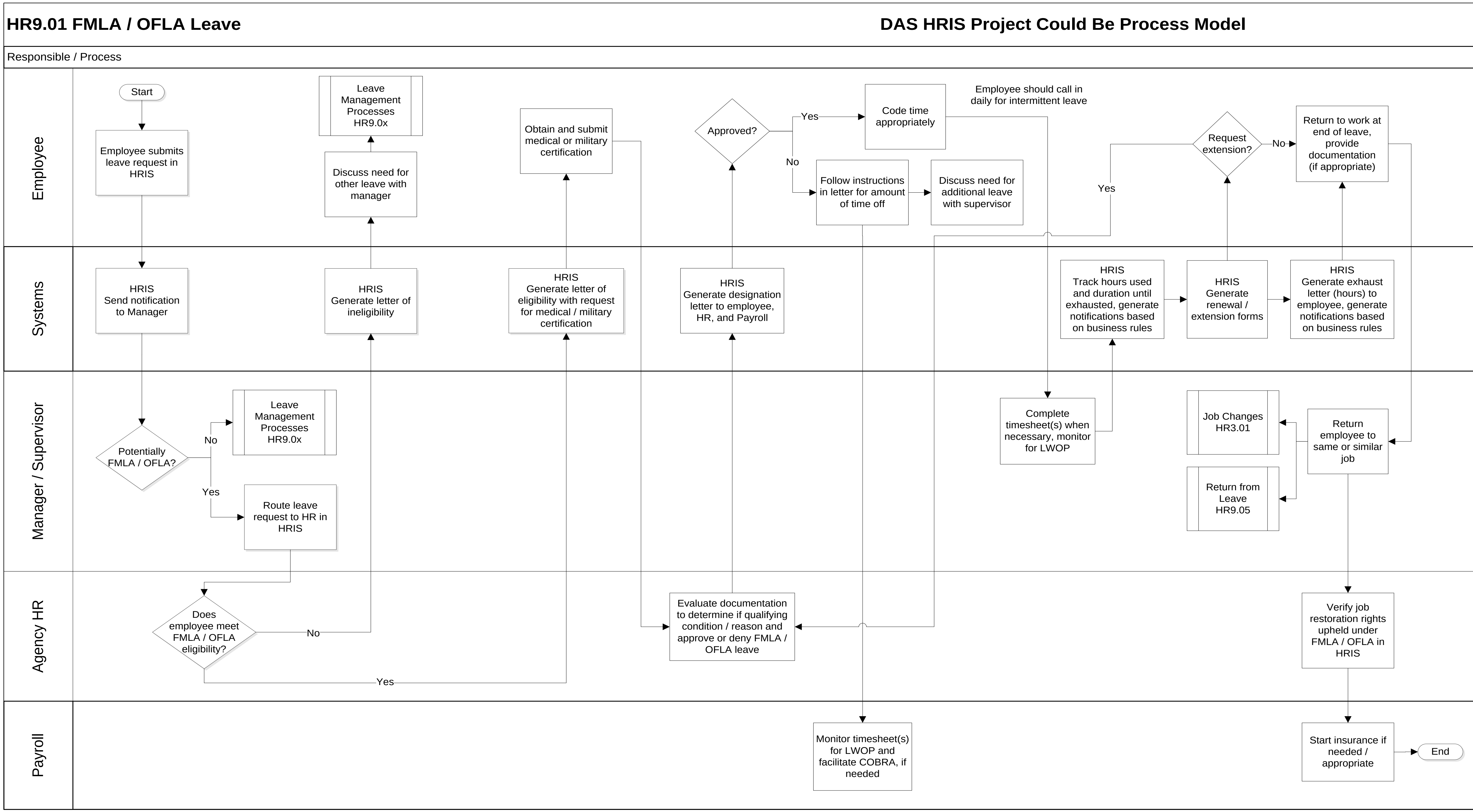
HR9.01b Leave Management−FMLA/OFLA marked-up diagrams



Inputs	Outputs	Customers	Systems/Interfaces
• Medical, military or other leave under FMLA or OFLA • Supporting records or documentation	• Eligibility/ineligibility letter • Determination/designation letter • Recruiting, temporary staffing	• Employee • Employee's Peers • Managers/Supervisors • Human Resources • Payroll	• Payroll (OSPA) • Insurance (COBRA) • Microsoft Excel

d. HR9.01 Leave Management-FMLA/OFLA could-be diagram

Below is the could-be diagram for the leave management−FMLA/OFLA−leave management area.



2. HR9.02 Administer Employee Status on Leave

This business area covers the process of administering employee status on leave.

a. HR9.02 Administer Employee Status on Leave process summaries

Below are the process summaries for the administer employee status on leave−leave management area.

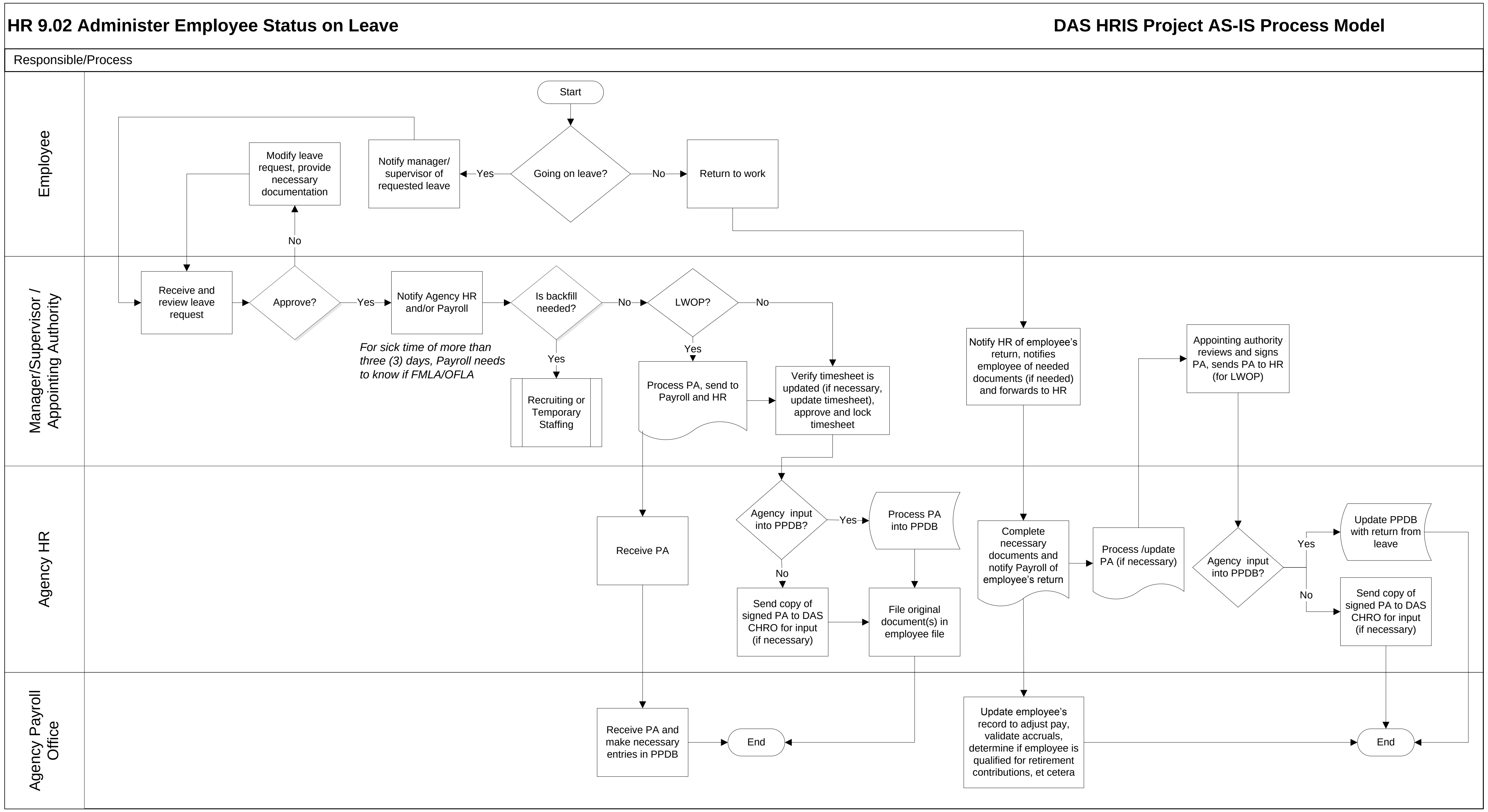
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer an employee's leave status after requesting leave, while on leave, or after returning from leave. This process helps verify that the necessary paperwork/documentation is completed and that the employee's benefits and other contributions are maintained.
Process triggers	This process begins when an employee has either requested or is going on leave *and includes the sub-process for hardship leave (As-Is process HR9.04).*
Inputs	The inputs to this process include the following: • PA form • SAIF form 801 (for job-incurred injury) • CBAs/contracts • State policies • Employee requests leave • Employee returns from leave • Leave request form
Activities	The following activities are being performed in this process: **Employee** • Notify manager/supervisor of requested leave • Modify leave request and provide documentation • Return to work **Manager/supervisor/appointing authority** • Manage leave request (approval) • Notify human resources and/or payroll of approved leave • Determine if backfill is needed • Initiate the recruiting or temporary staffing process • Determine if LWOP • Process PA form and send to payroll and human resources • Verify and/or update timesheet and approve and lock timesheet • Notify human resources of employee's return, notify employee of documentation needed, and forward documents to human resources. rights

Process Step	Description
	• Review and sign PA and send PA to human resources (appointing authority) **Agency human rights** • Receive PA • Process PA into PPDB • Send copy of signed PA to DAS CHRO • File original document(s) in employee file • Complete necessary documents and notify payroll of employee's return • Update PPDB with employee's return from leave **Agency payroll office** • Receive PA and make necessary entries in PPDB • Update employee's record to adjust pay, validate accruals, determine if employee is qualified for retirement contributions, et cetera
Method	The process is performed manually, with inputs and outputs to/from various systems for reporting and data entry.
Outputs/work products	The outputs of this process include the following: • PA form • Leave reports • Recruiting and temporary staffing
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; ORS 240 for State Personnel Relations Law; division 60 employee leave policies, including sick leave with pay policy number 60.000.01; vacation leave policy number 60.000.05; special leaves with pay policy number 60.000.10; leave without pay policy number 60.000.11; holiday policy number 60.010.01; and temporary interruption of employment policy number 60.015.01
Strengths	Employees return to work; employees receive paid leave; and employees who continue to receive benefits are eligible to continue retirement and other contributions
Weaknesses	Manual process with various procedures; compliance risks may exist with documentation handling; inability to see leave request(s); lack of access to the employee's leave accruals and leave balance (in PPDB); have to make phone calls to payroll to obtain information; and payroll is not consistently notified of leave
Opportunities for improvement	Enable employee to complete leave request online; use workflow to provide notifications for leave requests, pending approval; enable notification to employee for approved/denied leave requests; provide notification to payroll for approved leave requests; enable secure upload and storage of documentation; and provide an interface to OSPA to provide access to leave accruals and leave balance data

Process Step	Description
Systems	The following systems are used to prepare in this process: • OSPA • PPDB • PERS jClarety • PEBB • Agency time and attendance systems

b. HR9.02 Administer Employee Status on Leave as-is diagram

Below is the as-is diagram for the administer employee status on leave−leave management area.



