PROCESS DESIGN – POSITION CONTROL

UCR Business Process Design

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Contents

I. Document Change Log

Use this table to summarize changes made to this document

Date	Editor	Summary of Changes
4/9/19	Shannon Minter	Draft 1
4/15/19	Shannon Minter	Draft 2
5/6/19	Shannon Minter	Draft 3
5/15/19	Shannon Minter	Final

II. Process Overview

Process Description

UCPath Position Data Management refers to the process of creating and editing existing position data within PeopleSoft. Position data includes Business Unit, Department, Location, Establishment ID, Job Code, FLSA Status, Union Code, Reports To, Salary Plan, Salary Grade, FTE, and Standard Hours.

There are two relationships with respect to position:

1. Position to job code
2. Position to employee

Positions may create a one-to-many relationship with Job code; that is, departments may have one or multiple positions with a particular job code. The position, then, is used to track details such as the funding source and reporting structure pertaining to that particular job within a particular department, and it usually has a one-to-one relationship with employees. In some cases, such as student workers possessing identical position data, positions may have a one-to-many relationship with employees. The graphs below illustrates the relationship of positions to job codes and employees.

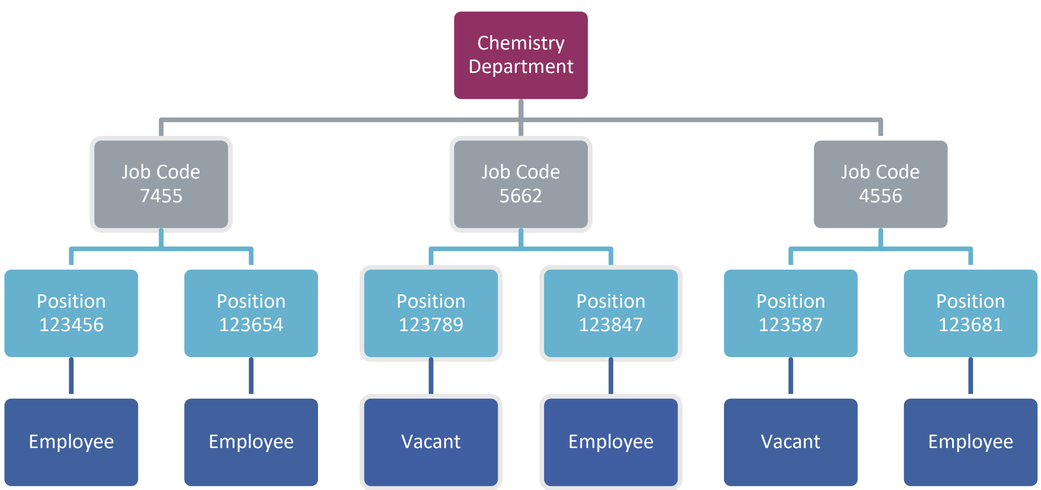

Figure 1: Job Code, Position, and Employee Relationships Chart

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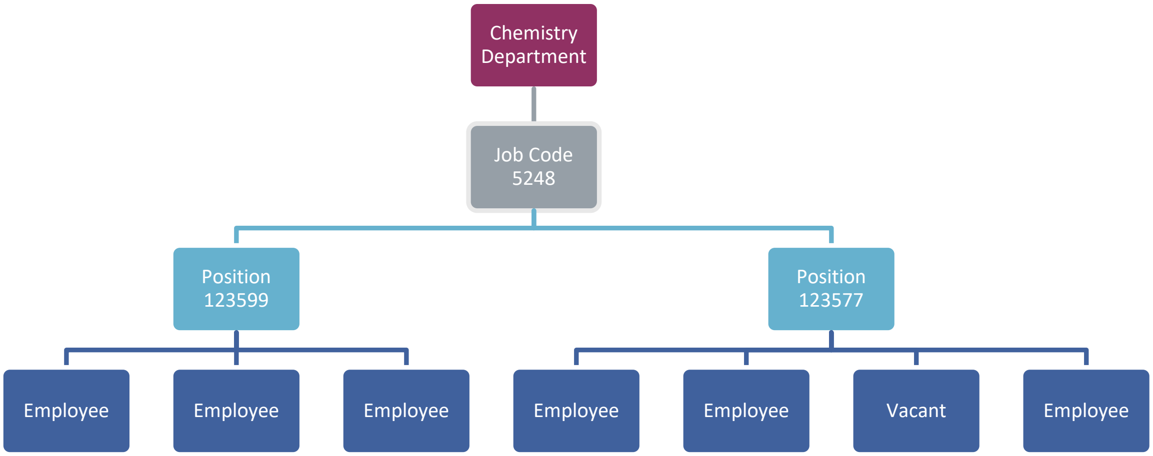

