HUMAN RESOURCES SYSTEMS

DETAILED BUSINESS REQUIREMENTS

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Christina Diersing
Director, HR Information Systems
University of Cincinnati
Department of Human Resources
Division of Business & Administrative Services
P. O. Box 210087
Cincinnati, OH 45221-0087
Phone: 513.556.2469
Fax: 513.556.9648
Email: christina.diersing@uc.edu

ABOUT THIS DOCUMENT

DOCUMENT PURPOSE:

The purpose of this document is to provide business requirements for evaluating a human resource solution for the University of Cincinnati. These business requirements provide a basis for defining information system requirements, which can aid the University of Cincinnati (UC) in effectively evaluating a human resource software solution that will support their present and future business functional needs.

DOCUMENT ORGANIZATION:

This document presents the business requirements for the Human Resources System to support the University of Cincinnati.

Section 1
Introduction: Explains the context of the project, document purpose and organization as well as reference documents.

Section 2
Key Business and System Requirements: This section describes a general list of requirements that either spans six specific business process flows or is specific to extra requirements outside the scope of these flows.

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Section 1 – Project Introduction

BACKGROUND

The Human Resources Management System (HRMS) is a purchased system from Integral Systems, Inc. HRMS is a mainframe legacy CICS/ VSAM system. It was purchased in the late 1970's and has been modified to accommodate University of Cincinnati requirements for Employee and Payroll information. The current HRMS was functionally upgraded to Release 9.3 in February 1997 and made Y2K compliant in the fall of 1998. Data maintenance is a "centralized" function shared in various offices of the HR Department. All University administrative and college offices are key users of the HRMS.

The Benefit Management System (BMS) is a purchased system from Integral Systems, Inc. It is a mainframe legacy CICS/VSAM system. It was purchased in the early 1990's and has been modified to accommodate UC requirements for Benefit information. The last major upgrade was in the winter 2000-2001. All mainframe screens were replaced with web screens using a third-party vendor (Data21) product called IpServer. IpServer is a CICS Based Web Server and CGI Environment. An Employee Self Service (ESS) application was implemented in April 2003 for benefits enrollment. The ESS module is written in Java.

In November 2003 the University of Cincinnati (UC) initiated a project to gather the business requirements for the human resource functions within the University in order to evaluate potential software solutions.

Systems have dramatically improved functionality compared to the 20-year-old plus technology of the current HRMS product. New functionality include:

- Full integration with the University's new financial system
- Supports both centralized and decentralized transaction processing
- Workflow systems that electronically route documents for review and approval
- Web access
- Major improvements in position tracking, management, and control, as well as recruitment and training and development

OBJECTIVES

The general project objective statement reads:

To identify unique and common requirements to support the University employee management and human resource processes.

Additional project objectives were to:

- Identify and flow the business functions to be included in a new human resource solution for UC
- Create and manage deliverables for the Requirements Gathering process

REQUIREMENTS GATHERING PROCESS

The requirements gathered for this document were obtained by:

- Focus Groups with University-wide cross functional teams where current business challenges and future requirements were identified
- Facilitated sessions with University-wide cross functional teams to identify:
- As-Is (current) business process flows
- To-Be (future) business process flows

The specific requirements that were gathered during these sessions have been consolidated and summarized in this document.

Section 2 - Key Requirements

The following requirements are based on the key business drivers communicated by the UC focus groups, As-Is and To-Be groups and the UC Human Resource System Replacement Project (HRSRP) Steering Committee members. These major requirements must be met by the new human resource solution/system to be implemented by UC.

It is expected that any solution that is provided to meet the requirements outlined below will comply with all Local, State and Federal guidelines, and support the policies and procedures of the University.

The key requirements are described in the following subsections.

DATA PROCESS, CONTROL AND INTEGRATION

The University of Cincinnati HR business functions are achieved through the interactions of many different departments and personnel. These departments are located in geographically dispersed locations across multiple campuses. The HR system must accommodate the interactions between these diverse internal entities.