Inputs
- Personnel Action (PA) form
- SAIF Form 801 for job-incurred injury
- Collective bargaining agreements
- State policies
- Employee requests /returns from leave
- Leave request form

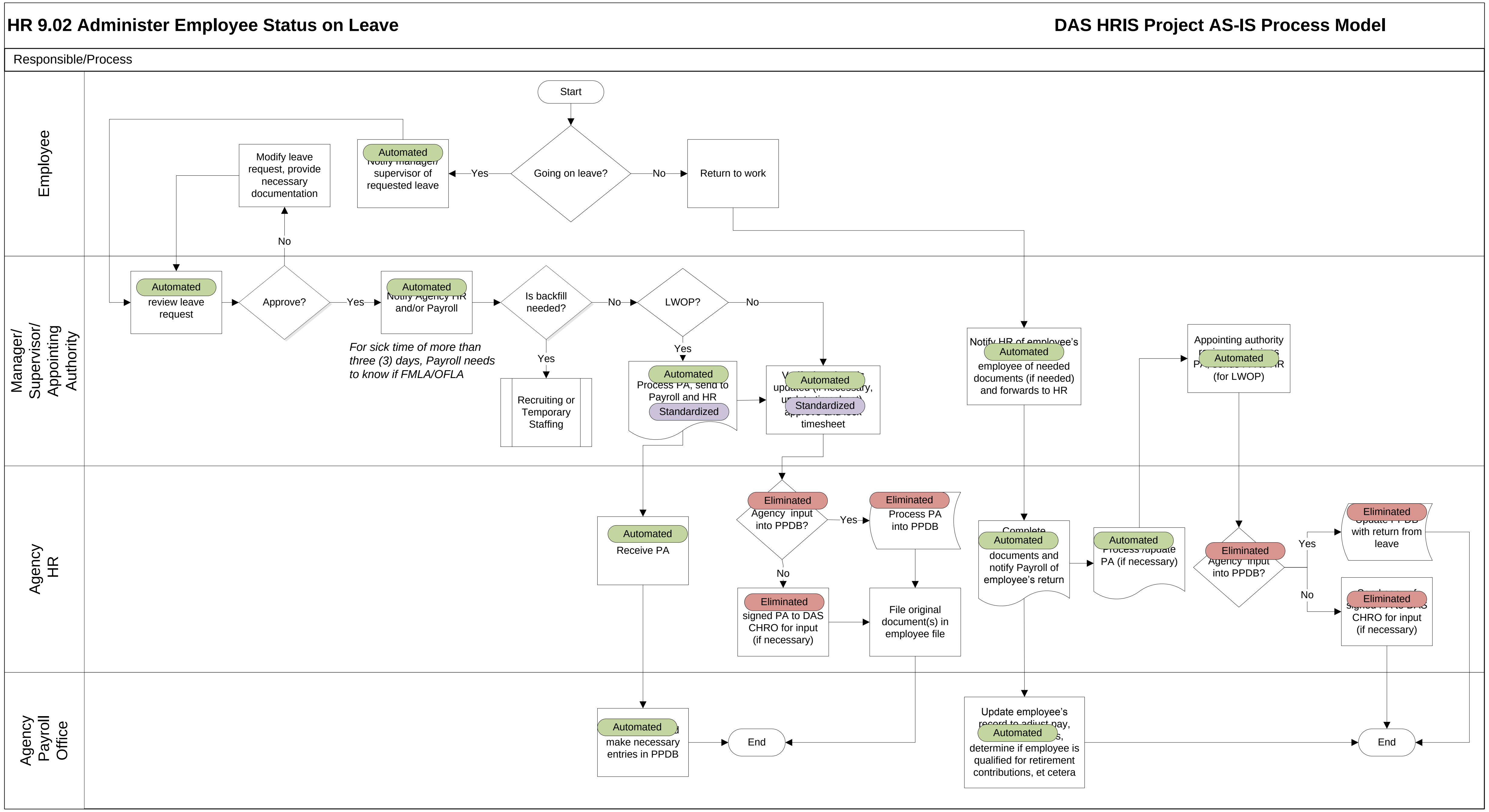
Outputs
- Personnel Action form
- Leave reports
- Recruiting, temporary staffing

Customers
- Employee
- Manager/Supervisor
- Human Resources
- Payroll

Systems/Interfaces
- OSPA
- PPDB
- PERS jClarety
- PEBB
- Agency time and attendance systems

c. HR9.02 Administer Employee Status on Leave marked-up diagram

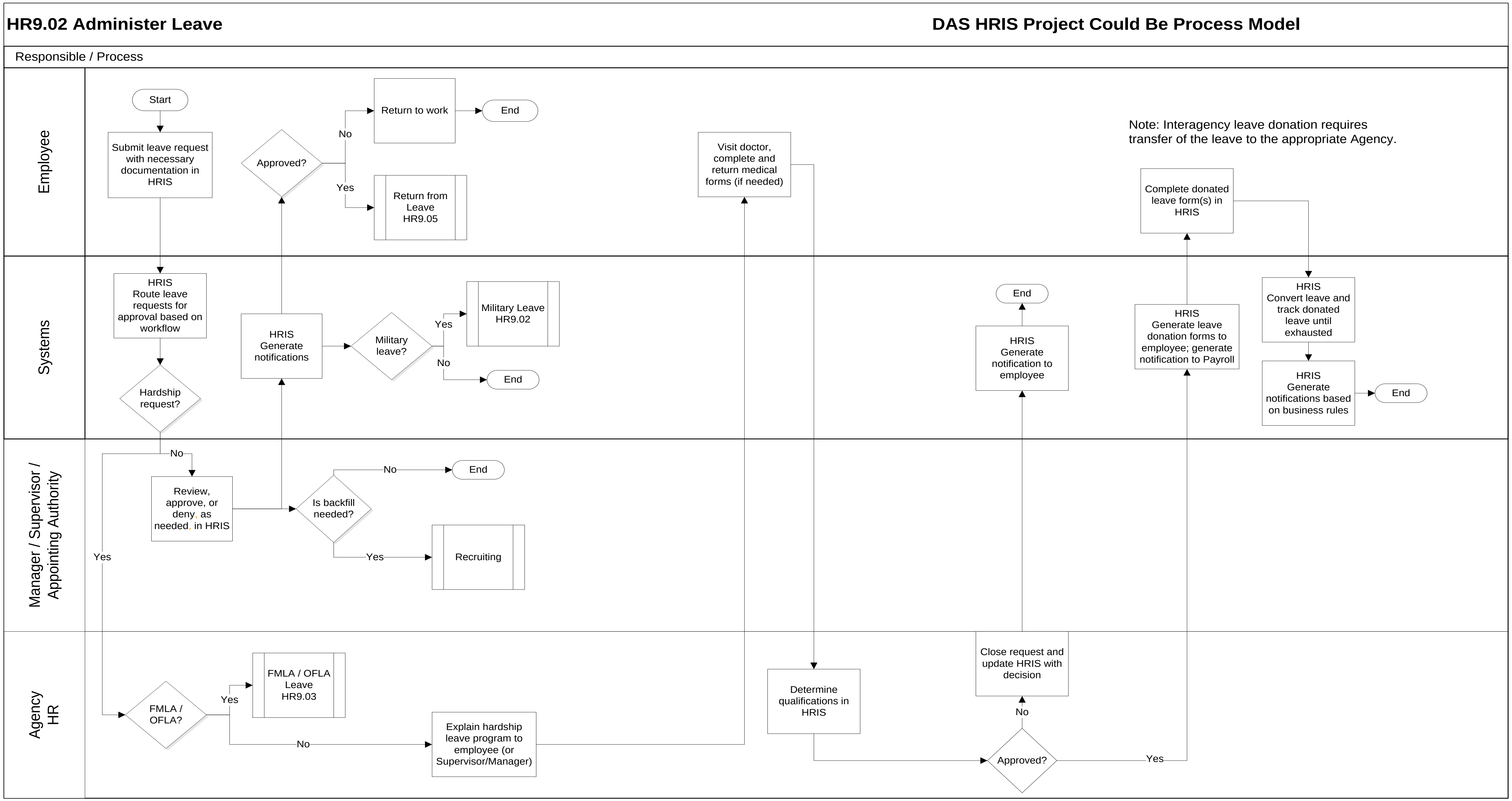
Below is the marked-up diagram for the administer employee status on leave−leave management area.



Inputs	Outputs	Customers	Systems/Interfaces
• Personnel Action (PA) form • SAIF Form 801 for job-incurred injury • Collective bargaining agreements • State policies • Employee requests /returns from leave • Leave request form	• Personnel Action form • Leave reports • Recruiting, temporary staffing	• Employee • Manager/Supervisor • Human Resources • Payroll	• OSPA • PPDB • PERS jClarety • PEBB • Agency time and attendance systems

d. HR9.02 Administer Employee Status on Leave could-be diagram

Below is the could-be diagram for the administer employee status on leave−leave management area.



Additional steps may be required if the employee is in, or may enter, a leave without pay status.

3. HR9.03 Leave Management−Non FMLA/OFLA Medical Leave

This business area covers the process to administer employee leave that is non FMLA or OFLA medical leave.

a. HR9.03 Leave Management−Non FMLA/OFLA Medical Leave process summaries

Below are the process summaries for the leave management−non FMLA/OFLA medical leave−leave management area.

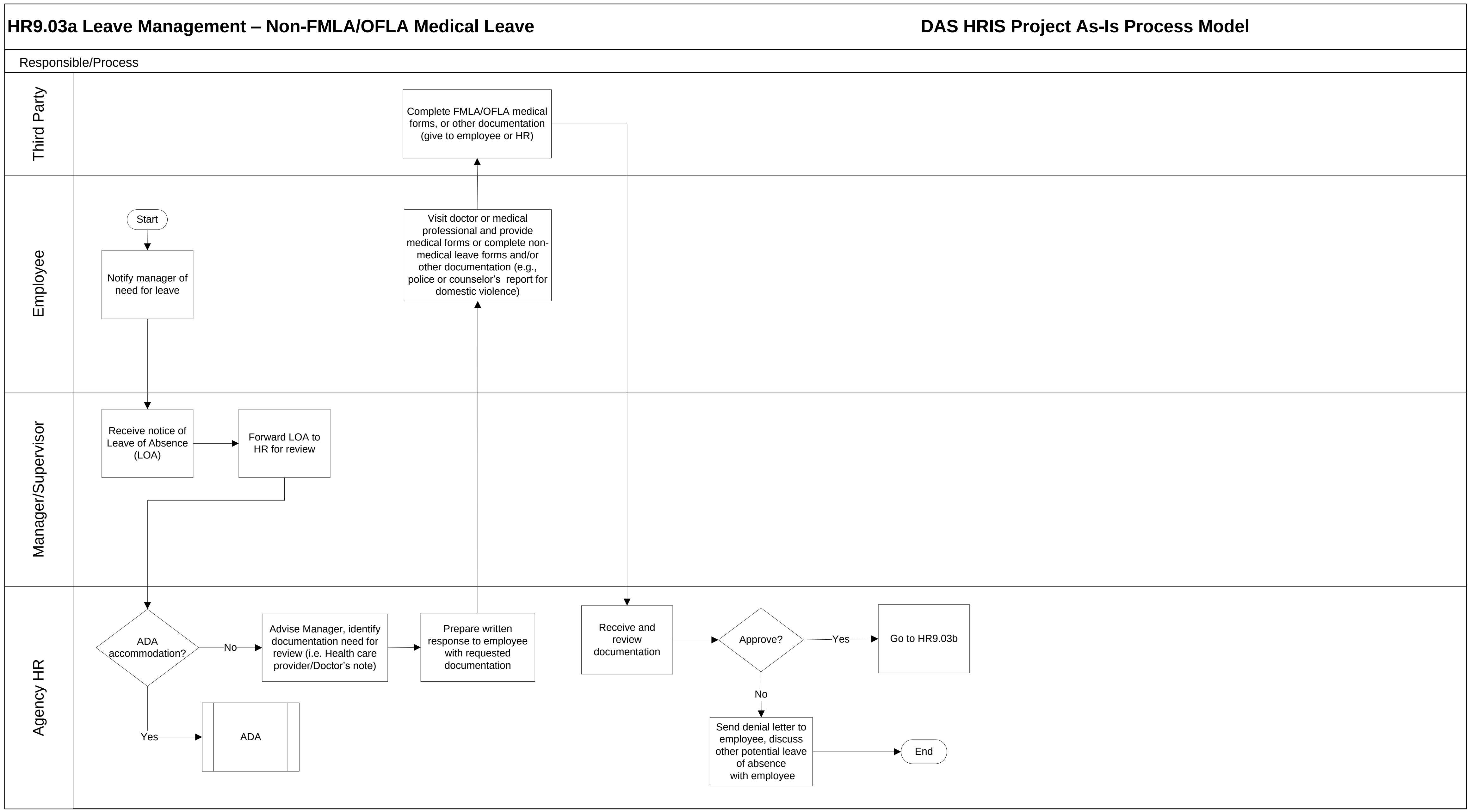
Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer medical leave that does not qualify for the FMLA or OFLA.
Process triggers	This process can start when an employee exhausts his or her sick, FMLA, or OFLA leave. It can also start when an employee needs leave not covered under FMLA or OFLA.
Inputs	The inputs to this process include the following: • Leave of absence (LOA) request • Sick and/or FMLA/OFLA leave exhausted • Terminal illness/recovery from medical procedure • Doctor’s note • Domestic violence incident
Activities	The following activities are being performed in this process: **Third party** • Complete FMLA/OFLA medical forms or other documentation **Employee** • Notify manager of LOA • Visit doctor, provide medial forms, or complete non-medical leave forms and/or other documentation • Receive and review decision letter • Request extension • Request donated leave • Decide to accept/deny exhaust letter • Return to full workload • Resign **Manager/supervisor** • Receive notice of LOA • Forward LOA to human resources for review • Receive and review decision letter

Process Step	Description
	• Determine if backfill is needed • Initiate the recruiting or temporary staffing process • Track hours used and duration **Agency human resources** • Determine if an ADA accommodation is needed • Identify documentation needed for review • Prepare written response to employee with request for documentation • Receive and review documentation • Determine approval for leave • Send decision letter to employee and discuss other potential leave of absence • Track hours used and duration • Provide forms for renewal/extension • Determine approval for extension of leave • Send exhaust letter • Process separations
Method	The process is performed manually, with data entry and tracking in Microsoft Excel and payroll.
Outputs/work products	The outputs of this process include the following: • Medical leave • Recruiting and temporary staffing • Written documentation • ADA accommodation
Laws, regulations, and policies that govern process	Include, but not limited to: CBAs; FMLA; OFLA; Oregon revised statutes 659A.270 to 659A.285 for leave for victims of domestic violence, harassment, sexual assault, or stalking; ORS 240 for State Personnel Relations Law; division 60 employee leave policies, including sick leave with pay policy number 60.000.01; vacation leave policy number 60.000.05; special leave with pay policy number 60.000.10; leave without pay policy number 60.000.11; and temporary interruption of employment policy number 60.015.01
Strengths	Employee, manager/supervisor, and human resources collaborate to determine if employee is eligible for FMLA/OFLA leave or an ADA accommodation
Weaknesses	Manual process and tracking for hours used and duration; no automation or notification for renewal/extension or exhaust letters; leave balances are not real time; and employees have different accrual rates
Opportunities for improvement	Automate tracking of hours used and duration; flag user to send renewal letter; notify user when hours near exhaustion; enable employee to complete LOA request online; use workflow to provide

Process Step	Description
	notifications for requests that are pending approval; enable secure upload and storage of documentation; and provide an interface to OSPA to obtain leave accruals and leave balance data
Systems	The following systems are used to prepare in this process: • OSPA (payroll) • Microsoft Excel

b. HR9.03a Leave Management–Non FMLA/OFLA Medical Leave as-is diagrams

Below are the as-is diagrams for the leave management–non FMLA/OFLA medical leave–leave management area.



