STATE OF MISSOURI

DEPARTMENT OF CONSERVATION

Human Resources Consulting Services Study

Business Processes Final Report

March 14, 2012

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1. EXECUTIVE SUMMARY

On September 26, 2012, Matrix began the process of interviewing each staff member of the Human Resources Division of the Missouri Department of Conservation. Workflow diagrams were created for a total of twenty-five specific processes. Overall, it appears the Human Resources Division has a strong operational base and skill set among staff that it can leverage to further develop into a best-practices Human Resources organization.

In addition to a mapping of the current work processes within Human Resources, a detailed list of operational business rules and their associated business and system requirements were documented. This information will be utilized in the development of the Request for Proposal (RFP) to purchase a new human resource information system.

Matrix also documented numerous opportunities for improvement based on best management practices in the field of human resources. These best practices are based upon practices recommended by relevant professional associations, those utilized by high-performing human resources organizations throughout the country, and the experience of the consulting team. The opportunities for improvement have been further prioritized for use as an implementation plan for the organization. While all of these recommendations are achievable, they cannot all be implemented at once and should be addressed over several years.

The following table outlines the major recommendations that were identified as the highest priority for the organization to address. These priorities were established based upon both the identified need within the organization, the benefit to be achieved from implementation, and then ordered based upon a realistic timeframe for implementation. While there are many additional recommendations contained within the evaluation, these have a smaller impact on operations and/or a smaller liability from not implementing. Those that will have the greatest impact on improving either organizational performance, or addressing more significant policy or procedure items were prioritized higher and placed into the immediate action plan.

Additionally, for each recommendation, it was identified whether this can be accomplished through administrative action or whether a policy decision needed to be made prior to implementation. The Human Resources Division should initially target the top ten (or similar number) to begin implementation and then continue to work toward full implementation of the other recommendations.

Recommendation	Priority	Comments	Risk for Implementation
1. Implement a human resource information system with robust customization capability, which allows the Human Resources Division to leverage the available management and employee self-service features of the system, including benefits enrollment, personnel transactions, recruitment and hiring, and training tracking.	High	Will reduce manual and administrative work and enable implementation of many other recommendations.	Need to revise procedures to meet capabilities of the system selected to eliminate manual processing. Lack of integration with SAM II will continue need for duplicate entry by staff.
2. Centralize the hiring process so that all offers of employment, pre-employment drug test scheduling, etc. is handled by Human Resources	High	Increased consistency in performance and reduced organizational liability.	Increased workload for HR Staff potentially impacting timeliness of service delivery. However, increased accuracy and fewer errors should improve process overall. Reduced workload for Divisions in areas not necessarily trained to perform.

Recommendation	Priority	Comments	Risk for Implementation
3. Leverage full potential of automated recruitment system to eliminate candidates who do not meet minimum qualifications, identify potential applicants for positions based on minimum qualifications, and directly feed the primary HRIS system upon hire	High	Enhanced recruitment effort to serve Department and reduced HR workload.	Requires implementation of clear screening criteria to compare against applicants. Job descriptions for all positions not fully developed.
4. Establish a proactive recruitment process: - Go beyond only considering applicants who have applied for a position and identify potential candidates by proactively searching recruitment system. - Identify hard-to-fill positions, identify effective outreach methods and proactively engage in recruitment for these positions year-round. - MDC recruiters should have proactive presence at minority career fairs and female association functions.	High	Enhanced recruitment effort to serve Department and reduced HR workload.	Greater proactive effort on recruitment function during early stages of recruitment process.
5. Reassess structure and security policies related to FileBound to allow more appropriate levels of access to documents.	High	Reduced duplication of documents and efforts and improved support to HR staff.	Limited risk to organization if appropriately established. Main risk is permitting access to documents to individuals without a business need to view if permissions not appropriately established.
6. On-line survey should be developed and made available to all exiting employees; survey results should be reported annually; in-person interview should be offered to any employee who requests such	Medium	Enhanced business intelligence regarding turnover and separation.	No risk for implementation.

Recommendation	Priority	Comments	Risk for Implementation
7. Available on-line training technology should be leveraged to its fullest extent, including: - Recording new employee orientation so that employees unable to attend the first available session may receive such training in a timely manner; - Implement interactive, web-based training that includes ability to confirm that training has been completed	High	More effective use of staff time and improved service levels to employees.	No risk for implementation. Need to integrate with training module (whether part of HRIS or the stand-alone).
8. Implement more robust, comprehensive training tracking system that incorporates departmental needs and allows for decentralized data entry and update capability.	Medium	More comprehensive understanding and tracking of employee training.	System must be able to integrate with new HRIS system to automate tracking of training courses, enable use by both HR for Department mandates / tracked training and use by Division to track and monitor Division required training.
9. Conduct department-wide compensation and classification study to realign all positions, establish a more defined classification and compensation process that includes up-to-date position descriptions and benchmarks; a schedule should be developed to ensure regular future review of position descriptions	High	Improved internal and external consistency in allocation of positions to pay grades. Ensures Department maintains competitiveness with market.	Potential for significant realignment of some positions classification structure. Potential for increased salary costs for the organization.
10. Every two or three years, supervisors should be required to go back through basic supervisory training on such topics as disciplinary procedures, conducting investigations, performance evaluation, etc.)	High	Ensures supervisors are appropriately trained to perform their role. Reduced liability to Department.	No risk from implementation.

Recommendation	**Priority**	**Comments**	**Risk for Implementation**
11. The Department should remove the requirement that new employees are only hired on two dates per month (1st and 15th).	High	While potentially requiring revamping on internal policies regarding orientation, benefit enrollment, and processing of new employee paperwork, this change enable Divisions to hire employees sooner.	Major risks include need to revise payroll and benefits practices to accommodate new hires starting on any date. No major impact on scheduling of new employee orientation approach. Requires greater tracking of eligibility dates (for benefits) and requires payroll to pro-rate initial pay period for new employees.

The Missouri Department of Conservation has adopted a series of strategic goals for each of the individual business units. The stretch goals for MDC HR are listed below:

1. **Redefine and streamline communication and online recruitment efforts and new employee orientation.**
    a. Update and refine the internet and intranet recruitment web pages, including new information for employees and applicants, such as sample job announcements, career brochures, and employee testimonial videos.
    b. Develop an online New Employee Orientation (NEO) system that will benefit employees and be more cost-effective to the Department. This would provide on-line videos of present components of the NEO so employees would have more information as soon as they begin employment and would provide reference information for all employees.

2. **Automate and streamline health insurance and benefits processes.**
    a. Online Benefits Enrollment/Changes and Administration – eliminate or greatly reduce paper enrollment/change forms for employees and retirees. Enhance and streamline benefits administration processes through improved technology.
    b. Research and implement new strategies for health insurance such as retiree coverage options, additional wellness and disease management programs/ strategies.
    c. Develop a scope document for HR to create a baseline set of documents and justifications for making operational and systems improvements within the HR environment. This will include high level systems, process and data roadmaps that accurately reflect the current operational state within HR.
    d. Continue to enhance communication/education efforts for our employees through various methods such as: video conferencing, on-line tools, on-line videos, newsletters and testimonials.

3. **Professional Development Academy and Safety Program – identify and implement current and future Department-wide training needs including:**
   a. Coordinate activities of the Professional Development Steering and Regional/Statewide Safety Committees
   b. Individual Development Plan/Technical/Organizational core competencies (Phase 2)
   c. Leadership and supervisory training
   d. Professional Development training (Business Writing, Ethics, Management Assistance Team, etc.)
   e. Implement Safety Program Plan
   f. Occupational Safety and Health Administration general industry safety training
   g. Wilderness first aid training
   h. Develop/research proposed Safety Incentive Program
   i. Coordinate Job Hazard Analysis (JHA)

The following table outlines how each of the recommendations addresses the accomplishment or furtherance of these identified stretch goals.

Recommendation	**Stretch Goal Addressed (if any)**
1. Implement a human resource information system with robust customization capability, which allows the Human Resources Division to leverage the available management and employee self-service features of the system, including benefits enrollment, personnel transactions, recruitment and hiring, and training tracking.	Goal 2: Automate and streamline health insurance and benefits processes.
2. Centralize the hiring process so that all offers of employment, pre-employment drug test scheduling, etc. is handled by Human Resources	No specific goal addressed. General operational improvement.
3. Leverage full potential of automated recruitment system to eliminate candidates who do not meet minimum qualifications, identify potential applicants for positions based on minimum qualifications, and directly feed the primary HRIS system upon hire	1. Redefine and streamline communication and online recruitment efforts and new employee orientation.
4. Establish a proactive recruitment process: - Go beyond only considering applicants who have applied for a position and identify potential candidates by proactively searching recruitment system. - Identify hard-to-fill positions, identify effective outreach methods and proactively engage in recruitment for these positions year-round. - MDC recruiters should have proactive presence at minority career fairs and female association functions.	2. Redefine and streamline communication and online recruitment efforts and new employee orientation.

Recommendation	Stretch Goal Addressed (if any)
5. Reassess structure and security policies related to FileBound to allow more appropriate levels of access to documents.	No specific goal addressed. General operational improvement.
6. On-line survey should be developed and made available to all exiting employees; survey results should be reported annually; in-person interview should be offered to any employee who requests such	No specific goal addressed. General operational improvement.
7. Available on-line training technology should be leveraged to its fullest extent, including: - Recording new employee orientation so that employees unable to attend the first available session may receive such training in a timely manner; - Implement interactive, web-based training that includes ability to confirm that training has been completed	3. Professional Development Academy and Safety Program – identify and implement current and future Department-wide training needs.
8. Implement more robust, comprehensive training tracking system that incorporates departmental needs and allows for decentralized data entry and update capability.	3. Professional Development Academy and Safety Program – identify and implement current and future Department-wide training needs.
9. Conduct department-wide compensation and classification study to realign all positions, establish a more defined classification and compensation process that includes up-to-date position descriptions and benchmarks; a schedule should be developed to ensure regular future review of position descriptions	No specific goal addressed. General operational improvement.
10. Every two or three years, supervisors should be required to go back through basic supervisory training on such topics as disciplinary procedures, conducting investigations, performance evaluation, etc.)	4. Professional Development Academy and Safety Program – identify and implement current and future Department-wide training needs including: c. Leadership and supervisory training.
11. The Department should remove the requirement that new employees are only hired on two dates per month (1st and 15th).	No specific goal addressed. General operational improvement.

The implementation of these improvements will take an eighteen to twenty-four month time period to accomplish. Those requiring implementation of a new software system will be dependent on the selection and implementation of that software.

2. PROFILE OF OPERATIONS

This document provides a descriptive profile of the Human Resources Division for the Missouri Department of Conservation. The purpose of the descriptive profile is to document the project team's understanding of the division's organization, allocation of staff by function, and principal roles and responsibilities of staff. Data contained in the profile was developed based on the work conducted by the project team, including:

- Interviews with key internal staff, including all division staff. Additional interviews were conducted as well as follow-up interviews with staff, as needed, during the analytical phase of the project.
- Collection of various data describing organization and staffing, workload and service levels as well as costs.
- Documentation of key practices as that relates to work planning and scheduling, policies and procedures, as well as work processes.

The descriptive profile does not attempt to recapitulate all organizational and operational facets of the Human Resources Division. The structure of this Descriptive Profile is as follows:

- Background information about the Human Resources Division.
- Organizational chart of the Human Resources Division and key functions showing all staff positions including reporting relationships.
- Summary descriptions of key roles and responsibilities of staff. The responsibility descriptions provided in the descriptive profile also summarize the team's understanding of the major programs and service activities to which staff throughout the Human Resources Division are currently assigned. It should be clearly noted that responsibility descriptions are not intended to be at the "job description" level of detail. Rather, the descriptions are intended to provide the basic nature of each unit and assigned positions including staffing levels and work schedules, program targets and service descriptions.
- Where necessary to better describe allocations and scheduling, additional charts are provided (e.g., scheduling, workload data, etc.)

The sections that follow describe our current understanding of the Human Resources Division by key function and position.

2.1 OVERVIEW OF THE HUMAN RESOURCES DIVISION

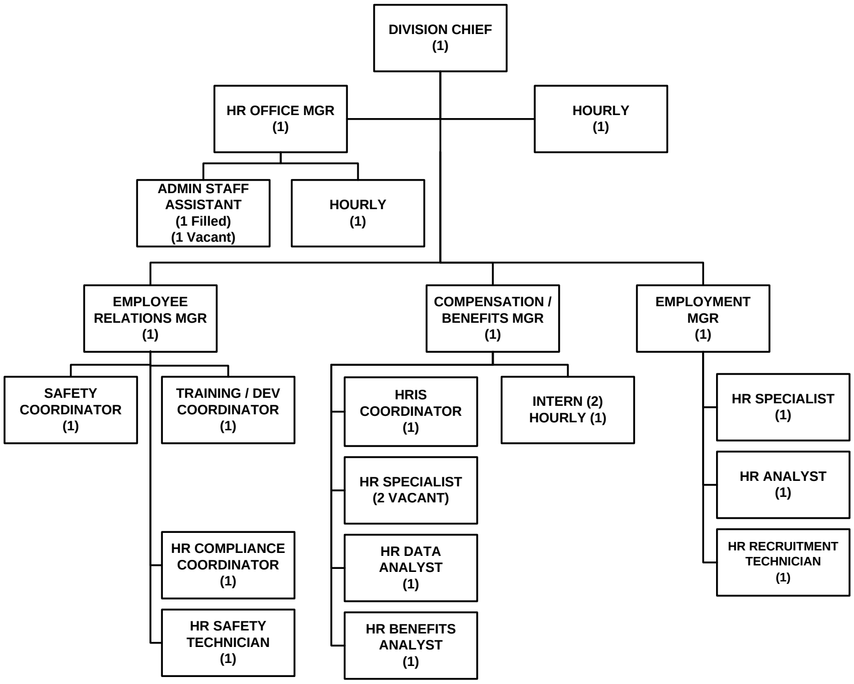
The section that follows presents the current organizational chart for the Human Resources Division.

2.2 CURRENT ORGANIZATION

The Human Resources Division currently has 19.00 full-time positions with 3.0 vacancies. The organizational chart, which follows, presents the current number of authorized positions in the Human Resources Division.

Current Organization of the
Human Resources Division

Missouri Department of Conservation



The following section presents the roles and responsibilities of staff assigned to the Human Resources Division.

2.3 ROLES AND RESPONSIBILITIES

The table that follows presents a summary of the roles and responsibilities of each classification and staff position in the Human Resources Division. This list of responsibilities is not intended to provide a comprehensive job description, but rather, a brief summary of key job characteristics.

Unit / Position	No. of Positions		Responsibilities
	Auth	**Current**	
Administration			
Division Chief	1.0	1.0	• Responsible for Division strategic and tactical planning. • Supervise Division administrative group. • Administer Department insurance program. • Oversee employee discipline review and conflict resolution efforts. • Plan, develop and administer the Division annual budget. • Provide leadership on industry practices and organizational development.
Office Manager	1.0	1.0	• Responsible for supervisory support to both Administrative Staff Assistants. • Provides clerical and task oriented support to section Chiefs (including HRIS coordinators, Division Chief, and any other manager). • Maintains and provides updates within critical employee records databases. • Direct contact with recruitment, employee benefits, and employee payroll (fiscal) personnel.

Unit / Position	No. of Positions		Responsibilities
	Auth	Current	
Administrative Staff Assistant	2.0	1.0	• Tasked with verifying, tracking, monitoring, and reporting unemployment claims through databases. • Prepare, process, track and report tuition reimbursement claims with an in-house database and sharepoint billing system. • Track, monitor and report training and professional development activities for all employees. • All employment verification activities for the Missouri Department of Conservation are handled by Administrative Assistants. • Responsible for logistical preparation of Service Award recognition banquets twice yearly. • With coordination from the Recruitment Technician, an Administrative Staff Assistant assists in preparing recruitment materials, denial letters, and internet marketing campaigns of job notifications. • Organize and implement Health Screenings by which MDC will contract with hospitals across the state to ensure employees meet in-house insurance requirements. • New employee orientation is held monthly and typically includes a significant amount of logistical preparation to ensure new hires successfully complete all orientation requirements. • Employee ID cards are developed and processed for all new hires and existing staff. • Uploads and deletes documents on specifically assigned SharePoint pages.
Employee Relations			
Employee Relations Manager	1.0	1.0	• Investigates grievances, employee incidents and conflict resolution; and works with Divisions to initiate appropriate corrective action. • Supervise fiscal note process. • Supervise worker compensation process. • Supervise safety and accident reporting program. • Supervise employee development and training program. • Policy interpretation, administration and development.

Unit / Position	No. of Positions		Responsibilities
	Auth	Current	
Safety Coordinator	1.0	1.0	• Develops, coordinates and provides wide range of safety and training programs in areas such as new employee orientation, OSHA, personal safety, accident investigations, safety audits, etc. • Carries out investigations, training and policy related development with respect to safety efforts within the Missouri Department of Conservation. • Administers Department's self-insurance program for workers compensation for all employee classifications (including volunteers). • Coordinates workers compensation efforts with the Office of Administration to protect the Department exposure to potentially high-risk activity. • Manages self-insurance program for incidents involving all Department vehicles. • Conducts safety research, industry updates and actively participates in statewide participation in safety councils. • Guides Department Accident Review and Safety Committee in review of personal and property accidents. • Chairs the Accident Review Committee. • Coordinates the Statewide and Regional Safety Committees.

Unit / Position	No. of Positions		Responsibilities
	Auth	Current	
Training / Development Coordinator	1.0	1.0	• Plans, researches, develops and coordinates statewide Department training programs supporting employee competencies and skills development through the Professional Development Academy. • Evaluates training needs, effectiveness and recommends changes. • Coordinates Professional Development Academy course curriculum and materials. • Directs development and delivery of training programs applying elements of adult learning theory. • Coordinates and administers training related contracts and purchases. • Evaluates Department programs, courses, polices and operating procedures to determine the knowledge, skills and abilities required for staff performance. • Conducts training on a variety of topics for Department staff members. • Serves as resource for train-the-trainer activities and coordinates the Instructor Training Course (ITC). • Coordinates training communication and enrollment through the UltiPro training enrollment and tracking program. • Serves as chair of the Professional Development Steering Committee to provide oversight to program initiatives. • Supervises Administrative Support Assistant in support of Department training efforts.

Unit / Position	No. of Positions		Responsibilities
	Auth	Current	
HR Compliance Coordinator	1.0	1.0	• Support Family Medical Leave Act (FMLA) efforts through development, maintenance and update of all files (hardcopy and data) and serve as liaison between employee and supervisor. • Coordinates the Shared Medical Leave program including request review, supporting paperwork tracking and employee committee support. • Coordinates the receipt, distribution for staff review and responses for Fiscal Note development during the Legislative session. • Provides manual review of employee lists in support of State’s personal tax compliance program. • Coordinates communication, coordination and program administration for the State’s Outside Employment program for secondary employment conflict of interest determination. • Researches, monitors and communicates changes and updates to relevant Federal and State regulations. • Supports employee relations efforts through maintenance of discipline/investigation files, case investigation and preparation of reports. • SharePoint system administrator for HR and maintains data of specifically assigned pages.
HR Safety Technician	1.0	1.0	• Provides support to Safety Coordinator position. • Handles incoming accident reporting calls. • Provides personal injury, vehicle accident and public mishap program support and reporting. • Supports Department’s Worker’s Compensation program administration by tracking payments, work absences and light duty assignments. • Process Family Medical Leave Act (FMLA) and Shared Leave program requests. • Maintains Department safety data and supports awards program. • Maintains specifically assigned SharePoint pages. • Helps benefit section during peak periods, schedules meeting room and posts insurance board meeting minutes and annual Retiree function.

Compensation / Benefits			
Compensation/Benefits Manager	1.0	1.0	• Serves as Department's HIPAA Privacy Official. • Supervises technical and support staff members. • Administers Department compensation and benefit programs. • Supervises the administration and management of Department Human Resources Information System (HRIS). • Reviews and recommends revisions to Department compensation and benefits plans to support competitiveness in relevant labor markets. • Reviews and recommends changes to benefit offerings to ensure financial sustainability of Department insurance program. • Educates employees on benefit offerings and explains annual benefit changes. • Reviews and recommends compensation program to maintain internal equity and external competitiveness. • Maintains classification information to develop appropriate position classification decisions. • Participates in compensation, salary and wage surveys. • Provides subject matter expertise on salary programs, salary policies, job description specifications, job pricing, performance appraisal and other compensation administration matters. • Oversees retiree program so pertinent information is appropriately disseminated to retiree through mailers, phone calls, e-mails, etc.