Figure 2: Job Code, Position, and Multicount Employee Relationships Chart

Glossary

Key Terms and Concepts discussed in this Business Process Guide

Term	Definition
Approval Workflow Engine (AWE)	Approval Workflow Engine (AWE) systematically routes transactions in UCPath to designated roles (e.g., HR Initiator, HR Approver(s)) for approval at UCR. Once these UCR approvals are complete, transactions are either routed to the UCPC for finalization or are finalized in UCPath.
Cascade	Within filled Positions, automatically pushing Position updates to incumbent(s)' job record.
Checklist	A template that assists the Org/Dept. with gather information, complete pre-process steps, and communicate necessary UCPath transaction information to the HR/AP Initiator. Org/Dept. can adjust this checklist to account for any specific procedures. The checklist will account for UCR Required Information, UCPath Required Data Elements, and UCPC Required Documentation.
Contingent Worker (CWR)	An individual engaged by the University on a non-permanent basis to complete a specific function or task who does not have an employee relationship with UCR and does not receive remuneration through UCPath.
Employee	An individual who performs a service for the University and who is working under the direction and control of the University and its Employees.
Filled Position	An active Position which has an incumbent.
Incumbent	An Employee assigned to a Position.
Multi-Headcount Position	A Position that can have more than one incumbent. Incumbents in a Multi-Headcount Positions must share all Position attributes (including Department, Job Code, Salary Plan, Grade, Funding Distribution), but they may have different compensation.
Packet	A group or compilation of documents (e.g., checklist, forms, templates, other related paper work or information, etc.) that is needed for the Initiator to successfully enter the transaction into UCPath.
PayPath	An AWE-enabled page that allows locations to update an employee's Position, job, and additional compensation information. PayPath must be used to update filled single-headcount Positions and cascade to the Incumbent's job record. PayPath cannot be used to update vacant positions or multi-headcount positions.

Key Terms and Concepts discussed in this Business Process Guide

Term	Definition
Position	A slot in UCR's organizational structure, as represented in UCPath. All Employees at UCR will inhabit a Position. Funding and budgets are established in UCPath on the Position.
Position Control	A custom, AWE-enabled page that must be used to create new Positions and to update vacant Positions.
Position Administrator	A role which allows a limited number of users to add or modify positions without going through AWE. Example: Can updated filled positions that are multi-head count.
Position Pool	Position pools allow UCR to group several positions together for the purpose of work study. All work study positions will use position pools, so that work study funding can be automatically established through a separate process. There are pre-established pool codes, available to the user to select. For more information, please see **GL14 Manage Budget and Staffing**
Single-Headcount Position	A Position that can only have one incumbent.
UCPath Center (UCPC)	The center responsible for responding to employee questions, finalizing certain HR transactions, administering benefits and payroll, and maintaining data in the system.
UCPath Inquiry	UC's Case Management tool, used to interact with the UCPC
Vacant Position	A Position, active or inactive, that does not have an incumbent.

Design Authority

This section defines the overall scope and boundaries of the To-Be process design.

Out of Scope

The following are specifically out of scope for the to-be analysis:

- Closely related processes (e.g. Recruitment) will be documented only as inputs/outputs.
- Position Administrator – Position updates for certain multi-head count positions
- Person of Interest has its own process design document

Academic Considerations

This section contains key academic considerations for position control

AP Consideration	Description
AP Promotions	When an academic employee is promoted with the same job series, the position is updated to the new job code and title. All other changes would require a new position.
Active Proposed Status	An Active Proposed status is used for vacant academic, open rank positions that do not have funding and budget established.