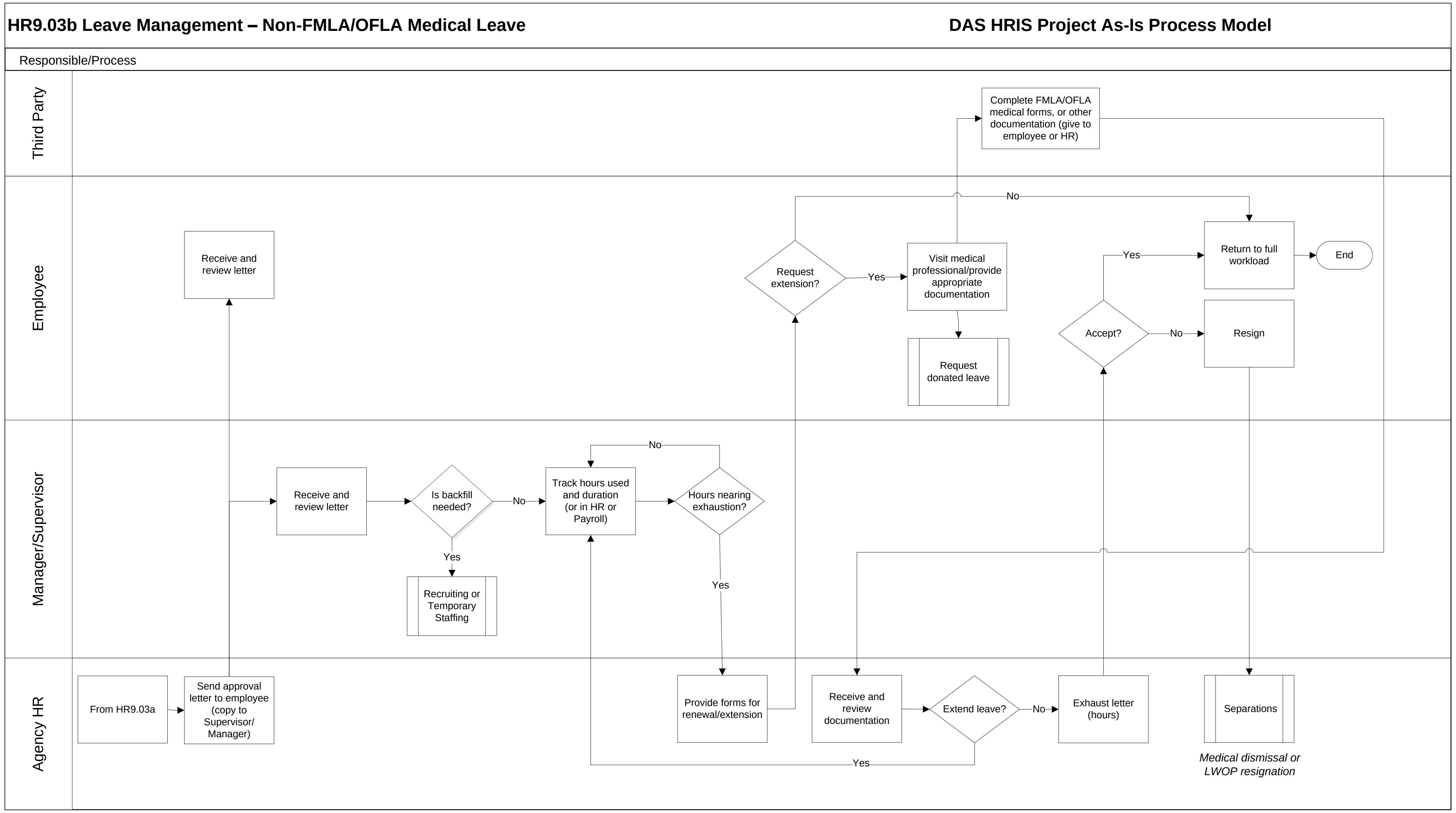
Inputs
- Leave of absence (LOA) request
- Sick and/or FMLA/OFLA leave exhausted
- Terminal illness/recovery from medical procedure
- Doctor's note
- Domestic violence incident

Outputs
- Medical leave
- Recruiting, temporary staffing
- Written documentation
- ADA accommodation

Customers
- Employee
- Employee's Peers
- Manager /Supervisor
- Human Resources

Systems/Interfaces
- Payroll (OSPA)
- Microsoft Excel

HR9.03b Leave Management−Non FMLA/OFLA Medical Leave as-is diagrams



Inputs
- Leave of absence (LOA) request
- Sick and/or FMLA/OFLA leave exhausted
- Terminal illness/recovery from medical procedure
- Doctor's note
- Domestic violence incident

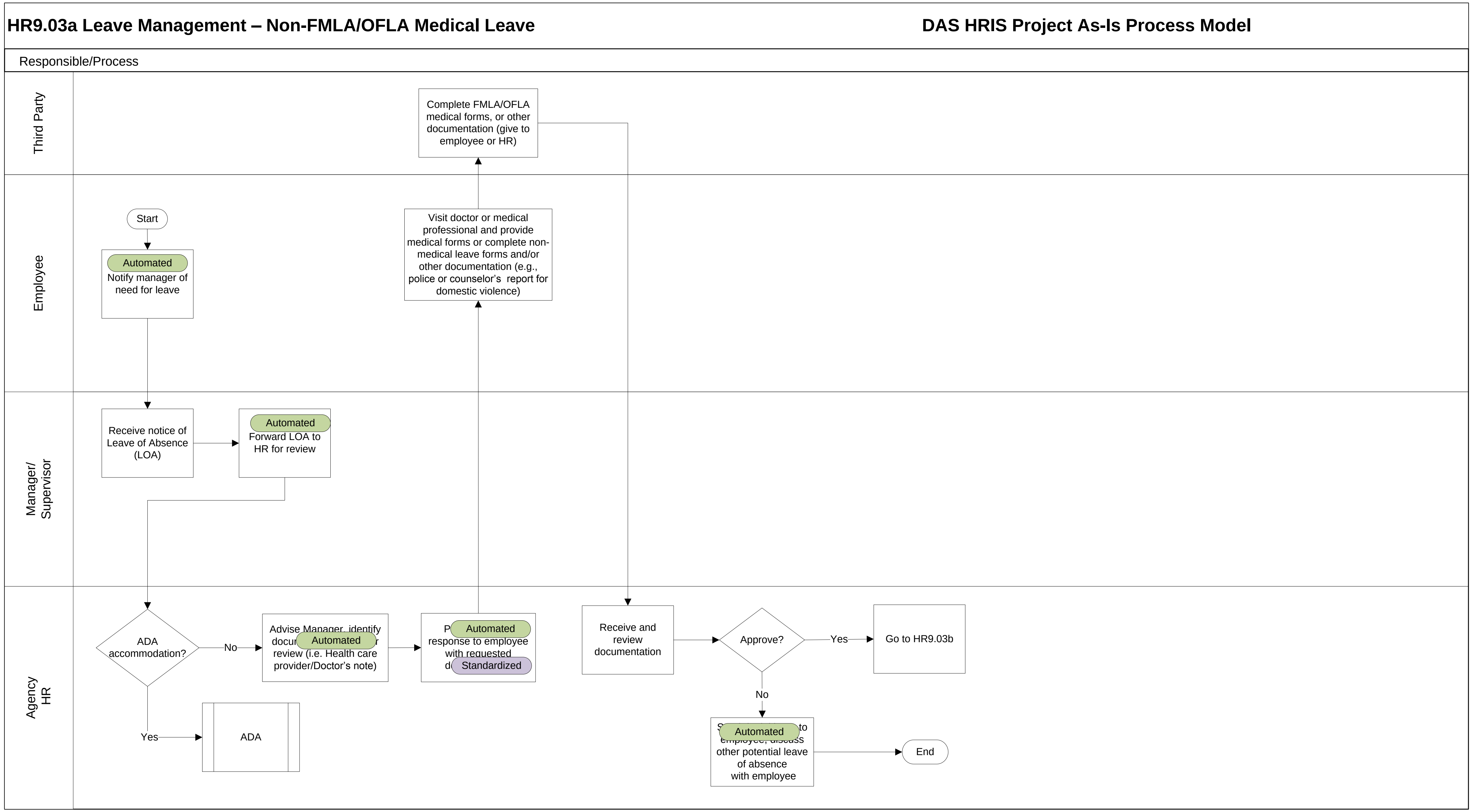
Outputs
- Medical leave
- Recruiting, temporary staffing
- Written documentation
- ADA accommodation

Customers
- Employee
- Employee's Peers
- Manager /Supervisor
- Human Resources

Systems/Interfaces
- Payroll (OSPA)
- Microsoft Excel

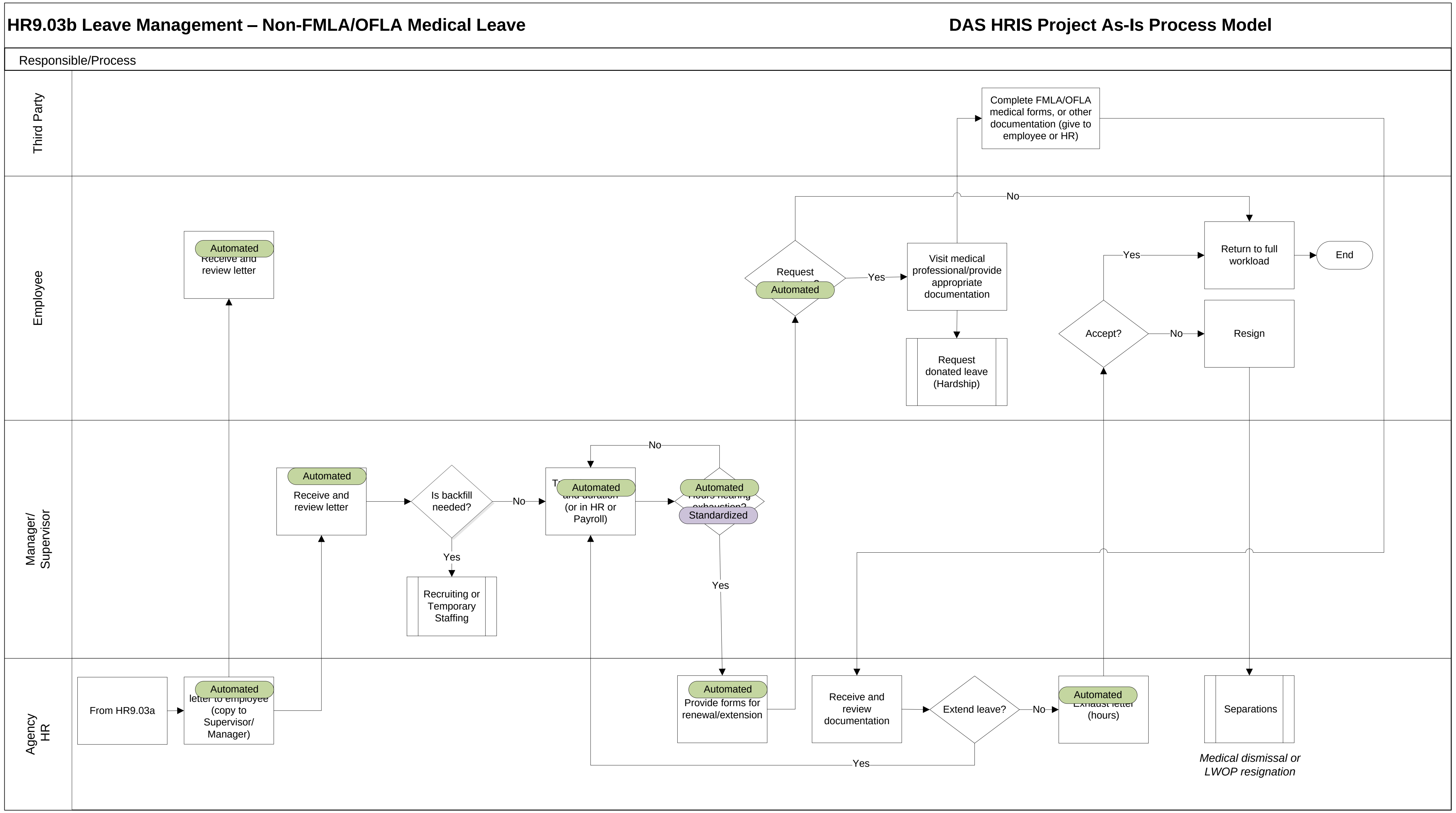
c. HR9.03a Leave Management–Non FMLA/OFLA Medical Leave marked-up diagrams

Below are the marked-up diagrams for the leave management–non FMLA/OFLA medical leave–leave management area.