HRIS Coordinator	1.0	1.0	• Oversight for UltiPro and eLabor Human Resource software and related databases to ensure continued functionality. • Ensures interfaces with external systems work properly and that systems stay in sync. • Ensures SAM II HR System tables are properly updated with new deduction codes, and works with OA staff to troubleshoot issues as they arise. • The HRIS coordinator performs mass update of data and verifies integrity of data. • The HRIS coordinator ensures system and database procedures and manuals are up to date. • Creates reporting tools for staff in each section according to needs, and generates ad-hoc reports as requested. • Responds and mitigates day-to-day issues with databases such as critical updates, fixes, and synchronized data extraction errors. • SharePoint system administrator for Human Resources; trains HR staff on how to maintain pages assigned to them. • Conducts grievance and disciplinary investigations as assigned.
HR Specialist	2.0	0.0	• Serves as the point of contact for employees inquiring about benefits. • Works with vendors to resolve concerns with employee medical and prescription claims, eligibility, and appeals. • Regular attendance at the Insurance Board meetings to review current benefit practices. • Handles all notices, publications, flyers, and video conferencing for all employee benefits in the Missouri Department of Conservation. • Maintains specifically assigned SharePoint pages.

HR Data Analyst	1.0	1.0	• Support compensation administration; manually establish and maintain salary, position and personnel information within SAMII, UltiPro, and eLabor for Department personnel. • Audit eLabor time sheets for adherence to policy and ensure integrity of time reporting. • Maintain, evaluate and update Position Description Questionnaires (PDQs). • Conduct market analysis and prepare reports using data from UltiPro, eLabor, SAMII, Access, Excel, etc., for comparison in job studies, reclassification requests and surveys from other agencies. • Review and audit data from multiple systems to ensure personnel system data accuracy and comparability. • Provide user support for Human Resource Information System (HRIS) desktop applications. • Administer personnel files stored electronically in the Filebound system.
HR Benefits Analyst	1.0	1.0	• Support Department staff members with administration of medical, life, accidental death and dismemberment, and long-term care insurance. • Coordinate data entry to MOSERS for retirement system data update related to new hires, terminations and retirements. • Support Department staff with Cafeteria plan inquiries. • Coordinate new employee orientation (NEO) for health insurance and benefits enrollment. • Coordinate new and existing employee inquiries regarding deferred compensation. • Support electronic file support with document scanning to Filebound system.
Employment			
Employment Manager	1.0	1.0	• Direct exempt and nonexempt recruiting, interviewing, selection and placement of applicants for employment. • Direct the design and placement of employment advertising. • Coordinate recruitment/outreach efforts with staff of universities and technical schools. • Supervise testing and employment training programs. • Direct and design programs supporting the employment of the disabled, minorities and females. • Develop valid and reliable testing methods for use in employee selection.

HR Specialist	1.0	1.0	• Prepares and revises written job descriptions of job classifications. • Prepares recruitment information such as web postings, newspaper/magazine advertisements, brochures and public service announcements. • Schedules interview dates, develops interview questions, supports functional area supervisors with interview questions and participates in interview process. • Support diversity program through program development/coordination of the Workforce Council. • Manage and administer the employee clothing allowance program.
HR Analyst	1.0	1.0	• Prepares recruitment information • Reviews applications to determine compliance with minimum qualifications • Prepares written job descriptions, prepares job announcements • Schedules interview dates, develops interview questions, conducts interviews, evaluates candidates, investigates candidates background
HR Recruitment Technician	1.0	1.0	• Supports recruitment function through E-Recruitment system data entry, review, update. • Prepares application material packets for distribution. • Assists with interview scheduling. • Coordinates collection and review of required employment forms including I-9 Employment Eligibility Form and Commercial Driver's Licenses (CDLs). • Supports Department internship program. • Supports Department charitable campaign fundraising efforts.
Intern (not full time positions)	2.0	2.0	• Perform various clerical functions, such as data entry, filing, copying, statistical analysis, and surveys. • Provide support to Human Resource personnel in a variety of functions, including but not limited to recruitment, employee benefits and training. • Gain exposure to Human Resources with assigned responsibilities.
Total Full-time Staff	19.0	18.0	

The section below provides a review of the data collected by the project team.

2.4 KEY SOFTWARE SYSTEMS AND DATABASES UTILIZED

The Missouri Department of Conservation utilizes UltiPro as its main HRIS. This is supplemented by the use of several systems and tools created in-house (such as the MoRecruitment application) and many access databases. The following table presents the key databases utilized by the Missouri Department of Conservation Human Resources Division to complete various work processes. For each database, the table outlines the data location and the purpose of the database.

MDC HR Databases / Applications / Tools

Item	Data Location	Purpose/Notes
Budget Prep (aka Annual Budget Reporting Process)	Reports are in an Access database V:\HumRes\HRIS\Appropriations\BudgetPrep.mdb and exported to Excels	Produce 5 reports (Excel spreadsheets) related to position management requested by Financial Services budget staff each July
		BudActSalaries process involves manual manipulation of spreadsheet to add calculations and a note and manual verification with rptPositionManagement in another database V:\HumRes\HRIS\HRISPositionManagement\PositionManagement.mdb
		HoldPositionsWHistory and OpenPositionsbyDivision reports involve manual verification/correction by HR Data Analyst
		Involves manual comparison of total positions on tblBudActSalariesWPositionNo, Position File from Unionqry, and BudActSalaries spdsht with rptPositionManagement in V:\HumRes\HRIS\HRISPositionManagement\PositionManagement.mdb
		Manually send 5 Excel spreadsheets to Financial Services budget staff
Clothing Allowance Reporting	Reports are in an Access database V:\HumResHRIS\MoClothing\MoClothing.mdb and exported to Excel	Provide 4 reports to the clothing vendor twice a month on or near the 1st and 15th: Clothing Changes, Address/Name Changes, Terminations, and Division Changes
		Involves using audit reports (in the Access database) to verify the reports; may involve reviewing UltiPro or working with staff member to resolve discrepancies
		Email reports to vendor
		Also have 5 internal reports and can do ad hoc queries

GASB Reporting	Census data for active and retired employees is generated through an Access database V:\HumRes\HRIS\Retiree Reports\GASBReporting\GASB_Reporting.mdb and exported to Excel	Reporting GASB 45 data for retirees participating in the medical insurance program
		Involves manual comparison of fields captured by query to current reporting requirement and updating of queries, if necessary
		Involves manually changing cell format
		Involves manual review of report by HR Technician (Benefits Section)
MoFIRE – Fire Certifications, Licenses and Training	Access database V:\HumRes\MoFIRE\Bruce Palmer Original\Fire Training Records_Master.mdb	Houses the original data used in the initial import of licenses and training information into UltiPro
		Referenced to identify employees who were “grandfathered” for certain licenses or granted a “bypass” for Level 1 training as questions arise
	Access database V:\HumRes\MoFIRE\MoFIRE.mdb Also referenced V:\HumRes\MoFIRE\eLaborBurnNotes.mdb	Provides real-time reports of employee fire training and license information to the Forestry Division between January and June of each year
		Enables mass updating to renew the licenses of all who have met the license renewal requirements
		Save rpt_Licenses_BurnNotes as pdf and send to Forestry Div staff
		Involves manually changing the Update field to Yes/No data type so Forestry Div staff can update data appropriately (Note: potential for workflow component and mass updating of renewal date)
CAFR – Leave Liability Reporting	Data is in V:\HumRes\HRIS\MoCAFR_LeaveLiability\CAFR_LeaveLiability.mdb and exported to an rtf (Revised Text Format) to capture a snap-shot of the raw data used to generate the final report	Provides CAFR and Leave Liability data to Fiscal at the end of each fiscal year
		Involves a manual comparison to previous years’ data and investigation into any extreme variation
		Save reports as rtf documents and email to Financial Services Chief
MoAAP Outreach	Data is entered into a form in an Access database V:\HumRes\HRIS\MoAAPOutreach and exported to Excel	Tracks the results of the Outreach Report submitted by employees each year for including in the Department’s Affirmative Action Plan
MoTraining Prep Email Procedures	Access database V:\HumRes\HRIS\HRISTraining\MoTrainingPrep.mdb	Generates a reminder email for individuals enrolled in a training course
		Involves Mail Merge in Word
Performance Appraisal Tracking System	Access database V:\HumRes\HRIS\MoPATracking\MoPATracking.mdb	Tracks the receipt of performance appraisals
		Allows reporting of items not received
MoPersonnelForm	Master database V:\HumRes\MoPersonnel\MoPersonnelForm_Master\MoPersonnelForm_Master.mdb	Provides an automated personnel form used by Central Office Managers
		Involves HR staff manually keying data into UltiPro
		Changes are made in the master database and transferred to the division databases

MoBenefits_NewHire	Access database V:\HumRes\HRIS\MoBenefit\MoBenefit_NewHire.mdb	Sets up a new employee's benefit file and provides a summary of a new employee's benefit options
		Involves HR staff manually updating insurance codes or rates and benefit options
		Integrates with RAPTOR system to pull paycheck deductions
MoBenefits_Pending Retirement	Access database V:\HumRes\HRIS\MoBenefits\MoBenefits_Pending Retirement.mdb	Enables automated preparation of letters to impending retirees and forms for submitting benefit selections
		Integrates with RAPTOR system to pull paycheck deductions
		Involves manual entry of retiree basic life insurance eligible amount
		Involves HR staff manually updating insurance codes or rates
MoDiscipline	Access database N:\DISCP\Original-Do Not Delete\DISCP.mdb	Tracks disciplinary activity (i.e., reasons and actions) for individual employees
		Allows reporting by reason
Outside Employment	Access database V:\\HumRes\HRIS\MoOutsideEmployment\Outside Employment_V1.2.mdb	Tracks outside employment activities of employees
		Involves HR staff manually keying data from a form
Setting Up Roles/IDs	SQL Server Management Studio	Sets up security to provide office managers real-time access to UltiPro for reporting for their division
Leadership Planning	Access database N:\Leadership Planning Task Force\Leadership Planning.mdb	Captures the recommendations and accomplishments of the Leadership Planning Task Force
MoIDCARDS – Employee ID Cards	Access database V:\HumRes\HRIS\MoIDCards.mdb	Allows mail merge for printing identification cards
		Involves entering individual employee numbers or division name
		Involves Mail Merge in Word
Conversion of MOSERS Monthly Deductions Spreadsheet into Access table	Spreadsheet from MOSERS is saved to V:\HumRes\HRIS\Retiree Reports\MOSERS Import as PMISCDCON.xls and linked to the Retirees database located at V:\HumRes\HRIS\Retiree Reports as an Access table	Used to generate reconciliation reports for MOSERS deductions (get spreadsheet from MOSERS monthly)
		Involves HR staff manually saving and updating some items in the spreadsheet
FileZilla – File Transfer to MOSERS	Source files are in V:\HumRes\HRIS\Retiree Reports	Used for secure transfer of Excel files to MOSERS
		Involves manual email to MOSERS with totals
HRIS Monthly Reporting	HRIS Add Ons database V:\HumRes\HRIS\HRISAddOns\HRISv4.mdb	Sets fields in the UltiPro System (every week or every pay cycle)
		Generates Probation Complete report (exported to PDF) for manual comparison with personnel recommendations to see who was approved for probationary increases (monthly) Notes: - Report may be manually updated (new salary keyed, etc.), if needed.

		- Report is printed and given to other staff. - New salary data is re-keyed in UltiPro and SAM II.
		Generates CDP Increase report (exported to PDF) for manual comparison with CDP listing to see who on CDP is due for a step increase (monthly) Notes: - Report may be manually updated (new salary keyed, etc.), if needed. - Report is printed and given to other staff. - New salary data is re-keyed in UltiPro and SAM II.
		Generates Performance Review report (monthly) Notes: - Report is printed and given to other staff (with memo from Debra in June).
		Generates Delayed FY Increases report (monthly) Notes: - Involves manual verification/correction of salaries and other data updates - Report is printed and given to other staff. - New salary data is re-keyed in UltiPro and SAM II.
		Generates Anniversary Increases report (monthly) Notes: - Involves manual verification/correction of salaries and other data updates - Report is printed and given to other staff. - New salary data is re-keyed SAM II and imported into UltiPro.
		Used to update UltiPro data related to Performance Appraisals (monthly) Note: - Involves some manual verification and troubleshooting
	MoPA Tracking database V:\HumRes\HRIS\MoPATracking	Appends records to a table within the PA Tracking System (see above) to maintain historical record of receipt of performance appraisals
	V:\HumRes\HRIS\HRISMonthly Audit	Generates reports to ensure proper changes have been made in UltiPro and to verify the information in UltiPro and SAM II are the same (mostly twice a month; one annually) Note: - Involves manually correcting data

	Position Management Database V:\HumRes\HRIS\HRISPosition Management\PositionManagement.mdb	Generates Position Management report (monthly) Note: - Report is printed and given to other staff.
MoAccidents2	MoAccident_v2 (location not provided) V:\HumRes\HRIS\MoAccidents	Used to import 2 files from Central Accident Reporting Office (CARO): TblAccidentsPersonal contains a summary record for each case, while tblAccidentsPersonalDetail contains a detail record for each active case. (monthly)
		Used to manually enter/update/delete vehicle accident records
		Used to view CARO Personal Injury Details
Security for Updating MDC Tables	SQL Server Management Studio	Sets up security to update non-system tables created through the UltiPro Data Dictionary
EEO Category Changes	Database V:\HumRes\HRIS\HRIS Reports\Reports.mdb Query dbo_vwm_EEOCategory Update	Used to correct EEO Category Codes each time UltiPro is upgraded because EEO Category Codes in UltiPro are EEO-1 codes and do not match the EEO-4 codes used in state government.
UltiPro Exports to ELabor- SQL Jobs	Information is stored in 3 text files on the HRSQL server under UltiProData\eLabor_export_files.	Extracts all information needed to populate eLabor from UltiPro (nightly)
Employee Year-End Benefit Statement	Database V:\HUMRES\HRIS\Benefit Statements\MDC Benefit Statement\EmployeeYearEndBenefitStatement.mdb	Generates a personalized statement that reports the employee's current benefit elections to send with insurance updates and cafeteria enrollment information (annually)
		Involves manually reviewing and updating any changes in codes/options since the previous year
		Results are copied into another database for mailroom to use to print envelopes; extraneous data is removed manually first
		Involves manually verifying the number of employees receiving the statements
Year-End MDC Retiree Benefit Statement	Database V:\HUMRES\HRIS\Benefits Statements\MDC Benefit Statement/RetireeYearEndBenefitStatement_V2.mdb	Generates a personalized statement to send with insurance updates (annually)
		Results are copied into another database for mailroom to use to print envelopes; extraneous data is removed manually first
		Involves manually verifying the number of employees receiving the statements
MoOvertime	Master database V:\HumRes\MoPersonnel\MASTER databases and documentation\MoOvertime_Master\MoOvertime_Master.mdb	Allows office managers at Central Office to generate COMPN overtime and leave balance reports for their division
		Involves first making changes in the master database and then transferring to the division databases

MoTuition	Access database V:\HumRes\HRIS\MoTuition	Tracks employees' participation in the Tuition Reimbursement Program
		Used to generate approval memo (with number of credit hours, school/college/university, etc.),
		Pulls address data from UltiPro
MoRecruit	Access database V:\\HumRes\MoRecruit\MoRecruit.mdb	Stores the data collected via the Online Application System and is
		Used to maintain applicant data, including interview schedules and evaluations
		Used to generate letters and reports
		Prior to implementing the MDC Online Application System, MDC utilized Clipper.mdb as its applicant tracking system. None of the data from Clipper was converted into the MDC Online Application System.
		Enables automated preparation and emailing or printing of letters
		Involves some duplicate entry of data that is already in UltiPro
		Used to maintain employees' CDL information
Drug Testing	Access database	Used to maintain employees' drug testing information/results
MoBenefits Enrollments and Changes	Access database	Used to prepare a personalized change form indicating the employee's current benefits and their options Used to generate an individualized employee benefits statement (using data in UltiPro)
Deductions Type	Access database	Contains several stand-alone tables used in various databases such as MoBenefits_NewHires, MoBenefits_PendingRetirement and Employee Year End Benefits Statements
		Requires table maintenance when new employee health insurance, AD&D or life insurance rates or options are established
Annual Enrollment	Access database	Used to enter annual benefit enrollment information for retirees
MoServiceAward	Access database	Used to generate required retirement forms that are customized with potential retiree information
		Used to send announcement to potential retiree from provider to select a service award based on length of service
MoPreventable Accidents	Access database	Tracks employees' preventable accidents (designated by the Statewide Safety Committee)
FMLA Tracking	Access database V:\HumRes\HRIS\MOFMLA\MoFMLA.mdb	Tracks MDC employees on FMLA leave and who request FMLA leave
		Enables automated preparation of letters to employees

SAM II Benefits Report	Access database	Used to generate queries and reports for bi-monthly reconciliation of UltiPro data with SAM II, MOSERS, and HealthScope Benefits (HSA) data

3. BEST MANAGEMENT PRACTICES ASSESSMENT

In the assessment of Missouri Department of Conservation Human Resources Division, the Matrix Consulting Group project team utilized a wide variety of data collection and analytical techniques to evaluate the operational practices of the organization. The project team conducted the following data collection and analytical activities:

- At the outset of the project, the study team interviewed all Human Resources staff. The purpose of these interviews was to develop an initial understanding of the issues and background, which led to this study, the roles and responsibilities of each position, and the tools and software utilized to perform their work activities.
- While on site, the project team collected a wide variety of data designed to document workloads, costs, service levels and operating practices.
- In order to make the assessments of operational strengths and improvement opportunities, the project team developed a set of performance measures, called “best management practices” against which to evaluate current services, workloads and service levels in the Division. These service and performance measures comprise the main thrust of this report. The measures utilized have been derived from the project team's collective experience in working with hundreds of public sector organizations throughout the country. The performance measures utilized represent the following:
    - Statements of "effective practices" based on the study team's experience in evaluating operations in other municipalities. These measures are both qualitative and quantitative.
    - Where they exist, statements reflecting "industry standards" were used to incorporate commonly utilized service delivery approaches in addition to targets developed by national research organizations.
    - In both instances, these measures of efficiency and effectiveness were selected and adjusted to reflect the unique operating and service conditions at the Missouri Department of Conservation.

The purpose of this chapter was to develop an overall assessment of Division operations and the identification of operational improvements that could improve efficiency and effectiveness of operations. The following subsections of this chapter present the findings of our operational assessment by major functional area. We have identified both current strengths within the operations in place and opportunities for improvement that are designed either to increase efficiency and effectiveness of service provision or move the Division toward implementation of best practices operational practices.

3.1 "TO BE" OPERATIONAL AND SYSTEM CHANGE RECOMMENDATIONS

The following points summarize the major opportunities for improvement identified from the best management practices assessment. The detailed table of best management practices follows this section.

1. MDC should have strategic plans developed at the Division level.
2. The Department should have on-going HR process specific performance measures and benchmarks for service delivery. (i.e. – average time to fill job from approval to fill). Appropriate service measures should be adopted.
3. New training software, if implemented separate from the new HRIS system, should be able to fully integrate with the HRIS system and share training class data, certification requirements, and scheduling of required training.
4. The Division has very narrow spans of control for management positions. Typical spans of control for managers should be in the range of 1 : 9 or 1 : 12 for the types of positions being supervised. The MDC HR Division could also move closer to these spans of control, with a reorganization that provided for two units rather than the existing three.
5. The Division should conduct periodic employee satisfaction surveys. These should be conducted to gauge employee morale.
6. A specific training plan for each HR staff member should be developed that is focused on maintaining and enhancing professional skills and abilities.
7. The Department should establish a routine schedule (at least once every five years) for a comprehensive review and updating of the manual to ensure it remains up-to-date, accurate, and provides necessary guidance and direction for the organization.
8. Automated systems for payroll records are used but are not fully utilized or capabilities leveraged to minimize redundancy and duplicate data handling. Further opportunities to automate and integrate with the new HRIS system should be considered in the selection of a new software package.
9. While Human Resources uses various automated record keeping and transaction processing systems, they are often not linked requiring duplicated data entry and possibility for data entry error. FileBound should be appropriately set up or indexed to enable HR staff to share a single document rather than require duplicate copies from employees.

10. Human Resources should update existing policies on access to personnel records or develop additional policies relating to access to automated records to expand the scope to include confidential information contained in automated formats, whether part of the official personnel file or resident in a transaction processing system supporting human resources functions.

11. Certain key staff / functions (i.e. – Benefits staff) do not have adequate cross training placing the organization at operational risk of having difficulty providing timely services in the absence of a single individual. Further cross training of staff should occur.

12. Consideration should be given to a greater level of centralization of select personnel actions such as offers of employment and coordination of pre-employment testing to increase consistency, ensure compliance with adopted policies, and limit liability. This approach would also eliminate some work associated with correcting errors after the fact (i.e. – placing employee in HRIS prior to start of employment, hiring employees without all required testing being completed).

13. MDC should conduct a formal workforce planning analysis and projection to determine potential needs or gaps in positions / skills for the organization. Succession planning effort should be put in place.

14. The review of applicant pools is principally a manual and labor-intensive process. While receipt of applications online is the norm, screening is done manually. Implementation of electronic qualifications / screening could simplify this effort in the future.

15. The Department does not formally track and analyze recruitment or selection data to identify or validate the effectiveness of various recruitment approaches. This should occur on an ongoing basis.