The solution must be able to process, control and integrate data across business functions using:

- Automated Workflow Processing
- Security and Access controls which can be set up and modified by authorized users
- Integration with other UC systems

Workflow Processing

- Flexible, rules based system with ability for users to modify rules per pre-defined user access levels
- Controls at the field level, based on pre-defined rules for changing controls
- Controls that can be turned on and off by users as needed per access level and rules
- Status tracking of transactions throughout the workflow process

Security and Access

- Correlate controls and access levels with the level of the user
- Authorization applied at granular level (i.e. division, department, salaries, and line items)
- Audit trail by login ID
- Allow single sign on for all areas within a user session

Integration with other UC systems

- Integration with the University's financial system in order to provide account code verifications and edits
- Integrate with the KRONOS time keeping software
- Interface with miscellaneous other UC systems. (E.g. Space Management, Badging, Parking, Student Systems, HR Alchemy Document Archive and Retrieval System, etc.)

USER INTERACTION

The solution must be easy for users to interact with and serve end users in an intuitive manner. The UC user community is a diverse group of people with many different business and computer system experience levels. The optimal user interface for the human resource system is one that can serve the experienced user as well as the first-time user. The user interface should also help accommodate the geographical dispersion of the user community by providing appropriate UC business process and system online help resources.

The two main components of this requirement are:

- User Interface
- Training and documentation

User Interface

- Web access to human resource data with appropriate authority
- Minimize jumping from screen to screen and table to table
- Validate data input before a transaction is completed. (E.g.: verify that a charge is allowed against a financial system account before it is applied)
- Single User Sign On for user authorized access
- Easy to use, even for the occasional user
- Ability to allow users to link to supporting/related documents and transactions including imaged documents
- Free text area on all transaction screens
- Allow use of templates for re-occurring periodic transactions
- Field entry edit

Training and Documentation

- Online or integrated tutorials
- Online documentation
- Online help at more than one level (function, screen, field etc.)
- Provide technical and business process help
- Key word search by business process or system function to guide users to the functionality/transactions that they need

REPORTING AND PRINTING

Reporting is an integral part of the University of Cincinnati's human resource system.

The solution must be able to report on and deliver information in diverse media and formats to satisfy business functional scenarios.

Every functional area with human resource responsibilities within the university must generate reports for both internal and external entities. Reporting, exporting, and printing capabilities for the UC human resource system must be both robust and flexible.

The University of Cincinnati's reporting needs can be broken into two categories:

- Standard Reporting
- Ad Hoc (on demand) Reporting

Standard Reporting and Printing

- Standard, configurable, event driven reports.
- Decentralized, access controlled printing of personnel reports, initiated on demand by end users
- Ability to print any transaction on demand during the processing of the transaction
- Ability to produce local reports using common office printing equipment

Ad Hoc Reporting

- User initiated ad hoc (on demand) reports
- Download capability to MS Excel for what-if analysis
- Query tool that serves both power users and occasional users
- Query tool that is ODBC compliant and allows for entry of SQL by the users
- On demand reports on statistics such as gross to net

DATA ARCHIVING AND RETRIEVAL

The solution must have capability to archive data and allow for its easy retrieval.

The University of Cincinnati regularly interacts with external regulatory bodies, legal firms, and financial services firms.

This interaction generates a requirement for UC to be able to archive and retrieve data, and supporting imaged documents as well as microfiche documents. Some of the archived data has to be stored and available per local, state and federal guidelines. The human resource system must support these diverse requirements.

The main requirements for data archiving and retrieval are to:

- Easily archive and access with appropriate retention limits
- Make historical data available from former human resource systems
- Allow for reactivation of information from the archives to the current system
- Maintain the integration with IMR's Alchemy Document Archive and Retrieval system for archived documents

BUSINESS PROCESS REQUIREMENTS

The University of Cincinnati human resources functions are comprised of six business process types. The human resources solution/system must provide functionality to support the activities of the following nine business process flows.

- Position Management
- Recruitment
- Personnel Administration
- Benefits Administration
- Time and Payroll Management
- Development and Training

Establishing the related key system requirements in this way ensures that the system requirements are driven by confirmed business needs.

Each business process type listed below includes a brief overview of the business process followed by its specific requirements.