Process Scenarios

The following are examples of when to use and when not to use this process (*please note that this table is not exhaustive*):

Action	Use Process?	Update or Create Position?	Reason
• Staff reclassification within a department	Yes	Update in PayPath	Employee stays in same position. Position is updated to the new job code.
• Faculty promotion within a department	Yes	Update in PayPath	Position is updated to the new job code within the series.
• Creation of a new position with incumbent(s) due to departmental reorganization	Yes	Create in Position Control Request	Incumbent(s) will be hired into the new position
• Creation of a new position without incumbents due to identification of departmental need	Yes	Create in Position Control Request	Once hired, a person plus the position will equal a job.
• Reports To needs to be updated for a specific position	Yes	Update in PayPath if filled / Position control if vacant	Updates to position data are needed. Changes in reports to interface to downstream systems, i.e., Learning Management System (LMS), Employee Self Service (ESS), Time & Attendance Reporting System (TARS), etc.
• A person is hired into a position that already exists within UCPath and does not need to be updated	No	N/A	Because the vacant position already exists within UCPath, there is no need to create a new position. Additional data, such as salary, will be captured at the job data level.

Inter-dependent Processes

The following is a list of related processes that provide inputs or outputs to the process, are sub-processes, or are related UCPath processes. These processes will not be mapped or documented in the To-Be process design deliverables but will be noted where appropriate.

Process	Dependency	Description of Relationship
Include related processes from As-Is Analysis assessment, Sub processes from As-Is maps, and UCPath FSPD Processes with local touchpoints	**Input, Output, Sub-process, UCPath Touchpoint**	Insert relationship here
Inactivating a Position	Sub-process	The "Inactive" effective status is used for vacant positions that a department does not plan to recruit for in the future.
Recruitment	Output	Once a new position has been established or an existing active position becomes vacant, the recruitment process takes place.
FAU Management	Related Process	Position data includes Salary Plan and Salary Grade data that may be affected by FAU changes.
Concurrent Jobs	Related Process	The concurrent jobs process will detail the process for employees with dual appointments (two or more concurrent positions).
Onboarding	Related Process	Transactional unit will initiate relevant new hires into vacant, active position into UCPath.
Offboarding	Related Process	Offboarding vacates existing positions.

Assumptions & Decisions

This section describes the key assumptions and decisions made in relationship to this process design.

Type	Description
Assumption / Decision	Description
Assumption 1	Position details include department, job code, FTE, Salary Admin Plan, Grade, Step, and Reports to
Assumption 2	All UCR Employees will have a position.
Assumption 3	Position Management is not intended to track employees' progress.
Assumption 4	Position pools are specific to work study.
Assumption 5	Multi-Headcount positions can only be used for employees who share position and funding attributes (Department, Job Code, Salary Plan, Grade, step, Funding, etc.)
Assumption 6	An Active Approved status is used for vacant or filled positions that have been approved and have the correct funding and/or budget established. Employees should only be hired into Active, Approved positions.

Type	Description
Assumption 7	An Active Frozen status is used for vacant positions that have their funding and/or budget revoked (e.g. during a layoff).
Assumption 8	All relevant regulations, UC policy, Collective Bargaining Agreements, UCR local procedures, and Org/Dept. Approval practices have been followed.
Assumption 9	Before a new position is created or a position is updated in a way that affects funding, Org/Dept. leadership will determine that a funding source and available funds exist for that Position.
Assumption 10	Before inactivating or freezing Positions, Org/Dept. will take necessary actions to transfer or terminate any incumbent Employees.
Assumption 11	The UCPC will not accept a submitted transactions with incomplete information. An incomplete transaction means missing any of the data points, forms, or authorizations required by the business process.
Assumption 12	Individuals within an Org/Dept. responsible for Position Management actions will have completed specialized training to ensure thorough understanding of complex business processes with cross-functional impact, e.g., impact of Position changes to benefits eligibility, accruals, Concurrent Jobs, payroll, budgets, funding, etc.
Assumption 13	The Initiator of a transaction cannot also serve as an approver for the same transaction
Assumption 14	An employee may not initiate or approve a transaction for themselves
Assumption 15	The Initiator will receive an email notification when the transaction is finalized and the system update is complete.
Decision 1	The AWE (approval workflow engine)-enabled Position Control form (E-804) exists for creation of new positions and updates to existing positions that are vacant.