Inputs	Outputs	Customers	Systems/Interfaces
• Leave of absence (LOA) request • Sick and/or FMLA/OFLA leave exhausted • Terminal illness/recovery from medical procedure • Doctor's note • Domestic violence incident	• Medical leave • Recruiting, temporary staffing • Written documentation • ADA accommodation	• Employee • Employee's Peers • Manager /Supervisor • Human Resources	• Payroll (OSPA) • Microsoft Excel

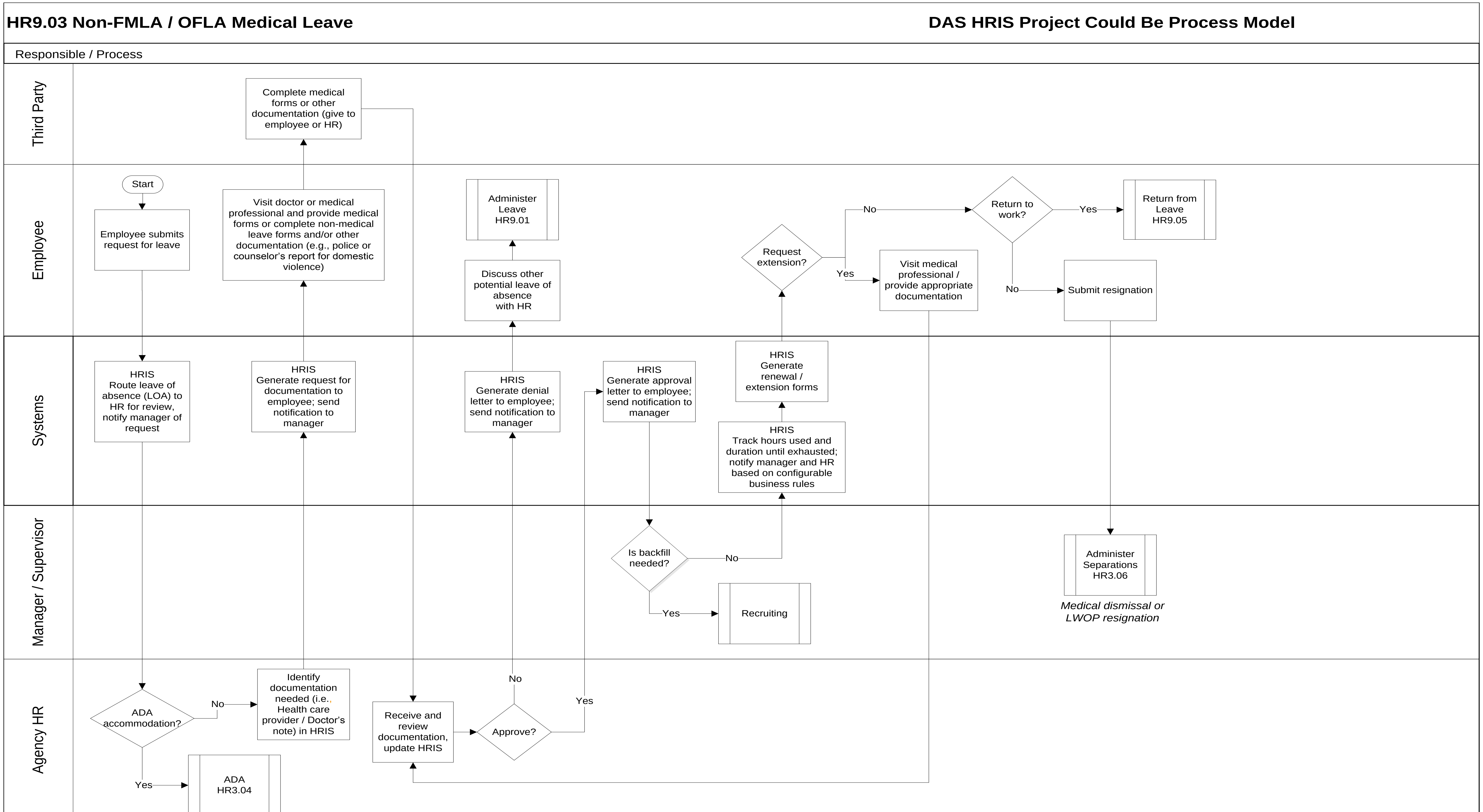
HR9.03b Leave Management−Non FMLA/OFLA Medical Leave marked-up diagrams



Inputs	Outputs	Customers	Systems/Interfaces
• Leave of absence (LOA) request • Sick and/or FMLA/OFLA leave exhausted • Terminal illness/recovery from medical procedure • Doctor's note • Domestic violence incident	• Medical leave • Recruiting, temporary staffing • Written documentation • ADA accommodation	• Employee • Employee's Peers • Manager /Supervisor • Human Resources	• Payroll (OSPA) • Microsoft Excel

d. HR9.03 Leave Management–Non FMLA/OFLA Medical Leave could-be diagram

Below is the could-be diagram for the leave management–non FMLA/OFLA medical leave–leave management area.



4. HR9.04 Leave Management−Hardship

This business area covers the process to administer employee leave that was previously identified separately as hardship leave (As-Is process HR9.04). For the Could-Be, this process is merged with HR9.02 Administer Employee Status on Leave (above). The As-Is and Marked-Up diagrams are included for reference only.

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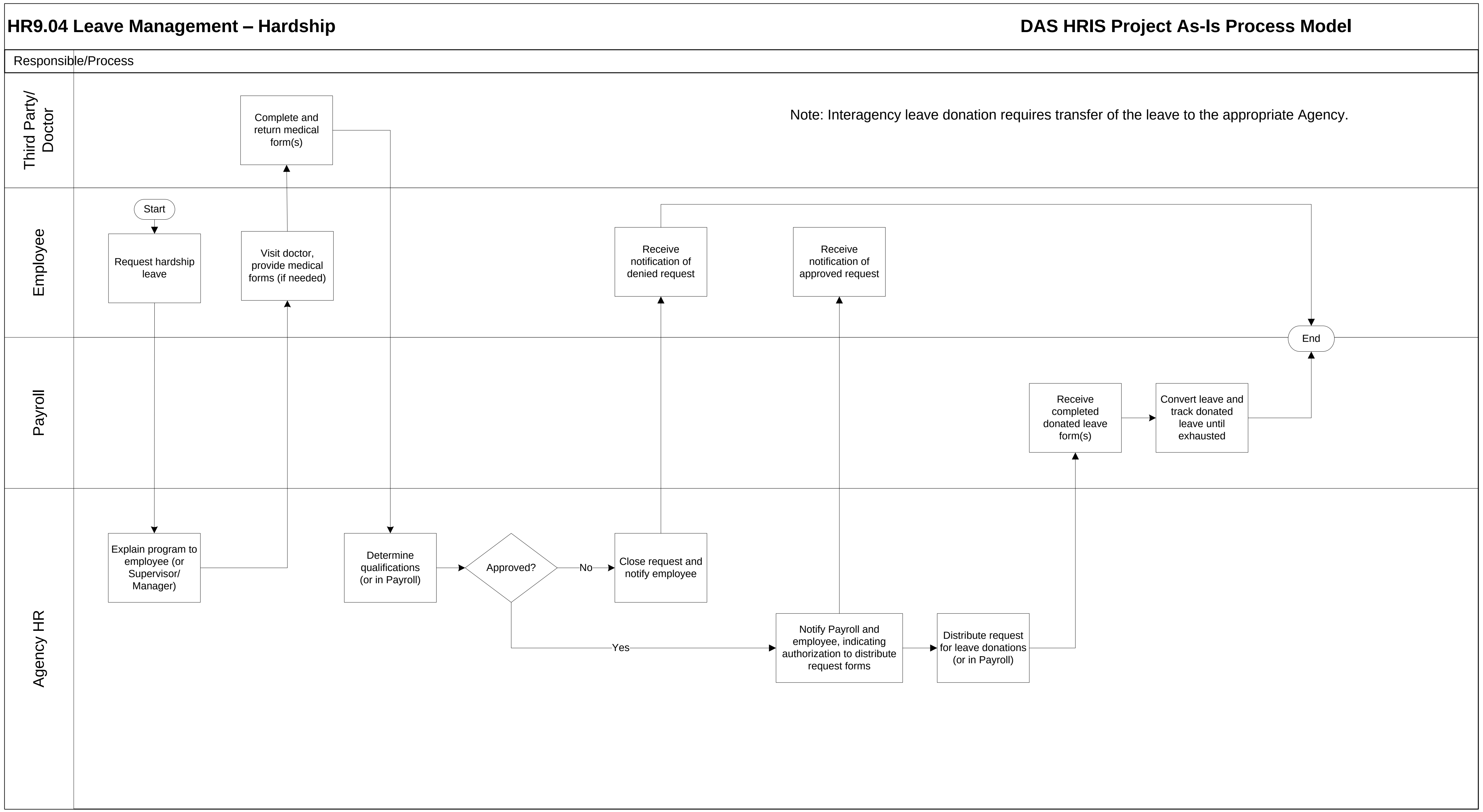
a. HR9.04 Leave Management−Hardship as-is diagrams

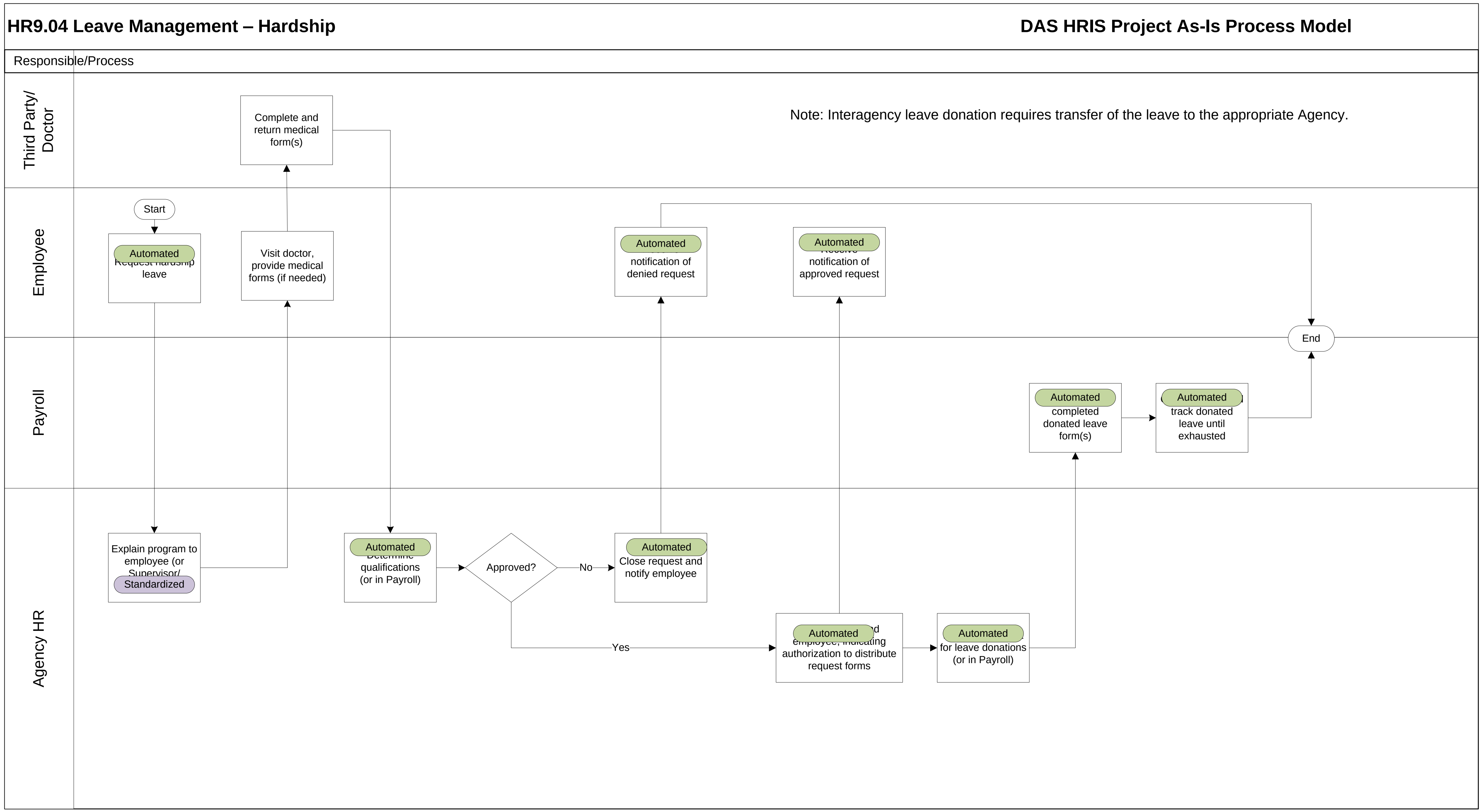
Below is the as-is diagram for the leave management−hardship−leave management area.