16. Current recruitment efforts generally focus on local recruitment because this proves cost-effective and yields acceptable results. While infrequent, the Department may need to expand its scope of recruitment to a regional or even national appeal to fill certain specialized or technical positions. The Department should develop procedures for proactively identifying these positions as well as effective methods for outreach and engagement.

17. Consideration should be given in any future HRIS system to placing a preference for systems that include electronic screening of applications, and that link data from applications to the HRIS to reduce both paper processing and data entry.

18. The Human Resources function only accepts applications for open and advertised positions. The on-line application system is available for applicants to develop and retain individual application; however, this system is not used to search out applicants when an opening is announced. Consideration should be given to allowing on-going recruitments for selected positions.

19. Future consideration should be given to implementation of two-level job descriptions for selected positions that enables those without full credentials to be placed in Provisional / Trainee level and moved to normal position upon acquiring necessary qualifications or certifications.

20. The department is aware of areas of underrepresentation. Specific action items for increasing outreach and recruitment efforts to address should be tracked in an effort to increase minority / female representation numbers especially in certain positions.

21. Background checks, reference checks and drug tests – while required as part of the employment process, are not completed consistently for all new hires. While infrequent, some employees have been placed on the payroll without having required drug tests performed. The Department should centralize the review of the post-selection pre-employment phase of the recruitment process into HR. Additionally, all offers of employment should be issued by the HR Division (on behalf of Managing Division) that details all relevant terms of the offer (such as starting date, starting rate of pay, probation period, supervisor, eligibility for benefits – types and starting dates, etc.), and a signed acceptance of employment should be required.

22. Information from an annual survey should be utilized as part of the annual goals setting process to determine processes to review, potential benefit changes, etc. that could be pursued to improve the workplace.

23. Exit interviews should be offered to all employees – ideally through an on-line survey. Additionally, all employees who desire it, should be afforded an in-person interview. At least semi-annual reports should be developed summarizing the information gathered in the exit interviews.

24. Historical turnover data is not maintained by employee class. This should be developed to enhance abilities to conduct future workforce planning efforts and projections of staffing needs for the Department.

25. Expanded use of recorded orientation sessions would enable access for employees that are unable to attend initially scheduled orientation sessions.

26. Human Resources should implement a more robust and comprehensive system to track training information. The data should be collected in greater detail to allow better tracking of individual performance / development as well as use / effectiveness of training classes and programs. The Human Resources Division is investigating training tracking systems that would allow access by managers across divisions for more comprehensive planning, data input and management access.

27. At least an annual review of the training class evaluations should be conducted to determine changes that should be made in training course provision, instructors and content.

28. Human Resources have identified the need for a more robust approach and process to support supervisory development and implementation of succession planning.

29. The development of on-line training course provision capability by the HR Division would assist not only in their ability to provide training to all MDC employees, but also enable other Divisions to deploy on-line training programs. Given the diverse location of MDC staff, this recommendation has the potential for increasing the ability to provide significantly more timely and effective training.

30. Opportunity to develop / implement interactive web-based training. This is particularly beneficial to an organization with staff resources distributed throughout the state.

31. Employee performance appraisals are not always completed in a timely manner. Human Resources staff spends significant time tracking completion of performance evaluations, and requesting supervisors complete and submit their evaluations of employees. Supervisors should be held more accountable for completion of evaluations and their performance of this task should be a factor in their individual performance evaluation.

32. A periodic (every two to three years) training program for supervisors on basic employee relations activities (such as performance evaluation, disciplinary procedures, job coaching, etc.) should be provided to all supervisory personnel.

33. Improved coordination regarding required drug testing at employment would ensure that testing takes place and does not require a delay in the new staff member's start date or the hiring of staff members without required testing. Responsibility for coordinating and confirming testing is completed should be a function of Human Resources.

34. Routine evaluation of sick leave usage to determine patterns of abuse should be conducted.

35. The Department should consider greater implementation of wellness programs to assist in managing and controlling health care costs. While the department has begun implementation of incentivized approaches to wellness (i.e. – no smoking affidavit, exercise programs), additional opportunities exist to more effectively manage healthcare costs and incentivize employees to change behaviors negatively impacting health condition / healthcare costs.

36. Open enrollment should extend to the medical insurance programs. Membership is determined at time of employment or following a qualifying event only. Annual open enrollment periods are the industry norm. MDC falls outside this industry benchmark and implementation of more frequent, if not annual, open enrollments would move MDC towards consistency with the industry practices.

37. The Division should prepare an annual summary of grievances / complaints filed identifying key issues, policies, or action prompting grievances / complaints. This information should be utilized for determination of policy changes and / or training, if appropriate, required to proactively address the identified issues.

38. Reports outlining processing times for resolution of grievances / complaints should be developed.

39. A formal review and development of a new compensation policy (adopted by the Commission) should occur. The compensation policy should outline where the Department desires to target itself in relation to the marketplace and key competitors for employees. The existing compensation plan has several potential inequities within it where supervisors make less than subordinates. Some issues related to

internal equity of positions are also present. The most effective resolution of these issues would be the conduct of a comprehensive classification study.

40. The Department should consider a comprehensive compensation study to realign all positions and establish benchmark positions for compensation and classification purposes. A more defined classification process should be established that include current job descriptions for each position.

41. The HR Department should maintain up-to-date, clear, concise, and readily accessible position descriptions that accurately identify the duties of each position and the background and competency levels required. The position descriptions should be proactively reviewed for currency and accuracy every three to four years.

42. A more defined classification process is needed to provide internal consistency, transparency, and confidence in the classification decisions that are made.

43. Classifications are only reviewed upon request, or when potentially impacted by other classification decisions. The Department should develop a plan to review all classifications at least one every five years to ensure accuracy and maintain internal equity.

44. A formal point count or duties analysis system for classification is not in place. While this is not recommended as the only solution, the Department should update the policy and procedures outlining how classification decision are made to provide clear, concise, and defensible criteria for basing decisions.

While this listing of potential improvements is long, these are not intended to be developed and implemented immediately. A longer-range plan covering the next several years should be developed to implement those improvements that the Division desires to implement.

The following section contains the detailed best management practices assessment that led to the identification of these improvement opportunities.

3.2 BEST MANAGEMENT PRACTICES ASSESSMENT SUMMARY

The following table summarizes the best management practices assessment that was conducted. This includes a statement of the practice, identification of strengths of the Missouri Department of Conservation Human Resources Division related to this practice, and identification of any opportunity for improvement.

Best Management Practice	Strength	Opportunity for Improvement
	Organizational	
1. The Human Resources Division has a multi-year strategic plan with annual goals and measurable objectives	The Department has adopted stretch goals for the HR Division that contains specific and measurable goals and objectives.	MDC does not have strategic plans developed at the Division level.
2. Human Resources has clearly stated program goals and measurable objectives that can be achieved within budget for each major program.	Goals and objectives are documented in the employee handbook. These are listed below: Mission: Sustains human resources services and programs necessary to recruit and retain a diversified, dynamic workforce and ensures we are considered an employer of choice. Goals • Assist MDC in hiring and retaining a highly trained and diverse workforce • Advance practices that encourage employee empowerment and recognize job accomplishments • Ensure ongoing employee training and development programs are predicated on important job competencies and offered in the most efficient and cost-effective manner • Reinforce safety-conscious attitudes and practices in all aspects of employee work	
3. HR uses appropriate performance measures and interpretive benchmarks to evaluate its major programs and uses these in management decision-making		The Department does not have on-going HR process specific performance measures and benchmarks for service delivery. (i.e. – average time to fill job from approval to fill).

Best Management Practice	Strength	Opportunity for Improvement
4. A long-term information technology plan has been prepared for Human Resources.	The Division is looking at various technology needs related to service delivery including the system requirements necessary to meet business requirements. Additionally, the Department is starting an effort to develop a technology solution for the IDP/Competency program.	The Division is also participating in a Department-wide effort to evaluate training software requirements. The various technology efforts underway should be careful coordinated to ensure recommended actions / solutions are compatible.
5. The number of organizational layers does not exceed three (the number of layers that one employee would have to report to reach the HR Division Chief).	The number of organizational layers is appropriate given the size and function of the HR Department.	
6. The span of control for managers and supervisors in Human Resources approximates eight.	The span of control of managers and supervisors is appropriate for the HR Department. Division Chief 1:24 HR Office Manager 1:3 Employee Relations 1:4 Compensation/Benefits: 1:8 (if including all interns/hourly staff Employee Manager 1:3 Staff	The Division has very narrow spans of control for management positions. Typical spans of control for managers should be in the range of 1 : 9 or 1 : 12 for the types of positions being supervised. The MDC HR Division could also move closer to these spans of control, with a reorganization that provided for two units rather than the existing three. Given professional knowledge required to effectively supervise and provide the variety of HR functions and the skills sets and background of incumbents, more narrow spans may be appropriate for MDC at this point in time.
7. Customer satisfaction with Human Resources is routinely monitored and satisfaction with those services is high.		The Division does not conduct periodic employee satisfaction surveys.
8. Management information systems are in place to assess and evaluate whether Human Resources are being properly managed and whether objectives are being met.		

Best Management Practice	Strength	Opportunity for Improvement
9. The training needs of Human Resources staff has been evaluated and identified, and a training strategy has been developed, including a management and supervisory development program.	Human Resources staff members, including HR staff members, administer MDC's employee development and leadership-training programs. Among them is the Professional Development Academy, which provides training for all employees. The training is based on specifically identified competencies (knowledge, skills, behaviors and attitudes) that MDC considers important to success.	A specific training plan for each HR staff member has not been developed that is focused on maintaining and enhancing professional skills and abilities.
10. Human Resource policies and procedures are well documented.	Human Resources has developed and maintains the Employee Handbook presenting policies and practices to Department employees, the Human Resources Policy Manual as well as numerous individual policy / practice narratives supporting specific process transactions.	The Department should establish a routine schedule (at least once every five years) for a comprehensive review and updating of the manual to ensure it remains up-to-date, accurate, and provides necessary guidance and direction for the organization.
12. Human Resources maintains personnel records in an efficient and readily accessible manner utilizing an integrated human resource information system (HRIS).	Personnel files are maintained in FileBound. Office Managers and Supervisors have electronic access to the personnel files for their employees.	Automated systems are used but are not fully utilized or capabilities leveraged to minimize redundancy and duplicate data handling.
a) Human Resources maintains personnel records, including confidential records, in accordance with the applicable Missouri Statutes and regulations.	Personnel records and confidential information is secured and in compliance with State laws.	
b) Human Resources uses automated record-keeping systems (HRIS) and minimizes the use of antiquated or time-consuming hardcopy record systems. Human Resources has an efficient and effective record keeping system for both automated and hardcopy personnel records, including a system for the identifying and archiving of old records.	The Division utilizes FileBound for electronic personnel records.	While Human Resources uses various automated record keeping and transaction processing systems, they are often not linked requiring duplicated data entry and possibility for data entry error. FileBound is not appropriately set up or indexed to enable HR staff to share a single document rather than require duplicate copies from employees.

Best Management Practice	Strength	Opportunity for Improvement
c) Human Resources has established written procedures regarding access to automated personnel records.	The Department provides access to personnel records in accordance with MO statutes and limits access to employee, HR staff, and appropriate supervisory personnel. The Department will limit access to employee records or documents containing information regarding employees to a "right or need to know" basis. This means access may be restricted and/or limited to information which is not considered as a closed record under Missouri statutes or governed by other laws and regulations.	Human Resources should update existing policies on access to personnel records or develop additional policies relating to access to automated records to expand the scope to include confidential information contained in automated formats, whether part of the official personnel file or resident in a transaction processing system supporting human resources functions.
d) Human Resources can demonstrate that it updates personnel records in a timely manner, and, when dealing with a filing backlog, files hardcopy records in a prioritized fashion so that needed records can be found in the file.	No backlog on filing of personnel records was observed during site visits and employee interviews.	
Human Resources Staffing		
1. Staffing allocated to the Human Resources function is in line with the assigned duties and comparable to those utilized by other comparable entities.	Human Resources Division staff member responsibilities and assignments are in line with duties and responsibilities of comparable human resources organizations.	
2. Staff within the HR Division are cross-trained to enable sharing of resources based upon changing work activities and needs of the organization.	The Human Resources Division has cross-trained staff members in certain high-volume transaction processing or critical personnel / payroll support functions. Human Resources staff members in many positions such as Administrative Assistants are cross-trained and often share resources based on needs of the organization.	Certain key staff / functions (i.e. – Benefits staff) do not have adequate cross training placing the organization at operational risk of having difficulty providing timely services in the absence of a single individual.

Best Management Practice	Strength	Opportunity for Improvement
3. Services provided by HR complement those provided within operating units with no duplication of efforts or responsibility. Functions performed by HR are appropriately allocated to that Department and not more appropriately allocated elsewhere in the organization.	The service approach taken by Human Resources supports the distributed nature of human resources services throughout the Department. The Human Resources function takes lead on critical and confidential processing issues while sharing responsibility with Division / Area managers on selected personnel actions.	Consideration should be given to a greater level of centralization of select personnel actions such as offers of employment and coordination of pre-employment testing to increase consistency, ensure compliance with adopted policies, and limit liability. This approach would also eliminate some work associated with correcting errors after the fact (i.e. – placing employee in HRIS prior to start of employment, hiring employees without all required testing being completed).
Recruitment and Selection		
1. Human Resources uses a workforce planning system to project retirement rates by division and/or by "critical skills" positions and has prepared for replacement of lost competencies and skills. This system has been automated. The plan is updated annually.		MDC does not conduct a formal workforce planning analysis and projection to determine potential needs or gaps in positions / skills for the organization. At the present time, there is no succession planning effort in place.
2. Human Resources have efficient and effective processes for recruiting and hiring qualified personnel. The process is standardized among all employees and clearly documented.	Human Resources staff members use a variety of recruitment methods to attract qualified applicants for job vacancies and assists supervisors with all activities during the evaluation and recommendation processes. The processes are reasonably well documented. The level of direct involvement by Human Resources function varies depending upon the request and needs of the requesting division. This can lead to some variability in the recruitment and hiring process.	The review of applicant pools is principally a manual and labor intensive process. While accepting applications online is the norm, screening is done manually. Implementation of electronic qualifications / screening could simplify this effort in the future.

Best Management Practice	Strength	Opportunity for Improvement
3. Human Resources: a) Have standard department-wide procedures to announce vacancies and to receive and process applications.	The Department does apply standard notification procedures with all recruitments to vacancies or newly created positions handled by Human Resources function.	
b) By policy, employment procedures are conducted in a manner that assures equal opportunity regardless of age, race, color, religion, sex, national origin and other protected classes in accordance with relevant statutes.	Human Resources staff monitors MDC's affirmative-action effort to ensure equal-employment opportunities. Department policy and State law requires equal employment opportunity. Based on policy and current practice, the HR Department utilizes fair employment practices to assure potential candidates are offered opportunity regardless of age, race, color, religion, sex, and national origin.	
c) Human Resources monitors the effectiveness of different recruitment methodologies to track where additional work is needed and to monitor the return on the Department's investment. This includes such metrics as ratio of invitations to interviews, interviews to offers, offers to hires, etc.	The Human Resources function tailors recruitment efforts for certain positions based on experience from prior recruitments. For select positions, including technical positions with unique background and experience requirements, may be provided a more intensive recruitment approach to generate a sufficient pool of qualified candidates. For many positions within the Department, such as entry-level positions or general administrative / secretarial positions, a sufficient recruitment pool is established through placing notice on the Department's website.	The Department does not formally track and analyze recruitment or selection data to identify or validate the effectiveness of various recruitment approaches.

Best Management Practice	Strength	Opportunity for Improvement
d) Human Resources can demonstrate that their recruiting practices generate a sufficient number of qualified applicants to fill vacant position.	Human Resources can pull this information from the recruitment database. The HR Department demonstrates their capability of recruiting qualified individuals based on needs to fill vacancies and the pool to select from.	Current recruitment efforts generally focus on local recruitment because this proves cost-effective and yields acceptable results. While infrequent, the Department may need to expand its scope of recruitment to a regional or even national appeal to fill certain specialized or technical positions. The Department should develop procedures for proactively identifying these positions as well as effective methods for outreach and engagement.
e) Human Resources job vacancy announcements provide information on positions to be filled, education, experience, knowledge, skills, and abilities required, and compensation range.	Human Resources posts identical position information in vacancy announcements through physical posting of the announcement or virtual postings on-line. Appropriate information is contained in the posting notice. HR Job Announcements provide the appropriate information pertaining to the position vacant (education, experience, compensation, etc.).	
f) Human Resources can demonstrate that their recruiting practices generate eligibility lists to fill vacant positions in a timely manner (based upon the amount of time from the date a personnel requisition is submitted to the date an eligibility list is provided). These average 45-60 days for clerical and 'operations' staff; 60 to 90 days for professional and paraprofessional staff; and 120 to 150 days for management staff.	This information is available through a special query of the recruitment database. However, this information is not regularly accessed. Unknown regarding "average days", However, (based on interviews) there appears to be a system in place that fills vacancies in a timely manner.	

Best Management Practice	Strength	Opportunity for Improvement
g) Human Resources utilizes technology to make the recruitment process more efficient and timely. This includes:		
• Using the Internet as a primary means to advertise positions and recruit qualified candidates, accept applications on-line, and resume processing software to match jobs to candidates.	The Human Resources function places primary emphasis for position notice advertising with the posting of the announcement on the Department's public website. This information is subsequently rebroadcast by other job services to reach a larger audience. The HR Department frequently utilizes the internet and/or agency website to advertise and recruit positions. The HR Department accepts and processes online applications through MORecruitment an in-house designed application.	Consideration should be given in any future HRIS system to placing a preference for systems that include electronic screening of applications, and that link data from applications to the HRIS to reduce both paper processing and data entry.
• Using the web site to highlight the department's benefit and retirement packages, maximizing their use as recruitment tools.	General information on benefits is available on the public website. Benefit and retirement package information is used as a recruiting tool and is available on links found on the recruitment page.	
• Expanded recruitment outreach by connecting commercial employment web sites to the department's on-line application system.	Commercial and other groups connect to job postings from the Department's website. Expanded recruitment efforts are connected using resources such as Indeed.com and various other employment sites.	
Human Resources utilizes continuous recruitment for hard-to-fill classifications.		The Human Resources function only accepts applications for open and advertised positions. The on-line application system is available for applicants to develop and retain individual application; however, this system is not used to search out applicants when an opening is announced.

Best Management Practice	Strength	Opportunity for Improvement
i) Human Resources has incorporated flexibility in the acceptable minimum qualifications for hard-to-fill positions, including options to allow for certain substitutions for experience and training.	The HR Department utilizes flexible acceptable minimum qualifications for hard-to-fill job positions. Typically these will substitute additional experience for education or require acquisition of specific skills / certifications within a specified time period.	Future consideration could be given to implementation of two-level job descriptions for selected positions that enables those without full credentials to be placed in Provisional / Trainee level and moved to normal position upon acquiring necessary qualifications or certifications.
j) Human Resources focuses on skills, abilities, and behavioral attributes rather than stringent experience/education requirements for hard-to-fill positions and allow demonstrated proficiencies to be substituted for the required education and experience.	The HR Department recruits using “Core Competencies and Special Ability Requirements” to fill positions.	
k) Human Resources utilize a shared recruitment process with other public agencies to reduce the costs of recruitment and competition for the same candidates.		The Human Resources Division does not share recruitment efforts with other public agencies. Given the generally unique positions and the independence of the HR system from state regulations, this approach is not suited as well for MDC. The benefits and work reduction potential does not appear to be present.
l) In those areas in which the Department has experienced a shortage of qualified applicants, Human Resources has developed and implemented short- and long-term strategies to remedy the situation such as the use of sign-on or referral bonuses, for hard-to-fill positions.		The Department does not utilize sign-on, referral or other types of bonuses. While direct monetary bonuses may be difficult to implement for public perceptions reasons at this time, consideration should be given to increasing hiring ranges for select positions.