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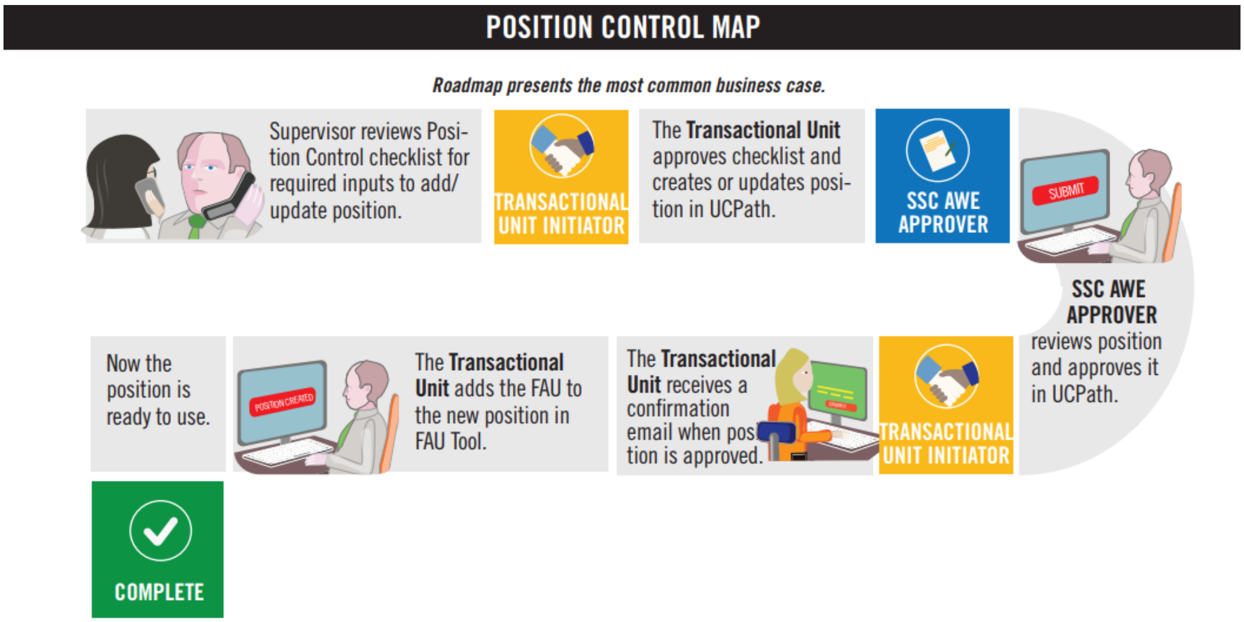
III. Process Design

Overall Process Sequence

The overall process sequence describes the major steps required to deliver the value of the process. It is the "Elevator Speech" to quickly and simply define its flow. This "Level 1" detail does not include the multiple variations.



Positon Statuses

There are two types of statuses for a position to have at one time. There is the effective status which corresponds to the effective date and the actual position status which can be used to indicate where the position is in the approval process.

There are two concurrent statuses required for a position

- Effective Status
    - Active – Applies to all vacant and filled positions.
    - Inactive – Applies to vacant positions that no longer fulfill a department need.
- Position Status
    - Proposed – Applies to temporary classification of an academic position while actively recruiting.
    - Approved – Applies to all vacant and filled positions within a budget year.
    - Frozen – Applies to vacant positions that are not being used in a budget year.