Inputs	Outputs	Customers	Systems/Interfaces
• Medical forms/documentation • Donated leave form(s) • Leave request form	• Leave donations	• Employee • Manager/Supervisor • HR • Payroll	• Payroll (OSPA)

b. HR9.04 Leave Management–Hardship marked-up diagram

Below is the marked-up diagram for the leave management–hardship–leave management area.



Inputs
- Medical forms/documentation
- Donated leave form(s)
- Leave request form

Outputs
- Leave donations

Customers
- Employee
- Manager/Supervisor
- HR
- Payroll

Systems/Interfaces
- Payroll (OSPA)

5. HR9.05 Leave Management−Military

This business area covers the process to administer employee leave that is related to military service.

a. HR9.05 Leave Management−Military process summaries

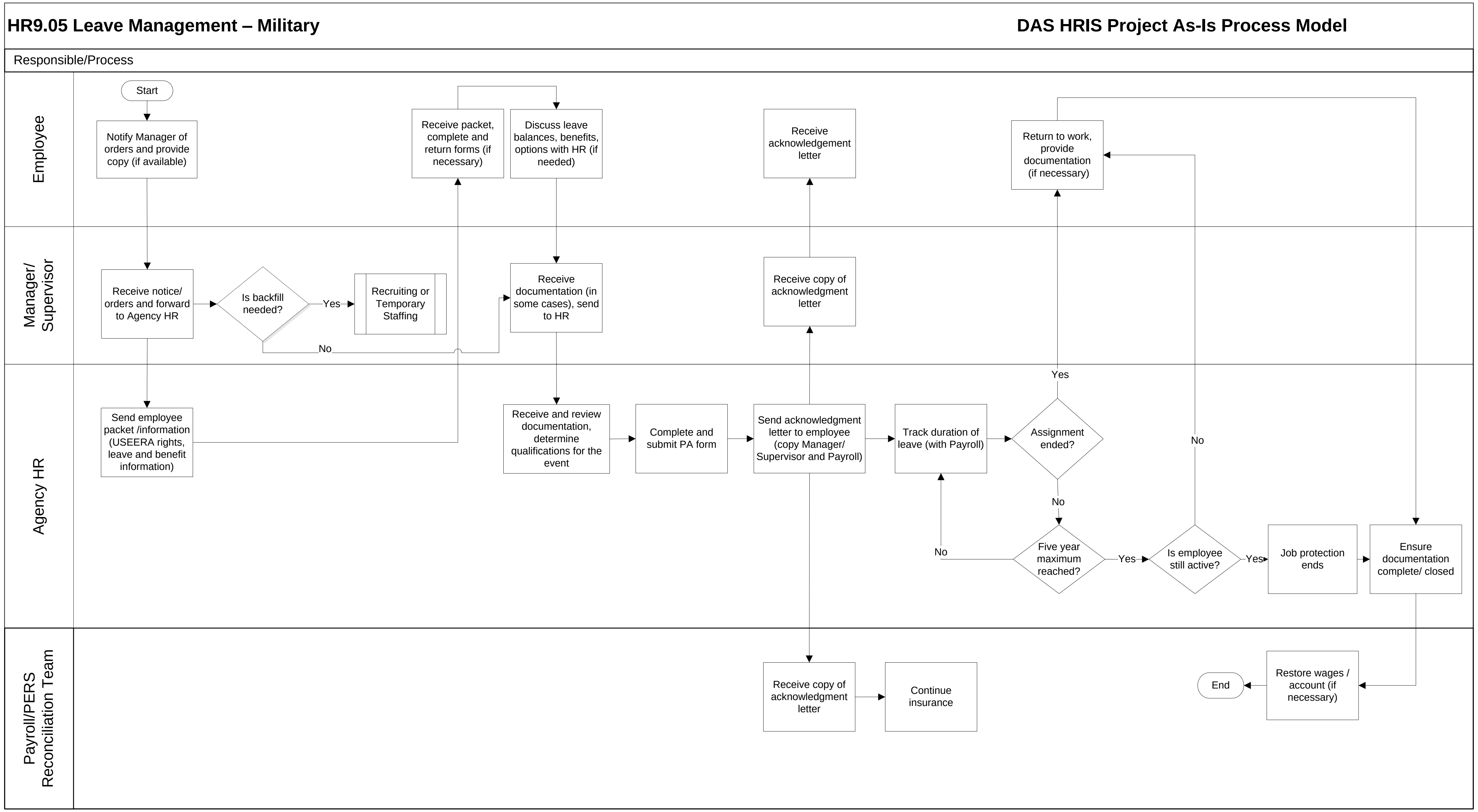
Below are the process summaries for the leave management−military−leave management area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to administer military leave requests. The process helps determine and allow eligible, active duty military personnel to receive pay and/or benefit contributions while on voluntary or involuntary active duty.
Process triggers	This process can start when the employee receives notification of upcoming military orders/deployment. The employee notifies the manager of orders, and if he or she is available, provides a copy of the orders.
Inputs	The inputs to this process include the following: • Military orders
Activities	The following activities are being performed in this process: **Employee** • Notifies manager/supervisor of orders and provides a copy • Receives packet and completes and returns forms • Discusses leave balances, benefits, and options with human resources • Receives acknowledgement letter • Returns to work and provides documentation **Manager/supervisor** • Receives notice/orders and forwards to human resources • Determines if backfill is needed • Initiates the recruiting or temporary staffing process • Receives copy of acknowledgement letter **Agency human resources** • Sends employee packet/information • Receives and reviews documentation and determines qualifications for the event • Completes and submits PA form • Sends acknowledgement letter to employee, manager/supervisor, and payroll • Tracks duration of leave (with payroll)

Process Step	Description
	• Determines if assignment ended • Determines if five year maximum is reached • Determines if employee is still active • Ends job protection • Ensures documentation is complete/closed **Payroll** • Receives copy of acknowledgement letter • Continues insurance • Restores wages/account
Method	The process is performed manually, with data entry into PPDB and data obtained from payroll and PERS.
Outputs/work products	The outputs of this process include the following: • United Services Employment and Reemployment Rights Act (USSERA) and benefit and leave information • Acknowledgement letter • Recruiting and temporary staffing • PA form
Laws, regulations, and policies that govern process	Include, but not limited to: Oregon Military Family Leave Act; USERRA; division 60 employee leave policy number 60.000.25 for military leave; and policy number 60.020.05 for military donated leave program
Strengths	Military leave permits continuation of insurance and benefits; military leave includes a decompression period for the employee; and family members can provide paperwork if the employee leaves before the leave process is complete
Weaknesses	Paperwork is not always available prior to deployment/assignment; information regarding insurance and benefits; manual tracking of time while employee is on military leave; and lack of notification when five year maximum is approaching
Opportunities for improvement	Improve communication regarding insurance and benefits; support the ability to obtain and complete paperwork prior to the beginning of the military leave; automate tracking of the duration of the leave; ability to provide a notification to human resources when an employee is approaching the five year maximum for job protection
Systems	The following systems are used to prepare in this process: • PPDB • Payroll (OSPA) • PERS

b. HR9.05 Leave Management−Military as-is diagram

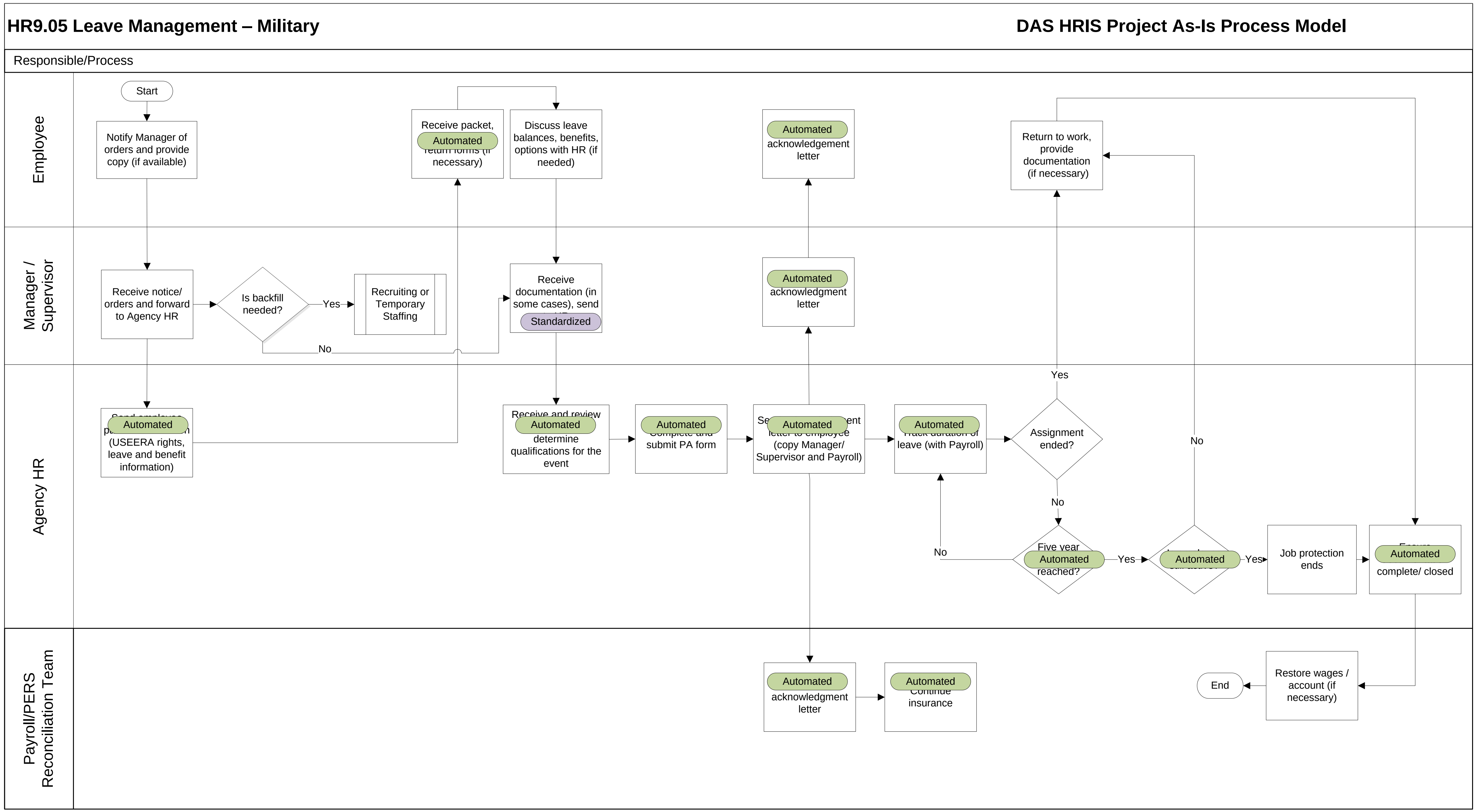
Below is the as-is diagram for the leave management−military−leave management area.