Best Management Practice	**Strength**	**Opportunity for Improvement**
j) Human Resources can demonstrate that the employees hired within recent years generally reflect the population of the Department's service area, OR, if certain races or ethnicities are underrepresented, the Department has developed and implemented a plan to remedy that situation.	The HR Division develops a comprehensive affirmative action plan annually to evaluate prior hiring activities, and determine whether they are meeting the local labor market demographics.	The department is aware of areas of underrepresentation. Specific action items for increasing outreach and recruitment efforts to address should be tracked in an effort to increase minority / female representation numbers especially in certain positions.
4. Relevant recruitment and selection information is collected prior to the extension of job offers including: • Criminal background checks are conducted on all positions deemed "security sensitive". • Information provided by applicants is verified (such as work history, academic credentials, certifications, etc.). • The documentation of the recruitment and selection process that is available, accurate, and complete (such as applications, resumes, test results, interview questions, recruiting summary, etc.).	The responsibility for verification of background information submitted by an applicant is generally limited to the top candidates for the position and is vested with the employing Division in the Department. Criminal background checks are conducted on public safety candidates only (Conservation Officer). Positions are also required to complete drug testing prior to start of employment.	Background checks, reference checks and drug tests – while requires as part of the employment process, are not completed consistently for all new hires. While low in frequency, some employees have been placed on the payroll without having required drug tests performed. The Department should centralize the review of the post-selection pre-employment phase of the recruitment process into HR. Additionally, all offers of employment should be issued by the HR Division (on behalf of Managing Division) that details all relevant terms of the offer (such as starting date, starting rate of pay, probation period, supervisor, eligibility for benefits – types and starting dates, etc.), and a signed acceptance of employment should be required.
Employee Retention		

Best Management Practice	**Strength**	**Opportunity for Improvement**
1. To the extent possible given factors outside the Department's control, Human Resources works to maintain a reasonably stable work force and a satisfying work environment by addressing factors that contribute to increased turnover or low employee morale. The annual rate of turnover is less than 10% overall.	The Department has extremely low turnover well below the 10% level.	
a) Human Resources can demonstrate through climate surveys, exit interview results, and/or other appropriate methods that it has created a working environment for its employees that enhances worker satisfaction, and minimizes employee turnover. At a minimum:		
• The Department conducts climate surveys that measure employee satisfaction on such factors as work environment, quality of supervision, safety, Department-wide support, and opportunities for professional development; and	Employee surveys are used infrequently by the Department to solicit feedback, primarily on programs. The Human Resources intranet site maintains a "Surveys" link for this purpose.	Information from an annual survey should be utilized as part of the annual goals setting process to determine processes to review, potential benefit changes, etc. that could be pursued to improve the workplace.
• The Department conducts exit interviews with employees who terminate employment, and compile the results of these interviews.	Exit interviews are conducted on an ad-hoc basis. Information from the interview is shared with the Employee Relations Manager to address, as needed. Areas / issues needing immediate attention, are appropriately and timely addressed.	Exit interviews should be offered to all employees – ideally through an on-line survey. Additionally, all employees who desire it, should be afforded an in-person interview. At least semi-annual reports should be developed summarizing the information gathered in the exit interviews.
b) Human Resources Division maintains historical data on turnover rates for major classes of employees and monitors this data to identify unusual variations in the turnover rate.		Historical turnover data is not maintained by employee class. This should be developed to enhance abilities to conduct future workforce planning efforts and projections of staffing needs for the Department.

Best Management Practice	Strength	Opportunity for Improvement
c) Based upon analyses of the working environment, Human Resources has taken steps to identify and remedy factors that adversely affect this working environment.	The HR Division, in conjunction with safety efforts, addresses identified issues that adversely impact the working environment.	
d) Human Resources maintains clear and effective channels of communication with Department employees, including:		
• Providing readily accessible copies of a useful employee handbook, the collective bargaining agreement, and information on Department personnel policies and benefit packages;	The Human Resources Division provides new employees with background information on employment including an Employee Handbook. Every employee has access to this handbook as well as other Human Resources and Department polices via the Department's intranet site.	
• Opportunities for employee feedback on Department policies and practices that affect their areas of work or expertise, including employee membership on policy committees, and/or the solicitation of employee input on Department policies and programs.	The Department makes significant use of cross-departmental teams and committees to address organizational and operational issues.	
2. Human Resources has developed and implemented strategies to make the Department a fun place to work including such strategies as the following: • Public celebration of professional achievements. • Fun social events (e.g., picnics). • Recognition of personal milestones of employees (e.g., anniversaries). • Stress release activities (e.g., casual dress days).	The Human Resources Division employs strategies to increase employee satisfaction by offering socials, recognition celebrations, etc.	

Best Management Practice	Strength	Opportunity for Improvement
Training		
1. Human Resources provides a comprehensive staff development program to achieve and maintain high levels of productivity and employee performance.	Staff administers MDC's employee development and leadership-training programs. Among them is the Professional Development Academy, which provides training for all employees. The training is based on specifically identified competencies (knowledge, skills, behaviors and attitudes) that MDC considers important to success.	
a) Human Resources:		
• Conducts orientation programs for all new employees, and includes information on Department procedures, performance expectations and evaluations, training and career opportunities, and personnel policies regarding such issues as absences, leave approval and tardiness;	All new employees must participate in orientation training. This occurs through regularly scheduled videoconference meetings conducted via link at participating department regional offices. New employee orientation is mandatory for new employees. Information regarding expectations, training, career opportunities, policies, etc. are clearly provided to each new hire.	Expanded use of recorded orientation sessions would enable access for employees that are unable to attend initially scheduled orientation sessions.

Best Management Practice	Strength	Opportunity for Improvement
• Has a Department-wide training program and maintains training records on each staff member.	Department does maintain records by class to record who attended. This information is eventually updated in each employee file. The Human Resources Division does not generally track training activities initiated by an individual Division or by an individual employee.	Human Resources should implement a more robust and comprehensive system to track training information. The data should be collected in greater detail to allow better tracking of individual performance / development as well as use / effectiveness of training classes and programs. The Human Resources Division is investigating training tracking systems that would allow access by managers across divisions for more comprehensive planning, data input and management access.
b) Human Resources conducts needs assessments for the department-wide training program that include input from employees and their supervisors at least every other year. Included within these assessments is input related to the new employee orientation programs.	Human Resources has pursued enhancements to existing training opportunities as well as development of new training and staff development approaches.	
c) Human Resources establishes and maintains formal staff development plans for the department to ensure that all employees receive needed training.	Human Resources is in the process of developing and refining individual development plans and competency assessments for each position in the organization.	

Best Management Practice	Strength	Opportunity for Improvement
d) Human Resources solicits employee feedback on in-service training activities, especially high-cost or recurring training efforts. This feedback is used to evaluate the quality of the training; the performance of the trainers; the extent to which training efforts have met identified long-term training objectives; and the relative benefits produced by the training in view of the costs of the training.	Human Resources regularly solicits employee feedback on the availability of training activities as well as the quality, quantity and effectiveness of training provided directly or through contractors by the Department. Surveys are currently utilized on training to document feedback on the effectiveness and quality of the training program.	At least an annual review of the training class evaluations should be conducted to determine changes that should be made in training course provision, instructors and content.
e) Human Resources is developing a pool of potential managers and supervisors in the Department who are receiving training prior to their selection to become administrators.	The Division has supervisory training programs available to current staff.	Human Resources has identified the need for a more robust approach and process to support supervisory development and implementation of succession planning.
f) All middle and top managers have a Department leadership-training program for administrators and managers.	Human Resources staff members administer MDC's employee development and leadership-training programs. Among them is the Professional Development Academy, which provides training for all employees. The training is based on specifically identified competencies (knowledge, skills, behaviors and attitudes) that MDC considers important to success.	
g) Individual departments are aware of their training responsibilities and have access to budgeted funds in order to meet those responsibilities. Human Resources has developed policies and/or procedures to guide the use of Department funds for high cost training activities such as conference attendance, consultant trainers, or the purchase of video training or other training packages.	Training funds are budgeted by Department division with prioritization and decision-making the responsibility of the local Division or Area manager. Individual Divisions are aware of their employees' training requirements and request funds through the annual budget process in order to meet those.	The development of on-line training course provision capability by the HR Division would assist not only in their ability to provide training to all MDC employees, but also enable other Divisions to deploy on-line training programs. Given the diverse location of MDC staff, this recommendation has the potential for increasing the ability to provide significantly more timely and effective training.

Best Management Practice	**Strength**	**Opportunity for Improvement**
h) Human Resources has established mentoring programs for new employees.	The Department uses mentors in the Individual Development Plan process when a supervisor determines the benefit / need. This option would be available to any supervisor regardless of the employee's tenure with the Department. Department has developed a mentoring program to support individuals selected to participate in the Internship Program. Internships are provided at both the undergraduate and graduate levels. The length of time typically runs concurrent with college semesters or summer break. The program follows a traditional approach to engage students during studies for career exploration and to gain practical experience beyond the classroom. At the undergraduate level the emphasis is on recruitment, career exploration, and introducing top performing students to MDC. At the graduate level the emphasis is on expanding and enhancing the student's experience and knowledge. It can also include graduate students who suspend their graduate studies or have recently completed their graduate studies, in order to gain professional experience. The mentor is responsible for overseeing the student's experience, coordinating opportunities with various divisions, discussing career goals, and helping to support the student's experience.	

Best Management Practice	Strength	Opportunity for Improvement
2. Human Resources provides ongoing Department-wide training to the Department's employees regarding the Department's policies and procedures that prohibit discrimination, sexual harassment, and work place violence.	This training is provided as part of the new employment orientation training. Supplemental training is provided as needed and requested by local Division or Area managers. This training may also be part of a dispute resolution process or discipline process following review and investigation of a complaint. Training is provided MDC-wide regarding discrimination, sexual harassment, and workplace violence.	
3. The Department uses web-based technology to publicize training opportunities that are available to employees, including web pages include course catalogues, registration forms, and "learning links" to other educational and training sites.	Information on training opportunities offered by the Department is communicated to employees through a variety of means including orientations, newsletters, e-mail and intranet postings	Opportunity to develop / implement interactive web-based training. This is particularly beneficial to an organization with staff resources distributed throughout the state.
4. Human Resources utilizes e-learning technologies to provide training to Department employees cost effectively.		This is an area of technology application that could be developed for greater effect, information exchange and cost savings.

Best Management Practice	Strength	Opportunity for Improvement
Employee Evaluation and Performance		
1. The department-wide system has been established by Human Resources for formally evaluating employees that improves and rewards excellent performance and productivity, and identifies and addresses performance that does not meet the Department's expectations for the employee.	All employees participate in a structured annual review process overseen and administered by Human Resources and conducted by local Division and Area managers.	Employee performance appraisals are not always completed in a timely manner. Human Resources staff spends significant time tracking completion of performance evaluations, and requesting supervisors complete and submit their evaluations of employees. Supervisors should be held more accountable for completion of evaluations and their performance of this task should be a factor in their individual performance evaluation.
a) Human Resources*:*		
• Provides written information regarding the performance assessment process to all personnel, including performance criteria that will be used in the assessment and the process that will be used to make the assessment;	All employees receive annual information on the performance assessment process and are active participants in their review. The Department uses a structured performance review process with standard performance categories and assessment criteria.	
• Provides all Department employees with a written employee disciplinary procedure that includes provisions of due process.	This information is included in the Employee Handbook as well as stated in Department policies. Both are available to employees on the Department's intranet site.	
b) Human Resources verifies that all employees receive performance evaluations at least once a year.	Human Resources staff members use automated systems to track that all performance evaluations are completed within proscribed time periods each year. Staff also test that required probationary reviews are completed in a timely manner.	As previously noted, there is a significant work effort required of HR staff to follow-up on non-timely completed performance evaluations.

Best Management Practice	Strength	Opportunity for Improvement
c) Human Resources regularly provides training, guidance, and coaching to managers and supervisors on the procedures for improving the performance or disciplining of poorly performing employees.	This type of training / mentoring is provided on an as-needed basis at the request of local department managers.	A periodic (every two to three years) training program for supervisors on basic employee relations activities (such as performance evaluation, disciplinary procedures, job coaching, etc.) should be provided to all supervisory personnel.
d) Human Resources has established a progressive discipline system.	The Department does use a documented progressive discipline system. Human Resources staff members assist employees and supervisors during grievance and corrective action processes to ensure that objective, fair and appropriate actions occur.	
2. Human Resources has established and implemented policies regarding the drug testing of employees and who are impaired by alcohol or drug abuse.	State law requires that drug testing occur at time of employment. Random drug testing is not allowed. Required drug testing can occur following an injury or accident. The HR Department has established and implemented policies regarding drug testing of employees and those impaired by alcohol or drugs.	Improved coordination regarding required drug testing at employment would ensure that testing takes place and does not require a delay in the new staff member's start date or the hiring of staff members without required testing. Responsibility for coordinating and confirming testing is completed should be a function of Human Resources.
3. Human Resources provides an employee assistance program for staff to receive assistance with any admitted substance abuse issues or any impairment resulting from alcohol or drug abuse.	The Department makes an Employee Assistance Program (EAP) available to all employees as a confidential service.	
4. Human Resources has an efficient and cost-effective system for managing utilization of sick leave.	[redacted]	[redacted]

Best Management Practice	**Strength**	**Opportunity for Improvement**
a) Human Resources monitors rates of sick leave. Human Resources has defined the rate of sick leave that requires Human Resources review, and has developed policies/practices to deal effectively with the problems created by excessive sick leave.	All forms of leave (including sick leave) information are recorded in existing data systems. Human Resources does not actively track leave use beyond the availability of leave for payroll calculation and the need for assessing leave without pay. Individual Division or Area Managers may bring specific employee sick leave issues to the attention of HR for consult and advice.	Routine evaluation of sick leave usage to determine patterns of abuse is not conducted.
b) The Department has implemented ways to decrease sick leave, which may include an incentive program to reward good attendance.	Per Department policy, any absence over 24 consecutive work hours (whether personal illness, family illness or a combination of both) requires that a written statement from a licensed health care provider is provided to the supervisor. The statement from the health care provider should include the patient's name, dates seen by the health care provider, nature of illness/injury, date released to resume work activities, and signature of health care provider. When necessary, supervisors may request a statement from a health care provider at any time. Supervisors may require employees to obtain health care provider statements for six months if a pattern or frequency of illness develops. All sick leave absences, regardless of length, would require the health care provider statement. Since this may constitute corrective action, immediate supervisors must confer with Human Resources and receive approval from their Division Administrator before imposing the requirement.	

Best Management Practice	Strength	Opportunity for Improvement
c) The Department actively monitors disability and absence leaves to reduce time away from the workplace and ensure compliance with adopted policies.	Salaried employees may be granted leave without pay because of a medical disability (including time off due to Workers' Compensation), to begin a course of training or study to improve his or her quality of service or prepare for promotion, for military service as required by federal law and for other reasons approved by the Department. The employee must exhaust all annual leave, compensatory time off and in the case of illness, all sick leave (unless the absence is due to Workers' Compensation in which leave is used as explained below) before receiving leave without pay unless approved otherwise by the Division Administrator or designated staff, or exempted by federal law. Division Administrators may approve up to 60 days of leave without pay; the Director may approve an additional 60 days. Leave without pay absences which are to last beyond this 120-day period must be approved by the Commission unless federal law has established requirements for the absence.	
Workers Compensation		
1. Human Resources uses cost-containment practices for its Workers' Compensation Program.		
a) Human Resources reviews its Workers' Compensation Program to evaluate workers' compensation claims and expenses. The average injury rate per 100 full-time employees is comparable to the U.S. Bureau of Labor Statistics annual survey for comparable public agencies.	The Central Accident Reporting Office (CARO), located in the State Office of Administration, which administers Workers' Compensation claims for the Department of Conservation. The HR Department reviews and evaluates is Worker's Compensation Program claims and expenses. Unknown of the rate.	

Best Management Practice	Strength	Opportunity for Improvement
b) Human Resources uses the results of these evaluations to be proactive in attempts to cost effectively reduce frequency and cost of Workers' Compensation claims.	The Department is self-insured and proper reporting of accidents is required to provide medical care and liability protection for staff involved in injury and/or property-damage accidents. Public mishaps on Department property must also be documented.	
c) Human Resources has procedures that are distributed to all employees concerning prompt reporting of all on-the-job injuries.	Employees are directed by the Employee Handbook to complete the following: If the employee is injured while on duty and the extent of the injury is a medical emergency, the employee should go to the nearest emergency treatment facility as soon as possible. If the injury is not a medical emergency, the employee must call toll-free 1-800-624-2354 for referral to appropriate medical care. All injury accidents must also be reported within 24 hours (or if that is not possible, by the next working day) to the Accident Reporting Number (573/522-4115, ext. 3274), regardless of emergency or nonemergency medical care. Proper reporting and following required procedures is essential and can provide the employee with protection, especially if complications or disability occurs as a result of a work-related injury. Policies and procedures are distributed to all employees concerning on-the-job injuries.	

Best Management Practice	Strength	Opportunity for Improvement
d) Human Resources has a safety inspection program that determines the corrective actions necessary based upon past workers' compensation claims and proactive inspection of high-risk areas and professions.	Human Resources staff administers loss-control programs including safety training, hazard identification on public lands, chemical safety and personal injury, vehicle accident and public-mishap reporting and monitoring.	
2. Human Resources practices strong cost-containment measures to limit the amount needed to be placed annually into the workers compensation fund. These cost containment measures include:		
• A light duty program to get injured employees back to work as soon as possible;	Light duty program is employed to ensure employees are back to work as soon as possible. CARO (Central accident reporting office) – will use for available position within current job. Very limited ability to accommodate.	
• Routine, cost-efficient monitoring and follow-up of claims (by a third party administrator) to ensure that workers are returned to work as soon as possible;	Go through CARO process. If additional information is needed referral to physician may occur to conduct return to work job assessment to get detail needed to make a determination.	
• A claims review function to identify and address situations, unsafe conditions, or training deficiencies that may have contributed to worker injuries or accidents.	The Department uses Safety Committees to review accident information and to identify potentially unsafe situations, training gaps, and other deficiencies that may contribute to accidents.	
	Employee Benefits	
1. Human Resources uses cost-containment practices for its employee benefits programs, including health insurance, dental insurance, life insurance, disability insurance, and retirement.		

Best Management Practice	Strength	Opportunity for Improvement
a) Human Resources reviews its employee benefits prior to each new contract with employee unions to ensure that the Department is attaining appropriate value for its benefit costs.	The Employment Benefit Board of Trustees continuously monitors claims experience and outside influences that can impact the Plan's benefits and capability to meet financial obligations. Many factors have played a role in the past actions they've taken to cut and/ or share costs. These measures have enabled the Board of Trustees to sustain an appropriate Fund reserve balance and reduce the initial 11% premium increase projected for FY2012 to an overall 6.5% increase in premiums. The Board of Trustees continues to explore additional avenues to improve Plan options and financial status. Employee benefits are reviewed by the Board to ensure appropriate value of benefit costs is attained.	
b) The Department works cooperatively with employee unions / groups to evaluate alternative delivery options for its employee benefits in order to contain costs, such as • Self-insurance; • Alternative approaches to benefit programs, such as cafeteria plans; • Variable family benefit choices; • HMO and preferred provider plans; • Variations in the levels of deductibles and co-payments; • The relative level of benefits provided to part time and full-time employees.	The medical insurance program offers two medical plan options: one is a traditional medical plan and the other is a High Deductible Health Plan/Health Saving Account. Deductibles, routine/well care, coverage levels, PPO networks and HMO discounts, and prescription drug benefits are included in these options and employees are directed to carefully review features to determine which is the most suitable for their needs.	

Best Management Practice	**Strength**	**Opportunity for Improvement**
c) The Department uses prevailing cost containment methods in providing employee health insurance benefits. These include self-insuring, using a PPO, offering employees use of HMOs, establishing a wide variety of cost control mechanisms for medical and prescription drug benefits such as using case management, coordination of benefits, pre-admission certification and concurrent review of inpatient health care, claims processing edits, and hospital audits, requiring enrollees to pay a portion of their health care costs through deductibles, coinsurance, and co-pays, etc.	The Employee Benefits Board is responsible for review of these types of efforts to manage health care costs.	The Department may want to consider greater implementation of wellness programs to assist in managing and controlling health care costs. While the department has begun implementation of incentivized approaches to wellness (i.e. – no smoking affidavit, exercise programs), additional opportunities exist to more effectively manage healthcare costs and incentivize employees to change behaviors negatively impacting health condition / healthcare costs.
d) Human Resources calculates the anticipated short term and long term fiscal impact of changes to its benefit packages prior to agreeing to those changes.	These types of fiscal impacts are conducted by JW Terrell (a consultant utilized by the Department) and they recommend specific changes. Additionally, the Division and consultant work with Healthscope on membership numbers and demographics. The Employee Benefits Committee has entire authority for specific plan changes.	
e) The Board of Directors is informed as to the short term and long term fiscal impact of changes to its benefit packages prior to approval of employee benefit packages.	The above analysis is shared with the Commission to support funding requests and decisions.	

Best Management Practice	Strength	Opportunity for Improvement
2. Annual open enrollment programs are well advertised and conducted in an efficient manner to both educate employees regarding benefit options and efficiently process enrollments.	Annual enrollment programs are advertised and provided throughout the State at Department of Conservation facilities. Plan evaluates annually whether to have open enrollments. The Department has not had an open enrollment since 2004.	Open enrollment does not extend to the medical insurance programs. Membership is determined at time of employment or following a qualifying event only.
Employee Relations		
1. The causes of grievances are monitored and corrective and preventative measures taken to reduce the number of grievances filed.	This analysis is done on an informal basis.	The Division should prepare an annual summary of grievances / complaints filed identifying key issues, policies, or action prompting grievances / complaints. This information should be utilized for determination of policy changes and / or training, if appropriate, required to proactively address the identified issues.
2. The resolution of grievances by Human Resources is timely.	A supervisor's failure to act within established or agreed-to time frames allows the employee's issue/complaint to proceed to the next level, while an employee's failure to file the complaint/issue within these time frames discontinues the dispute resolution process (barring extenuating circumstances determined by the Human Resources Division in consultation with appropriate staff). Time frames may be extended if the involved parties agree, with terms of the agreement, in writing to the employee and a copy to Human Resources.	Reports outlining processing times for resolution of grievances / complaints are not generally developed or utilized.

