DYE MANAGEMENT GROUP, INC.
Skyline Tower • Suite 1910 • 10900 NE 4th Street • Bellevue, WA 98004
T: (425) 637-8010 • F: (425) 637-8020 • www.dyemanagement.com

State of Oregon: HRIS Project

Enterprise Readiness Assessment Consulting Services

Business Process Gap Analysis, V2

Final
Deliverable 1

September 2014

State of Oregon: HRIS Project

Enterprise Readiness Assessment Consulting Services

Gap Analysis

Table of Contents

I. Executive Summary 1
II. Analysis Results 1
A. Employee Processing 1
B. Position Data and Budgeting 9
C. Personnel Administration 31
D. Classification and Compensation 90
E. Labor Relations 122
E. Performance Evaluations 159
F. Self Service 177
G. Health and Safety 181
H. Leave Management 199
I. Reporting 236
J. System Security 242
III. Appendix A: As-Is to Could-Be Process Reconciliation 248

I. Executive Summary

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. Each business process area is described and analyzed, then followed by high-level process maps. Each As-Is process identified for analysis is described in a set of three process maps. The current process is described in the initial map. The second process map is a marked-up version showing the steps in current the process could potentially be eliminated, automated or standardized through the implementation of a new HRIS. The third process map describes the potential could-be process with 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 • HR3.08-Layoff and recall • HR3.09-Shared Services Billing • HR3.10-Seasonal Recall

Business Area	Description	Process Flows
Classification and compensation (HR4)	The classification and compensation covers classification and compensation policies for the state, based on a diverse set of criteria, and ensures that individual employees are adequately and properly compensated and correctly classified.	• HR4.01-Administer compensation plans • HR4.02-Administer reallocations • HR4.03-Reclassification • HR4.04-Classification • HR4.05- Compensation Plan for Bargaining
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. A key function is to track, manage, and report certifications, licenses, and training needed for a position.	• HR6.01-Performance evaluations • HR6.02-Performance management • HR6.03-Employee training, tracking, and execution
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	• HR9.01-Leave management-FMLA/OFLA • HR9.02-Administer employee status on leave • HR9.03-Leave management-non FMLA/OFLA

Business Area	Description	Process Flows
	of leave.	• HR9.04-Leave management–hardship • HR9.05-Leave management-military • HR9.06-Return from Leave
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
System Security (HR12)	The system security process allows administrators to establish user identification and passwords for system access.	• HR12.01-PPDB/APPL/ CERT system security

Each business area process summary documents the gap analysis that corresponds to each set of the process maps. Each process summary identifies 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 major process steps and who performs those steps
- Method: Identifies if the process is automated or manual
- Outputs/work products: A list of documents, completed activities, et cetera, that result from the completion 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 current 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 and sets of process maps for each business process area.

II. Analysis Results

■

A. Employee Processing

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

HR1.01 New Employee

This business area covers new employee processing.

a. HR1.01 New Employee process summaries

Below is the process summary for the new employee – employee processing area.

Process Step	Description
Purpose and 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 • Underfill agreement • Records and privacy expectations

Process Step	Description
	• PEBB benefits forms
Activities	The following activities are being performed in this process: **Employee** • Receive new hire information from HR • Review new employee packet, job duties, and expectations and introduce to staff and tour the building • Read employee material and policies and sign acknowledgement (on intranet or at employee orientation) • Complete documents for relocation expenses and submit to manager for reimbursement within established timeframe • Complete benefits and payroll-related forms and return to HR • Attend mandatory new employee training (if enrolled) **Manager, Supervisor, or Appointing Authority** • 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 • 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 IT/others for computer and other equipment set-up • Call telephone service to set up new employee telephone • Obtain new employee packet from HR, set up date for employee orientation • Review new employee packet, job duties, and expectations; introduce to staff and tour the building • Manager verifies labor cost allocation codes • Approve and sign PA request form • If there are relocation expenses negotiated, provide

Process Step	Description
	necessary forms to employee to fill for reimbursement • Determine required forms for underfill or limited duration are completed, signed and submitted to Agency HR • 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 • Initiate the Employee Data Changes process • Initiate the Employee Separations process **Agency HR** • 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 HR and set up date for employee orientation • Receive paperwork and verify 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 PPDB • Initiate the Appointments process • Notify employee to complete benefit/payroll forms • Forward information to Payroll

Process Step	Description
	• Send paperwork to DAS EHRS Shared Services 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 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 • Relocation expense reimbursement request • Underfill or limited duration forms or notices
Laws, Regulations, and Policies That Govern Process	Include, but not limited to: Collective bargaining agreements; 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 and Reasonable Accommodation in Employment; New Employee Orientation; policy number 105-040-0080 for Reemployment; policy number 40.055.50 for New Employee Relocation; policy number 40.065.01 for Trial Service Period; policy number 105-040-0065 for Management Service Trial Service Period; policy number 50.050.01 for Telecommuting and Teleworking
Strengths	Employment is contingent on criminal history check
Weaknesses	Getting employee access prior to start date can take up to fifteen (15) 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

Process Step	Description
	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 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 • Transportation Online Personnel Action System (TOPAS-ODOT only) • Active Directory • Facilities • Intranet (DHS) • PEBB • PPDB • PERS • Payroll • SharePoint • NeoGov • iLearn or other LMS
Requirements	The following requirements correspond to this process: 1.1, 1.3, 1.4, 1.5, 1.6, 1.7, 1.9, 1.10, 1.14, 1.17, 1.19, 1.20, 1.21, 1.23, 1.24, 1.29, 1.30, 1.33, 1.38, 1.39, 1.40, 1.41, 1.43, 1.46, 1.49, 1.50, 1.51, 1.52, 1.53, 1.58, 1.59, 1.63, 1.64, 1.66, 1.67, 1.68, 1.74, 1.81, 1.84, 1.85, 1.86, 1.87, 1.94, 1.104, 1.107, 1.115, 1.116, 1.119, 1.47

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 notification
- 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
- Underfill or limited duration forms or notices

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

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)
- Original, signed employment application
- New employee orientation checklist
- New employee orientation acknowledgement form
- Conditions of employment form
- Limited duration agreement
- Underfill notification
- 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
- Underfill or limited duration forms or notices

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

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.

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 is the process summary for the position budgeting for new biennium–position data and budgeting processing area.

Process Step	Description
Purpose and 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 after the Legislative Fiscal Office has documented legislative changes to existing position/FTE. The cycle occurs every two years, in the Spring of every even numbered year post short session.
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** • Documents legislative changes to existing positions/FTE • Reviews Governor's Recommended Budget (GRB) and makes recommendation to legislative subcommittee • Create Budget Report (BR) that documents all changes made to the GRB leading to LAB final values • Sub Committees, using BR, make recommendations to Ways and Means (W&M) Committee • W&M Committee approves budget

Process Step	Description
	<u>Statewide Audit and Budget Reporting Section (SABRS)</u> • Updates PICS PBPA for legislative and administrative changes • Create budget prep file for PICS freeze, using PBPA (PICS-Legislative Approved) prepared for next biennium. PBPB (PICS-Budget preparation) is updated • Run and distribute initial report to agencies • SABRS locks PBPD Start-up version • Run position audit report/Start up • Start up Audit, if issues arise, get it resolved • Create snapshot of PICS file for BSU • SABRS locks PBPB EBL version • Run position audit report/EBL • EBL Audit, if issues arise, get it resolved • Create snapshot of PICS file for EBL • SABRS locks PBPB ARB version • Run position audit report/ARB • Compare ARB to EBL • ARB Audit, if issues arise, get it resolved • Create snapshot of PICS file for GRB • Locks PBPB GRB version and runs audit report • Approves audit after Analyst Recommendation and Appeal Meeting results documents have been entered into PICS PBPB • Creates snapshot of PICS file for LAB • Unlocks PICS for the LAB reconciliation • Locks PICS after reconciliation • Approves audit when all BR document changes keyed into PICS • Initiates PICS Roll (PICS into ORBITS) **<u>BAM Analyst and Agency Budget Services</u>** • Receive and compile budget requests from agency personnel • Review Start-up/Input/Request Audit • Kickoff: Create and distribute Agency Request Budget (ARB) spreadsheets and instructions • Receive PICS Freeze Reports • Review position budget reports • Determine if freeze reports are correct

Process Step	Description
	• Work with SABRS to determine problem • DAS or Agency updates PBOP if necessary (depending on update capability) • Agency requests lock of Start-up version • Review Essential Budget Level (EBL) submitted by divisions and enter information into PICS • Review department and divisional strategic business plan. Prepare (EBL and ARB) estimates in coordination with program managers, division administrators, and BAM analyst, including 10% reduction options • Agency request lock of PBPB-EBL version • Review Agency Request Budget (ARB) (includes EBL and policy packages [PP]) submitted by divisions, enter information into PICS • BAM Analysts review and approve ARB making recommendations to Governor to develop GRB. Recommendation may not be for all submitted items. • Agency receives notification of recommendation • Determine if in agreement with recommendation • If not in agreement, begin appeal process, negotiate appeal with BAM • If in agreement, results are updated in GRB • Once SABRS unlocks PICS, agency updates PBPB for changes from ARB level to balance GRB recommendations, reviews changes and submits audit request to SABRS
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 have the ability to 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, relying on

Process Step	Description
	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; capture of change history.
Systems	The following systems are used to prepare in this process: • DAS Position Information and Control System (PICS) • DAS Oregon Budget and Information Tracking System (ORBITS) • Transportation Environment and Management System (TEAMS) (ODOT only) • Statewide Financial Management Application (SFMA)
Requirements	The following requirements correspond to this process: 1.49, 1.79, 2.1, 2.2, 2.5, 2.6, 2.8, 2.9, 2.10, 2.11, 2.12, 2.13, 2.14, 2.15, 2.16, 2.18, 2.19, 2.20, 2.21, 2.23, 2.24, 2.25, 2.28, 2.29, 2.30, 2.31, 2.33, 2.35, 2.36, 2.37, 2.38, 2.42, 2.43, 2.45, 2.46, 2.48, 2.51, 2.53, 2.54, 2.56, 2.57, 2.58, 2.67, 2.70, 2.71, 2.73, 2.75, 2.80, 2.81, 2.82, 2.83, 2.84, 2.85, 2.86, 2.89, 2.91, 2.92, 2.96, 2.97, 2.99, 2.106, 2.107, 2.110, 2.111, 2.112, 9.16

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.

Inputs
- Revenue Forecasts
- Summary Expenditure Reports
- Strategic/Business Plans
- Policy Option Packages (POPS)

Outputs
- Agency Request Budget
- Governor's Recommended Budget
- Legislative Adopted Budget

Customers
- Organization Units, Divisions, and Division Administrators
- Legislature / Budget Coordinators / Managers /Supervisors
- DAS BAM / DAS SCD

Systems/Interfaces
- PICS
- ORBITS
- TEAMS (ODOT only)
- SFMA

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.

Inputs
- Revenue Forecasts
- Summary Expenditure Reports
- Strategic/Business Plans
- Policy Option Packages (POPS)

Outputs
- Agency Request Budget
- Governor's Recommended Budget
- Legislative Adopted Budget

Customers
- Organization Units, Divisions, and Division Administrators
- Legislature / Budget Coordinators / Managers /Supervisors
- DAS BAM / DAS SCD

Systems/Interfaces
- PICS
- ORBITS
- TEAMS (ODOT only)
- SFMA

Legislature may issue continuing resolutions if budget does not pass before July 1 of odd numbered years

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.

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 is the process summary for the budget management – monthly−position data and budgeting processing area.

Process Step	Description
Purpose and 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, conferring 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; state policy number 30.000.01 for Position

Process Step	Description
	Management
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, 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; capture of change history
Systems	The following systems are used to prepare in this process: • Budget versus Actual (BVA) • PPDB/CPMS/DSSURS • Hyperion • SFMA/OSPS • RBase • Cost Allocation Module for Shared Services
Requirements	The following requirements correspond to this process: 1.49, 2.3, 2.4, 2.8, 2.10, 2.13, 2.17, 2.18, 2.23, 2.29, 2.33, 2.34, 2.35, 2.39, 2.40, 2.41, 2.42, 2.47, 2.57, 2.62, 2.66, 2.68, 2.69, 2.70, 2.72, 2.73, 2.76, 2.77, 2.79, 2.85, 2.86, 2.87, 2.88, 2.89, 2.92, 2.94, 2.97, 2.99, 2.105, 2.109, 3.21, 3.23, 9.16, 10.68, 10.33, 10.27, 10.26, 10.35, 10.44, 12.8, 3.22, 12.132

e. 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

f. 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

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.