Inputs	Outputs	Customers	Systems/Interfaces
• Military orders	• United Services Employment and Reemployment Rights Act (USSERA), benefit and leave information • Acknowledgement letter • Recruiting, temporary staffing • PA form	• Employee • Employee's Peers • Manager/Supervisor • Human Resources • Payroll	• Payroll (OSPA) • PERS • PPDB

c. HR9.05 Leave Management-Military marked-up diagram

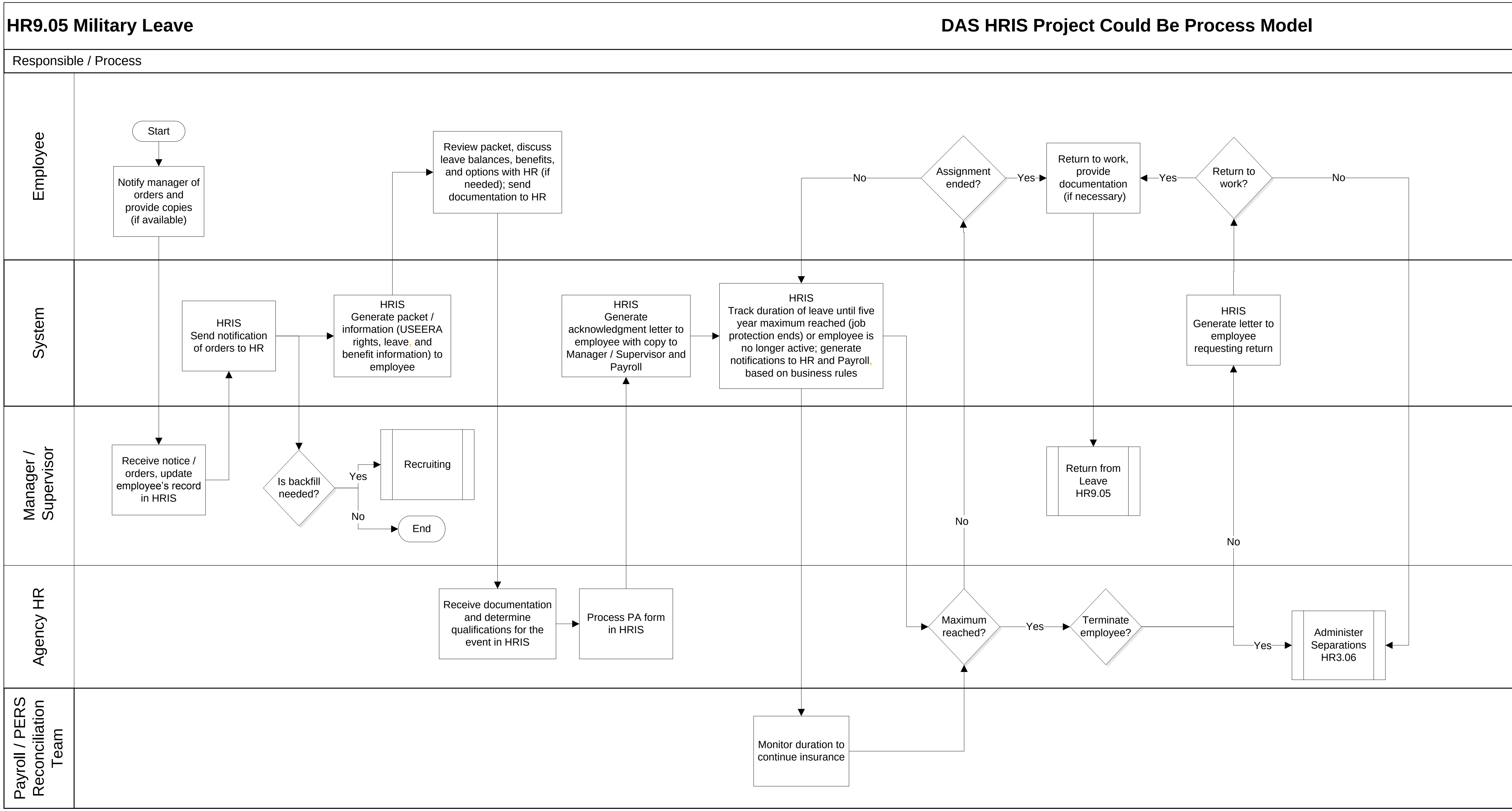
Below is the marked-up diagram for the leave management−military−leave management area.



Inputs	Outputs	Customers	Systems/Interfaces
• Military orders	• United Services Employment and Reemployment Rights Act (USSERA), benefit and leave information • Acknowledgement letter • Recruiting, temporary staffing • PA form	• Employee • Employee's Peers • Manager/Supervisor • Human Resources • Payroll	• Payroll (OSPA) • PERS • PPDB

d. HR9.05 Leave Management−Military could-be diagram

Below is the could-be diagram for the leave management−military−leave management area.

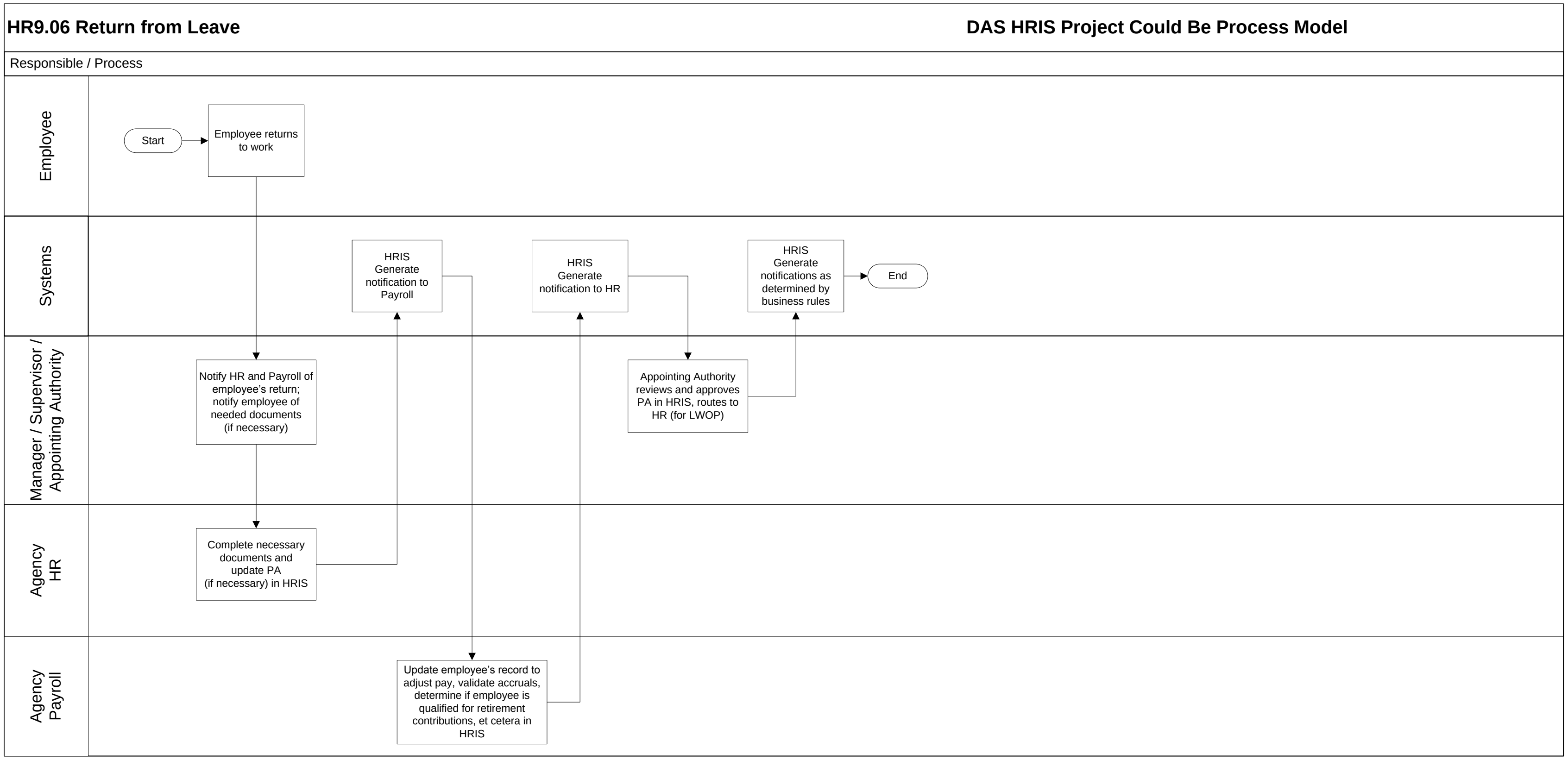


6. HR9.06 Return From Leave

This business area covers the process to administer employee returns leave regardless of the cause of the leave. This is a new process; therefore only the Could-Be process is included.

a. HR9.06 Return from Leave - could-be diagram

Below is the could-be diagram for the return to leave −leave management area.



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J. Reporting

The following contains the process summary, as-is, marked-up, and the could-be diagrams for reporting.

1. HR10.01Enterprise Reporting

This business area covers the enterprise reporting process.

a. HR10.01 Enterprise Reporting process summaries

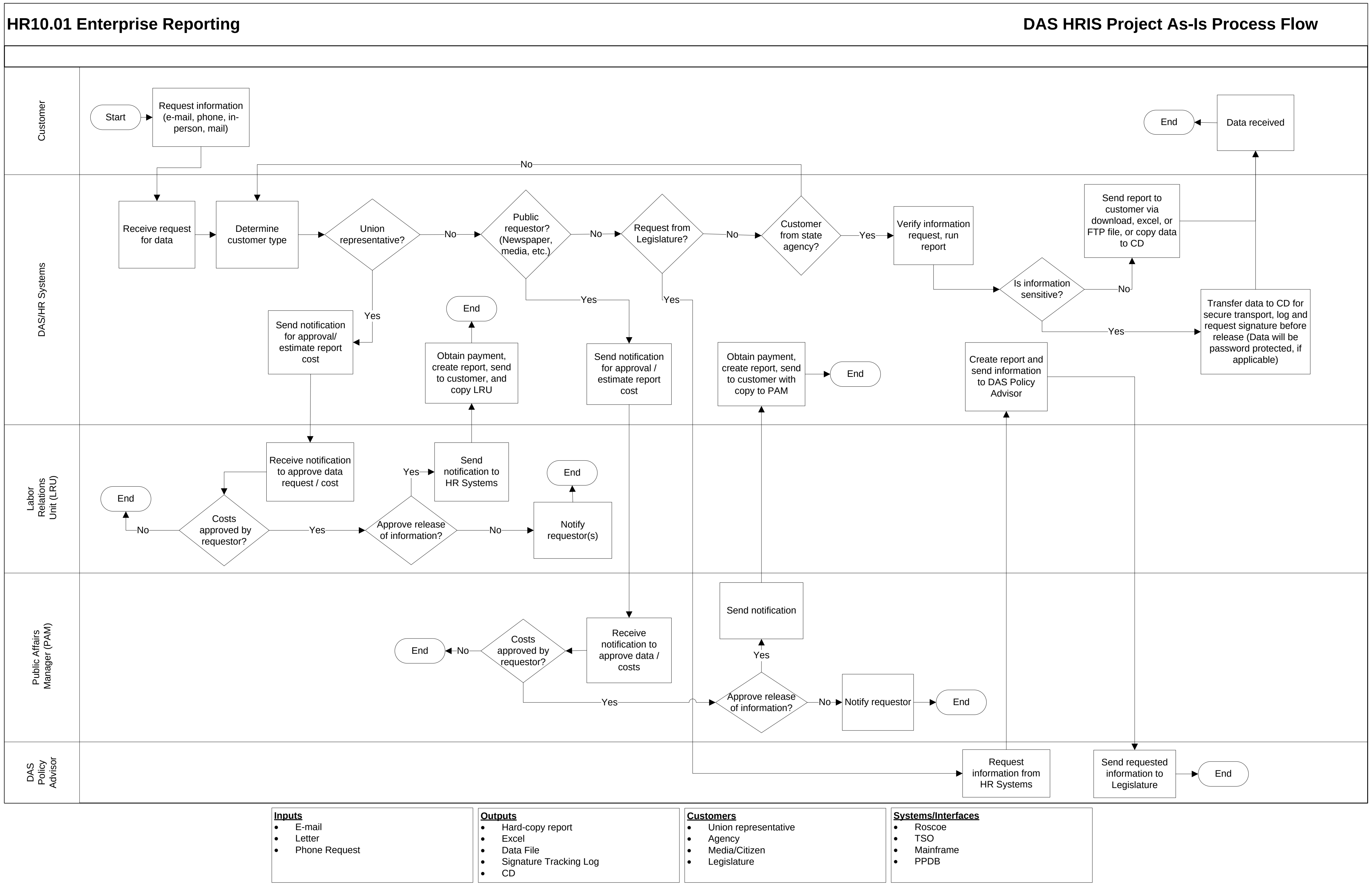
Below are the process summaries for the enterprise reporting−reporting area.