Best Management Practice	Strength	Opportunity for Improvement
3. Human Resources has adopted a policy regarding the filing of grievances, and this process has been communicated to all employees.	The Department provides dispute resolution procedures to promptly resolve work-related issues that ordinarily have not been resolved through supervisory channels. While the nature of some issues may warrant the involvement of higher levels of management for resolution, employees are encouraged to attempt to resolve issues at the lowest possible level. An employee's initiation of dispute resolution procedures does not limit the Department's right to proceed with necessary corrective action.	
Classification and Compensation		
1. Human Resources has developed a formal written compensation policy. This policy has been clearly communicated to the Department's employees.	It is the policy of the Department of Conservation that "…The Department classifies positions based on the nature of work, comparability of jobs to others in the agency, and salary data." The Department pays salaries based on factors such as the nature of work, competitive labor market rates and performance. The type of position will determine how salary administration procedures are applied, and internal guidelines will govern payroll processing.	A formal review and development of a new compensation policy (adopted by the Commission) should occur. The compensation policy should outline where the Department desires to target itself in relation to the marketplace and key competitors for employees. The existing compensation plan has several potential inequities within it where supervisors make less than subordinates. Some issues related to internal equity of positions are also present. The most effective resolution of these issues would be the conduct of a comprehensive classification study.

Best Management Practice	Strength	Opportunity for Improvement
2. Human Resources periodically compares its salaries for “benchmark” classifications with other public and private agencies, and adjusts salaries as necessary to enable the Department to compete for qualified applicants.	Human Resources staff members will benchmark salaries with selected public and private sector entities during classification or reclassification efforts.	However, conducting these studies on a selective basis often results in internal equities requiring additional adjustments to resolve. As noted above, the Department should consider a comprehensive compensation study to realign all positions and establish benchmark positions for compensation and classification purposes. A more defined classification process should be established that include current job descriptions for each position.
3. Human Resources has developed and implemented a variable compensation system, such as pay for performance, to establish linkages between performance and compensation.	Performance pay increases are based on availability of funding, Commission approval and satisfactory job performance. Employees in performance pay eligible positions may receive a performance pay increase, except as noted in the “Withheld Salary Increases,” “Reclassification,” “Voluntary Demotion,” “Involuntary Demotion,” and “Reorganization” sections of HR Policy. Performance pay increases are given within a performance pay increase range established annually by the Department. The first performance pay increase is pro-rated according to the number of months the new employee was employed during the fiscal year. Future performance pay increases are scheduled for July 1 of subsequent fiscal years. Employees may not use the Department’s dispute resolution procedures for disputes / complaints regarding the amount of performance pay increase they receive.	Pay for performance used to be utilized by the Department but was eliminated due to fiscal concerns. The compensation policy previously discussed, should outline how the Department desires to utilize step and pay for performance approaches.

Best Management Practice	Strength	Opportunity for Improvement
4. Human Resources maintains up-to-date, clear, concise, and readily accessible position descriptions that accurately identify the duties of each position and the background and competency levels required. The position descriptions are proactively reviewed for currency and accuracy every three to four years.	The Department has recently gone through an updating of position description questionnaires for most positions to identify current duties.	The HR Department does not maintain up-to-date, clear, concise, and readily accessible position descriptions that accurately identify the duties of each position and the background and competency levels required. The position descriptions are not proactively reviewed for currency and accuracy every three to four years.
5. Classification decisions made by Human Resources are based upon objective and documented data (job descriptions, questionnaires, interview notes, and organization charts).	The Human Resources Division does employ objective criteria when reviewing and recommending position classifications.	A more defined classification process is needed to provide both internal consistency, transparency, and confidence in the classification decisions that are made.
6. Human Resources proactively reviews the allocation of Department employees to classifications every three to five years to ensure that employees are properly classified.		Classifications are only reviewed upon request, or when potentially impacted by other classification decisions. The Department should develop a plan to review all classifications at least one every five years to ensure accuracy and maintain internal equity.
7. Human Resources utilizes a formal job evaluation system to determine the correct classifications for employees. Human Resources staff has received formal training in the use of the job evaluation system.	The approach used by the Human Resources Division is systematic and requires consistent and comprehensive data when reclassification requests are received.	A formal point count or duties analysis system for classification is not in place. While this is not recommended as the only solution, the Department should update the policy and procedures outlining how classification decision are made to provide clear, concise, and defensible criteria for basing decisions.

Best Management Practice	Strength	Opportunity for Improvement
8. Human Resources reviews the internal equity of classifications every three to four years.	While the Human Resources Division has conducted these reviews in the past, there is no set schedule for mass reviews.	These reviews are generally conducted only when (1) a request is made by the Managing Division, or (2) a position is potentially impacted by other classification reviews that are underway.
9. Human Resources has utilized broad banding to reduce the number of classification titles within a series.	The Department utilizes broad-banding concepts for many positions including resource science assistants, IT specialist, etc.	

4. WORKFLOW AND DOCUMENTATION OF EXISTING PROCESSES

A key component of this study was the documentation of existing human resources business processes to identify opportunities to improve operations, the existing systems utilized for each process, and the various entities that were involved in these processes.

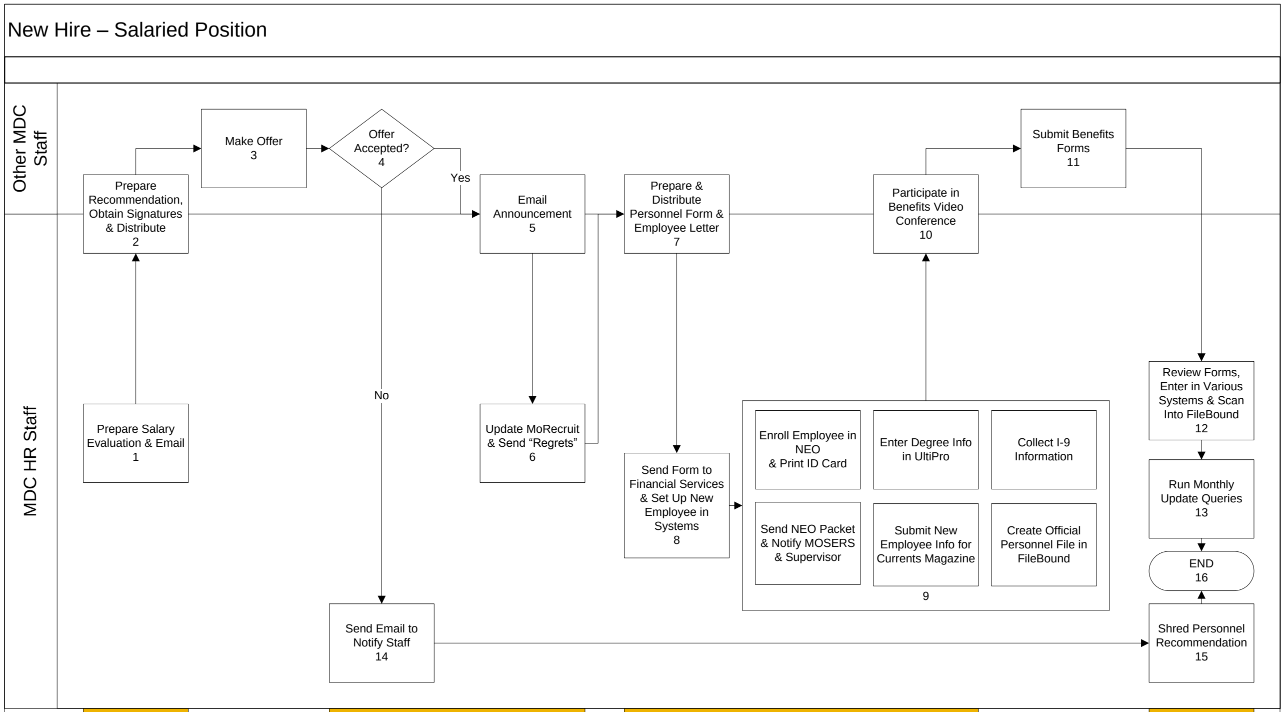
This chapter provides an overview of the major human resources processes that have been evalauted, workflowed and analyzed relative to the business requirements and technical requirements. For each of the specific processes, there is a workflow outlining the following :

- Key Steps in the Process,
- Decision Points,
- Systems / technology utilized during the process,
- Key limitations that currently exist (either technological or process),
- Key opportunities for improvement in the process.

All key limitations and opportunities for improvement are based upon the actual processes in place, and not the comparison to best management practices. The comparison to best mangement practices, and resulting recommendations for improvement, are located in the best management practices analysis document.

The individual workflows are presented on the following pages:

New Hire – Salaried Position



Email	1,2	5,14	7,8,9	12
Word	2	7,9	12	
DrugTesting DB	4			
MoR* DB	2	6		
UltiPro	2	7,8,9	12	
MoIDCards DB	9			
MoPersonnelForm DB	7			
SAM II	8			
HRISAddOns DB	8	13		
Site Administration	8			
SEBES	8	12		
MoBenefits_EnrollmentsAndChanges DB	9			
FileBound	9	12		
MoBenefits_NewHire	12			
EMCHCP	12			
MoPATracking DB	13			

* MoRecruit Database

The preceding diagram illustrates the process for hiring (or rehiring) an MDC salaried employee.

1. Once an applicant has been selected, the MDC HR Employment Manager or Recruiter prepares a salary evaluation (e.g., whether the employee receives a probationary increase, relocation expenses, etc.; whether a drug test is required, etc.) and emails it along with the application to the MDC division office manager, MDC supervisor, and MDC HR Data Analyst.
2. The MDC division office manager or supervisor works with the MDC HR Data Analyst to prepare a Personnel Recommendation (Word) with the applicant's start date and sends the recommendation to the MDC HR Data Analyst with a justification memo. The MDC HR Data Analyst verifies the information in the recommendation (e.g., position number, title, location, salary, incumbent's name and work history, probationary increase, relocation expenses, etc.) using the recruiter's email, the salary schedule, the application, and UltiPro. Once it has been verified, the MDC division office manager obtains the division chief and unit chief's signatures and sends the original to the MDC HR Data Analyst. The MDC HR Division Chief reviews and initials the recommendation (along with the justification memo, evaluation results, job description, application, and salary email from the MDC HR Recruiter). A copy is made for tracking, the original is sent to the MDC Deputy Director and Director for signature. Once signed, the MDC HR Data Analyst keeps the original recommendation, and copies are distributed to the following:
    - MDC division office manager
    - MDC HR Employment Manager or Recruiter
    - MDC HR Benefits Analyst
    - MDC HR Administrative Staff Assistant
3. The MDC supervisor makes an offer (phone call) to the applicant.
4. The MDC supervisor receives notice of whether the applicant accepts the offer. If the applicant accepts the offer, the MDC supervisor instructs them to obtain a drug test before their start date. (The MDC HR Recruitment Staff enter the drug testing information/results in the Drug Testing database.) If the applicant does not accept the offer, proceed to Step 14.
5. If the applicant accepts the offer, the MDC supervisor or MDC HR Recruitment Staff emails an announcement of the new hire.
6. The MDC HR Staff complete the following tasks:
    - The MDC HR Employment Manager updates the MoRecruit database to indicate the job posting is filled.
    - MDC HR Recruitment Staff sends "regret" letters to any other external applicants.
    - MDC supervisors notify any other in-house applicants.
7. The MDC division office manager calls the employee to get their personal information, prepares the Personnel Form in the MoPersonnelForm Database (pulling data from UltiPro), converts the Personnel Form to pdf, and emails it to the MDC HR Data Analyst. The MDC division office manager also sends a confirmation letter (Word document) to the employee and a copy of the letter to the MDC HR Hourly Staff.
8. The MDC HR Data Analyst keeps a copy of the Personnel Form for data entry and sends the original to the MDC Financial Services Accounting Technician. Three to five days before the employee's start date, the MDC HR Data Analyst sets up the new employee in the following systems:
    - SAM II (The MDC Financial Services Accounting Technician gives final approval of the SAM II ESMT entries.)
    - UltiPro (New Hire or Rehire Wizard, eLaborExp, Clothing Allowance, Education, etc.)
    - HRISAddOns Database
    - Site Administration (UltiPro Web Setup)

  - SEBES (MCHCP & MOSERS)

   The MDC HR Data Analyst emails the MDC Financial Services Accounting Technician if the employee is changing from an hourly to a salaried position (for timesheet audit of overtime) or is coming from another state agency (to transfer records in SAM II).

9. The MDC HR Staff complete the following tasks:
   - The MDC HR Administrative Staff Assistant enrolls the employee in a New Employee Orientation class in UltiPro and prints the employee's ID card for the new employee packet.
   - The MDC HR Hourly Employee enters the new employee's degree information in UltiPro.
   - The MDC HR Recruitment Staff collect I-9 information from the applicant (within 3 days of the hire date).
   - After receiving an email from the MDC HR Data Analyst stating that the new hire has been entered into UltiPro, the MDC HR Benefits Analyst creates a Benefits file for the employee in FileBound and prepares and sends a New Employee Orientation packet to the employee's work location so it's there on their start date. She can't send the packet until the employee is entered in UltiPro, because the packet is personalized with the employee's information. The MDC HR Benefits Analyst notifies MOSERS of the new employee if they are transferring from another state agency. MOSERS sends an email to the employee instructing them to enter their information in the Statewide Employee Benefit Enrollment System (SEBES) system. (The employee has one month to sign up for benefits in SEBES. If the employee hasn't set up their benefits within a certain timeframe, the MDC HR Benefits Analyst receives an email and notifies the employee.) The MDC HR Benefits Analyst also emails the supervisor to inform them that New Employee Orientation is a mandatory meeting for the new employee.
   - The MDC HR Office Manager submits the new employee's information for the Currents magazine.
   - The MDC HR Hourly Staff creates the employee's official Personnel File in FileBound and scans in the Personnel Form and new hire confirmation letter.

   (The MDC IT Support Technician sets up single sign-on for eLabor.)
10. Each month, the MDC HR Benefits Staff participate in a benefits video conference with any MDC new hires. During the video conference, the MDC HR Specialist explains the employees' benefit options and reminds them of the enrollment deadlines. The MDC HR Benefits Analyst explains the various forms.
11. Within a month of their start date, the new employee fills out their benefits enrollment forms and submits them to the MDC HR Benefits Staff.
12. The MDC HR Benefits Analyst reviews the forms to make sure they are complete and signed and notifies the employee of any additional documentation needed. The MDC HR Benefits Analyst enters the employee's benefits information into UltiPro (and EMCHCP and SEBES when the employee is transferring from another state agency) scans the forms and supporting documentation into FileBound, and runs the nightly exports to SAM II and HealthScope Benefits.
13. After all personnel transactions for the pay period have been entered, the MDC HR Data Analyst runs the monthly update queries in the MoPATracking database and the HRISAddOns database.
14. If the applicant declines the offer, the MDC HR Data Analyst emails the MDC HR Benefits Analyst, MDC HR Administrative Staff Assistant, and MDC HR Employment Manager, instructing them to shred their copies of the Personnel Recommendation. (The MDC HR Data Analyst keeps the original.)

15. The MDC HR Benefits Analyst, MDC HR Administrative Staff Assistant, and MDC HR Employment Manager shred their copies of the Personnel Recommendation. (If the applicant declined the position after they were entered into the systems, MDC HR Staff would also delete them from the various systems.)
16. End of Process

Limitations/Opportunities for Improvement:

- An HR System with workflow and document management functionality could expedite the review/approval steps in the new hire process and reduce or eliminate the need for routing and storing paper documents.
- Some fields (e.g., clothing allowance, annual leave payout, overtime payout, etc.) aren't in the UltiPro wizard, so the MDC HRIS Coordinator created the Personnel Form in the MoPersonnelForm database to capture this information. The database utilizes views from UltiPro as the base for the Personnel Form to be used by MDC office managers. MoPersonnelForm does not commit changes directly to UltiPro. Ultimately, the form must be printed or saved as a pdf and sent to the MDC HR Data Analyst to be entered into UltiPro. A different copy of the database is made for each division.
- MDC HR Benefits Staff track which new employees attend the benefits video conference on paper. If an employee doesn't attend the video conference, MDC HR Benefits Staff call or meet with the new employee to explain their benefit options before the deadline for submitting their paperwork. MDC HR Benefits Staff have considered providing a pre-recorded video but decided to keep it live/interactive so it is more personal and staff is available to answer questions. Employees are provided copies of the forms and the PowerPoint presentation used during the video conference.
- The MDC HR Benefits Analyst would like the system to inform employees that they can't sign up for the high-deductible medical plan AND flexible medical in the cafeteria plan.
- Both MDC HR Recruitment and Benefits Staff ask the employee for a copy of their birth certificate, passport, etc. instead of uploading the paperwork to a common area in FileBound for various HR Staff to access. Recruitment doesn't use FileBound currently. In FileBound, documents are organized by employee, with sub-folders (e.g., Benefits, Retirement) under each employee. One of the goals of implementing FileBound was to give the division office managers access to certain documents in FileBound so the divisions wouldn't have to keep their own files on employees.
- MDC HR Benefits Staff keep an Excel spreadsheet listing documents the still need from employees and the number of requests made.

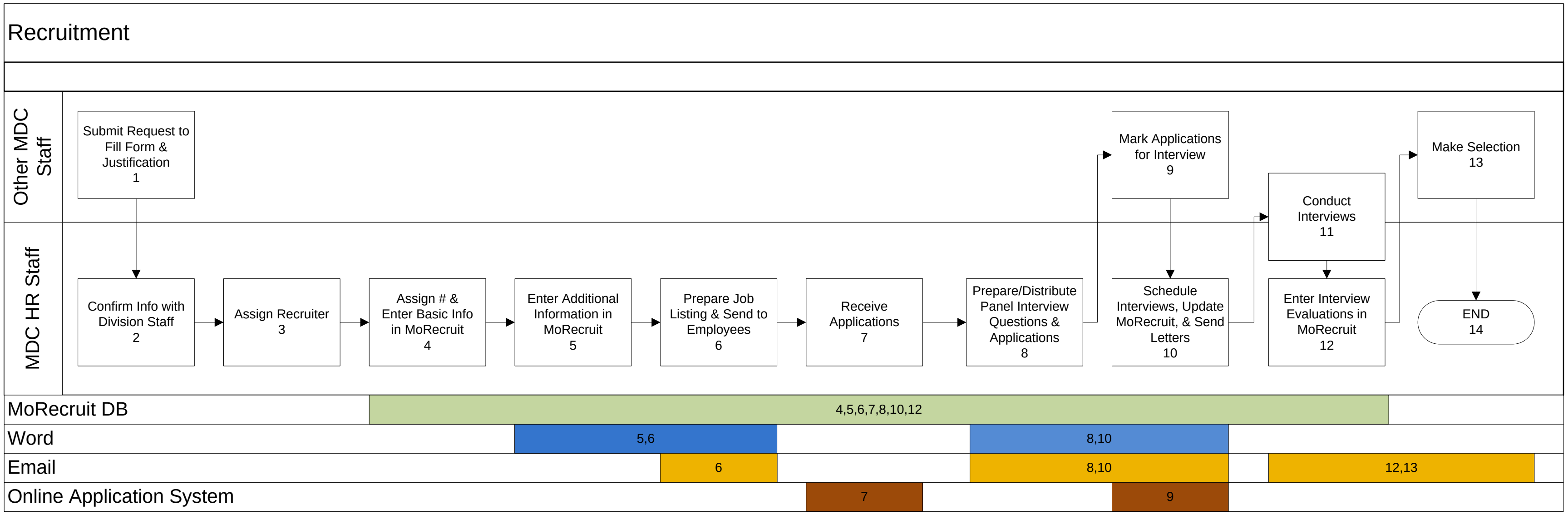
Miscellaneous Notes:

- Hiring an applicant for an hourly position isn't handled through MDC HR.
- The process for a rehire is basically the same as for a new hire – it's just a different wizard in UltiPro (with many of the same steps) and UltiPro displays the employee's existing data so that it can be updated as needed.
- MDC employees are assigned system generated numbers. An employee will always have the same number, i.e., if they are rehired, change positions, etc.
- MDC's policy is to drug test all new employees. If a new hire does not obtain a drug test before their start date, they can't be drug tested later (because MDC does not have a policy to require employees to submit to random drug testing).
- MDC employees can start employment on the 1st or 16th of the month.