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 is the process summary for the budget management – allotment position data and budgeting processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for allocating 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 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

Process Step	Description
Strengths	The process allows for the periodic adjustment of budgets to incorporate position changes.
Weaknesses	Multiple systems used, increasing 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: • SFMA • Microsoft Office/Excel • Hyperion/Brio • Agency-specific budget and personnel systems
Requirements	The following requirements correspond to this process: 1.49, 9.16, 10.68, 10.35, 10.44, 12.8

g. 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

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

Below is 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

i. 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.

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 is the process summary for the budget management – re-projection/rebalance position data and budgeting processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for developing re-balancing requests and updating 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 needed **DAS** • Review findings
Method	The process is performed manually, with inputs obtained from various systems.

Process Step	Description
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 to incorporate position changes.
Weaknesses	Multiple systems used, increasing 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/CPMS/SFMA/OSPS • Hyperion • OPHP Database • RBase • DSSURS
Requirements	The following requirements correspond to this process: 1.49, 10.68, 10.35, 10.44, 12.8

j. 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

k. 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

l. 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.

HR3.01 Job Changes (Within Agency)

This business area covers job changes within an agency.

a. HR3.01 Job Changes (Within Agency) process summaries

Below is the process summary for the job changes (within agency) –personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for managing 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 • DAS Policies • Agency Policies • Personnel Action (PA) form
Activities	The following activities are being performed in this process: **Outgoing Supervisor / Manager** • Determine if the employee job change is due to a trial service removal • 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

Process Step	Description
	<u>Gaining Supervisor / Manager or Appointing Authority</u> • Notify HR of employee's promotion, lateral transfer, or demotion • Verify restoration rights with Agency HR and complete necessary forms • Approve network and application access • Determine if ADA accommodations are required and implement any accommodations • Assign office key or request key card • Approve facilities access • Determine if employee needs computer or other equipment • Locate / purchase computer and other equipment; 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 and other forms • Assign any other communication equipment (pager, cell phone, et cetera) • Initiate the Manage Employee Assigned Equipment process **<u>Agency HR</u>** • Request network and application access • Approve facilities access • Complete PA request, submit for Appointing Authority signature • Process action into PPDB or forward for DAS entry; file PA in employee file **<u>DAS HRSD</u>** • Input paperwork received from Agency HR

Process Step	Description
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 Collective Bargaining Agreements
Strengths	Communication between outgoing and gaining supervisor / manager
Weaknesses	Manual process; timeframe to obtain network and application access; securing workspace and equipment; manual tracking of equipment; manual notifications/requests for equipment and/or access to systems/buildings; ad manually enter employee information on forms
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) • TOPAS (ODOT)
Requirements	The following requirements correspond to this process: 1.2, 1.13, 1.29, 1.30, 1.31, 1.49, 1.82, 1.95, 1.117, 3.9, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

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
- Employee performance
- Collective Bargaining Agreements
- DAS Policies
- Agency Policies
- Personnel Action (PA) form

Outputs
- PA form updated
- PPDB update
- ADA accommodation
- Equipment assignments

Customers
- Employee
- Manager, Supervisor, Appointing Authority
- Agency HR
- DAS / OSPA
- IT and Telephone Services

Systems/Interfaces
- 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.

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 is the process summary for the job rotation and/or work out of class personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for managing 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 • Personnel Action (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 • Determine if the chosen employee is eligible for work out of class or developmental assignment • 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 HR / Budget** • Assistant Director, HR, and/or Budget review options and

Process Step	Description
	determine best option
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 • Job rotation recruitment • Job rotation agreement • WOC agreement • WOC differential form
Laws, Regulations, and Policies That Govern Process	Include, but not limited to: Collective bargaining agreements; Position Management policy number 30.000.01; Pay Practices, includes Pay Differentials policy number 20.005.10; Alternate Methods of Filling Positions policy number 105-040-0070; Job Rotation policy number 50.015.01;
Strengths	Presents developmental opportunities for employees
Weaknesses	Manual process; manual tracking of job duration; inability to notify personnel 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
Requirements	The following requirements correspond to this process: 1.2, 1.13, 1.29, 1.30, 1.31, 1.37, 1.49, 1.54, 1.76, 1.82, 1.94, 1.95, 1.112, 1.117, 3.9, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

e. 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/LDA agreement
- WOC/LDA differential form

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

Systems/Interfaces
- PPDB
- Payroll
- Microsoft Word

f. 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
- 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/LDA agreement
- WOC/LDA differential form

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

Systems/Interfaces
- PPDB
- Payroll
- Microsoft Word

g. 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.

HR3.03 Workforce Management

This business area covers general workforce management.

a. HR3.03 Workforce Management process summaries

Below is the process summary for the workforce management–personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for managing 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 collective bargaining agreements.
Inputs	The inputs to this process include the following: • Job offer • Job description • Collective bargaining agreements
Activities	The following activities are being performed in this process: **Employee** • Receive employee recognition • Participate in appraisal and coaching activities • Agree or disagree with appraisal and coaching actions • Initiate the grievance process **Manager/Supervisor with Agency HR** • Selection and hiring of employees • Performance management and training with potential resultant processes, which may include: – Employee recognition – Progressive discipline – Leave management – Job rotation

Process Step	Description
	– Work out of class – Special assignment – Salary Administration (Pay Changes) process – Leave Management process – Americans with Disabilities Act (ADA) process – Separations process – Layoff and Recall process – Telecommuting process – Agency housing process **<u>Unions / Labor Relations / Legal / Health and Safety</u>** • Policy administration; 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 (includes years of service, special awards or achievements, outstanding performance, et cetera) • Performance evaluation/appraisal • Progressive discipline (includes coaching, training, counseling, oral warning, letter of expectations, memo of concern, letter of warning, and performance work plan) • 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: Collective Bargaining Agreements, 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; Job Rotation policy number 50.015.01; and Employee Development & Implementation of Oregon Benchmarks for Workforce Development policy number 50.045.01

Process Step	Description
Strengths	Some agencies use Halogen for training management/development; ability to resolve performance issues through subsequent processes
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; process implementation is influenced by manager's desire, workload, and number of employee's 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; 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
Requirements	The following requirements correspond to this process: 1.13, 1.21, 1.22, 1.27, 1.29, 1.30, 1.31, 1.32, 1.49, 1.54, 1.64, 1.69 1.76, 1.82, 1.87, 1.91, 1.92, 1.95, 1.102, 1.114, 1.117, 3.9, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

h. HR3.03 Workforce Management as-is diagram

Below is the as-is 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

i. 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

j. HR3.03 Workforce Management could-be diagram

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

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 is the process summary for the Americans with Disabilities Act (ADA)−personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering the Americans with Disabilities Act (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 HR • Discuss options with HR/manager • Determine mutual agreement for accommodation • Return to work **Manager/Supervisor** • Receive notice of need for accommodation • Provide employee with form packet, including request and medical release forms • Determine mutual agreement for accommodation

Process Step	Description
	• Implement accommodations as agreed • Initiate Job Change/Transfer process • Initiate the Separations process **<u>Agency HR</u>** • Review doctor's recommendations; request more information from doctor, if required • Review and /or interview employee regarding request for accommodation • Discuss accommodation options with necessary personnel (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 Americans with Disabilities Act 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 has the ability to complete a job transfer as accommodation
Weaknesses	Manual process; workspace accommodation(s) may be limited by facility availability; inability to track ADA in system; and inability to track costs associated with providing 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

Process Step	Description
	• PERS • Microsoft Word
Requirements	The following requirements correspond to this process: 1.21, 1.49, 1.68, 1.82, 1.95, 1.117, 5.90, 5.30, 5.32, 5.33, 8.49, 9.8, 9.16, 9.23, 10.69, 12.9

k. 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
- 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

l. 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

m. 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.

HR3.05 Pay Changes

This business area covers pay changes to employees.

a. HR3.05 Pay Changes process summaries

Below is the process summary for the pay changes–personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for salary administration that include a pay change as a result of a performance evaluation or merit increase. The process includes how to deny a merit increase.
Process Triggers	This process can start with the monthly merit increase report or cost of living adjustment.
Inputs	The inputs to this process include the following: • Merit increase report • Collective bargaining agreements • Agency policies • Personnel Action (PA) form • PPDB input forms • Cost of living adjustment (COLA) • Fair Labor Standards Act (FLSA)
Activities	The following activities are being performed in this process: **Manager / Supervisor or Appointing Authority** • 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 PCA codes – Initiate the Disciplinary Action Tracking process – Determine if there should be a special performance-based increase authorized – Determine if the employee's base rate decreased as

Process Step	Description
	a result of disciplinary action • Complete required PA form and obtain appointing authority signature **<u>Agency HR</u>** • Distribute monthly merit increase report to managers • Determine if the change is through an automated 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; file document in employee file **<u>DAS</u>** • Create and distribute monthly merit increase report, including employees with WOC differentials • For salary adjustments (COLA), FLSA, and/or selective agencies, notify via e-mail • Provide outputs from Reclassification or Classification process • 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, includes Pay Differentials policy number 20.005.10; Fair Labor Standards Act policy number 20.005.20; Federal Minimum Wage; Oregon

Process Step	Description
	Minimum Wage Determination; Oregon Revised Statute (ORS) Chapter 652 Hours, Wages, Wage Claims, Records; and Merit Pay System policy number 20.005.05
Strengths	Monthly merit increase report provides list of employees eligible for a merit increase; process is aligned with 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 • OSPA • PEBB • PERS • Vantage (Legislature) • TOPAS (ODOT)

n. 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)
- Fair Labor Standards Act (FLSA)

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)

o. HR3.05 Pay Changes marked-up diagram

Below is the marked-up 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)
- Fair Labor Standards Act (FLSA)

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)

p. HR3.05 Pay Changes could-be diagram

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

HR3.06 Administer Separations

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

a. HR3.06 Administer Separations process summaries

Below is the process summary for the administer separations–personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps to administer employee separations as a result of termination, including retirement, resignation, or death. This process is applicable to seasonal positions.
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/retirement • Personnel Action (PA) form • Collective bargaining agreements
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,

Process Step	Description
	termination, or employee death to HR • 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 HR** • 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 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 COBRA notice(s)
Method	The process is performed with inputs to, and outputs from multiple systems.

Process Step	Description
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: Collective bargaining agreements; 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 check list and separation checks are both available
Weaknesses	Retirement process can be lengthy and frustrating (recommendation is to complete notice of retirement forty-five [45] 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)

Process Step	Description
	• APPL/CERT (interface) • PICS (vacancy) • PEBB benefits (file)/PERS Jclarety (file) • E-GOV LDAP (file)/RACF (file)
Requirements	The following requirements correspond to this process: 1.49, 1.51, 1.52, 1.53, 1.60, 1.82, 1.86, 1.95, 1.109, 1.110, 1.117, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6, 3.7, 3.8, 3.9, 3.11, 3.12, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

q. HR3.06 Administer Separations as-is diagram

Below is the as-is 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)

r. 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)

s. 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.
(5) If termination due to dismissal or resignation in lieu of dismissal, refer to HR5.x.