Position Management

This function must provide a means of managing the cost of the single largest expense within the university budget. It must deliver the ability to track vacant positions and vital payroll information for tracking of filled positions. Any Organization and Position Management System installed must integrate with both the core Financial and Human Resources Systems of the university to enhance the capability of tracking, allocating, and budgeting for positions campus wide. In addition:

OBJECTIVE: To manage and fund positions so that all University goals and objectives are met

The Position Management Function should support the following specific business needs:

- Track the status of all positions such as:
- Existing
- Filled
- Vacant
- Abolished
- Monitor and manage positions with workflow processing
- Use template functionality to pre-populate default information

<u>Salary & Position Management</u>

- Automatic update of salary schedules and job class table (minimum, midrange, maximum, hire rate, APR, etc.)
- System to deny the input of salary information less than the minimum of the pay range
- Position history – to include when position established, vacated, current & last incumbent
- Populate all related codes when entering job code to system
- Instant update of on-line job descriptions
- Resume archive for all unclassified employees

Reporting/Survey/Tracking Capabilities

- Populate incumbents by specific title, grade, and departments
- Populate information for responding electronically to surveys
- On-line salary conversion for survey purposes

Broadband Projects

- Capability to store & retrieve target market salaries

Electronic Submissions

- University-wide on-line Position Description Questionnaire (PDQ)
- Populate information from HR system into electronic PDQ
- Standardized Table of Organization

Recruitment

An automated system will reduce the time and costs associated with processing employment application materials while improving service levels to applicants and hiring managers. Improvements associated with an automated system may include:

OBJECTIVE: Identify, select and hire the best candidate through an efficient, automated process.

The Recruitment Function should support the following specific business needs:

- Applicants can complete the necessary application form and upload additional documents via the Web
- Applicants can complete a profile of their ideal job and receive advertisements through email as similar positions become available
- Provides applicants a self-service model to review the status of their application(s)
- Hiring managers can complete and submit job requisitions that are electronically routed through the appropriate approval channels (budget, payroll, EEO, etc)
- Email notification to WorkFlow contact
- Positions are automatically posted to our Web site once HR has approved
- Allows HR to create multiple tailored application forms and select which application (staff, faculty, part-time, etc.) or materials (resume, cover letter, vitae) will be requested for a specific position
- Provides the ability to design a completely different workflow from staff and professional positions
- Provides hiring managers and search committees on-line access to application materials
- Employment applications can either be directed through Human Resources or delivered to hiring managers and search committees
- Provides EEO officer real-time access to the makeup of any applicant pool and the status of any search being conducted
- Allow EEO real-time access to approve the applicant pool for specific positions (A900)
- Create an automated pool of candidates for screening
- Generate necessary candidate communications
- Allow authorized staff to electronically screen candidates for minimum qualifications using job specific multiple choice qualification questions

- Integrate with Position Management to validate the status of the position for recruitment.
- Update/view the status of candidates on-line
- Automatically update Personnel Administration system with critical incumbent data when candidate is hired.

Personnel Administration

OBJECTIVE: To efficiently maintain accurate, real time personnel data.

The Personnel Administration functionality within the system should:

- Record and/or generate a unique identifier (other than social security number) for all employees
- Trigger functionality in other HR modules when personnel data changes
- Capture and store data about student employees
- Associate an employee with more than one position within the system
- Track service credit from multiple University approved sources (e.g. service state government agencies)
- Management self-service, with workflow, for personnel action processing, salary administration, and all employment related data maintenance.
- On-line employee self-service for maintenance of personal data, direct deposit enrollment, and IRS compliant Form W-4 submissions.
- Web-based performance appraisal and evaluation process, grievance and disciplinary procedures, and record keeping.
- Position control to identify and budget vacancies.
- Integrated with Position Management to maintain critical incumbent data.
- Security controlled and user-friendly ad hoc reporting access for all users.
- Integrate with nonresident alien tax and immigration software application [WindStar].
- Multiple service and seniority calculations, some specific by job category.
- Accommodate multiple job and account source requirements using finance system chart of accounts and variable local tax applications.
- Local tax entity table application to accommodate coordination of workplace, residential municipality, and school district income tax liabilities.
- Accommodate up to three-dozen retirement plan alternatives, and 30 optional Section 403(b) and Section 457(b) elective deferrals.
- Integration of applications and data access across HR functions.