Process Step	Description
Purpose, objective, and description of process	This process describes the steps to take to report human resources information at a statewide level.
Process triggers	This process starts with the request for information, which can come from the public, the legislature, state agencies, unions, or the media.
Inputs	The inputs to this process include the following: • Requests in e-mail, letter, or verbal form
Activities	The following activities are being performed in this process: **Customer** • Request information (e-mail, phone, in-person, and mail) **DAS human resources** • Receive request for data • Determine customer • If customer is a union representative, send notification for approval/estimate report cost • If customer is a public requestor (newspaper, media, et cetera), send notification for approval/estimate report cost • Determine if the request is from the legislature or a state agency • Verify information requests and run reports • Determine if information is sensitive • Send report to customer via download, Excel, or FTP file, or copy data to CD • Transfer data to CD for secure transport and log and request signature before release (data will be password protected, if applicable) • Obtain payment, create report, and send reports to customer, with a copy to the public affairs manager (PAM) • Create report and send information to DAS policy advisor

Process Step	Description
	DAS labor relations unit • Receive notification to approve data request/cost (for union requests) • Determine if costs are approved by the requestor • Approve the release of information • Send notification to human resources systems • Notify requestor(s) if unable to release information **PAM** • Receive notification to approve data request/cost (for public requests) • Determine if the requestor approves costs • Approve the release of information • Send notification • Notify requestor(s) if unable to release information **DAS policy advisor** • If request is from legislature, request information from human resources systems • Send requested information to legislature
Method	The process is performed manually, by data analysts and programmers, with reporting from statewide personnel systems.
Outputs/work products	The outputs of this process include the following: • Hard or electronic reports • Signature tracking log
Laws, regulations, and policies that govern process	Include, but not limited to: state policy 105-010-0011 HRSD public records and 105-010-0016 public disclosure
Strengths	The current process incorporates review steps to safeguard sensitive data. Output can be delivered in electronic form.
Weaknesses	The review and approval process is not automated. Checks for sensitive data occur manually. A programmer or database analyst has to provide data.
Opportunities for improvement	Automation of sensitive data review and automatic workflow for review and approval, prior to release; and an HRIS with security permissions that would not require the skills of a programmer in order to obtain the data
Systems	The following systems are used to prepare in this process: • Roscoe • TSO • Mainframe • PPDB

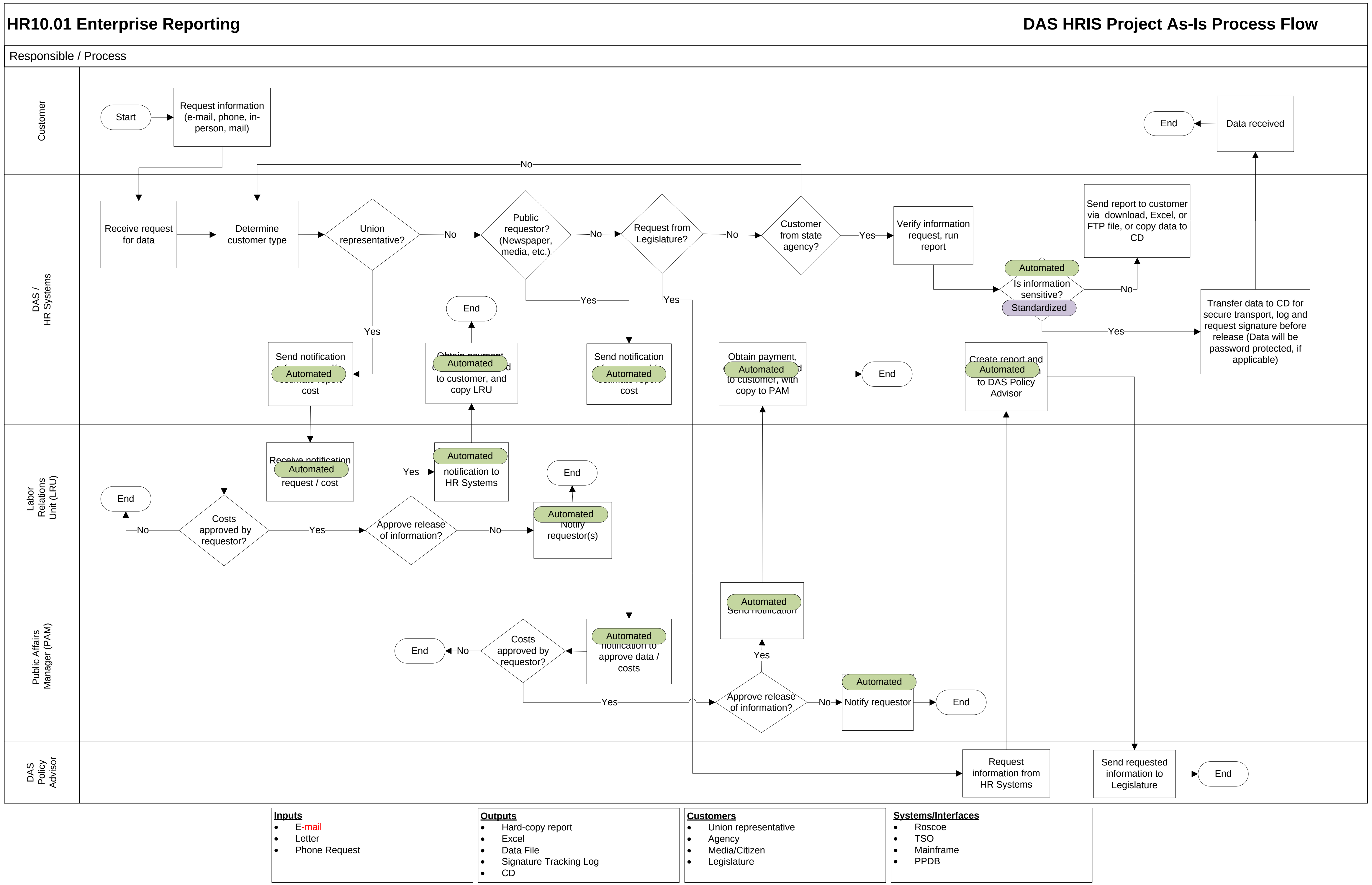
b. HR10.01 Enterprise Reporting as-is diagram

Below is the as-is diagram for the enterprise reporting–reporting area.



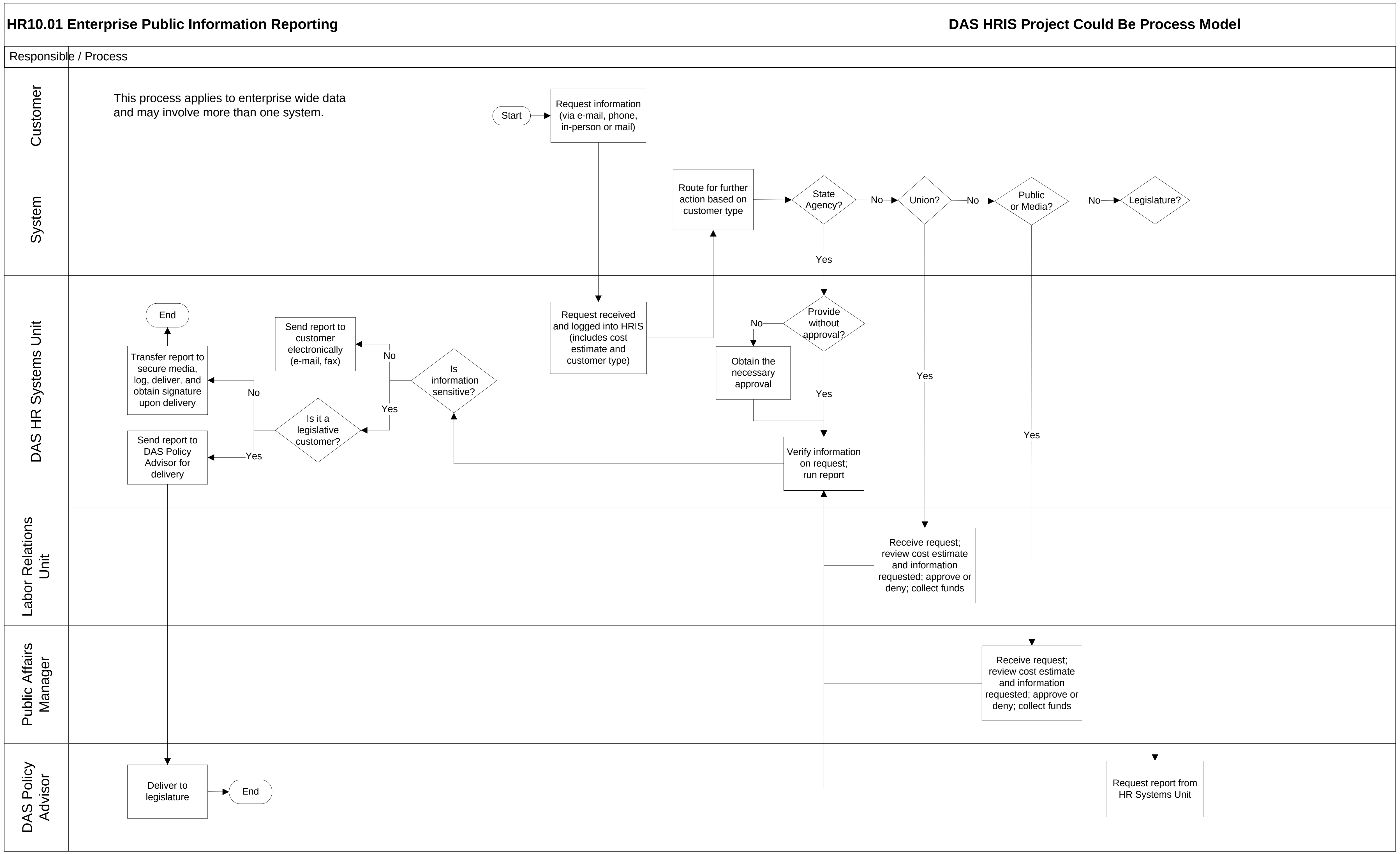
c. HR10.01 Enterprise Reporting marked-up diagram

Below is the marked-up diagram for the enterprise reporting–reporting area.



d. HR10.01 Enterprise Reporting could-be diagram

Below is the could-be diagram for the enterprise reporting–reporting area.



K. Training and Development

The following contains the process summary, as-is, marked-up, and the could-be diagrams for training and development.

1. HR11.01Employee Training Tracking and Execution

This business area covers the process for tracking employee training.

a. HR11.01 Employee Training Tracking and Execution process summaries

Below are the process summaries for the employee training tracking and execution−training and development area.