HR3.07 Temporary Extensions

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

a. HR3.07 Temporary Extensions process summaries

Below is the process summary for the temporary extensions–personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering extensions of temporary position assignments. The process includes verifying if the temporary employee has not worked more than 1,040 hours to remain a temporary employee.
Process Triggers	This process can start with a review of the monthly report, "Temporary Employees Due to Terminate."
Inputs	The inputs to this process include the following: • Temporary employee assignment • "Employees due to terminate" report
Activities	The following activities are being performed in this process: **DAS HR Systems** • Send monthly report on "Temporary employees due to terminate" (Six month separation date approaching) • Process extension into PPDB **Agency HR** • Review report and notify supervisors of temporaries due to terminate • Process review results/decision, including: – Initiate the Separations process – Initiate the Temporary Position process – Complete "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

Process Step	Description
	HRMC **<u>Supervisor</u>** • 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 of1,040 hours in temporary year • Notify HR 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 **<u>Appointing Authority</u>** • Sign request to extend a temporary appointment" form (PD412A) and/or "Conditions of temporary employment" form (PD412), and return to Agency HR **<u>DAS Human Resources Management and Consultation (HRMC)</u>** • Review and approve/deny request to extend temporary appointment • Track request into Access database maintained by HRMC • Fax approval or denial to agency requesting 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	Include, but not limited to: Temporary Appointments policy number 40.025.01; Recruitment and Selection Record Retention

Process Step	Description
That Govern Process	policy number 40.010.01; Types of Appointments policy number 105.040.004; and Trial Service Period policy number 40.065.01
Strengths	Ability to fill temporary need and 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 (to not exceed 1,040); and agency specific processes and tracking
Opportunities for Improvement	Automate notifications to supervisor for employees due to terminate; automate notification for temporary employees reaching 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
Requirements	The following requirements correspond to this process: 1.49, 1.82, 1.95, 1.117, 3.3, 3.4, 3.5, 3.6, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

t. 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

u. HR3.07 Temporary Extensions marked-up diagram

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

Inputs	Outputs	Customers	Systems/Interfaces
• Temporary employee • "Employees due to terminate" report	• "Conditions of temporary employment" form (PD412) • "Request to extend a temporary appointment" form (PD412A)	• DAS HR Systems • Agency HR Office • Supervisor • Appointing Authority • DAS Management and Construction (HRMC) • Employee	• PPDB • Access database

v. HR3.07 Temporary Extensions could-be diagram

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

HR3.08 Layoff and Recall

This business area covers the layoff and recall of employees to an agency.

a. HR3.08 Layoff and Recall process summaries

Below is the process summary for the job changes (within agency) –personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for developing an agency layoff/recall plan and administering layoffs.
Process Triggers	A written layoff/recall plan is required for every Oregon agency. The layoff process is triggered by various events that produce a requirement to reduce workforce. Such events could include legislative action or budget shortfalls.
Inputs	The inputs to this process include the following: • Union contracts • Employee lists
Activities	The following activities are being performed in this process: **Agency Head or Appointing Authority** • Develop written agency plan for layoff/recall process; submit for approval if varying from model policy • Determine if plan varies from model policy • Receive notice from DAS, update plan as needed • Consider layoffs • Determine positions, classifications, locations, and/or units to be considered • Review organizational needs as outlined in DAS policy to mitigate layoffs • Determine any mitigation measures • Implement mitigation measures **DAS** • Review agency layoff/recall plan • Provide approval for plan • If not approved, work with agency to improve plan • If approved, provide written approval notice within 15 calendar days

Process Step	Description
	<u>Managers and/or Supervisors</u> • Identify position and specific employees to be affected • Process Personnel Action (PA), assist employee in completing chosen option • Process PA for layoff **<u>Agency HR</u>** • Update potential reductions list with necessary information in accordance with CBA or state policy (management service) • Determine final layoff list • Provide written layoff notice with options (minimum of 15 calendar days prior to effective date) • Determine if employee's selection is received within 5 days • If eligible, place employee on agency layoff and/or recall list • Determine if employee requests addition to a recall list • Update recall list **<u>Employee</u>** Select option and notify Agency HR in writing within 5 calendar days
Method	The process is performed manually with updates to PICS/PPDB and Payroll as needed.
Outputs/Work Products	The outputs of this process include the following: • Written layoff/recall plan for each agency • Layoff lists and Personnel Actions as needed
Laws, Regulations, and Policies That Govern Process	Include, but not limited to: OAR **105-040-0020** Types and Order of Applicant Lists, Layoff/Removal policy number 50.025.01, Restoration of Removed Management Service Employees policy number 50.030.01; and Classified Unrepresented Grievance Review policy number 70.005.05
Strengths	Existing of reviewed and approved written plans provides clear guidance and direction for agencies.
Weaknesses	Manual development of layoff lists and manual calculation of service credits, manual printing, review and delivery of requests for inclusion on statewide lists, manual development of employee

Process Step	Description
	notices, lack of tracking of historical / previous similar actions or consideration, lack of requirement and detail for statewide reporting.
Opportunities for Improvement	Automate calculation of service credits to support automatic creation of potential layoff lists, automate notifications to and between agencies, automate/store documents to eliminate manual review and delivery and duplicate data entry.
Systems	The following systems are used in this process: • PPDB/PICS
Requirements	The following requirements correspond to this process: 1.2, 1.15, 1.49, 1.55, 1.56, 1.78, 1.82, 1.86, 1.95, 1.117, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6, 3.7, 3.8, 3.9, 3.11, 3.12, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

w. HR3.08 Layoff and Recall as-is diagram

Below is the as-is diagram for the layoff and recall–personnel administration processing area.

Inputs
- Union Contracts
- Employee Lists

Outputs
- Agency Layoff/Recall Plan
- Layoff lists

Customers
- DAS HR Systems
- Agency HR Office
- Manager / Supervisor / Employee

Systems/Interfaces
- PPDB // PICS

x. HR3.08 Layoff and Recall marked-up diagram

Below is the marked-up diagram for the layoff and recall−personnel administration processing area.

Inputs
- Union Contracts
- Employee Lists

Outputs
- Agency Layoff/Recall Plan
- Layoff lists

Customers
- DAS HR Systems
- Agency HR Office
- Manager / Supervisor / Employee

Systems/Interfaces
- PPDB // PICS

y. HR3.08 Layoff and Recall could-be diagram

Below is the could-be diagram for the layoff and recall–personnel administration processing area.

HR3.09 Shared Services Billing

This business area covers the shared services billing processes.

a. HR3.09 Shared Services Billing process summaries

Below is the process summary for the shared services billing–personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for billing DAS Shared Services agencies. DAS Employee Services unit provides a full retinue of HR services to agencies. Agencies choose and negotiate service levels with the DAS ES unit as needed.
Process Triggers	The process begins with the completion of a ruling inter-agency agreement that describes which services the agency is procuring.
Inputs	The inputs to this process include the following: • Executed inter-agency agreement • CUB rates
Activities	The following activities are being performed in this process: **DAS Employee Services Unit** • Sign interagency agreement, scan and send copy to agency • Develop a tracking spreadsheet with applicable service and billing / coding details for each agency • Provide billing spreadsheet to DAS billing unit annually (July) **DAS Billing and Accounts Receivable Unit** • Prepare and send agency billings • Manage accounts receivable aging, conducting collection processes as needed **DAS Procurement** • Review draft interagency agreement • Assign contract number and sign agreement **Agency** • Complete / execute inter-agency agreement for services • Request services as needed
Method	The process is performed manually.

Process Step	Description
Outputs/Work Products	The outputs of this process include the following: • Services to agencies • Agency billings • Contracts • Executed agreements
Laws, Regulations, and Policies That Govern Process	Includes all Oregon State HR-related statutes, regulations and rules; Collective bargaining agreements.
Strengths	Formal agreements define individual service levels for each agency, and are initiated by the requesting agency.
Weaknesses	Manual preparation of billing documents, manual routing of agreements.
Opportunities for Improvement	Automate capture of provided services and preparation of billing documents; automate routing of agreements.
Systems	The following systems are used in this process: • Excel
Requirements	The following requirements correspond to this process: 1.49, 1.82, 1.95, 1.117, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

b. HR3.09 Shared Services Billing as-is diagram

Below is the as-is diagram for the shared services billing–personnel administration processing area.

Inputs
- Inter-agency agreements
- CUB rates

Outputs
- Services
- Agency billings
- Contracts
- Executed Agreements

Customers
- Agency
- Manager / Supervisor / Employee
- Appointing Authority

Systems/Interfaces
- N/A

z. HR3.09 Shared Services Billing marked-up diagram

Below is the marked-up diagram for the shared services billing–personnel administration processing area.

Inputs
- Inter-agency agreements
- CUB rates

Outputs
- Services
- Agency billings
- Contracts
- Executed Agreements

Customers
- Agency
- Manager / Supervisor / Employee
- Appointing Authority

Systems/Interfaces
- N/A

aa. HR3.09 Shared Services Billing could-be diagram

Below is the could-be diagram for the shared services billing–personnel administration processing area.

HR3.10 Seasonal Recall

This business area covers the seasonal recall processes.

a. HR3.10 Seasonal Recall process summaries

Below is the process summary for the seasonal recall−personnel administration processing area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for filling seasonal positions through the recall process. Seasonal employees have re-employment rights to seasonal positions as defined in the applicable collective bargaining agreement. Re-employment is not tied to a specific position number. This process is managed at various organizational levels in different agencies. Dept. of Revenue processes all seasonal activity through the Agency HR unit. Dept.of Transportation, on the other hand, has the responsible field managers handle the recall process.
Process Triggers	This process starts just prior to the beginning of cyclical seasons. Start dates vary by department, agency and type of season, such as summer fire season, winter snow season, and natural resources survey seasons.
Inputs	The inputs to this process include the following: • Collective bargaining agreements • Employee lists • Department/agency specific forms
Activities	The following activities are being performed in this process: **Manager/Supervisor or Agency HR** • Review list of last year's seasonal employees and determine if any recruitment needs to occur • Initiate any recruitments needed • Offer re-employment to previous seasonal employee, specifying start-up information such as reporting date and timeline for response. • Initiate new employee on-boarding activity. (HR1.01 New Employee)

Process Step	Description
	<u>Employee Candidate</u> • Accept or reject offer to return to seasonal employment **<u>Agency HR</u>** • Process recruitments as needed.
Method	The process is performed manually.
Outputs/Work Products	The outputs of this process include the following: • Filled seasonal positions • New or returning employee documents
Laws, Regulations, and Policies That Govern Process	Include, but not limited to: Collective bargaining agreements; state policy number 10.011.01 for Employee Personnel Records; Types of Appointments policy number 105.040.004; and Temporary Appointments policy number 40.025.01
Strengths	The current process incorporates bargaining agreement requirements and has been standardized within the larger agencies.
Weaknesses	The process is not standardized at the enterprise level. The continual cycling of seasonals into and out of positions is a significant workload for agency HR staff.
Opportunities for Improvement	Standardized process and forms across agencies to set a minimal set of performance expectations; automation of form production and returning employee access to eliminate significant manual and duplicative data entry. For example: Oregon Dept. of Forestry has an intricate manual As-Is process that may need to be documented individually. There are many additional steps for hiring a new seasonal or on-boarding a returning seasonal (i.e., checks for trial service, eligibility for additional differential since they don't have PERS, checking salary eligibility dates (SED), SEDs affected by seasonal employees bouncing between seasonal and limited duration positions, scope of work changes). Oregon Dept. of Transportation also has these additional steps but may be using a different manual process.

Process Step	Description
Systems	The following systems are used to prepare in this process: • PPDB • PICS
Requirements	The following requirements correspond to this process: 1.2, 1.49, 1.82, 1.95, 1.117, 3.4, 3.5, 3.6, 3.9, 3.11, 3.12, 5.33, 9.8, 9.16, 9.23, 10.69, 12.9

b. HR3.10 Seasonal Recall as-is diagram

Below is the as-is diagram for the seasonal recall−personnel administration processing area.

Inputs
- Union Contracts
- Employee Lists
- Agency specific forms

Outputs
- New or returning employee forms
- Agency documentation

Customers
- Agency HR Office
- Manager / Supervisor / Employee
- Appointing Authority

Systems/Interfaces
- PPDB / PICS

bb. HR3.10 Seasonal Recall marked-up diagram

Below is the marked-up diagram for the seasonal recall−personnel administration processing area.

Inputs
- Union Contracts
- Employee Lists
- Agency specific forms

Outputs
- New or returning employee forms
- Agency documentation

Customers
- Agency HR Office
- Manager / Supervisor / Employee
- Appointing Authority

Systems/Interfaces
- PPDB / PICS

cc. HR3.10 Seasonal Recall could-be diagram

Below is the could-be diagram for the seasonal recall−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.