- New Employee Orientation is a two-hour mandatory meeting at the closest regional office. This is in addition to the benefits video conference that employees are expected to attend within the first month of employment.
- Employees sign up for flexible medical and/or dependent care spending in the Cafeteria Plan system.
- At the beginning of each year, the MDC HR Benefits Staff works with the MDC office managers to schedule the monthly benefits video conferences for new hires for the entire year. Each month, the MDC HR Benefits Staff emails the employees, supervisors, MDC IT Staff, etc. regarding the upcoming benefits video conference.
- MDC has an Employee Self Service (ESS) Portal through which employees can check their pay stubs (e.g., deductions, etc.) and make address changes, etc. Employees also have to submit address changes to their MDC division office manager so a Personnel Form can be completed and sent to the MDC HR Data Analyst for entry (See Personal Information Change process diagram).
- MDC HR Staff could pull an employee's prior service with another state agency from the MOSERS system, but MDC HR policy is to get that information from the employee's previous employer. MDC only uses prior salaried time for benefit accruals.

The processing of benefit deductions in UltiPro must adhere to a strict schedule closely synchronized with the Office of Administration's SAM II Payroll System schedule. As a general rule, MDC HR Benefits Staff consider UltiPro closed to data entry of deductions approximately two work days prior to the last data entry date for SAM II. In rare instances, MDC HR Benefits Staff may discover errors which must be corrected before SAM II closes for payroll processing but during the timeframe when UltiPro is closed to data entry. When this occurs, corrections are made directly in SAM II and UltiPro, the nightly exports to SAM II and HealthScope Benefits are not run, and the MDC HR Benefits Analyst notifies the MDC HRIS Coordinator.

Recruitment



The preceding diagram illustrates the process for recruiting to fill a position.

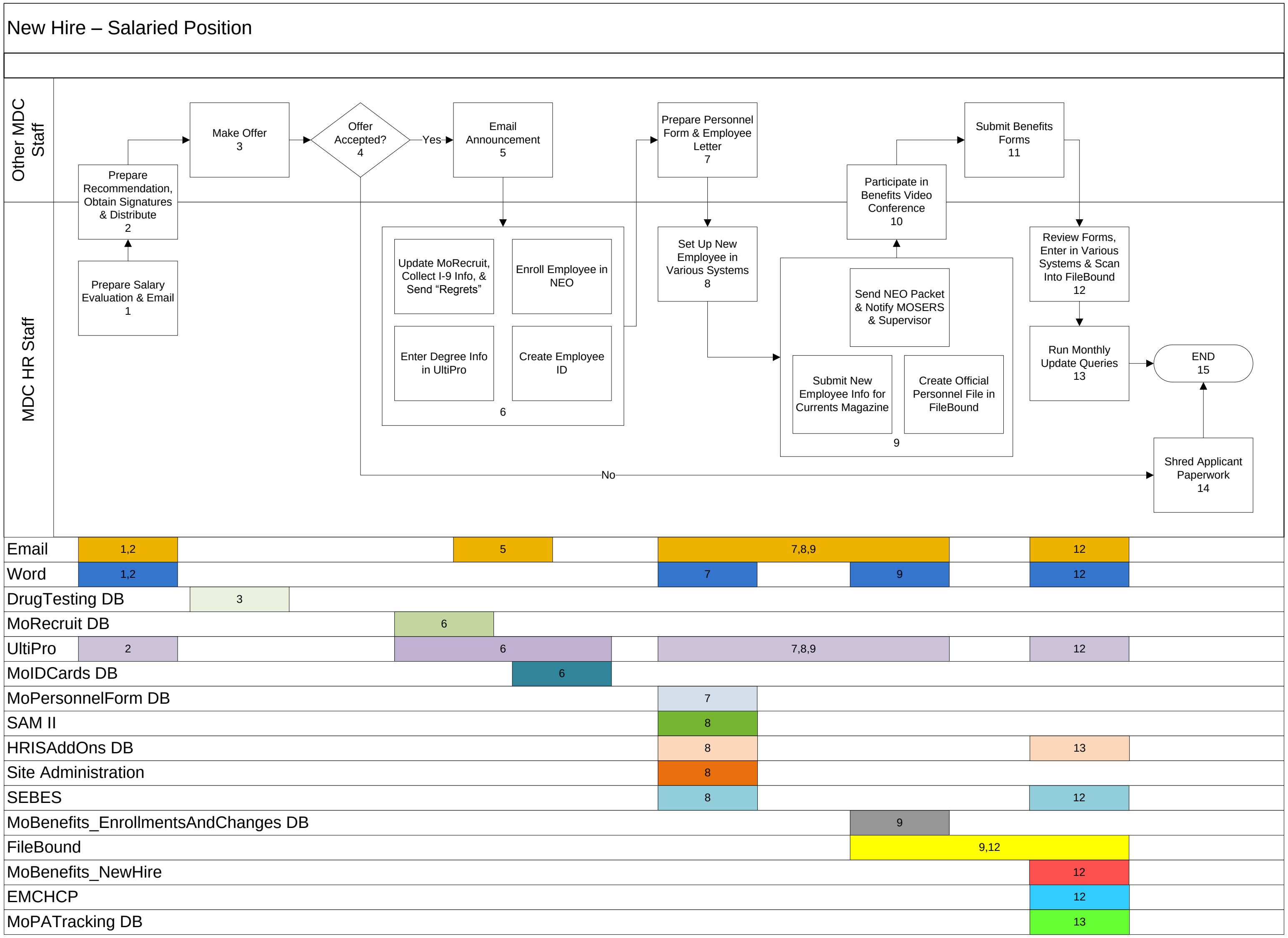
1. MDC Division Staff complete a Request to Fill form and submit it with justification documentation (paper) for the MDC Deputy Director's signature. Once signed, the documentation is sent to the MDC HR Employment Manager if it is a request to fill a position as is. (If it is a request to fill a position as a reclassification, the documentation is sent to the HR Data Analyst. See New Position process diagram.)
2. The MDC HR Employment Manager confirms the information on the form with the supervisor or division office manager, as needed. (Sometimes they use old forms and may not update some fields.)
3. The MDC HR Employment Manager assigns a recruiter (either himself or one of the other three recruiters). No review is done at this time.
4. The MDC HR Employment Manager assigns a number and enters information from the Request to Fill form (e.g., class code, job title, location, supervisor, etc.) on the Basic Info tab in the MoRecruit database. (Some fields, e.g., salary range, auto-populate when the class code is entered.)
5. The MDC HR Recruiter may enter additional information in the MoRecruit database, as needed.
6. Details tab – duties, responsibilities, qualifications information is cut and paste information from the Job Announcement (Word) that will go on the website
7. Interview Info tab – panel members, location of interview, etc.
8. Posting Plan & Track tab – fill out recruitment plan if the announcement will appear on CareerBuilder, LinkedIn, Craigslist, etc.
9. Each week, the MDC HR Recruitment Technician prepares a job listing that includes a report of external jobs, internal jobs, who was hired for jobs, etc. and emails it to all MDC employees. Job announcements are attached to it.
10. The MDC HR Recruiter receives applications. The majority of applications are submitted through the Online Application System – the applicant creates a profile and selects the job opening(s) for which they are applying. The MDC HR Recruitment Technician enters the information from any paper applications into the MoRecruit database.
11. The MDC HR Employment Manager or Recruiter sends possible panel interview questions to the MDC supervisor. The supervisor selects the questions to use and indicates any changes desired. The panel questions and applications are then distributed to the panel members.
12. The MDC Supervisor looks at the applications and marks them "Yes – Interview", "No Interview", or "Review Again" in the Online Application System. Typically, ten applicants are selected for interviews. The MDC HR Employment Manager periodically checks the progress the supervisor is making.
13. The MDC HR Recruiter reviews the qualifications of applicants selected for an interview. The MDC HR Recruiter or Recruitment Technician schedules the interviews and enters the dates/times on the Interview tab in the MoRecruit database. The MDC HR Recruitment Technician prepares the invite letter and MoRecruit sends an email with the invite letter or prints the invite letter. For printed letters, the MDC HR Recruitment Technician has the recruiter sign them and then mails them. The MDC HR Recruitment Technician may send no invite/regret letters at this time or later in the process. Sometimes, applicants are notified via a phone call.
14. MDC Staff conduct the interviews, which consist of two parts:
15. Panel interview – usually three people, at least one from a different division than the open position; not in the chain of command for the position; same level as the open position or above; plus one MDC HR representative

16. Supervisor interview
17. The MDC HR Recruitment Technician enters the interview evaluations (indicating yes/no regarding recommending the candidate for hire) in the MoRecruit database and sends a report to the MDC HR Data Analyst and other MDC HR Recruitment Staff. The report is then sent to MDC administration with the Recommendation to hire.
18. The MDC Division Staff notifies the MDC HR Employment Manager or Recruiter of the applicant selected for the job.
19. End of Process (See New Hire process diagram)

Miscellaneous Notes:

- Internal positions are usually open five to seven days.
- Sometimes, MDC uses the same pool of applicants to fill another position (e.g., hatchery positions – both hatcheries attended initial interviews).
- MDC checks references maybe 25 percent of the time. They are usually done by the supervisor, but it could be done by HR. Many companies don't give references; they only verify employment. It is typically more effective for a supervisor to call one of their peers to get information than to do an actual reference check.
- MDC doesn't do criminal background checks except for agents.
- The supervisor can't hire someone who is not recommended by the interview panel. Usually, 80 percent of interviewees are recommended.
- The MDC HR Employment Manager updates the CDL list and information (e.g., expiration date) in the MoRecruit database each month.
- Some sites automatically pick up MDC's job postings.
- Online applications/profiles are not purged. If there is no activity for a certain period of time, MDC IT Staff classifies the application/profile as inactive.
- The MDC HR Employment Manager reports out of the MoRecruit database regarding the number of positions filled, etc.

New Hire – Salaried Position



Email	1,2	5	7,8,9	12
Word	1,2	7	9	12
DrugTesting DB	3			
MoRecruit DB	6			
UltiPro	2	6	7,8,9	12
MoIDCards DB	6			
MoPersonnelForm DB	7			
SAM II	8			
HRISAddOns DB	8	13		
Site Administration	8			
SEBES	8	12		
MoBenefits_EnrollmentsAndChanges DB	9			
FileBound	9,12			
MoBenefits_NewHire	12			
EMCHCP	12			
MoPATracking DB	13			

The preceding diagram illustrates the process for hiring (or rehiring) an MDC salaried employee.

1. Once an applicant has been selected, the MDC HR Employment Manager or Recruiter prepares a salary evaluation in Word (e.g., whether the employee receives a probationary increase, relocation expenses, etc.; whether a drug test is required, etc.) and emails it along with the application to the MDC division office manager and to the MDC HR Data Analyst.
2. The MDC division office manager or supervisor works with the MDC HR Data Analyst to prepare a Personnel Recommendation (Word) with the applicant's start date, obtains the division chief and unit chief's signatures, and sends the recommendation to the MDC HR Data Analyst with a justification memo. The MDC HR Data Analyst verifies the information in the recommendation (e.g., position number, salary, incumbent, relocation expenses, etc.) using the recruiter's email, the salary schedule, the application, and UltiPro before the division chief signs it. Once a hard copy of the recommendation goes to MDC HR, the MDC HR Division Chief reviews and initials the recommendation (along with the justification memo, evaluation results, job description, application, and salary email from the MDC HR Recruiter) and sends it to the MDC Deputy Director and Director for signature. Once signed, the MDC HR Data Analyst keeps the original recommendation, and copies are distributed to the following:
    - MDC division office manager
    - MDC HR Employment Manager or Recruiter
    - MDC HR Analyst
    - MDC HR Benefits Analyst
    - MDC HR Administrative Staff Assistant
3. The MDC supervisor makes an offer (phone call) to the applicant and instructs them to obtain a drug test before their start date. (The MDC HR Recruitment Staff enter the drug testing information/results in the Drug Testing database.)
4. The MDC supervisor receives notice of whether the applicant accepts the offer. If the applicant does not accept the offer, proceed to Step 14.
5. If the applicant accepts the offer, the MDC supervisor emails an announcement of the new hire.
6. The MDC HR Staff complete the following tasks:
    - The MDC HR Employment Manager updates the MoRecruit database to indicate the job posting is filled. MDC HR Recruitment staff collects I-9 information from the applicant and sends "regret" letters to any other external applicants. MDC supervisors notify any other in-house applicants.
    - The MDC HR Administrative Staff Assistant enrolls the employee in a New Employee Orientation class in UltiPro.
    - The MDC HR Hourly Employee enters the new employee's degree information in UltiPro.
    - The MDC HR Administrative Staff Assistant prints the employee's ID card for the new employee packet.
7. The MDC division office manager calls the employee to get their personal information, prepares the Personnel Form in the MoPersonnelForm Database (pulling data from UltiPro), and sends a confirmation letter (Word document) to the employee (copy to MDC HR).
8. The MDC HR Data Analyst converts the Personnel Form to a pdf and emails it to other MDC HR Staff. Three to five days before the employee's start date, the MDC HR Data Analyst sets up the new employee in the following systems:
    - SAM II (The MDC Financial Services Accounting Technician gives final approval of the SAM II ESMT entries.)
    - UltiPro (New Hire or Rehire Wizard, eLaborExp, Clothing Allowance, Education, etc.)

  - HRISAddOns Database
  - Site Administration (UltiPro Web Setup)
  - SEBES (MCHCP & MOSERS)
    The MDC HR Data Analyst emails the MDC Financial Services Accounting Technician if the employee is changing from an hourly to a salaried position or is coming from another state agency so MOSERS is provided the employee's information.
9. The MDC HR Staff complete the following tasks:
   - The MDC HR Benefits Analyst receives the personnel form from the MDC HR Data Analyst, creates a Benefits file for the employee in FileBound, and prepares and sends a New Employee Orientation packet to the employee's work location so it's there on their start date. She can't send the packet until the employee is entered in UltiPro, because the packet is personalized with the employee's information. The MDC HR Benefits Analyst notifies MOSERS of the new employee if they are transferring from another state agency. MOSERS sends an email to the employee instructing them to enter their information in the Statewide Employee Benefit Enrollment System (SEBES) system. (The employee has one month to sign up for benefits in SEBES. If the employee hasn't set up their benefits within a certain timeframe, the MDC HR Benefits Analyst receives an email and notifies the employee.) The MDC HR Benefits Analyst also emails the supervisor to inform them that New Employee Orientation is a mandatory meeting for the new employee.
   - The MDC HR Office Manager submits the new employee's information for the Currents magazine.
   - The MDC HR Hourly Staff creates the employee's official personnel file in FileBound.
10. Each month, the MDC HR Benefits Staff participate in a benefits video conference with any MDC new hires. During the video conference, the MDC HR Specialist explains the employees' benefit options and reminds them of the enrollment deadlines. The MDC HR Benefits Analyst explains the various forms.
11. Within a month of their start date, the new employee fills out their benefits enrollment forms and submits them to the MDC HR Benefits Staff.
12. The MDC HR Benefits Analyst reviews the forms to make sure they are complete and signed and notifies the employee of any additional documentation needed. The MDC HR Benefits Analyst enters the employee's benefits information into UltiPro (and EMCHCP and SEBES when the employee is transferring from another state agency) scans the forms and supporting documentation into FileBound, and runs the nightly exports to SAM II and HealthScope Benefits.
13. After all personnel transactions for the pay period have been entered, the MDC HR Data Analyst runs the monthly update queries in the MoPATracking database and the HRISAddOns database.
14. If the applicant declines the offer, the MDC HR Data Analyst emails the MDC HR Benefits staff instructing them to shred the applicant's paperwork.
15. End of Process

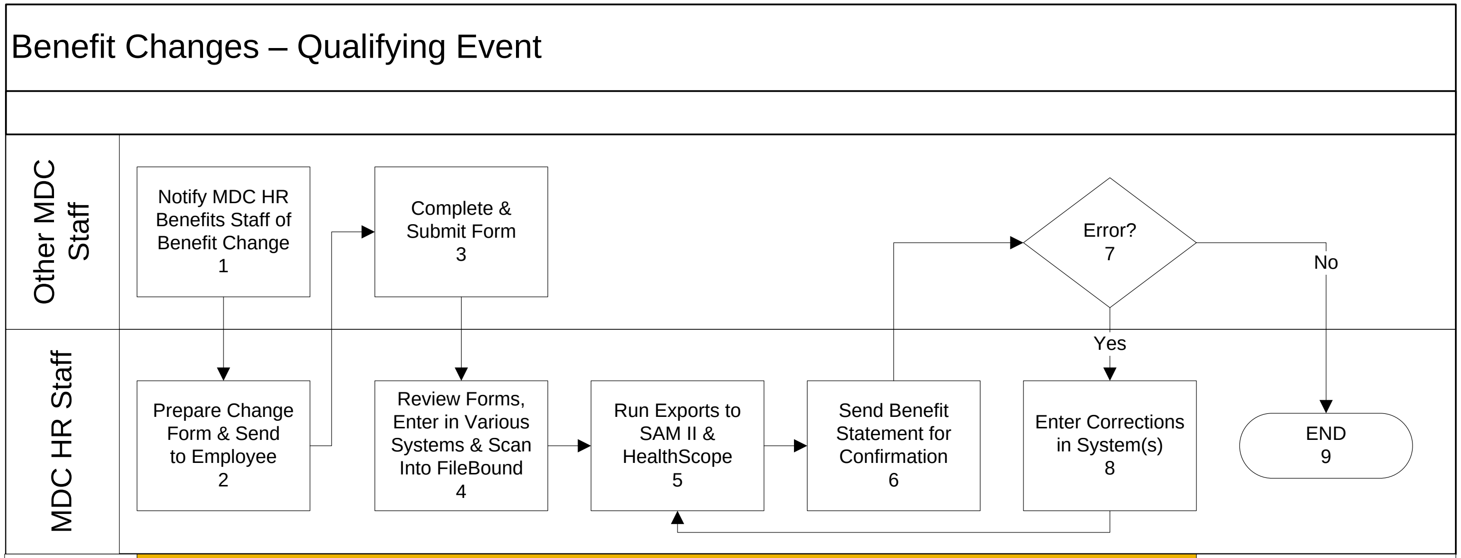
Miscellaneous Notes:

- Hiring an applicant for an hourly position isn't handled through MDC HR.
- The process for a rehire is basically the same as for a new hire – it's just a different wizard in UltiPro (with many of the same steps) and UltiPro displays the employee's existing data so that it can be updated as needed.
- MDC employees are assigned system generated numbers. An employee will always have the same number, i.e., if they are rehired, change positions, etc.

- MDC's policy is to drug test all new employees. If a new hire does not obtain a drug test before their start date, they can't be drug tested later (because MDC does not have a policy to require employees to submit to random drug testing).
- MDC employees can start employment on the 1st or 16th of the month.
- New Employee Orientation is a two-hour mandatory meeting at the closest regional office. This is in addition to the benefits video conference that employees are expected to attend within the first month of employment.
- Employees sign up for flexible medical and/or dependent care spending in the Cafeteria Plan system.
- At the beginning of each year, the MDC HR Benefits Staff works with the MDC office managers to schedule the monthly benefits video conferences for new hires for the entire year. Each month, the MDC HR Benefits Staff emails the employees, supervisors, MDC IT Staff, etc. regarding the upcoming benefits video conference.
- MDC has an Employee Self Service (ESS) Portal through which employees can check their pay stubs (e.g., deductions, etc.) and make address changes, etc. Employees also have to submit address changes to MDC HR Staff (See Personal Information Change process diagram).
- MDC HR Staff could pull an employee's prior service with another state agency from the MOSERS system, but MDC HR policy is to get that information from the employee. MDC only uses prior salaried time for benefit accruals.

The processing of benefit deductions in UltiPro must adhere to a strict schedule closely synchronized with the Office of Administration's SAM II Payroll System schedule. As a general rule, MDC HR Benefits Staff consider UltiPro closed to data entry of deductions approximately two work days prior to the last data entry date for SAM II. In rare instances, MDC HR Benefits Staff may discover errors which must be corrected before SAM II closes for payroll processing but during the timeframe when UltiPro is closed to data entry. When this occurs, corrections are made directly in SAM II and UltiPro, the nightly exports to SAM II and HealthScope Benefits are not run, and the MDC HR Benefits Analyst notifies the MDC HRIS Coordinator.

Benefit Changes – Qualifying Event



Email	1,2,3,4,5,6,7,8
BEC* DB	2 6
Word	2
FileBound	2,4 8
UltiPro	4,5,6,8
SAM II	4,5 8
HealthScope Benefits	4,5 8
EMCHCP	4 8
ASI	4 8
MOSERS	4 8
Positive Pay	8

* MoBenefits_EnrollmentsAndChanges Database

The preceding diagram illustrates the process to change employee benefits as a result of a qualifying event.