Position Status Type Relationship

Effective Status	**Position Status**		
Active	Proposed	Approved	Frozen
Inactive	Proposed	Approved	Frozen

Position Life Cycle

Active	Approved	Inactive			
Active	Approved	Frozen	Inactive		
Active	Approved	Frozen	Approved	Inactive	
Active	Proposed	Inactive			
Active	Proposed	Approved	Inactive		
Active	Proposed	Approved	Frozen	Inactive	
Active	Proposed	Approved	Frozen	Approved	Inactive

Roles Description

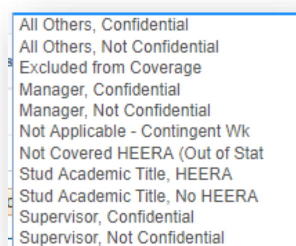
The following are the roles required to successfully execute this process.

Role Name	Role Description
Partner or designee	• Dedicated role responsible for workforce management in support of departmental business outcomes • Act as brokers of HR/AP/Payroll services and primary point of contact for managers and unit level leadership • Represent the needs of the department(s)
Transactional Unit	• Identify and communicate need for new position or updates to existing positions • Consult with the dean or vice chancellor's office as necessary • Creating new positions within UCPath • Notify appropriate parties of position creation/updates
Shared Services	• Responsible for executing transactional activities related to position updates • Responsible for AWE for new position requests and position updates
Central Office	• Responsible for design of HR/AP/Payroll programs • Provide subject matter expertise in technical/complex areas (e.g., classification, salary grade/step) • Interface with HR/AP/Payroll business partners and institutional leadership • Provides policy guidance and oversight
Planning & Budget Office	• Provide guidance on establishing positions from budget perspective and for staffing needs for local and system wide reporting in conjunction with the org unit

Inputs and Outputs

Inputs are the decisions, data, documents required to initiate the **overall** process. Owners are the “suppliers” of those inputs.

Outputs are the data, documentation, records, reports, or experiences that the **overall** process is supposed to produce over the course of its execution. Customers are the recipients of those outputs.

Input/Output	Owner or Customer	Description
Output	Department Funding Administrator	Funding and funding distribution is a process that occurs after a new position is created. 1. Reports on the number of positions, both filled and vacant 2. Reports on the funding (FAU) related to positions 3. Reports on positions based on job code and department
Inputs	Transactional Unit	Position Control Checklist
Inputs	HR/AP Central Office	For Employee Relations Code that are confidential, review the UCR Employee Relations (EREL) Code Chart (https://hr.ucr.edu/erelcodechart.html) and consult with the Central Office. UCPath Employee Relations Codes: 

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Performance Metrics

What are the proposed or aspirational performance metrics desired to measure the efficacy of the **overall** process? These can be leveraged from the as-is process, influenced by the UCPath processes or new metrics not currently measured. Step/Activity level SLAs will be captured in the detailed design phase.

Metric Type	Metric Description	Measurement Method
Duration	Time it takes from when the transactional unit submits until SSC AWE approves.	Transactional Status Page
Service	What is the desired level of customer satisfaction with the process?	Satisfaction Survey
Accuracy	What is the acceptable threshold for errors or re-work in the process?	Cognos Report, internal SSC spreadsheets
Efficiency	What time or financial resources are required to support the end-to-end process?	Transactional Status Page

Process Context

Use this section to note clarifying information on steps in the mapped process (es) where needed to help explain reasoning behind changes to the as-is process. This is not a place to document a comprehensive listing of all level three activities related to each process step.

Process Name/Step	Context/Information
Step 2	For new position request: review HRDW to locate existing position that should be used, instead of creating a new position.
Step 3	Transactional Unit Initiator processes transaction for vacant or new positon via Position Control Request. Attaches supporting documentation. If new position has a complex FAU or earn codes, such as add'l comp, summer salary etc. submit request to SSC to create following existing processes.
Step 4	SSC AWE Approver should approve transaction without FAU. The transactional unit is responsible for adding at Step 9.
Step 5	In the event that the request is denied by the SSC AWE approver, the template is returned, with comments, to the Transactional Unit Initiator to correct and resubmit. The initiator will be able to clone the denied transaction.
Step 8	Once the Request is approved by the SSC AWE approver, the Transactional Unit Initiator is notified via automated UCPath email.
Step 9	Once the Transactional Unit Initiator receives confirmation that a new positon has been created, they will need to wait 1-day for the position to show up in the FAU tool. Once the position is visible, the FAU needs to be updated prior to payouts or default funding will be used and a SCT will be needed.
Step 10	For changes to filled positions, the transactional unit will need to submit a request to update to the SSC via ServiceLink or Snapshot.
Step 16	In the event that the request is denied by the SSC AWE approver, the template is returned, with comments, to the SSC Initiator to correct and resubmit. Cloning a transaction is not an option for PayPath transactions.