HR4.01 Administer Compensation Plans

This business area covers the administration of compensation plans.

a. HR4.01 Administer Compensation Plans process summaries

Below is the process summary for the administer compensation plans−classification and compensation area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for analyzing, approving, and implementing changes to compensation plans.
Process Triggers	This process begins with the completion of a market survey assessing the particular job classification. It also begins with the submission of a request for a compensation change.
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: **<u>Classification and Compensation Section</u>** • Conduct market survey (salary.com) • Produce state-wide Total Compensation Report • Distribute the report to the Governor's office, Legislature, Labor, et cetera • Determine if a change to the Compensation Plan is needed • Determine if FSLA change is needed • Obtain guidance from DAS COO and/or the Governor • Determine if further action is needed • Prepare classification

Process Step	Description
	• Determine if Labor is impacted • Determine if a Legislative Report is required • If a Legislative Report is required, develop and deliver a letter to the appropriate legislative budget committee (notification purposes only) • Determine if a mass change is needed • If so, send a notification to the HR system • If a mass change is needed, complete a manual update to the PPDB compensation table(s), and update the employee records (if requested) • Send notification that the compensation rates have been updated **Labor Relations Section** • Submit a request for a compensation change • Negotiate the potential compensation plan change with the Classification and Compensation section and Agency HR / EHRS for Client Agencies • Obtain agreement to changes **Agency HR / EHRS for Client Agencies** • Update employee record(s) in PPDB if applicable • Notify the employee(s) if their salary is impacted **HR Systems** • Complete mass update to the PPDB compensation table(s) **Legislative Fiscal Office** • Receive and handle letter per legislative budget committee processes
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

Process Step	Description
Laws, Regulations, and Policies That Govern Process	Include but not limited to: Collective bargaining agreements; state policy numbers10.011.01 for Employee Personnel Records; for Classification Plan Development and Maintenance; 105-020-0001 for Comparability of Work; 20.005.01 for General Compensation Policy; 20.005.05 for Merit Pay System; 20.005.10 for Pay Practices; 20.005.15 for Exceptions to Hay Evaluated Salary; 20.005.20 for Fair Labor Standards Act; 30.005.01 for Effect of Position Classification Change on Incumbents; ORS 291.371 Salary plan review by legislative review agency; approval for position reallocation; biennial reports by certain agencies; and transfer of vacant position authority
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, and ability to develop simultaneous multiple versions. Workflow automation; integration with personnel records; and automate and standardize employee and agency notification. 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 • OSPS
Requirements	The following requirements correspond to this process: 1.22, 1.48, 1.49, 1.77, 1.97, 4.3, 4.4, 4.5, 4.6, 4.14, 4.15, 4.16, 4.17, 4.18, 4.19, 4.24, 4.25, 4.28, 4.29, 4.30, 4.31, 4.32, 4.33, 4.34, 4.35, 4.36, 4.41, 4.44, 4.45, 4.46, 4.50, 4.56, 4.60, 4.61, 4.62, 4.64, 4.67, 4.71, 4.72, 4.73, 4.74, 4.75, 4.80, 4.82, 4.83, 4.84, 4.85, 4.88, 4.91, 4.92, 4.93, 4.94, 4.95, 4.98, 4.100, 4.102, 4.103, 4.104, 4.105, 1.98, 10.38, 10.68, 10.37, 10.43, 10.47, 10.7, 10.35, 10.44, 12.19

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

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

Inputs
- Collective Bargaining Contract
- Letter of Agreement (LOA)
- Management Directive
- Salary Survey
- Classification Study

Outputs
- Compensation Plan Reports
- Web Compensation Plan

Customers
- Legislature
- Labor Relations
- DAS Administrator/Director
- DAS HR Systems
- State Agencies
- Employees

Systems/Interfaces
- PPDB
- PICS
- Web
- OSPS

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

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

Inputs
- Collective Bargaining Contract
- Letter of Agreement (LOA)
- Management Directive
- Salary Survey
- Classification Study

Outputs
- Compensation Plan Reports
- Web Compensation Plan

Customers
- Legislature
- Labor Relations
- DAS Administrator/Director
- DAS HR Systems
- State Agencies
- Employees

Systems/Interfaces
- PPDB
- PICS
- Web
- OSPS

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

Below is the could-be diagram for the classification review–multiple positions–classification and compensation processing area.

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 is the process summary for the administer reallocation−classification and compensation area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for analyzing, approving, and implementing changes resulting from classification studies requested by a union or state agency.
Process Triggers	This process begins with the request for a review of specific job classification(s) by a union or an agency HR unit.
Inputs	The inputs to this process include the following: • Position Descriptions • Personnel Action forms • 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 • Develop permanent funding plan • Recommend changes or new classifications, send to Classification / Compensation • Update position description, and provide written analysis • Create a tracker for all effected positions in an Excel spreadsheet (if applicable) • Begin analysis, preliminary allocation, and copy to employee and DAS

Process Step	Description
	• Complete template letter, send to employee and manager **<u>Manager / Supervisor</u>** • Review and update position descriptions • Review drafts and sign the recommendations • Develop funding plan for remainder of the current biennium; if needed, work with Agency position management for assistance • Receive copy of results letter **<u>Classification and Compensation Section</u>** • Analyze and determine need of classification study • Make the decision to commence with the study • Release announcement for class study, request position descriptions • Send a notification to the requestor (either Agency HR or Union) • Review position descriptions, create draft of class specifications • Submit classification drafts for review • Request review, notify union and LRD if class is moving out of the union (if applicable) • Determine if the Union comments change the classification • Request allocation from agencies, pull list of positions impacted, and provide CET evaluation to agency • Key results in allocation database • Send selected data to HR audits • Send e-mail to agency to notify employees, include template letter • Update PPBD/PICS and develop document for legislative reporting **<u>DAS HR Audits Section</u>** • Audit agency allocation • Coordinate with agency and provide opportunity for comments

Process Step	Description
	• Send notification of results **<u>Employee</u>** • 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) • Personnel Action Form • Position Control Form • Organization Hierarchy Chart
Laws, Regulations, and Policies That Govern Process	Include but not limited to: Collective bargaining agreements; state policy numbers 10.011.01 for Employee Personnel Records; 20.000.01 for Classification Plan Development and Maintenance; 105-020-0001 for Comparability of Work; 20.005.01 for General Compensation Policy; 20.005.05 for Merit Pay System; 20.005.10 for Pay Practices; 20.005.15 for Exceptions to Hay Evaluated Salary; 20.005.20 for Fair Labor Standards Act; and 30.005.01 for 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 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; wet signatures 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; and employee and agency

Process Step	Description
	notifications could be standardized and automated. 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
Requirements	The following requirements correspond to this process: 1.48, 1.49, 1.77, 4.3, 4.4, 4.5, 4.6, 4.7, 4.8, 4.9, 4.10, 4.11, 4.12, 4.13, 4.20, 4.21, 4.22, 4.23, 4.26, 4.27, 4.37, 4.38, 4.39, 4.40, 4.42, 4.43, 4.47, 4.48, 4.49, 4.50, 4.51, 4.52, 4.53, 4.54, 4.55, 4.57, 4.58, 4.59, 4.61, 4.64, 4.66, 4.68, 4.69, 4.70, 4.76, 4.77, 4.79, 4.82, 4.84, 4.85, 4.86, 4.87, 4.89, 4.90, 4.96, 4.97, 4.99, 4.101, 4.104, 4.105, 1.98, 10.38, 10.68, 10.37, 10.7, 10.35, 10.44, 12.19

d. HR4.02Administer Reallocation as-is diagram

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

Inputs
- Position Descriptions
- Personnel Action
- Reallocation Letter Template
- 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

e. HR4.02Administer Reallocation marked-up diagram

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

Inputs
- Position Descriptions
- Personnel Action
- Reallocation Letter Template
- 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

f. HR4.02Administer Reallocation could-be diagram

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

HR4.03 Reclassifications

This business area covers the reclassifications process.

a. HR4.03 Reclassifications process summaries

Below is the process summary for the reclassificaitons–classification and compensation area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for reviewing a classification to determine if position changes are needed.
Process Triggers	This process can begin with a request from an employee, manager/supervisor to review a classification of a position. The process can also begin when DAS Budget and Management have a permanent finance plan.
Inputs	The inputs to this process include the following: • Position description(s) • Organizational chart • Job audit
Activities	The following activities are being performed in this process: **Employee** • Send request for a classification review to the Agency HR / DAS EHRS for Client Agencies • Decide if in agreement with reclassification decision • Appeal reclassification decision within allotted time frame (if not in agreement) • Work with management on next steps (if in agreement with reclassification) **Agency Manager / Supervisor** • Send request for a classification review with the completed supporting forms, position description and organizational chart • Determine if in agreement with reclassification decision • If not in agreement, have further discussion with Human Resources and provide any additional information • Determine if the new salary range is equal to previous range

Process Step	Description
	• If salary range is equal, determine if there are any other position information changes • If the new salary range is not equal to the previous salary range, determine if the new salary range is higher than the current salary range • If new salary range is not higher (lower) than the current salary range, determine if there is a permanent change in duties • If the new salary range is not higher (lower) and there is a permanent change in duties, add the higher level duties to match current classification • If the new salary range is not higher (lower) and there is not a permanent change in duties, reclassify down to the approved classification • If the new salary range is higher, determine if there is a permanent change of duties • If the new salary range is higher, and there is not a permanent change of duties, remove the higher level duties to match the current classification • If the new salary range is higher, and there is a permanent change of duties, keep the higher duties and reclassify to an approved classification. If the position is occupied, process work out of class. • Notify the employee of any necessary (of any changes) • Develop a Permanent Finance Plan with Agency Budget and Agency Human Resources; submit the plan and all supporting document to BAM **<u>Agency HR/DAS EHRS for Client Agencies</u>** • Conduct desk audit in person, over the phone, etc., and review all relevant information including a signed position description and organizational chart • Compare relevant information with classification specifications and FLSA/representation parameters and draft formal Classification Review • Determine if the findings agree with the requestor • If the findings do not agree, notify Manager/Supervisor and employee if the request original from the employee • If the findings agree, submit a Classification Review and

Process Step	Description
	supporting documents to DAS Classification/Compensation unit • Send notification to employee, Manager/Supervisor, and Agency Payroll • Make any applicable position information changes in PPDB • Remove WOC and adjust base salary (employee side of PPDB) (if applicable) **<u>DAS Classification and Compensation</u>** • Analyze Classification Review and supporting documentation • Submit approval/denial memo • Enter results into tracking database **<u>DAS Budget and Management</u>** • Forward Classification Review and supporting documents form a submitted Permanent Finance Plan • Review and approve (start PICS data update process) • Send approval notification to Agency Budget and Agency Human Resources
Method	The process is performed manually, with inputs and outputs from a tracking database and paper documentation.
Outputs / Work Products	The outputs of this process include the following: • Formal review write-up • Approval / denial memo
Laws, Regulations, and Policies That Govern Process	Include but not limited to: Collective bargaining agreements; state policy numbers 20.000.01 for Classification Plan Development and Maintenance; 105-020-0001 for Comparability of Work; 20.005.01 for General Compensation Policy; 20.005.05 for Merit Pay System; 20.005.10 for Pay Practices; 20.005.15 for Exceptions to Hay Evaluated Salary; 20.005.20 for Fair Labor Standards Act; 30.005.01 for Effect of Position Classification Change on Incumbents and 10.011.01 for Employee Personnel Records
Strengths	The process is standardized between DAS and the agencies.

Process Step	Description
Weaknesses	Analysis of data is not automated; data is not delivered electronically; notifications occur manually; outputs are created manually outside of the system; implementation of approved changes occurs manually and in multiple systems; wet signatures 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; and employee and agency notifications could be standardized and automated. 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
Requirements	The following requirements correspond to this process: 1.48, 1.49, 1.77, 1.108, 1.118, 4.3, 4.4, 4.5, 4.6, 4.50, 4.61, 4.64, 4.84, 4.104, 4.105, 10.38, 10.68, 10.7, 10.35, 10.44, 12.19

g. HR4.03 Reclassifications as-is diagram

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

h. HR4.03 Reclassifications marked-up diagram

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

i. HR4.03 Reclassifications could-be diagram

HR4.04 Classification

This business area covers the general classification process.

a. HR4.04 Classification process summaries

Below is the process summary for the classification−classification and compensation area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for analyzing, approving and implementing a position-specific classification change.
Process Triggers	This process begins with the request for a review of specific position classification by the position manager.
Inputs	The inputs to this process include the following: • Position descriptions • Personnel action form • Reallocation template letter • Request for Classification Study
Activities	The following activities are being performed in this process: **Agency** • Receive a request to change a classification • Complete the pay change process (if applicable) • Develop a permanent finance plan **Employee** • Receive notification of change in classification • Decide to file grievance or appeal • Initiate the Collective Bargaining process **Manager** • Determine if employee is involved **DAS Classification and Compensation Section** • Review and write up request for change of classification • Determine if a formal review is required • Complete an internal agency review if a formal review is not required

Process Step	Description
	• If a formal review is required, review first review of classification change • Review the 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 • If changing class/securing funding or reclassifying down, determine agency and budget statute • Determine whether to approve the classification • If the classification is not approved, remove duties • If the classification is approved DAS/CFO review • Notify agency and notify manager/employee
Method	The process is performed manually outside the system.
Outputs / Work Products	The outputs of this process include the following: • Position description • Classification specifications • Personnel action form • Position control form • Organization hierarchy chart
Laws, Regulations, and Policies That Govern Process	Include but not limited to: Collective bargaining agreements; state policy numbers 10.011.01 for Employee Personnel Records; 20.000.01 for Classification Plan Development and Maintenance; 105-020-0001 for Comparability of Work; 20.005.01 for General Compensation Policy; 20.005.05 for Merit Pay System; 20.005.10 for Pay Practices; 20.005.15 for Exceptions to Hay Evaluated Salary; 20.005.20 for Fair Labor Standards Act; and 30.005.01 for Effect of Position Classification Change on Incumbents
Strengths	The process is standardized between DAS and 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; wet signatures required.
Opportunities for Improvement	Automation of analysis functionality, such as what-if modeling and ability to develop simultaneous multiple versions. Workflow

Process Step	Description
	automation could eliminate manual notifications and wet signatures. Integration with personnel records could automate implementation of changes; and employee and agency notifications could be standardized and automated. 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
Requirements	The following requirements correspond to this process: 1.48, 1.49, 1.77, 4.3, 4.4, 4.5, 4.6, 4.50, 4.61, 4.64, 4.84, 4.104, 4.105, 10.38, 10.68, 10.7, 10.42, 10.35, 10.44

j. 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

k. HR4.04 Classification Review could-be diagram

Refer to HR4.03 could-be diagrams.