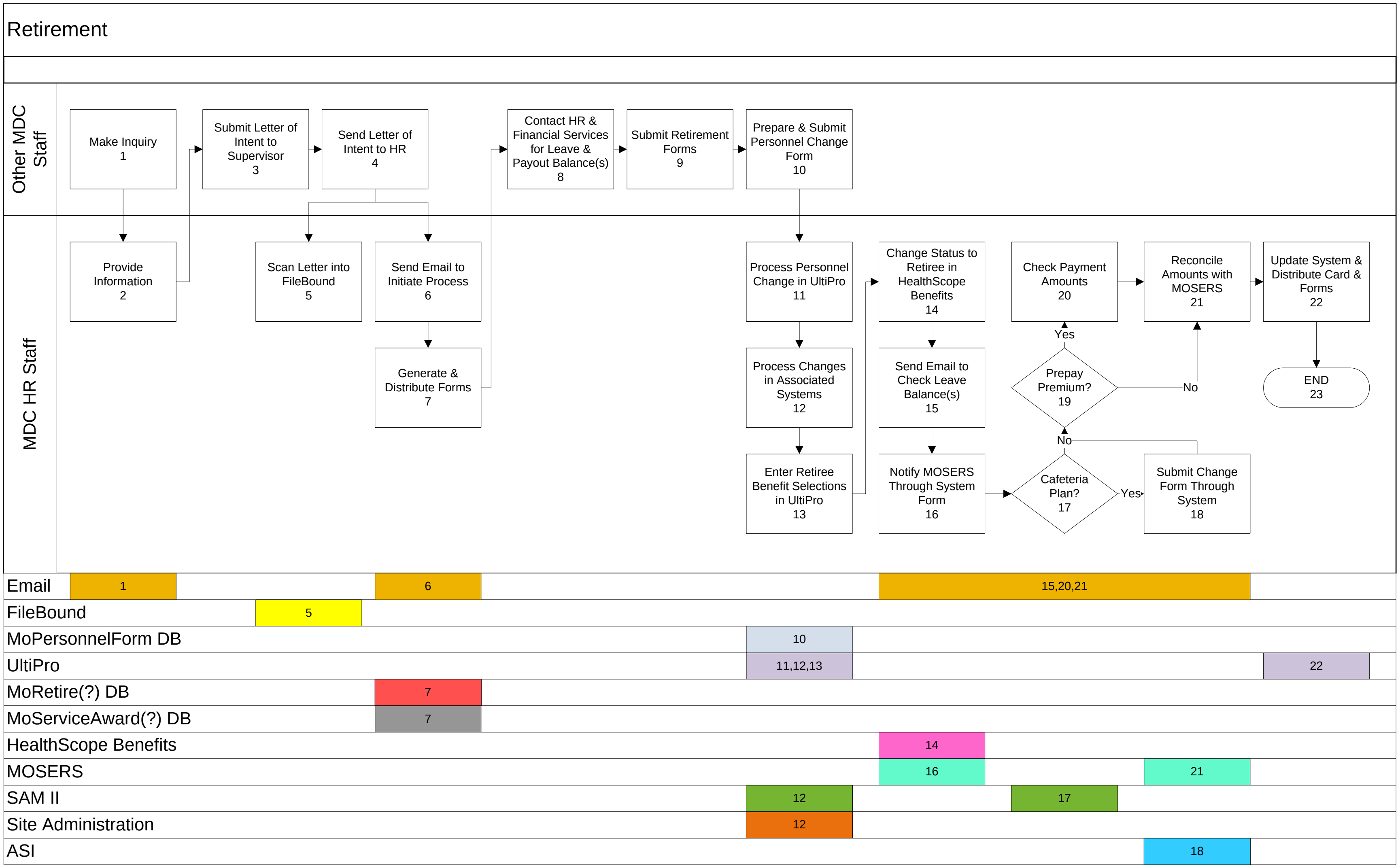
1. An MDC employee notifies (phone call or email) the MDC HR Benefits Staff of a qualifying event resulting in a change they want to make to their benefits. (This must be done within 31 days of the qualifying event.) Or, the MDC HR Benefits Staff may learn of an employee's qualifying event through an announcement (of a birth or death, for example) on the MDC Intranet. A division office manager posts these announcements; the MDC HR Benefits Analyst checks the Intranet each week.
2. The MDC HR Benefits Analyst prepares a personalized change form – indicating the employee's current benefits and their options – in the MoBenefits_EnrollmentsAndChanges database and sends the form (mail or email) to the employee. The MDC HR Benefits Analyst stores the email in FileBound and notes any documents still needed from the employee in a Word document.
3. The MDC employee completes the change form and submits it to the MDC HR Benefits Staff.
4. The MDC HR Benefits Analyst enters the benefit change data in SAM II, UltiPro, HealthScope Benefits, EMCHCP, ASI, and/or MOSERS, depending on the type of benefit change. The MDC HR Benefits Analyst notes any changes for the pay cycle in the Payroll Transaction Log (paper), scans the forms into FileBound, shreds the paper copies, and emails the benefit provider(s), if necessary.
5. After all benefit changes are entered, the MDC HR Benefits Analyst runs nine nightly exports in UltiPro, which are sent through automated file transfer to HealthScope Benefits and SAM II.
6. Once the employee's updated deductions are processed through a payroll cycle, the MDC HR Benefits Analyst generates an individualized employee benefit statement in the MoBenefits_EnrollmentsAndChanges database (using data in UltiPro) and sends it to the employee to confirm that their benefits/deductions are correct.
7. The MDC employee determines whether there is an error in their benefits/deductions and notifies the MDC HR Benefits Analyst. If there is no error, proceed to Step 9.
8. If there is an error, the MDC HR Benefits Analyst makes corrections in the appropriate system(s), emails the benefit provider(s), if necessary, and processes a check in Positive Pay to reimburse the employee or a one-time deduction in SAM II to pay the employee's premiums, if necessary. Return to Step 5.
9. End of Process

Miscellaneous Notes:

- This process is much the same for active employees and retirees. There are more constraints on the timing of data entry for retiree benefit changes.
- Hourly employees don't receive benefits.
- If a new employee doesn't submit benefits documentation within 31 days of their start date, they have to wait until the fall enrollment period or until they have a qualifying event to change their benefits.
- Employees cannot add medical benefits or drop MDC insurance for themselves or their dependents unless they have a qualifying event. Employees cannot add or increase life insurance coverage throughout the year unless they have a qualifying event.
- UltiPro allows future-dated effective dates for benefits so changes can be entered in advance.

- The benefit change does not have to be consistent with the nature of the employee's qualifying event. For example, when an employee has another child, they can decline their medical insurance.
- MDC offers different medical insurance plans for tobacco users vs. non-tobacco users. Employees have to submit a document certifying they do not use tobacco. This is the first year MDC offered these options; the details for ongoing implementation (e.g., whether employees can switch plans each year) are still being determined.
- MDC Financial Services Staff (Christie Martin) processes garnishments.
- The processing of benefit deductions in UltiPro must adhere to a strict schedule closely synchronized with the Office of Administration's SAM II Payroll System schedule. As a general rule, MDC HR Benefits Staff consider UltiPro closed to data entry of deductions approximately two work days prior to the last data entry date for SAM II. In rare instances, MDC HR Benefits Staff may discover errors which must be corrected before SAM II closes for payroll processing but during the timeframe when UltiPro is closed to data entry. Corrections are made directly in SAM II and UltiPro when this occurs.

Retirement



Email	1; 6; 15,20,21
FileBound	5
MoPersonnelForm DB	10
UltiPro	11,12,13; 22
MoRetire(?) DB	7
MoServiceAward(?) DB	7
HealthScope Benefits	14
MOSERS	16; 21
SAM II	12; 17
Site Administration	12
ASI	18

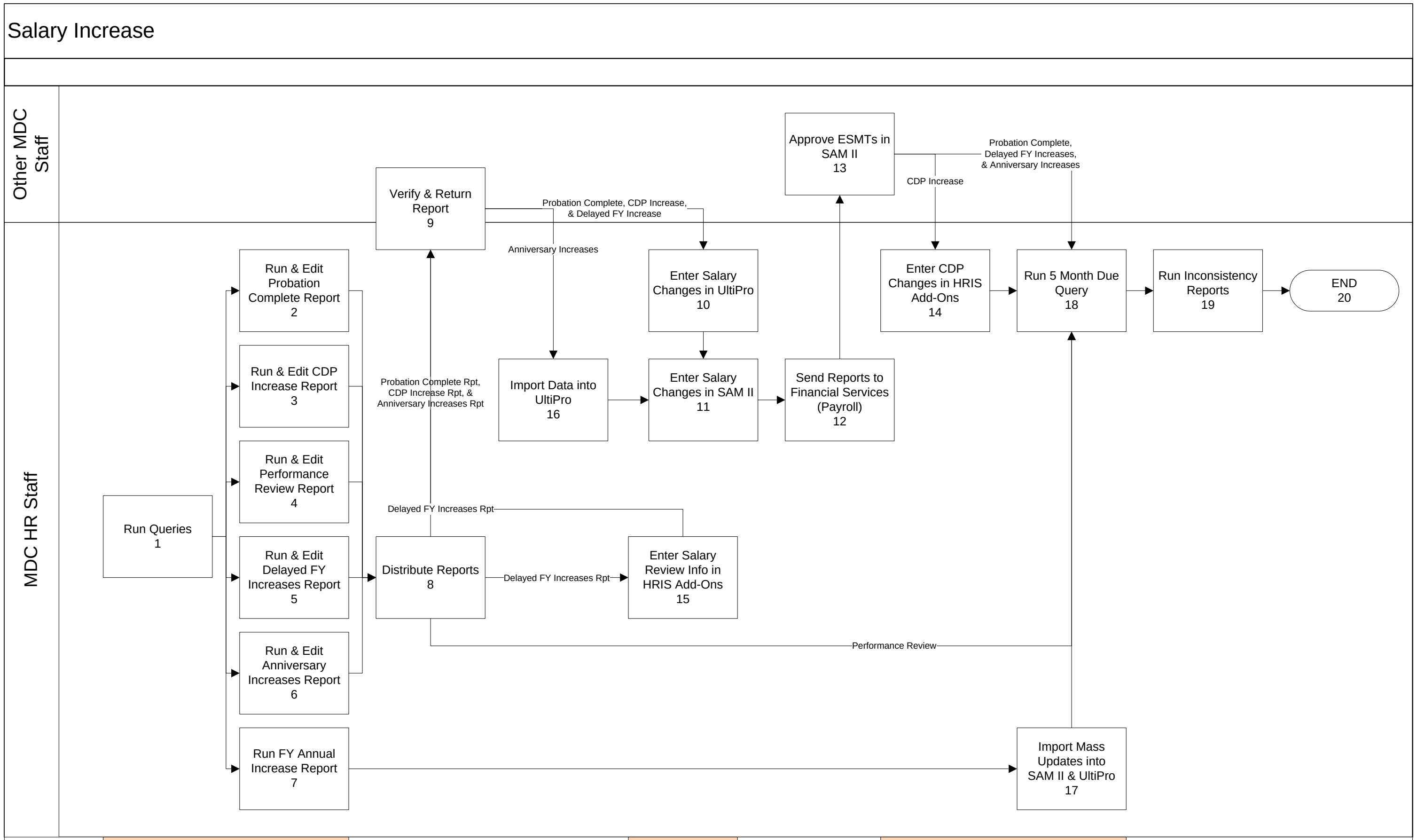
The preceding diagram illustrates the process for processing employee retirements upon notification of an employee's decision to leave the organization and assume retired status.

1. An employee may make an inquiry to HR regarding retirement options. At this point, no formal notification so no formal action or system entry by HR.
2. HR will provide information and guidance to requesting employee. May refer employee to MDC Financial Services Staff for compensated payout information or to other HR staff for information on leave balances. Will refer employee to contact at MOSERS to develop specific employee information.
3. Employee initiates formal process through submission of a Letter of Intent to retire to their supervisor. This is a hardcopy record with no proscribed format or content.
4. Supervisor will forward hardcopy Letter of Intent to Central Office (CO) Office Manager. CO Office Manager forwards document to HR.
5. HR will scan the Letter of Intent into the employee's permanent personnel file in FileBound.
6. Internal HR Email notifies other staff members to begin processing retirement.
7. HR Benefits Analyst uses Access database to generate required retirement forms that are customized with potential retiree information. System also sends announcement to potential retiree from provider to select a service award based on length of service. This is done one month prior to anticipated retirement. HR staff also order plaque 2-3 weeks prior to retirement.
8. The employee may contact MDC HR Staff for leave balances and/or MDC Financial Services Staff for payout balances to support decision-making.
9. Employee makes retirement program elections and submits completed retirement forms.
10. Central Office Manager completes and submits Personnel Change Form after retirement.
11. HR receives the required forms and processes Personnel Change Form to update status from Active to Retired in UltiPro.
12. HR makes associated system changes including: Terminate employee in SAM II; cancel employee clothing allowance in UltiPro; and delete employee eLabor access in Site Administration.
13. HR Benefits Analyst updates retiree benefit selections in UltiPro.
14. HR Benefits Analyst changes employee status to retired in HealthScope Benefits system.
15. Internal HR email used to query and check leave balances.
16. HR Benefits Analyst notifies MOSERS of pending retirement directly through MOSERS system form.
17. HR Benefits Analyst checks SAM II for employee participation in Cafeteria Plan. If the employee does not participate in the Cafeteria Plan, then proceed to Step 19.
18. HR Benefits Analyst submits Cafeteria Change Form directly through ASI system.
19. HR Benefits Analyst checks retiree forms to see if retiree has elected to prepay premiums for the balance of the year using existing payout balances. If the employee has not elected to prepay premiums for the balance of the year using existing payout balances, then proceed to Step 21.
20. HR Benefits Analyst checks available payout balances with MDC Financial Services Staff.
21. HR communicates with MOSERS via email to verify and reconcile employee retirement benefits and amount / source of premium payments.
22. Update UltiPro system, distribute card and completed retirement information to the employee.
23. End of Process

Miscellaneous Notes:

- N/A

Salary Increase



Add-Ons*	1,2,3,4,5,6,7	15	14,18
MoPAT**	1		
Email	8		
UltiPro	16,10		17,19
SAM II	11,13		17,19
HRIS Monthly Audit Database	19		

* HRIS Add-Ons Database

** MoPATracking Database

The preceding diagram illustrates the process for revising employee compensation levels upon achievement of a milestone event.

1. The MDC HR Data Analyst runs the following queries and updates:
    - Initial Dates query and the Promotions, Demotions, and Laterals query in the HRIS Add-Ons database. These queries add/change the dates in the HRIS Add-Ons database that feed the following reports.
    - I-9 Update in the HRIS Add-Ons database. (This updates the EepI9Verified field in UltiPro to "Pending". It does not affect salary increases, but it is part of the monthly reporting.)
    - Steps 1 and 2 in the MoPATracking database around the 25th of each month. (This appends records to a table to allow tracking of Performance Appraisals. It does not affect salary increases, but it is part of the monthly reporting.)
2. The MDC HR Data Analyst runs the Probation Complete Report in the HRIS Add-Ons database around the 25th of each month. She exports the report to PDF and compares the report to Personnel Recommendation forms to identify individuals who are approved for probationary increases and the amounts of the salary adjustments. She makes any necessary changes as she prepares the report for review. Proceed to Step 8.
3. The MDC HR Data Analyst runs the Career Development Plan (CDP) Increase Report in the HRIS Add-Ons database around the 25th of each month. She exports the report to PDF and compares the report to a CDP list to identify individuals who are on CDP and are due for a step increase. She makes any necessary changes as she prepares the report for review. Proceed to Step 8.
4. The MDC HR Data Analyst runs the Performance Review Report in the HRIS Add-Ons database around the 25th of each month to identify individuals who are approved for a performance review. If adjustments are needed as she prepares the report for review, the MDC HR Data Analyst changes dates on the HRIS tab in the HRIS Add-Ons database and re-runs the report. Proceed to Step 8.
5. The MDC HR Data Analyst runs the Delayed Fiscal Year Increase Report in the HRIS Add-Ons database around the 25th of each month to identify the employees who will receive a salary increase after completing the 18-month requirement, CDP, or disciplinary requirement, to be eligible for the Fiscal Year annual increase and anniversary increase. She makes any necessary changes as she prepares the report (pdf) for review. Proceed to Step 8.
6. The MDC HR Data Analyst runs the Anniversary Increase Report in the HRIS Add-Ons database around the 25th of each month to identify the employees eligible for an anniversary increase and verify the amounts of the increases. She makes any necessary changes as she prepares the report (pdf) for review. Proceed to Step 8.
7. The MDC HR Data Analyst runs the Fiscal Year Annual Increase Report in the HRIS Add-Ons database around the 25th of each month to identify the employees eligible for an annual salary increase and verify the amounts of the increases. Proceed to Step 17.
8. The MDC HR Data Analyst distributes copies of the report as follows:
    - Probation Complete Report – MDC Central Office Managers/Office Supervisors, MDC HR Employee Relations Manager, and MDC Director's Office
    - Career Development Plan (CDP) Increase Report – MDC Central Office Office Managers/Office Supervisors, MDC HR Employee Relations Manager, and MDC Director's Office
    - Performance Review Report – MDC Central Office Office Managers/Office Supervisors (When running this report for June, the MDC HR Data Analyst coordinates distribution of

the report with a memo from the MDC HR Employee Relations Manager.) Proceed to Step 18.
- Delayed Fiscal Year Increase Report – MDC Central Office Office Managers/Office Supervisors, MDC HR Employee Relations Manager, and MDC Director's Office – Proceed to Step 15.
- Anniversary Increases Report – MDC Central Office Office Managers/Office Supervisors and MDC HR Employee Relations Manager

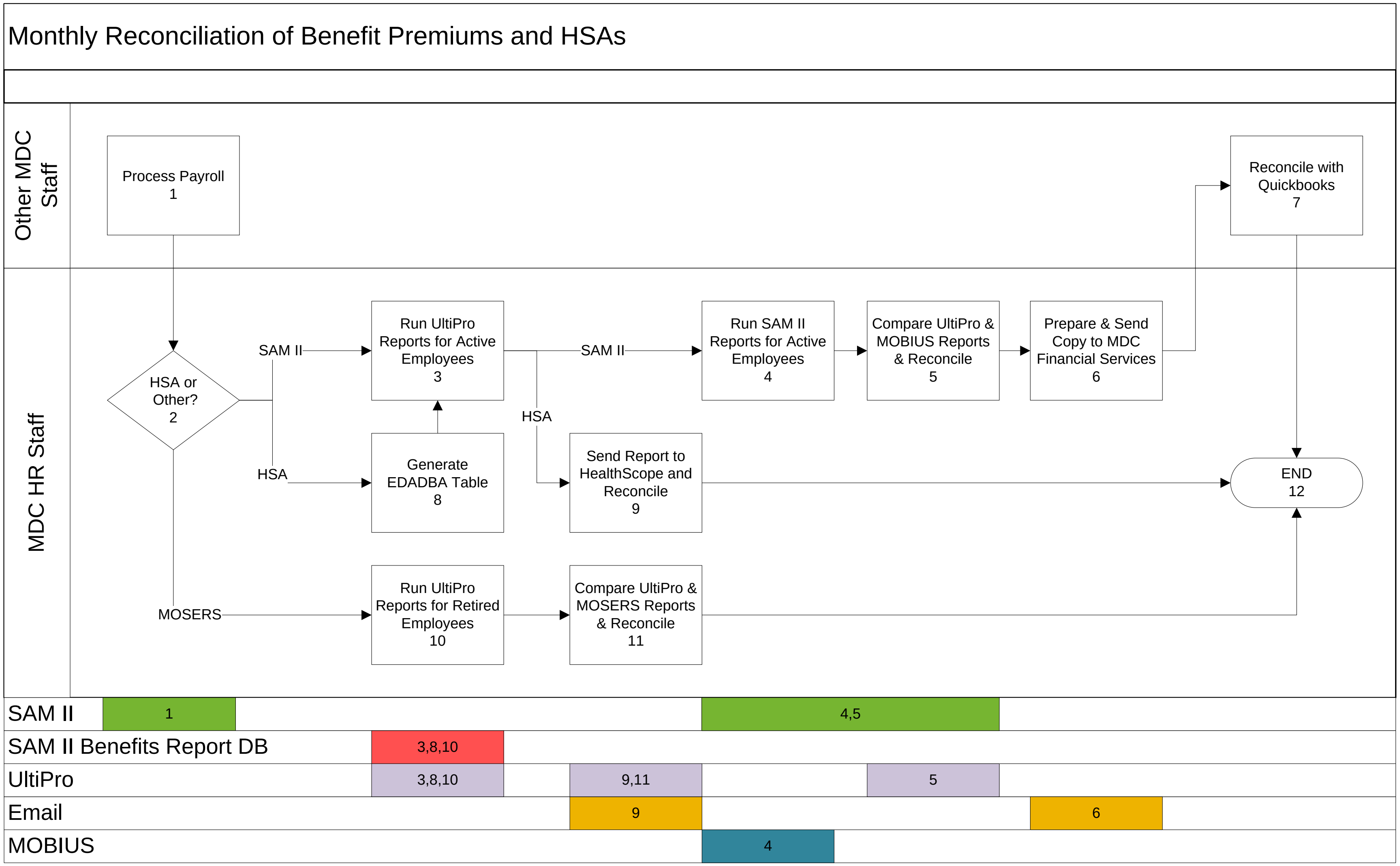
9. The MDC Central Office Office Managers/Office Supervisors review, edit and initial hard copies of the reports and return them to MDC HR Staff. The MDC HR Data Analyst adds or removes employees according to the edits made by the OM/OS. For Anniversary Increases, proceed to Step 16.
10. For Probation Complete, CDP, and Delayed Fiscal Year Increases, the MDC HR Data Analyst manually enters salary changes in UltiPro. An individual entry is made for each employee with a salary change.
11. For Probation Complete, CDP, Delayed Fiscal Year, and Anniversary Increases, the MDC HR Data Analyst manually enters salary changes in SAM II. An individual entry is made for each employee with a salary change.
12. For Probation Complete, CDP, Delayed Fiscal Year, and Anniversary Increases, the MDC HR Data Analyst sends the signed reports to the MDC HR Financial Services Accounting Technician.
13. For Probation Complete, CDP, Delayed Fiscal Year, and Anniversary Increases, the MDC Financial Services Accounting Technician verifies the Employee Status Maintenance Transaction (ESMT) amounts in SAM II. For Probation Complete, Delayed Fiscal Year, and Anniversary Increases, proceed to Step 18.
14. For CDP Increases, the MDC HR Data Analyst enters CDP changes in the HRIS Add-Ons database. This provides the date for future CDP reports. Proceed to Step 18.
15. For Delayed FY Increases, the MDC HR Data Analyst manually enters Salary Review updates in the HRIS Add-Ons database. Individual updates are made for each employee with a change. Return to Step 9.
16. For Anniversary Increases, the MDC HRIS Coordinator imports mass updates into UltiPro. Return to Step 11.
17. For FY Annual Increases, the MDC HRIS Coordinator runs mass updates to UltiPro and SAM II data.
18. The MDC HR Data Analyst runs the 5 Month Due query in the HRIS Add-Ons database. This query changes the Next Performance Review date in the HRIS Add-Ons database that feeds the future Performance Review reports.
19. The MDC HR Data Analyst runs the Inconsistency Reports in the HRIS Monthly Audit database to determine whether any inconsistencies exist between the UltiPro personnel records and the SAM II personnel records.
20. End of Process

Miscellaneous Notes:

- The HRIS Add-Ons database pulls data from UltiPro. It is a portal used to enter data into UltiPro real-time. Users would have to go to three different screens in UltiPro to enter the data. Creating a user-defined window in UltiPro is possible, but not easy.
- UltiPro has the capability for a step structure, but MDC HR Staff doesn't assign people to steps in UltiPro because then they have the flexibility to do a general percentage increase or a straight dollar-amount (off-step) increase.