Time and Payroll Management

OBJECTIVE: To record accurate information and update employee records for payroll and compliance purposes.

The Time Data Management & Payroll function should be able to:

- Allow employees to view time not worked
- Integrate with KRONOS time keeping software
- Provide direct deposit and corresponding check advices electronically
- Provide robust gross to net reporting capabilities
- Track detailed descriptions about unpaid leave
- Pay employees at different time intervals:

- Weekly
- Bi-Weekly
- Monthly (e.g. 9 months or 12 months)
- Access and change historical data that will be reflected in both the HR and Finance systems
- Facilitate increase calculations
- Seamless integration to payroll from a time and attendance system.
- Integration of leave usage and accruals for up to two-dozen variable and graduated vacation and sick plans with FMLA and general leave administration.
- Online Leave Administration – Request Time Off electronically with workflow approval processing
- Integration of absence and attendance data with labor relations' data.
- Work and shift scheduling functionality. Application of variable gross-to-net priorities (2nd pass logic) for available net pay when elective deferrals conflict with required or other deductions.
- Paperless payroll delivery, including pay card services to supplement direct deposit, on-line access to pay "stub" information, and electronic access to annual Form W-2 wage and tax statements.
- Create and print checks/advices
- Use of an ACH feature within payroll production to generate payment transactions, from direct deposits to datasets for reporting and remittance of payroll liabilities, such as taxes, retirement contributions, wage attachments, and voluntary deductions.
- Provide account code edits for financial system use in advance of expense distribution.
- Automated extract of grants and contracts information with calculated staff benefit costs by funding source.
- Integrate off cycle payroll check processing with gross pay derivation and gross-to-net calculation processes.
- Coordinate payroll calendar use of separate pay dates and paycheck accounting dates for accounting system purposes.

Benefits Administration
The new Human Resources/Benefits Administration System should integrate each of the following functions into one system that interoperates in a seamless manner for all users.

OBJECTIVE: To design, implement and administer University benefit programs.

The Benefits Function within the human resource system should:

- Manage leave, retirement and core (welfare) benefits.
- Maintain an easily accessible indefinite history of benefits
- Allow employees to view personal benefit information
- Facilitate controlled employee self service for some benefit elections/transactions
- Allow security controlled access for managers to see appropriate benefit information about designated employees
- Comply with Section 125 requirements
- Facilitate electronic transmission of data to benefit carriers and other third parties
- Facilitate the COBRA process for the University

- Track retirees and deceased employees and their dependents for Benefit management
- Record past service time from multiple sources/organizations
- View/access employee benefit cost
- Ability to execute mass benefit plan changes

Online Enrollment

- New and fully integrated Online Enrollment Module
- Information automatically updates as entered online in BMS
- Ability to accept and update Current and Next year information simultaneously whether through a nightly cycle or from entering in database and enrolling online for the same ee
- Include an express enrollment function, ability to see Information entered before doing electronic signature, ability to go in throughout the year for Qualified Status Changes, updates to COB or beneficiary information which can be changed at any point during the year, ability to change/delete dependents and give effective date why and reason, COB and Beneficiary data entered online downloads to the BMS for view and submission to the Health Insurance Company and Life Insurance carrier
- Auto email verification once data updates in BMS
- Direct links and split screens available on applicable page to insurance company website or employee workbooks for medical coverage comparison for that specific employee group based on who is completing online enrollment and has logged in
- Date/Time stamp all elections and have access to see history of what and when employee enrolled online

Dependent Verification

- Ability to tie into SIS and notify our office of an ineligible child who drops below FT student status and automatically verify FT student status for UC students if on FLX and enrolled in Medical, Dental, tuition remission and/or Life and automatically create a list based on student status for all UC dependents of UC employees
- Ability to write reports from FLX internally and also against SIS/FLX data as well
- Letters and forms created from BMS monthly as needed
- Ability to move it online for employee self-service (Attaching documentation/certification?)