HR4.05 Compensation Plan for Bargaining

This business area covers the compensation plan for bargaining process.

a. HR4.05 Compensation Plan for Bargaining process summaries

Below is the process summary for the compensation plan for bargaining–classification and compensation area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for analyzing, approving and implementing a compensation plan for collective bargaining agreements.
Process Triggers	This process begins approximately one year before contract expiration or with a request for bargaining proposals from the agencies for classified and management staff.
Inputs	The inputs to this process include the following: • Position information • Bargaining proposals • Market analysis
Activities	The following activities are being performed in this process: **DAS CFO Office** • Provide budget data to estimate changes in bargaining positions during bargaining **Governor's Office, Bargaining Teams** • Statewide management decides what proposals progress forward **Agencies** • Submit bargaining proposals • Enter changes into PPDB in coordination with DAS CFO **DAS CHRO, EHRS** • For mass changes, enter changes into PPDB for automatic implementation **Labor Relations Unit**

Process Step	Description
	• Request bargaining proposal from agencies for classified and management staff • Review proposals and assign to a task force(s) based on the content of the proposal • Develop what if analysis in preparation for bargaining (also occurs during bargaining) • Compare market analysis • Determine if the proposal affects bargaining unit members • If the proposal affects bargaining unit members, collective bargaining occurs (iterative until concluded) • If the proposal does not affect bargaining unit members, draft e-board letter with results and cost information, and present to Legislature • Post notice to agencies
Method	The process is performed manually, with data entry into PPDB.
Outputs / Work Products	The outputs of this process include the following: • Collective Bargaining Agreements • Adopted compensation plan changes
Laws, Regulations, and Policies That Govern Process	Include but not limited to: Collective bargaining agreements; state policy numbers 20.000.01 for Classification Plan Development and Maintenance; 105-020-0001 for Comparability of Work; 20.005.01 for General Compensation Policy; 20.005.10 for Pay Practices; 20.005.15 for Exceptions to Hay Evaluated Salary; 20.005.20 for Fair Labor Standards Act; and 30.005.01 for Effect of Position Classification Change on Incumbents
Strengths	The process is standardized between DAS and 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 requires manual data entry.
Opportunities for Improvement	Automation of analysis functionality, such as what-if modeling and ability to develop simultaneous multiple versions. Integration with personnel records could automate implementation of changes; and agency notifications could be standardized and automated. Role based security could support collaborative development and analysis as well as shorten the review and

Process Step	Description
	approval cycles.
Systems	The following systems are used to prepare in this process: • PPDB • PICS
Requirements	The following requirements correspond to this process: 1.48, 1.49, 1.77, 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 4.50, 4.61, 4.64, 4.65, 4.78, 4.84, 4.104, 4.105, 10.38, 9.12, 10.68, 10.7, 10.35, 10.44, 12.19

l. HR4.05 Compensation Plan for Bargaining as is diagram

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

Inputs
- Position information
- Bargaining proposals
- Market analysis

Outputs
- Collective Bargaining Agreements
- Adopted comp plan changes

Customers
- Employees
- Manager/Supervisors
- Unions
- DAS Class/Comp
- DAS Budget and Management

Systems/Interfaces
- PPDB
- PICS

m. HR4.05 Compensation Plan for Bargaining marked up diagram

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

n. HR4.05 Compensation Plan for Bargaining could-be diagram

Below is the could-be diagram for the compensation plan for bargaining–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.

HR5.01 Manage Grievances–Management Services

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

o. HR5.01 Manage Grievances–Management Services process summaries

Below is the process summary for the manage grievances–management services–labor relations area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for addressing 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 personnel action • File grievance with agency HR • Resolve grievance • File grievance with agency head • File appeal with 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** • Affirm or deny grievance • Receive notice of resolution/decision **Employment Relations Board (ERB)** • Agree to mediation

Process Step	Description
	• Conduct mediation with Conciliation Service Division • Reach resolution • Hold hearing, issue decision • Close grievance/appeal • Notify parties of resolution/decision • Initiate the arbitration process
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; Management Service Grievance Review policy number 70.000.10; Employee Personnel Records; policy number 10.011.01; Reinstatement and Reemployment of Injured Workers policy number 50.020.03; and Classified Unrepresented Grievance Review policy number 70.005.05
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; enable automated numbering of grievances
Systems	The following systems are used to prepare in this process: • Microsoft Word
Requirements	The following requirements correspond to this process: 5.33, 5.56, 5.57, 5.80, 5.1, 5.94, 5.3, 5.5, 5.6, 5.7, 5.8, 5.9, 5.10, 5.11, 5.12, 5.13, 5.14, 5.18, 5.19, 5.21, 5.22, 5.44, 5.46, 5.50, 5.52, 5.15, 5.17, 5.20, 5.31, 5.51, 5.58, 5.59, 5.60, 5.61, 5.63, 5.72, 5.74, 5.75, 5.79, 5.43, 5.49, 5.84, 5.77, 5.87, 9.8, 12.6, 10.58

p. 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

q. 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
- Grievance
- Employee performance
- Suspension, demotion, or dismissal
- Appeals
- Supporting documentation
- Letter of expectation

Outputs
- Written grievance response
- Settlement agreement
- Appeal letter(s)
- Mediation / mediation hearing(s)

Customers
- Employee
- Employee's Peers
- Human Resources
- Agency Head
- Employment Relations Board (ERB)

Systems/Interfaces
- Microsoft Word

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

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

HR5.02 Labor Relations

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

a. HR5.02 Labor Relations process summaries

Below is the process summary for the labor relations–labor relations area.

Process Step	Description
Purpose and 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 collective bargaining agreements (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 **Labor Relations Unit** • Process proposals • Negotiate contracts • Track and access current and prior bargaining concepts and agreements • Contract administration and mutual agreements/letters of agreement (LOA) • Update system **Labor Management Committee**

Process Step	Description
	• Manage grievances **<u>Outside Agencies (BOLI, EEOC)</u>** • Process EEOC, BOLI, and tort claims
Method	The process is performed manually with data entry into PPDB and tracking in Microsoft Excel.
Outputs/Work Products	The outputs of this process include the following: • CBAs • Proposals • Contracts • Resolution of grievances • Letters of Agreement (LOA)
Laws, Regulations, and Policies That Govern Process	Include, but not limited to: Collective Bargaining Agreements (CBAs); Public Employee Bargaining Act (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; School-to-Work Career-related Learning policy number 40.025.05
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
Requirements	The following requirements correspond to this process: 5.33, 5.55, 5.56, 5.3, 5.6, 5.7, 5.9, 5.10, 5.11, 5.22, 5.46, 5.48, 5.50, 5.52, 5.15, 5.29, 5.60, 5.26, 5.27, 5.28, 5.34, 5.35, 5.38,

Process Step	Description
	5.40, 5.43, 5.47, 5.49, 5.25, 5.83, 6.50, 11.20, 9.8, 10.57, 10.54

s. 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

t. HR5.02 Labor Relations marked-up diagram

Inputs	Outputs	Customers	Systems/Interfaces
• Collective Bargaining Agreements (CBAs) • Contract negotiations • Agency negotiations • Claims	• CBAs • Proposals • Contracts • Resolution of grievances • Letters of Agreement (LOA)	• Unions • Employees • Human Resources • Labor Relations • Third party agencies	• PPDB • Microsoft Excel

u. HR5.02 Labor Relations could-be diagram

Refer to HR4.05 Classification Plan for Bargaining.

HR5.03 Progressive Discipline

This business area covers the progressive discipline labor relations area.

a. HR5.03 Progressive Discipline process summaries

Below is the process summary for the progressive discipline–labor relations area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering 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 dismal • File grievance • Initiate the grievance or appeal process **Manager/Supervisor with Agency HR** • Indentify issue (receive notification of issue) with employee job performance or work conduct • Initiate investigations • Determine if disciplinary action is warranted

Process Step	Description
	• Determine type of disciplinary action • Prepare disciplinary letters • Conduct disciplinary meeting with employee, HR management staff, and union representative • Notify Payroll • Monitor and follow up on disciplinary action • 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; policy number 70.000.02 for Management Service Discipline and Dismissal/Removal; Public Employee Bargaining Act (PEBA); Collective Bargaining Agreements; 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; collaboration between HR and the management team
Weaknesses	Manual process with a lot of paper documentation required; slow process; multiple interpretations and inconsistency in discipline; difficulty with tracking and staying within the planned schedule; inability to track patterns based on employee, position, or agency, et cetera

Process Step	Description
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; track and monitor timeline/schedule
Systems	The following systems are used to prepare in this process: • Payroll (OSPA) • Microsoft Excel
Requirements	The following requirements correspond to this process: 5.33, 5.55, 5.56, 5.3, 5.6, 5.7, 5.9, 5.10, 5.11, 5.22, 5.46, 5.48, 5.50, 5.52, 5.15, 5.29, 5.60, 5.26, 5.27, 5.28, 5.34, 5.35, 5.38, 5.40, 5.43, 5.47, 5.49, 5.25, 5.83, 6.50, 11.20, 9.8, 10.57, 10.54

v. 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

w. HR5.03 Progressive Discipline marked-up diagram

Below is the marked-up 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

x. HR5.03 Progressive Discipline could-be diagram

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

HR5.04 Management Services Discipline

This business area covers disciplinary actions for management services employees.

a. HR5.04 Management Services Discipline process summaries

Below is the process summary for the management services discipline–labor relations area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering 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 HR 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

Process Step	Description
	• 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
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; policy number 70.005.02 for Classified Unrepresented Discipline and Dismissal; 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; 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; track and monitor timeline/schedule
Systems	The following systems are used to prepare in this process: • N/A
Requirements	The following requirements correspond to this process:

Process Step	Description
	5.33, 5.56, 5.70, 5.1, 5.2, 5.3, 5.4, 5.7, 5.8, 5.9, 5.10, 5.11, 5.12, 5.13, 5.14, 5.18, 5.19, 5.21, 5.22, 5.44, 5.46, 5.82, 5.15, 5.20, 5.31, 5.60, 5.43, 5.23, 5.86, 5.88, 5.93, 9.8, 10.57

y. 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

z. 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

aa. HR5.04 Management Services could-be diagram

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

HR5.05 Investigations

This business area covers investigations related to employee grievances.

a. HR5.05 Investigations process summaries

Below is the process summary for the investigations–labor relations area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for conducting a personnel investigation. The process and outcome of the investigation help maintain compliance with federal and state policies and procedures and collective bargaining agreements. The process addresses, through a review of facts, 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 it 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 • DESA/DBOS tapes and witness interviews • Employee conduct/performance
Activities	The following activities are being performed in this process: **DAS, Agency HR, or Other Investigatory Body** • Receive compliant 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

Process Step	Description
	<u>Manager / Supervisor</u> • Discuss options/recommendations with HR/DAS or others **<u>Employee</u>** • Receive and sign disciplinary or pre-disciplinary letter • Make decision to appeal • 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; Bureau of Labor and Industries (BOLI) Chapter 659A Unlawful Discrimination in Employment, Public Accommodations and Real Property Transactions; Administrative and Civil Enforcement; Equal Employment Opportunity Commission (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 Americans with Disabilities Act of 1990 (ADA)
Strengths	Investigations and findings can occur before the employee is aware he or she is being investigated
Weaknesses	Manual process with a lot of paper documentation required; slow, detailed driven process; investigations are not kept confidential, once employee interviews begin
Opportunities for Improvement	Complete process with notes in the system to reduce paper documentation and enable reporting by type of investigation; track progress/outcome of investigation; track and monitor