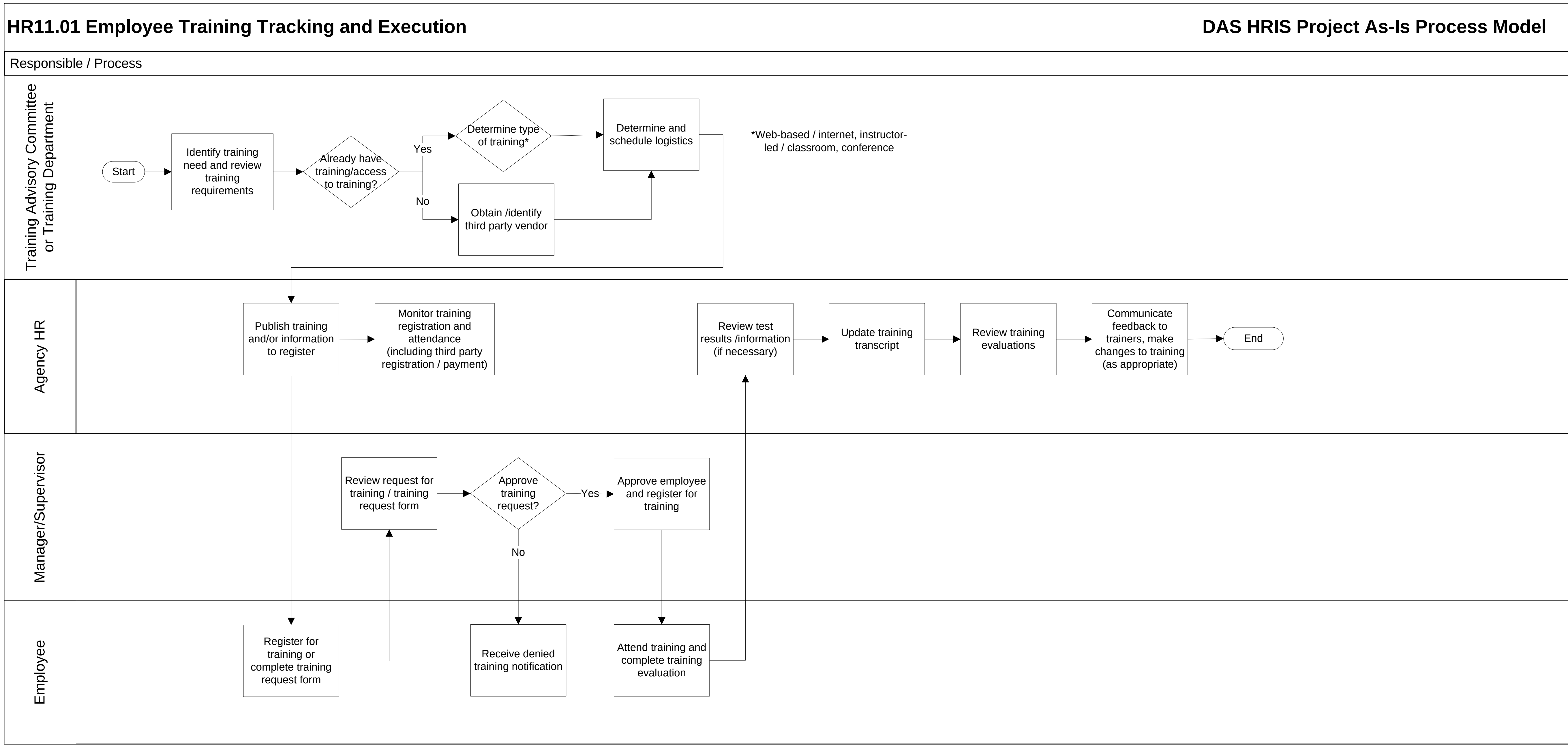
Process Step	Description
Purpose, objective, and description of process	This process describes the steps used to identify, request, register, and attend training to support workforce development.
Process triggers	This process can start with the training advisory committee, where they establish the appropriate ongoing training that each position and/or employee must complete. This can include courses required by the state and/or necessary in order for the employee to remain in a position, such as harassment training or management diversity training. In addition, training may be requested for new hires or by the employee or manager, based on the results of a performance evaluation, department/agency transfer, promotion opportunity, compliance issue, violation, or progressive discipline.
Inputs	The inputs to this process include the following: • New hire and department/agency transfer • Training need/training needs assessment • Training proposal form • Training request form • Progressive discipline • Violation/compliance issue
Activities	The following activities are performed in this process: **Training advisory committee or training department** • Identify training needs/requirements • Determine if training is already available • Determine the type of training • Obtain third party/vendor training • Determine and schedule training logistics **Agency human resources** • Publish training information • Manage training registration/waitlist

Process Step	Description
	• Review test/assessment results • Update training transcript(s) • Review evaluation results • Communicate feedback to training instructors and/or developers **Manager/supervisor** • Process training requests (approval) • Register employees for training **Employee** • Register for training/request training • Attend training • Complete evaluation form • Review training transcript
Method	The process involves manual data entry and registration. It is performed manually by agencies, without an online learning management system, such as iLearn or Halogen.
Outputs/work products	The outputs of this process include the following: • Training • Training registration form • Training roster • Training waitlist • Training evaluation • Training transcript
Laws, regulations, and policies that govern process	Include, but not limited to: division 50 workforce management policy number 50.045.01 for employee development and implementation of Oregon benchmarks for workforce development; policy number 50.015.01 for job rotation; contract training and management training; and OSHA training
Strengths	Agencies that use Halogen, iLearn, or a system-based Learning Management System (LMS) have some automated functionality for training registration; training evaluations influence changes to training materials and/or the instructors; and agencies sell open seats for training to other agencies/organizations
Weaknesses	Manual registration; managers manually track training; different learning management systems; no statewide training repository, database, or materials (inability to share what training is available across agencies); agencies manually research for existing training; no consistency or statewide templates or standards for training materials; and incomplete training “falls off”

Process Step	Description
Opportunities for improvement	Communication and knowledge share of available training courses across agencies; create statewide training standards and consistency for training materials, course names, and content; flag incomplete training so it does not expire, if it is required; automate registration and wait listing; automate the training transcript; enable online course evaluations; process payments online; and enable workflow/manager notifications for approvals
Systems	The following systems are used to prepare in this process: • iLearn • Halogen • Learning Center • LMS • Microsoft Excel and PowerPoint

b. HR11.01 Employee Training Tracking and Execution as-is diagram

Below is the as-is diagram for the employee training tracking and execution−training and development area.



Inputs
- New hire
- Department / Agency transfer
- Training need / assessment
- Training proposal / request form
- Progressive discipline
- Violation / compliance issue

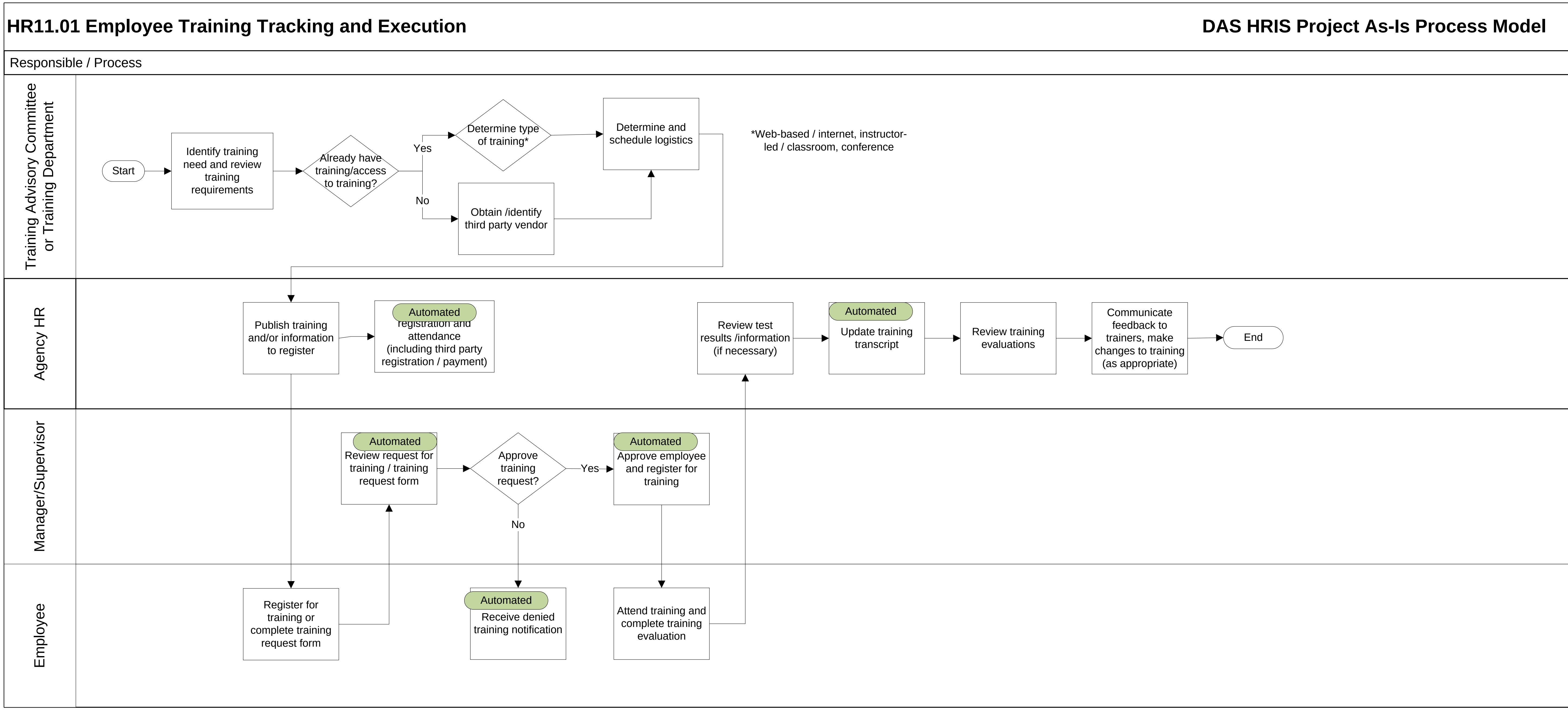
Outputs
- Training
- Training registration form
- Training roster
- Training waitlist
- Training evaluation
- Training transcript

Customers
- Employee
- Employee's Peers
- Manager / Supervisor
- Human Resources
- Third Party

Systems/Interfaces
- iLearn
- Learning Center
- Halogen
- Learning Management System
- Microsoft Excel, PowerPoint

c. HR11.01 Employee Training Tracking and Execution marked-up diagram

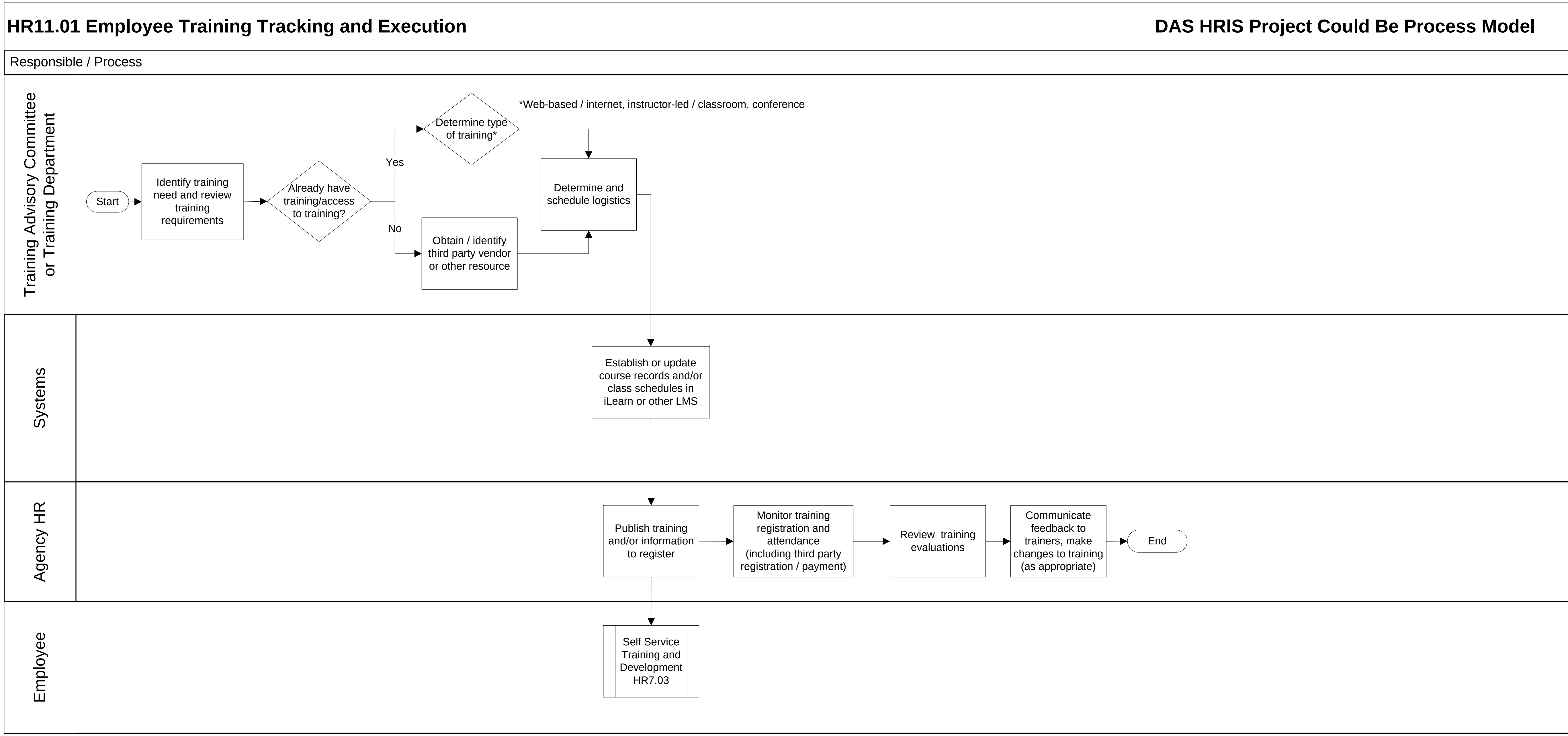
Below is the marked-up diagram for the employee training tracking and execution–training and development area.



Inputs	Outputs	Customers	Systems/Interfaces
• New hire • Department / Agency transfer • Training need / assessment • Training proposal / request form • Progressive discipline • Violation / compliance issue	• Training • Training registration form • Training roster • Training waitlist • Training evaluation • Training transcript	• Employee • Employee's Peers • Manager / Supervisor • Human Resources • Third Party	• iLearn • Learning Center • Halogen • Learning Management System • Microsoft Excel, PowerPoint

d. HR11.01 Employee Training Tracking and Execution could-be diagram

Below is the could-be diagram for the employee training tracking and execution–training and development area.



This process may change with project design decisions regarding LMS, by standardization or interfaces.