Beneficiary

- Ability to enter Beneficiary data on BMS and write report and download that information to Life Insurance Company if needed
- Online Enrollment feed beneficiary data directly info BMS as well
- Currently we have a paper document or information entered on web enrollment, which creates fragmented information. Could we create a mechanism to enter all beneficiary information into the system to be kept in the system and not depend on paper documents

Transmittals

- Process to allow information to download full file weekly with updated information and submit electronically with the push of a button without a whole lot of manual intervention and requesting the job.
- All data secure and de-identified to insurance companies
- Create a mechanism that downloads information automatically and system transmits to carriers
- Complete the Met Life paperwork necessary to send the dental transmittals electronically. We are now sending a zipped file to Met Life by e-mail

Coordination of Benefits

- Be able to enter COB information on the system and transmit data directly to Medical carrier via an electronic transmittal

COBRA (Currently in MSDOS)

- Scrap the DOS program currently being used and enter information in BMS
- Be able to create coupons, multitude of letters, premium changes, reports, and HIPPA Certificates automatically online for COBRA.
- Identify anyone losing coverage and start process automatically with little manual intervention
- COBRA/HIPPA notice capability
- Identify/track monitor all COBRA functions as listed above using MS/DOS system including mechanism for over age dependents/divorce/deaths

Leave of Absence & Retiree

- Invoices created online based on premiums in system and type of LOA
- On-line listing of disability leaves, retirement disability participants, life insurance claims (pending and retro to one-year)
- Benefit Account administration and letters created in BMS
- Retiree System that is able to print correspondence and payment information.

ROWE Loan Program (Currently In MSDOS)

- Capability to run amortization Schedule and Letters for employees from BMS
- Identify/track calculate yearly 10/12 pay schedules for Rowe Loan Amortization schedules

Retirement

- Track and create ARP letters and reminders as appropriate from BMS based on eligibility and deadlines for new employees and changes in status.

Leaves of Absence

- Track Date of disability approval/denial from OPERS, UNUM, and payments received as known for disability and annuity under UNUM in BMS
- On-line listing of disability leaves, retirement disability participants, life insurance claims (pending and retro to one-year).
- Easy access to current filed, pending, denied worker compensation claims.
- System to identify all entries and system able to update and pay correct pay/retirement deduction

Address Changes

- Create a mechanism for the employees to do address changes on line for HRMS and FLEX

Workers' Compensation

- Ability to look up exactly what days an employee worked or was off (and the reason why he/she was off – receiving sick pay, workers' comp, etc.) This is the only function I need that I don't currently have available with HRMS.
- Dates of employment
- Current and past supervisor(s), positions, departments, rates of pay, mail location, email, phone and fax
- Personal information (home address and contact information)
- Termination reason(s)
- Paycheck information
- Hour balances (sick, comp, vacation, etc.)
- Availability to look up check requests submitted to Accounts Payable and track when they are sending it out

Personnel Development & Training

OBJECTIVE: To develop and train UC employees and affiliates for individual growth to enhance University productivity.

The Development & Training Function within the human resource system should:

- Provide a central contact point for all training related functions
- Capture and report knowledge, skills and abilities by position
- Capture employee training needs
- Track information to support mandatory training
- Track re-occurring certifications and training needs

For the employee and management

- Integrate with skills identified in the job/position description; allow the capability to supplement/refine by individual position
- Capture individual skill assessment initially and on-going
- Determine skill gaps (i.e. needs analysis)
- Capture individual goals and standards
- Generate development plans based on needs analysis and goals
- Provide information on learning opportunities (defined broadly, not just training workshops) to meet needs
- Track participation in learning development opportunities
- Link employee development, job description skills, and individual goals to performance evaluation and employee recognition
- Technology-based courses that present high-quality training to employees' PCs

For career and succession planning

- Identify requirements for advancement to another position/level
- Identify candidates for advancement, promotion, transfer

For the training department

- Determine and schedule training and events based on needs analysis

- Target and market training and events to appropriate audience
- Provide online capabilities to register and pay for training and events
- Report with ease and flexibility (on participants, events, instructors, evaluations, etc.)
- Track a program's (longer term) impact (i.e. success at changing behavior)