Process Step	Description
	timeline/schedule; and implement confidentiality agreements
Systems	The following systems are used to prepare in this process: • Microsoft Word • Microsoft Excel
Requirements	The following requirements correspond to this process: 5.33, 5.56, 5.53, 5.54, 5.64, 5.70, 5.85, 5.92, 5.1, 5.2, 5.3, 5.4, 5.7, 5.8, 5.9, 5.10, 5.11, 5.12, 5.13, 5.14, 5.18, 5.19, 5.21, 5.22, 5.44, 5.46, 5.82, 5.15, 5.20, 5.31, 5.60, 5.43, 5.23, 5.86, 5.88, 5.93, 9.8, 10.57

bb. HR5.05 Investigations as-is diagram

Below is the as-is 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

cc. 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

dd. HR5.05 Investigations could-be diagram

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

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

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps involved in resolving a grievance filed by a union or union represented employee or group.
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 • Merit increase withheld/reduction in pay • Suspension, demotion, dismissal, and appeals • Supporting documentation • Collective bargaining agreements (CBAs) • Policies
Activities	The following activities are being performed in this process: **Grievant (Union represented employee/group)** • Allege contract violation, reprimand, pay issue, or dismissal, generate notification via e-mail or form • Discussion with Union representative **Manager/Supervisor and Agency HR** • Investigate, evaluate, and make decision

Process Step	Description
	• Determine if grievance is resolved • Sign agreement with Union • Send response to Union • Implement agreement **<u>Union</u>** • Receive notification from employee • Investigate allegation • Make decision to file grievance • Make decision to appeal • Meeting with LRU and other parties involved • Make decision to begin arbitration **<u>Agency Head (or designee)</u>** • 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 **<u>DAS Labor Relations Unit</u>** • Investigate, evaluate, and make decision • Determine if grievance is resolved • Sign agreement with Union, implement agreement/resolution **<u>Arbitrator</u>** • Initiate the arbitration process
Method	The process is performed using Microsoft Office (Word, Excel and Access). Some agencies use a grievance tracking database.
Outputs/Work Products	The outputs of this process include the following: • Written grievance response • Settlement agreement

Process Step	Description
	• 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: Public Employees Collective Bargaining Act (PECBA) ORS 243.650 through 243.766; Collective Bargaining Agreements with Service Employees International Union (SEIU), the American Federation of State, County and Municipal Employees (AFSCME) and other organized labor unions; 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
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 Access Database • Microsoft Excel • Microsoft Word • Microsoft Access
Requirements	The following requirements correspond to this process: 5.33, 5.3, 5.9, 5.10, 5.11, 5.22, 5.46, 5.15, 5.60, 5.43, 9.8

ee. 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	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

ff. 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

gg. 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

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

ii. 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.

E. Performance Evaluations

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

HR6.01 Performance Evaluations

a. HR6.01 Performance Evaluations Services process summaries

Below is the process summary for the performance evaluations–performance evaluations area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for completing performance evaluations, which includes 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 by the manager/supervisor gathering feedback and instructing 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-appraisal and bring to review • Receive evaluation • Schedule review with manager/supervisor

Process Step	Description
	• Participate in performance discussion • Plan and document goals/objectives • Make decision to sign document(s) • Sign evaluation and position description **Manager/Supervisor** • Gather performance feedback • Determine to conduct employee self-assessment • 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 HR 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 **Agency HR** • Review report and notify supervisor of employee(s) due for performance evaluation. Send forms to supervisor, if applicable. • Review appraisal(s) • Make changes to evaluation and obtain signatures (employee supervisor and appointing authority, if necessary) • Determine if pay increase is due • 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.

Process Step	Description
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 HR Policy 50.035.01 and Collective Bargaining Agreements; Division 50 Workforce Management policy, including number 50.045.01 for Employee Development & Implementation of Oregon Benchmarks for Workforce Development; state policy 20.005.01 for General Compensation Policy; and state policy 50.035.01 for the Performance Management Process
Strengths	Evaluations for seasonal employees are completed based on their seasonal schedules; 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 across agencies; forms vary by agency; manual or no tracking of employee's last evaluation date; 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 HR if/when evaluations are overdue; develop and use statewide evaluation form; track date of last evaluation by employee; 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
Requirements	The following requirements correspond to this process: 1.90, 1.105, 3.16, 3.17, 6.5, 6.29, 6.10, 6.12, 6.13, 6.14, 6.16, 6.17, 6.18, 6.22, 6.31, 6.32, 6.33, 6.48, 6.59, 6.8, 6.9, 6.15, 6.36, 6.37, 6.38, 6.39, 6.41, 6.42, 6.43, 6.44, 6.45, 6.1, 6.11, 6.3, 6.4, 6.6, 6.7, 6.23, 6.24, 6.25, 6.26, 6.27, 6.34, 6.35, 6.19, 6.20, 6.49, 6.51, 6.53, 6.54, 6.55, 6.60, 6.21, 6.28, 6.46, 6.47, 6.50, 6.52, 6.56, 6.57, 6.58, 9.8, 10.54, 10.65

b. HR6.01 Performance Evaluations as-is diagram

Below is the as-is diagram for the performance evaluations–performance evaluations 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
- Disciplinary / non-disciplinary action

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

Systems/Interfaces
- 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 and 6.02 Performance Evaluations could-be diagram

Below is the could-be diagram for the performance evaluations–performance evaluations area. Note: This could-be diagram includes HR6.02 Performance Management.

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 is the process summary for the performance management–performance evaluation area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering 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 needing 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 appraisal • Review appraisal with supervisor • Make decision to sign evaluation/appraisal • Sign evaluation/appraisal **Manager/Supervisor** • Manager outlines expectation and job duties as part of initial on-boarding • Conduct monthly reviews during employee trial service • Complete end-of-trial-service recommendation and evaluation • Make decision to retain employee

Process Step	Description
	• Initiate the separations process • Move employee to annual performance appraisal cycle • Manager reviews appraisal with supervisor • Reviewer provides sign off on evaluation • Supervisor reviews appraisal with employee • Sign evaluation/appraisal • File rebuttal • Distribute copies to employee and Agency HR • Determine if pay increase is due **Agency HR** • Review appraisal • Make changes to evaluation and obtain signatures (employee supervisor and appointing authority, if necessary) • Determine if pay increase is due • 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 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 HR Policy 50.035.01; Collective Bargaining Agreements, Division 50 Workforce Management policy, including number 50.035.01 for Performance Management Process; policy number 50.040.01 for Employee Performance Recognition Program; policy number 50.045.01 for Employee Development & Implementation of Oregon Benchmarks for Workforce Development; Garrity Rights; Loudermill Rights; Weingarten Rights; and state policy 50.035.01 for the Performance Management Process

Process Step	Description
Strengths	Annual performance begins on the employee start date, regardless of trial service date; 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, 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 cycle
Systems	The following systems are used to prepare in this process: • PPDB • Survey Monkey for peer review • Halogen
Requirements	The following requirements correspond to this process: 1.33, 1.34, 1.35, 1.36, 1.48, 1.66, 1.67, 1.69, 1.87, 1.91, 1.92, 1.105, 3.16, 3.17, 6.50, 9.8

e. HR6.02 Performance Management as-is diagram

Below is the as-is diagram for the performance management–performance evaluation 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 • Letter of expectation • Updated position description / job duties • Disciplinary / non-disciplinary action	• Employee • Employee's Peers • Manager / Supervisor • Agency HR	• PPDB • Survey Monkey for peer review • Halogen

f. HR6.02 Performance Management marked-up diagram

Below is the marked-up diagram for the performance management–performance evaluation 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 • Letter of expectation • Updated position description / job duties • Disciplinary / non-disciplinary action	• Employee • Employee's Peers • Manager / Supervisor • Agency HR	• PPDB • Survey Monkey for peer review • Halogen

g. HR6.01 and 6.02 Performance Evaluations could-be diagram

Below is the could-be diagram for the performance management–performance evaluation area. Note: This could-be diagram is combined in HR6.01 Performance Evaluations could-be diagram.

HR6.03 Employee Training Tracking and Execution

This business area covers the management of employee training tracking and execution. The could-be diagram for this process is combined in HR6.01 Performance Evaluations.

a. HR6.03 Performance Training Tracking and Execution process summaries

Below is the process summary for the performance training tracking and execution–performance evaluation area.

Process Step	Description
Purpose and 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 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 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: **<u>Training Advisory Committee or Training Department</u>** • Identify training needs/requirements • Determine if training is already available • Determine the type of training • Obtain third party/vendor training

Process Step	Description
	• Determine and schedule training logistics **Agency HR** • Publish training information • Manage training registration/waitlist • 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 & Implementation of Oregon Benchmarks for Workforce Development; policy number 50.015.01 for Job Rotation; Contract Training, Management Training; and Occupational

Process Step	Description
	Safety and Health Administration (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 training is available); agencies manually research for existing training; no consistency or statewide templates or standards for training materials; and incomplete training "falls off"
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; enable workflow/manager notifications for approvals
Systems	The following systems are used to prepare in this process: • iLearn • Halogen • Learning Center • Learning Management System (LMS) • Microsoft Excel and PowerPoint
Requirements	The following requirements correspond to this process: 11.5, 11.6, 11.3, 11.4, 11.12, 11.13, 11.19, 11.20, 11.16, 11.2, 11.11, 11.1, 11.8, 11.10, 11.9, 11.17, 11.18, 9.8

h. HR6.03 Employee Training Tracking and Execution as-is diagram

Below is the as-is diagram for the employee training tracking and execution–performance evaluation 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

i. HR6.03 Employee Training Tracking and Execution marked-up diagram

Below is the marked-up diagram for the employee training tracking and execution–performance evaluation 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

j. HR6.03 Employee Training Tracking and Execution could-be diagram

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

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

F. 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.

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.

Some personnel issues or actions will continue to require HR staff assistance or processing.

b. HR7.02 Self Service Performance Management could-be diagram

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

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

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

G. Health and Safety

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

HR8.01 Drug Testing

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

a. HR8.01 Drug Testing process summaries

Below is the process summary for the drug testing–health and safety area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering drug testing, including annual and random drug tests. Drug testing helps ensure the state of Oregon maintains a workplace free of alcohol and controlled substances, in particular for employees 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 they must successfully pass a drug test to be 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 with 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**

Process Step	Description
	• Receive notification to submit to test • Complete test • Receive notification of results **<u>Agency HR</u>** • Prepare and send paperwork/information for test • Receive test results • Update employee records • Determine to separate employee • Process involuntary separation **<u>Supervisor/Manager</u>** • 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 Having Commercial Drivers 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 party notifications are sent by mail

Process Step	Description
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
Requirements	The following requirements correspond to this process: 1.66, 1.67, 1.88, 8.6, 8.34, 8.35, 8.42, 8.43, 8.48, 9.8

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	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

d. HR8.01 Employee Medical and Drug Testing could-be diagram

Below is the could-be diagram for the drug testing–health and safety area. Note the could be process was renamed to Employee Medical and Drug Testing.

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 is the process summary for the manage workers' compensation claims−health and safety area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for managing 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 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: **Employee** • Injury or accident occurs • Visit doctor • Complete form 801 • Appeals claim decision • Return to work • Receive notice of modified duties **Agency Safety or HR Department** • Enter/complete incident or accident report • Manage (review, open, and close) incident/accident reports • Open workers' compensation claims • Review doctor's notes for restrictions

Process Step	Description
	• Notify HR and payroll to track time loss and FMLA/OFLA • Process non-disciplinary separations • Determine modified job duties • Create letters to employee **SAIF/Third Party** • 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; policy number 50.020.05 for Early Return to Work of Injured Workers; policy number 50.020.10 for ADA and Reasonable Accommodation in Employment; policy number 105-050-0025 for Injured worker preference for light duty assignments; and policy number 105-050-0030 for Injured worker preference for entry-level positions
Strengths	Forms are maintained by, and available from the State Accident Insurance Fund (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: • Position and Personnel Database (PPDB) • Position Information Control System (PICS)

Process Step	Description
	• Safety Tracker • SAIF
Requirements	The following requirements correspond to this process: 8.2, 8.3, 8.4, 8.6, 8.7, 8.8, 8.9, 8.10, 8.11, 8.12, 8.13, 8.14, 8.15, 8.16, 8.17, 8.18, 8.19, 8.20, 8.21, 8.22, 8.1, 8.23, 8.24, 8.27, 8.38, 8.46, 8.39, 8.28, 8.30, 9.8, 8.31

e. 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

f. 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.