Process Name/Step	Context/Information
Step 17	Once the Request is approved by the SSC AWE approver, the SSC Initiator is notified via automated UCPath email.
Step 18	SSC Initiator updates ServiceLink / Snapshot and automated email is sent to the Transactional Unit that the transaction is complete.

IV. Detailed Design

With the exception of the parking lot, this section will be completed during the detailed design phase of the project

Local System Impacts/Needs

Placeholder for analysis of system needs, capabilities, gaps. Will leverage UCPath capability requirements and as-is process tools analysis as applicable

- EACS changes
- AWE changes
- ServiceLink changes
- Snapshot changes

Changes that will be consistent along all Processes

- New learning curve in UCPath
- Have not had access to this data before
- Overwhelming steps
- Confusion for routing
- Increased workload with regular job and being part of the transactional unit pilot
- Working relationship with SSC
- SSCs have various processes that may cause confusion
- Question the process, "used to do things this way" – why this way
- Concern over why some departments get to do this, and some do not
- Consequences of making mistakes (downstream effects, which they did not have to deal with previously)
- Apprehension on who to contact for support/questions
- Confusion on before process vs. after process

Changes Specific to position management process

- Before creating a new position Transactional Units should use the HRDW position report to see if one already exists.
- Now the Transactional Unit will enter the same information directly into UCPath, not ServiceLink.
- SSCs will process position AWE without an FAU. Transactional Unit will update in the FAU tool. Failure to do so may result in a Salary Cost Transfer in the future.
- Transactional Units will learn how to use the FAU tool.
- The Transactional Unit will have to wait one day to add FAU (in FAU tool), after position is created to allow for the overnight processes to be completed.

Strategy

Training	• Provide efficient training on new processes through: Online Training, In person Training, Pilot resources & Binder and Website Access • Allow for times for all participants to attend • Create "mandatory" training to allow for consistency and governance among all participants and processes • Provide opportunities for questions and hands on labs • Create environment where participants feel supported and knowledgeable on who to contact if they have issues/concerns • Clearly provide documentation such as: o Before and after documentation so participant can see the significant changes o Checklist to provide participant with a check point and alleviate fears of missing steps o Easy access to the binder as well as timely updates (when processes have a change)
Communication	• Provide updates in a timely manner to ensure awareness of deadlines, meetings, trainings, changes etc. • Manage expectation by stating realistic benefits and acknowledging challenges • Promote two-way communication about pilot. • Update website with pilot section focusing on end user needs, while also creating easy access to all resources. • Utilize receiver-focused approach in context and content. Focus heavily on receiving end of communication and attempt to tailor to constituent as much as possible in what is being communicated as well as how it is being communicated. • Promote acceptance by helping users learn about coming changes. • Be sensitive to all the OCM related issues (workload, new process, learning, frustrations, etc.) • Provide communication emails that participants can utilize at any time
Hypercare	• Make all participants aware that there will be a hypercare phase where the project team will be available to help and that they are not alone • Provide easy access for contacts (emails, phone numbers, etc.)

Evaluation

1. Mandatory training evaluations
2. Post Phase OCM Survey sent via email
3. Feedback sessions to allow for candid conversation on the Phases as well as the work that was involved

V. Document Signoff

Use this table to list approvals for this document

Date	Approver	Status
	Antonette Toney	
	Alfred Karam	Alfred Karam
05/15/2019	Heidie Rhodes	Approved - Heidie Rhodes

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5/28/19 Antonette Toney - Approved