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

g. 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.

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 is the process summary for the safety−health and safety area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps that occur to ensure safety processes promote best practices, and to 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: **Manager/Supervisor** • Oversight of statewide and/or local committees, and committee activities • Track funds in/out 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

Process Step	Description
	<u>Agency Safety or HR Department</u> • Discuss OSHA consultations • Discuss research and other safety codes (e.g., National Fire Protection Association, and building) • Maintain medical files, worker's compensation files, and inspection files • Conduct/provide safety training **<u>Safety Committee</u>** • Receive communications and reminders • Review and report OSHA inspections • Review and investigate time loss incidents • Assist with facility inspections **<u>Employee</u>** • 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); OSHA Safety Regulations and Training Compliance; and policy number 50.010.02 for Violence-Free Workplace
Strengths	State Accident Insurance Fund (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

Process Step	Description
	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
Requirements	The following requirements correspond to this process: N/A
Requirements	The following requirements correspond to this process: 8.2, 8.3, 8.4, 8.6, 8.7, 8.8, 8.9, 8.10, 8.11, 8.12, 8.13, 8.14, 8.15, 8.16, 8.17, 8.18, 8.19, 8.20, 8.21, 8.22, 8.1, 8.23, 8.24, 8.27, 8.38, 8.46, 8.39, 8.28, 8.30, 8.34, 8.35, 8.42, 8.43, 8.44, 8.37, 8.49, 8.36, 8.40, 8.41, 8.48

h. HR8.03 Safety as-is diagram

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

Inputs
- OSHA Regulations
- Safety Standards
- State Safety Regulations
- OSHA Compliance
- Accidents / incidents

Outputs
- Prevention / maintenance schedules
- Accident / incident reporting / reports
- Compliance logs

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

Systems/Interfaces
- Safety Tracker
- iLearn
- Microsoft Excel

i. HR8.03 Safety marked-up diagram

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

Inputs
- OSHA Regulations
- Safety Standards
- State Safety Regulations
- OSHA Compliance
- Accidents / incidents

Outputs
- Prevention / maintenance schedules
- Accident / incident reporting / reports
- Compliance logs

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

Systems/Interfaces
- Safety Tracker
- iLearn
- Microsoft Excel

j. HR8.03 Safety could-be diagram

Refer to HR8.01−Employee Medical and Drug Testing.

H. Leave Management

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

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 is the process summary for the leave management–FMLA/OFLA–leave management area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps to review, grant and administer Family Medical Leave Act (FMLA) and/or Oregon Family Leave Act (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 their 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

Process Step	Description
	• Request extension of FMLA/OFLA leave • Return to work at end of leave, and provide necessary documentation • Resume work **<u>Manager/Supervisor</u>** • Receive request or phone call for leave • Receive copy of eligibility/ineligibility letter • Determine if backfill is needed • 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 HR • Complete timesheet(s) when necessary, and monitor for leave without pay (LWOP) • Track hours used and duration • Work with HR 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 HR **<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 with Manager/Supervisor potential American's with Disabilities Act (ADA) related leave • 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

Process Step	Description
	• 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 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; start insurance if needed/appropriate
Method	The process is performed manually with tracking and calculations in 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, or temporary staffing
Laws, Regulations, and Policies that Govern Process	Include but not limited to: Department of Labor Family Medical Leave Act (29 CFR Part 825); Oregon Family Leave Act; Americans with Disabilities Act; and Oregon Revised Statue (ORS) 240 for State Personnel Relations Law; Religious Freedom in the Workplace policy numbers ORS 659A.030 and OAR 839-005-0140; Support of Employee's Work and Family Needs policy number 10.030.01; Special Leaves with Pay policy number 60.000.10; Leaves without pay 60.000.11; Statutorily Required Leaves with and without Pay policy number 60.000.12; Alternate Leave Provisions policy number 60.000.20; and Donated Leave policy number 60.025.01

Process Step	Description
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 using a manual process and manual 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 (12) month rollback by employee
Systems	The following systems are used to prepare in this process: • Payroll (OSPA) • Insurance (COBRA) • Microsoft Excel
Requirements	The following requirements correspond to this process: 1.17, 1.18, 1.33, 1.61, 1.62, 3.18, 3.20, 9.8, 9.16, 9.23, 9.4, 9.5, 9.6, 9.7, 9.9, 9.10, 9.17, 9.2, 9.19, 9.24, 9.25, 9.26, 9.32, 9.33

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

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

LWOP is Leave Without Pay.

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

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

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

LWOP is Leave Without Pay.

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

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

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

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 is the process summary for the administer employee status on leave−leave management area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps to administer an employee's status after requesting, while on, or after returning from leave. This process helps verify the necessary paperwork/documentation is completed, and 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. The process also begins when an employee has returned from leave.
Inputs	The inputs to this process include the following: • Personnel Action (PA) form • State Accident Insurance Fund (SAIF) Form 801 (for job-incurred injury) • Collective bargaining agreements/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 HR and/or Payroll of approved leave • Determine if backfill is needed

Process Step	Description
	• Initiate the recruiting or temporary staffing process • Determine if leave is without pay • Process PA form and send to Payroll and HR • Verify and/or update timesheet, and approve and lock timesheet • Notify HR of employee's return, notify employee of documentation needed, and forward documents to HR • Review and sign PA, and send PA to HR (Appointing Authority) **Agency HR** • 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, or temporary staffing
Laws, Regulations, and Policies that Govern Process	Include but not limited to: Collective bargaining agreements; 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; Leaves without Pay policy number 60.000.11; Holidays policy number

Process Step	Description
	60.010.01, and Temporary Interruption of Employment policy number 60.015.01; Religious Freedom in the Workplace policy numbers ORS 659A.030 and OAR 839-005-0140; Support of Employee's Work and Family Needs policy number 10.030.01; Statutorily Required Leaves with and without Pay policy number 60.000.12; Alternate Leave Provisions policy number 60.000.20; and Donated Leave policy number 60.025.01
Strengths	Employees return to work; employees receive paid leave; employees continue to receive benefits; and employees are eligible to continue retirement and other contributions
Weaknesses	Manual process with various procedures; compliance risks may exist with the handling of documentation; 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
Systems	The following systems are used to prepare in this process: • OSPA • PPDB • PERS jClarety • PEBB • Agency time and attendance systems
Requirements	The following requirements correspond to this process: 1.32, 1.33, 1.61, 1.64, 1.68, 1.76, 3.20, 9.1, 9.8, 9.12, 9.13, 9.14, 9.15, 9.16, 9.18, 9.20, 9.23, 9.7, 9.9, 9.10, 9.17, 9.2, 9.19, 9.35, 9.21, 9.24, 9.25, 9.26, 9.28, 9.29, 9.30, 9.31, 9.32, 9.33, 9.34, 9.36, 9.37

f. 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

g. 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

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

Below is the could-be diagram for the administer leave–leave management area. Note this process was renamed from administer employee status on leave for the could be diagram.

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

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 is the process summary for the leave management–non FMLA/OFLA medical leave–leave management area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering medical leave that does not quality for the Family Medical Leave Act (FMLA) or Oregon Family Leave Act (OFLA).
Process Triggers	This process can start when an employee exhausts their 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

Process Step	Description
	• Return to full workload • Resign **<u>Manager/Supervisor</u>** • Receive notice of LOA • Forward LOA to HR for review • Receive and review decision letter • Determine if backfill is needed • Initiate the recruiting or temporary staffing process • Track hours used and duration **<u>Agency HR</u>** • 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, or temporary staffing • Written documentation • ADA accommodation
Laws, Regulations, and Policies That Govern Process	Include but not limited to: Collective bargaining agreements; FMLA; OFLA; Oregon Revised Statutes 659A.270 to 659A.285

Process Step	Description
	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 Leaves with Pay policy number 60.000.10; Leaves without Pay policy number 60.000.11; and Temporary Interruption of Employment policy number 60.015.01; Statutorily Required Leaves with and without Pay policy number 60.000.12; Alternate Leave Provisions policy number 60.000.20; and Donated Leave policy number 60.025.01
Strengths	The employee, manager/supervisor, and HR 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; 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 leave of absence request online; use workflow to provide notifications for requests 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
Requirements	The following requirements correspond to this process: 1.32, 1.33, 1.61, 3.20, 9.8, 9.16, 9.23, 9.4, 9.6, 9.7, 9.9, 9.10, 9.17, 9.2, 9.19, 9.21, 9.24, 9.25, 9.26, 9.32, 9.33

i. 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

j. 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

k. 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
- 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

l. HR9.03b Leave Management–Non FMLA/OFLA Medical Leave marked-up 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

m. 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.

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.

a. HR9.03 Leave Management–Hardship process summary

Below is the process summary for the leave management–hardship–leave management area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for reviewing and administering hardship leave requests. The process involves donated leave from employees with accrued leave/time to another employee who is eligible to receive hardship leave donations.
Process Triggers	This process can start when an employee submits a request for leave when medical leave or other leave has been exhausted.
Inputs	The inputs to this process include the following: • Medical forms/documentation • Donated leave form • Leave request form
Activities	The following activities are being performed in this process: **Third Party/Doctor** • Complete and return medical form(s) **Employee** • Request hardship leave • Visit doctor, and provide medical forms • Receive notification of denied/approved request **Payroll** • Receive completed donated leave form(s) • Convert leave and track donated leave until exhausted • Determine qualifications • Distribute request for leave donations

Process Step	Description
	<u>Agency HR</u> • Explain program to employee (or Supervisor/Manager) • Determine qualifications • Determine approval/denial • Close request and notify employee • Notify Payroll and employee, indicating authorization to distribute request forms • Distribute request for leave donations
Method	The process is performed manually with data entry and calculations to/from payroll.
Outputs/Work Products	The outputs of this process include the following: • Leave donations
Laws, Regulations, and Policies that Govern Process	Include but not limited to: Collective bargaining agreements; 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 Special Leaves with Pay policy number 60.000.10; Leaves without Pay policy number 60.000.11; Statutorily Required Leaves with and without Pay policy number 60.000.12; Alternate Leave Provisions policy number 60.000.20; Temporary Interruption of Employment policy number 60.015.01; and Donated Leave policy number 60.025.01
Strengths	At this time no strengths are identified with this process.
Weaknesses	Lack of clarity; lack of consistency in administering hardship leave; manual tracking of hours used; Payroll manually converts leave; and interagency leave donation requires coordination of multiple people
Opportunities for Improvement	Establish consistent process triggers, statewide; define and communicate statewide process; automate tracking of hours used; calculate leave conversions; and simplify interagency leave donation
Systems	The following systems are used to prepare in this process: • Payroll (OSPA)
Requirements	The following requirements correspond to this process:

Process Step	Description
	1.32, 1.33, 1.61, 3.20, 9.8, 9.16, 9.23, 9.4, 9.9, 9.10, 9.17, 9.2, 9.19, 9.24, 9.25, 9.26, 9.32, 9.33

n. HR9.04 Leave Management–Hardship as-is diagrams

Below is the as-is diagram for the leave management–hardship–leave management area. Note this diagram is included for reference only.

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

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

Below is the marked-up diagram for the leave management–hardship–leave management area. Note this diagram is included for reference only.

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

p. HR9.04 Leave Management–Hardship could be diagram

Refer to HR9,02 Administer Leave.

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 summary

Below is the process summary for the leave management–military–leave management area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for administering 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 an employee receives notification of upcoming military orders/deployment. The employee notifies the manager of orders, and if they are 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** • Notify manager/supervisor of orders and provides a copy • Receive packet, and complete and return forms • Discuss leave balances, benefits, and options with HR • Receive acknowledgement letter • Return to work, and provide documentation **Manager/Supervisor** • Receive notice/orders and forwards to HR • Determine if backfill is needed • Initiate the recruiting or temporary staffing process • Receive copy of acknowledgement letter **Agency HR** • Send employee packet/information

Process Step	Description
	• Receive and review documentation, and determine qualifications for the event • Complete and submit PA form • Send acknowledgement letter to employee, manager/supervisor, and Payroll • Track duration of leave (with Payroll) • Determine if assignment ended • Determine if five year maximum is reached • Determine if employee is still active • End job projection • Ensure documentation is complete/closed **<u>Payroll</u>** • Receive copy of acknowledgement letter • Continue insurance • Restore 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), benefit and leave information • Acknowledgement letter • Recruiting, or temporary staffing • PA form
Laws, Regulations, and Policies that Govern Process	Include but not limited to: Oregon Military Family Leave Act; Uniformed Services Employment and Reemployment Rights 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 it is complete
Weaknesses	Paperwork is not always available prior to deployment/assignment; communication regarding insurance and

Process Step	Description
	benefits is employee specific; agency has to manually track 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; ability to obtain and complete paperwork prior to the beginning of the military leave; automate tracking the duration of the leave; and ability to provide a notification to HR 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
Requirements	The following requirements correspond to this process: 1.32, 1.33, 1.61, 3.20, 9.8, 9.15, 9.16, 9.23, 9.6, 9.17, 9.19, 9.24, 9.25, 9.32, 9.33

q. 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

r. 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

s. HR9.05 Leave Management–Military could-be diagram

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

HR9.06 Return From Leave

Each of the preceding processes in leave management included similar steps in order to return an employee back to work from leave. Each As-Is process includes some form of documentation and/or notification to the necessary personnel. Return from Leave is a new, Could-Be process developed to streamline the steps required to administer an employee's return to work, regardless of the cause of leave or the type(s) of documents needed.

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

Below is the could-be diagram for the return from leave–leave management area.

I. Reporting

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

HR10.01 Enterprise Reporting

This business area covers the enterprise reporting process.

a. HR10.01 Enterprise Reporting process summaries

Below is the process summary for the enterprise reporting−reporting area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for reporting out HR information at a statewide level.
Process Triggers	This process starts with the request for information, which can be from the public, the legislature, state agencies, unions, or 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, log and request

Process Step	Description
	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 **<u>DAS Labor Relations Unit</u>** • 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 HR Systems • Notify requestor(s) if unable to release information **<u>Public Affairs Manager</u>** • Receive notification to approve data request/cost (for public requests) • Determine if costs are approved by the requestor • Approve the release of information • Send notification • Notify requestor(s) if unable to release information **<u>DAS Policy Advisor</u>** • If request is from Legislature, request information from HR 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; state policy number 10.025.01 for the Audit of Human Resource Management Practices
Strengths	The current process incorporates review steps to safeguard

Process Step	Description
	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; an HRIS with security permissions and would not require the skills of a programmer to obtain the data. Many of the current web reports are sourced from the datamart, i.e., using multiple sources. Not all these original sources will be replaced by the HRIS, so a gap exists in determining how all the information will be gathered to replicate current web reporting.
Systems	The following systems are used to prepare in this process: • Roscoe • TSO • Mainframe • PPDB
Requirements	The following requirements correspond to this process: 10.68, 10.25, 10.27, 10.48

b. HR10.01 Enterprise Reporting as-is diagram

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

Inputs	Outputs	Customers	Systems/Interfaces
• E-mail • Letter • Phone Request	• Hard-copy report • Excel • Data File (CD) • Signature Tracking Log	• Union representative • Agency • Media/Citizen • Legislature	• Roscoe • TSO • Mainframe • PPDB

c. HR10.01 Enterprise Reporting marked-up diagram

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

Inputs	Outputs	Customers	Systems/Interfaces
• E-mail • Letter • Phone Request	• Hard-copy report • Excel • Data File (CD) • Signature Tracking Log	• Union representative • Agency • Media/Citizen • Legislature	• Roscoe • TSO • Mainframe • PPDB

d. HR10.01 Enterprise Reporting could-be diagram

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

J. System Security

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

HR12.01. PPDB System Security

This business area covers the process for access to the **PPDB System Security**.

a. HR12.01 PPDB System Security process summaries

Below is the process summary for the PPDB System Security-system security area.

Process Step	Description
Purpose and Objective and Description of Process	This process describes the steps for requesting a system user identification and password for mainframe and PPDB access.
Process Triggers	This process starts with a new hire or a transfer of a current employee into a position that requires security access.
Inputs	The inputs to this process include the following: • PPDB Security Access Request and Confidentiality Agreement • New hire or transfer-in information
Activities	The following activities are being performed in this process: **Supervisor** • Receive new employee or job change output • Determine correct level of access for employee (applicable to the required duties for the user's position) • Complete and forward electronic Security Access Request and Confidentially Agreement • Print hard copy for employee review and signature. Sign/date form. **Agency HR, Manager and/or Appointing Authority** • Review determine approval of access **Agency Security Officer** • Hold form until hard copy is received • Compare hand and electronic copies. If different, confirm information with supervisor. Make corrections to

Process Step	Description
	electronic copy to match signed hard copy • Sign/date and retain hard copy. Submit electronic form to Group.PPDB@state.or.us. • Submit electronic form to PPDB Security • If request is denied, request exception (if necessary) **DAS PPDB Security** • Review, approve or deny PPDB access • If denied, send notification of denial • If approved, update PPDB security tables • Notify RACF Administration **DAS RACF Administration** • Update user to proper RACF security group(s) • Notify DAS PPDB Security Officer • Send notification to user with temporary password
Method	Several steps in this process are performed manually. A signed hard copy is required to confirm the electronic submission. Notifications are sent electronically.
Outputs/Work Products	The outputs of this process include the following: • Updated PPDB security tables • New or revised RACF ID • Temporary assigned user password
Laws, Regulations, and Policies That Govern Process	Include, but not limited to: State policy number 107-004-110 for Acceptable Use of State Information Assets.
Strengths	The current process incorporates review steps to safeguard system access. Requests are delivered in electronic form.
Weaknesses	The review and approval process is not automated. Checks for conflicting access occur manually. Duplicative hard copies are required.
Opportunities for Improvement	Automation by linking the needed access to the position would eliminate repetitive confirmations. Online employee and/or manager self-service request/signature would eliminate duplicative hard copy. Automation of workflow and notifications.

Process Step	Description
Systems	The following systems are used to prepare in this process: • PPDB • RACF
Requirements	The following requirements correspond to this process: 1.70, 12.69, 12.70, 12.71, 12.72, 12.73, 12.74, 12.85, 12.87, 12.88, 12.89, 12.90, 12.91, 12.92, 12.93, 12.94, 12.95, 12.97, 12.99, 12.100, 12.105, 12.96, 12.101, 12.102, 12.103, 12.86

b. HR12.01 PPDB System Security as-is diagram

Below is the as-is diagram for the PPDB System Security-system security area.

Inputs
- PPDB Security Access Request and Confidentiality Agreement
- New hire or transfer-in information

Outputs
- Updated PPDB security tables
- New or revised RACF ID
- Temporary assigned user password

Customers
- DAS security administrators
- RACF administrator
- Managers
- Employees

Systems
- PPDB
- RACF

c. HR12.01 PPDB System Security marked-up diagram

Below is the marked-up diagram for the PPDB System Security-system security area.

d. HR12.01 PPDB System Security could-be diagram

Below is the could-be diagram for the PPDB System Security-system security area.

Inputs
- HRIS security change request form
- New hire or transfer-in information

Outputs
- Updated HRIS security table(s)
- Updated PPDB security tables
- New or revised RACF ID

Customers
- DAS security administrators
- RACF administrator
- Managers
- Employees

Systems
- HRIS
- Legacy systems using RACF ID

III. Appendix A: As-Is to Could-Be Process Reconciliation

As-Is Process Number	Process Group	As-Is Process Name	Process Could Be Disposition	Could Be Process Number	Could Be Process Name
1.01	New Employee	New Employee	streamlined	1.01	New Employee
2.01	Position Budgeting	Position Budgeting for the New Biennium	streamlined	2.01	Position Budgeting for the New Biennium
2.02	Position Budgeting	Budget Management-Monthly	streamlined, consolidated	2.02	Budget Management
2.03	Position Budgeting	Budget Management-Allotment	merged to 2.02	N/A	part of 2.02
2.04	Position Budgeting	Budget Management - ReProjection/ReBalance	merged to 2.02	N/A	part of 2.02
3.01	Personnel Administration	Job Changes (within agency)	revised	3.01	Job Changes (within agency)
3.02	Personnel Administration	Job Rotation and/or Work Out of Class	revised	3.02	Job Rotation and/or Work Out of Class
3.03	Personnel Administration	Workforce Management	revised	3.03	Workforce Management
3.04	Personnel Administration	Americans With Disabilities Act (ADA)	revised	3.04	Americans With Disabilities Act (ADA)
3.05	Personnel Administration	Pay changes	revised	3.05	Pay changes
3.06	Personnel Administration	Administer Separations	revised	3.06	Administer Separations
3.07	Personnel Administration	Temporary Extensions	revised	3.07	Temporary Extensions
N/A	Personnel Administration	N/A	added in refinement	3.08	Layoff/Recall
N/A	Personnel Administration	N/A	added in refinement	3.09	Shared Services Billing
N/A	Personnel Administration	N/A	added in refinement	3.10	Seasonal Recall
4.01	Classification & Compensation	Administer Compensation Plans	streamlined	4.01	Administer Compensation Plans
4.02	Classification & Compensation	Administer Reallocations	revised	4.02	Administer Reallocations
4.03	Classification & Compensation	Salary Setting Process	streamlined	4.03	Reclassification
4.04	Classification & Compensation	Classification	merged to 4.03	N/A	part of 4.03
4.05	Classification & Compensation	PICS Freeze	revised	4.05	Compensation Plan for Bargaining
5.01	Labor Relations	Manage Grievances - Management Service	revised	5.01	Manage Grievances - Management Service
5.02	Labor Relations	Labor Relations	streamlined	5.02	Labor Relations
5.03	Labor Relations	Progressive Discipline	revised	5.03	Progressive Discipline
5.04	Labor Relations	Management Service Discipline	revised	5.04	Management Service Discipline
5.05	Labor Relations	Investigations	revised	5.05	Investigations
5.06a	Labor Relations	Manage Grievances - AFSCME, SEIU	streamlined	5.06	Manage Grievances - AFSCME, SEIU
5.06b	Labor Relations	Manage Grievances - AFSCME, SEIU	merged with 5.06	N/A	part of 5.06
6.01	Performance Evaluations	Performance Evaluations	streamlined	6.01	Performance Evaluations
6.02	Performance Evaluations	Performance Management	merged to 6.01	N/A	part of 6.01
N/A	Performance Evaluations	N/A	new	6.03	Employee Training Tracking and Execution
Personal Data	Self Service	Self Service Personal Data Changes	new	7.01	Self Service-Employee Data
Benefits	Self Service	Self Service Benefits Enrollment	merged to 7.01	N/A	part of 7.01
Compensation	Self Service	Self Service Compensation	merged to 7.01	N/A	part of 7.01
Manager	Self Service	Self Service Manager, Performance Management	new	7.02	Self Service Performance Management
Training	Self Service	Self Service Training and Development	new	7.03	Self Service Training & Development
Viewing	Self Service	Self Service Viewing Data	merged to 7.01	N/A	part of 7.01
8.01	Health & Safety	Drug Testing	revised	8.01	Drug Testing
8.02	Health & Safety	Manage Workers' Compensation Claims	revised	8.02	Manage Workers' Compensation Claims

As-Is Process Number	Process Group	As-Is Process Name	Process Could Be Disposition	Could Be Process Number	Could Be Process Name
8.03	Health & Safety	Safety	streamlined	N/A	Safety
9.01a	Leave Mgmt	Leave Management-FMLA/OFLA	streamlined	9.01	FMLA / OFLA Leave
9.01B	Leave Mgmt	Leave Management-FMLA/OFLA	merged with 9.01	N/A	part of 9.01
9.02	Leave Mgmt	Administer Employee Status on Leave	revised	9.02	Administer Leave
9.03a, b	Leave Mgmt	Leave Management - non-FMLA/OFLA Medical	streamlined	9.03	Non-FMLA / OFLA Medical Leave
9.04	Leave Mgmt	Leave Management - Hardship	merged with 9.02	N/A	part of 9.02
9.05	Leave Mgmt	Leave Management - Military	revised	9.05	Military Leave
N/A	Leave Mgmt	N/A	new	9.06	Return from Leave
10.01	Reporting	Enterprise Reporting	streamlined	10.01	Enterprise Public Information Reporting
11.01, .02	Training & Dev	Employee Training Tracking and Execution	streamlined, moved to HR6.03	N/A	part of 6.03
N/A	System Security	N/A	added in refinement	12.01	System Security