- Employees may be off-step because they received a flat dollar increase or an extra increase for doing extra work for a specified timeframe.
- MDC does not have a scale for unclassified positions (e.g., division chiefs and above), but their salaries fall in step with the other pay scales.
- Career Development Plan increases are for employees who are hired with less experience than is required for the position and given a salary below the base salary for the position. These employees are eligible for a 1-step increase every six months according to their Career Development Plan so that eventually they are on the same schedule as other employees.
- For FY Annual Increases, MDC HR Staff prepare and distribute letters to employees who are eligible July 1, notifying them of whether they are eligible and, if so, of their increases (FY and anniversary). For employees eligible after July 1, the MDC Office Managers prepare and distribute letters and send copies to MDC HR Staff. The MDC Office Managers usually prepare all correspondence to employees. MDC HR Staff assumed responsibility for the annual increase letters because there are so many.

Monthly Reconciliation of Benefit Premiums and HSAs



SAM II	1			4,5		
SAM II Benefits Report DB		3,8,10				
UltiPro		3,8,10	9,11		5	
Email			9			6
MOBIUS				4		

The preceding diagram illustrates the process for reconciling UltiPro data with SAM II, HealthScope Benefits, and MOSERS data.

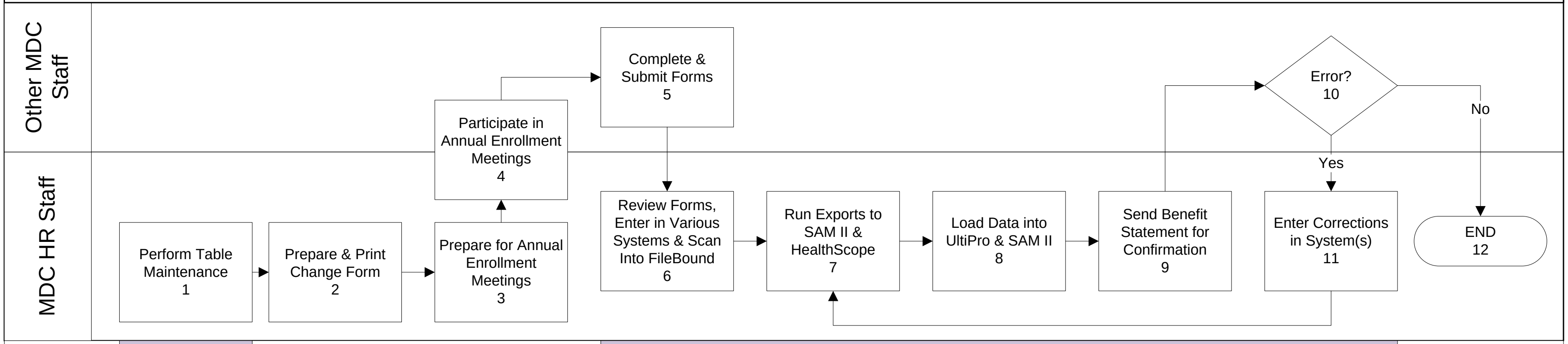
1. Twice each month, the MDC Financial Services Staff processes payroll for MDC employees in SAM II. This initiates the reconciliation of UltiPro data with SAM II data, HealthScope Benefits data, and MOSERS data.
2. For reconciling UltiPro and SAM II deductions data for active employees, proceed to Step 3. For reconciling UltiPro and HealthScope Benefits HSA data for active employees, proceed to Step 8. For reconciling UltiPro and MOSERS data for retired MDC employees, proceed to Step 10.
3. The MDC HR Benefits Analyst runs UltiPro reports for active employees in the SAM II Benefits Report database.
4. The MDC HR Benefits Analyst runs SAM II reports for active employees in MOBIUS.
5. The MDC HR Benefits Analyst compares the UltiPro and MOBIUS reports (basic life, AD&D, employee optional life, medical, etc.) to ensure the total deductions in UltiPro match what is in SAM II. The MDC HR Benefits Analyst uses the 5200 report in MOBIUS to check the changes made in each pay period that were written on the Payroll Transaction Log (paper). She reconciles any differences.
6. The MDC HR Benefits Analyst removes the Social Security Numbers from the MOBIUS reports and sends a copy to MDC Financial Services Staff to reconcile with QuickBooks.
7. The MDC Financial Services Staff reconciles the SAM II reports from MOBIUS with QuickBooks. Proceed to Step 12.
8. The MDC HR Benefits Analyst runs a query to generate the EDADBA table for active employees in the SAM II Benefits Report database.
9. The MDC HR Benefits Analyst emails the UltiPro report(s) to HealthScope Benefits for review and reconciliation.
10. The MDC HR Benefits Analyst runs the UltiPro reports for retired employees in the SAM II Benefits Report database.
11. The MDC HR Benefits Analyst compares the UltiPro reports with reports she receives from MOSERS and works with MOSERS to reconcile any discrepancies.
12. End of Process

Miscellaneous Notes:

- The reconciliation process is basically the same for all benefits – check that the correct employees are enrolled in the plan and the correct deductions are taken out of their paychecks.
- MDC HR does not maintain information on retiree HSAs. HSA reconciliation only occurs for active employee data.
- Every six months, HealthScope Benefits sends data from its system for comparison to MDC's UltiPro system (i.e., ensuring everyone who needs to be is in the system, with the right options, rate, etc.). MDC sends updates to HealthScope Benefits nightly and sends a complete new database to HealthScope Benefits at the beginning of each plan year.

Benefit Changes – Annual Enrollment

Benefit Changes – Annual Enrollment



UltiPro	1			6,7,8,9,11				
DT* DB	1							
Email			3,5,6,7				10,11	
SAM II					7,8		11	
HealthScope Benefits					7,8		11	
Annual Enrollment DB		2		6		8		
FileBound				6			11	
Employee Year End Benefits Statements DB							9	
Positive Pay							11	

* Deductions Type Database

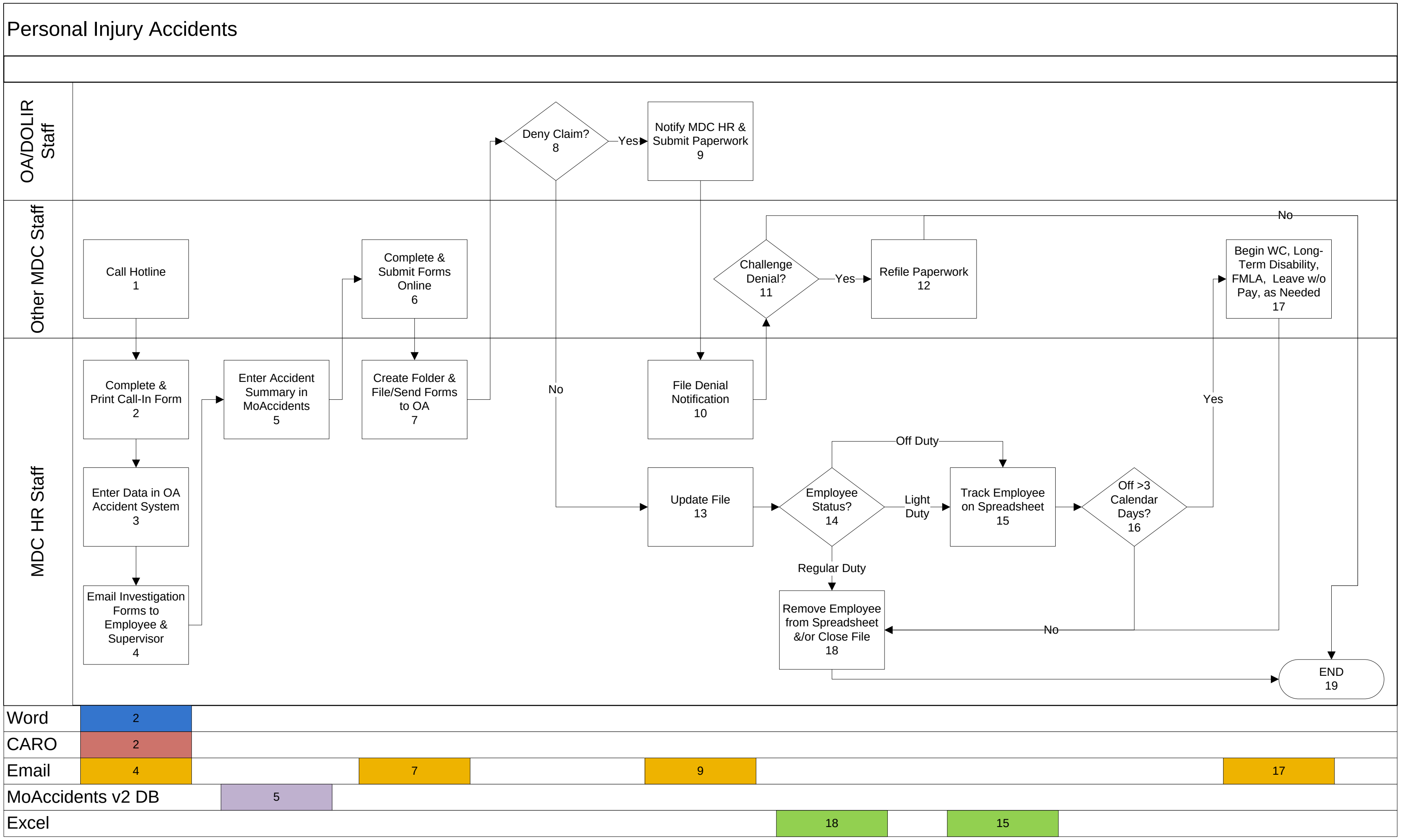
The preceding diagram illustrates the process to change employee benefits as part of the annual enrollment period.

1. When new health insurance, AD&D, or life insurance rates or options are established, the MDC HRIS Coordinator updates various database tables in preparation for the annual enrollment process. Note: Employee benefit deductions are processed out of paychecks only in SAM II and all changes for table-driven employee benefits need to be sent to the Office of Administration. The codes in SAM II and UltiPro must match for the exports to work.
2. The MDC HRIS Coordinator creates the benefits change form in Access, with extensive review by benefits staff, and prints the change forms on the designated date for the annual enrollment mailing.
3. The MDC HR Benefits Staff prepare for the annual benefits enrollment meetings.
4. The MDC HR Benefits Staff conduct annual benefits enrollment meetings for MDC employees each fall. During the meetings, the MDC HR Specialist explains the employees' benefit options and reminds them of the enrollment deadlines.
5. The MDC employees complete the forms and submit them to the MDC HR Benefits Staff.
6. The MDC HR Benefits Analyst enters the employee benefit data in UltiPro or the Annual Enrollment database (for active employee' supplemental life changes and all retiree benefits). For medical insurance for active employees, the MDC HR Benefits Analyst enters the stop date one day and the start date the next day (after nightly exports). The MDC HR Benefits Analyst notes any changes for the pay cycle in the Payroll Transaction Log (paper), scans the forms into FileBound, shreds the paper copies, and emails the benefit provider(s), if necessary.
7. The MDC HR Benefits Analyst runs nine nightly exports in UltiPro – sending updates to HealthScope Benefits and SAM II.
8. In January, the MDC HRIS Coordinator creates any necessary mass update text files and loads benefit election changes from the Annual Enrollment database into UltiPro and sends the same file to SAM II and HealthScope to be uploaded.
9. In February, the MDC HRIS Coordinator generates individualized employee benefit statements with the new benefit elections in the Employee Year End Benefits Statements database (using data in UltiPro) to be sent to all employees to confirm that their benefits/deductions are correct.
10. The MDC employees determine whether there is an error in their benefits/deductions and notifies the MDC HR Benefits Analyst. If there is no error, proceed to Step 12.
11. If there is an error, the MDC HR Benefits Analyst makes corrections in the appropriate system(s), emails the benefit provider(s), if necessary, and processes a check in Positive Pay to reimburse the employee or a one-time deduction in SAM II to pay the employee's premiums, if necessary. Return to Step 7.
12. End of Process

Miscellaneous Notes:

- MDC doesn't offer open enrollment for medical insurance. If an employee declines medical insurance through MDC when they are hired, they can't sign up for it later unless the MDC insurance board approves an open enrollment (which is rare). If the employee is in one of the medical insurance plans, they can change the type of medical plan (e.g., traditional vs. high-deductible/HSA) during fall enrollment.
- Once a retiree drops a benefit, they cannot re-enroll in it – even during annual enrollment.

Personal Injury Accidents



The preceding diagram illustrates the process to document MDC personal injury accidents and workers' compensation claims.

1. An MDC employee or supervisors calls the hotline to report a personal injury accident.
2. The MDC HR Safety Technician answers the hotline call and completes/prints a call-in form (Word document) indicating where the accident happened, the part of body injured, date/time of the accident, etc. Some codes must be looked up manually in references.
3. The MDC HR Safety Technician keys the data in the Office of Administration's Accident System and obtains a claim number (fiscal year + 5 digits). This number is referenced when corresponding with the employee.
4. The MDC HR Safety Technician emails investigation forms (e.g., OA Employee Injury Report, Supervisor Statement, Witness Statement, Medical Release Form, Personal Injury Report, etc.) to the employee and supervisor and requests a copy of the doctor's note.
5. The MDC HR Safety Technician enters a summary of the accident in Chronolog (MoAccidents v2 database).
6. The MDC employee completes and submits the forms online.
7. The MDC HR Safety Technician creates a checklist and folder for the employee, scans and files any paper returned from the employee/supervisor, and emails the forms/documents to the Office of Administration.
8. The Office of Administration and the Department of Labor and Industrial Relations Division of Workers' Compensation review the forms and doctor's report and determine whether to approve or deny the workers' compensation claim. If the claim is approved, proceed to Step 13.
9. If the claim is denied, the Office of Administration or Division of Workers' Compensation notifies the MDC HR Safety Technician.
10. The MDC HR Safety Technician files the denial notification in the employee's workers' compensation file.
11. The MDC employee decides whether to challenge the denial. The MDC HR Safety Technician informs the employee of their options. If the employee decides to not challenge the denial, proceed to Step 19.
12. If the employee challenges the denial, they may refile the paperwork with the Division of Workers' Compensation. Proceed to Step 19.
13. If the claim is approved, the MDC HR Safety Technician updates the employee's file as needed.
14. The MDC HR Safety Technician reviews the employee's paperwork from their doctor appointment to determine whether the employee is released for regular duty. If the employee is released for regular duty, proceed to Step 18.
15. If the employee is placed on light duty or off duty, the MDC HR Safety Technician tracks the employee (e.g., next doctor appointment, physical therapy progression, how long they are off work, etc.) manually in an Excel spreadsheet.
16. The MDC HR Safety Technician determines whether the employee has been off duty for more than three days. If not, proceed to Step 18.
17. If the employee has been off duty for more than three days, the employee begins to receive workers' compensation, long-term disability, FMLA, and/or leave without pay benefits, as circumstances require it. The employee continues to provide documentation from the doctor to verify they are off duty and inform HR when their next appointment is scheduled. The MDC HR Safety Technician continues to notify (email, phone calls, etc.) CARO that the employee will be off work. The MDC HR Safety Technician and CARO continue to

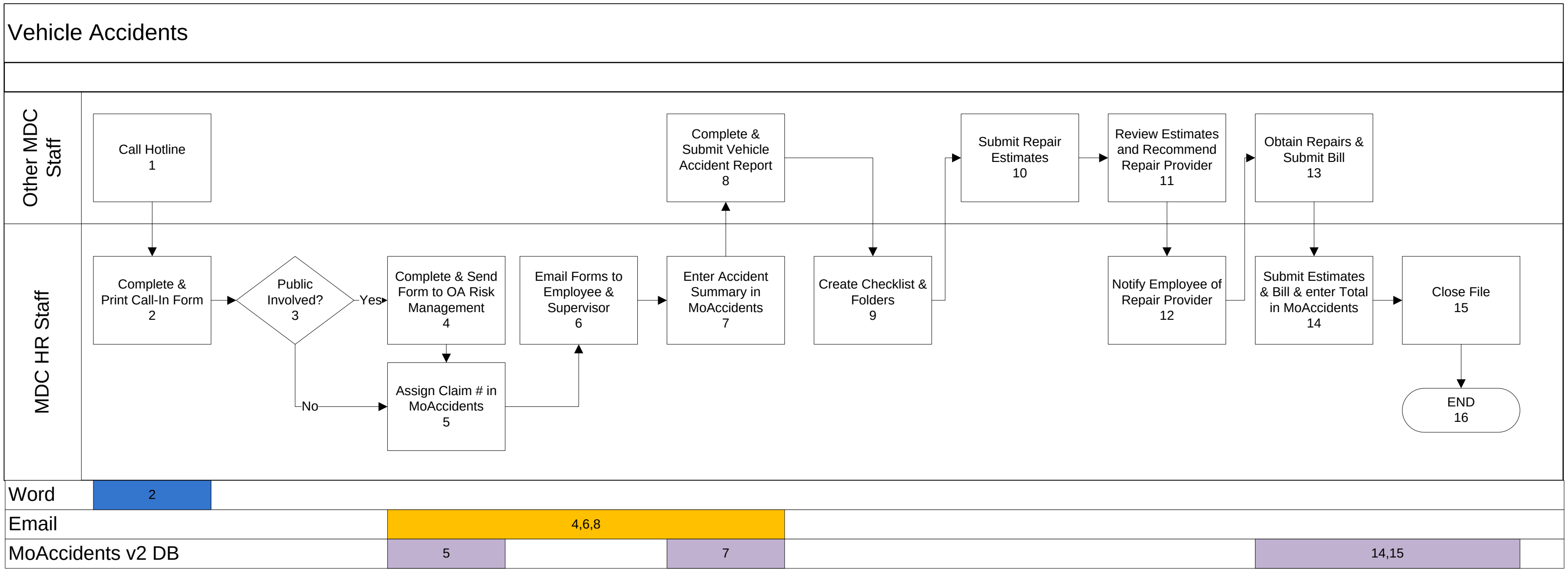
communicate with the employee, as needed. The MDC HR Safety Technician also keeps other MDC HR Staff informed of employees who are on Workers' Compensation during their bi-weekly payroll meetings. If an employee has exhausted their FMLA and leave, the division chief, MDC director or the commissioners can grant the employee 60 days of leave without pay. The MDC HR Benefits Analyst may need to bill an employee who is on leave without pay. At some point, the employee either is released for regular duty or is terminated.

18. When the employee is released for regular duty (or terminated), the MDC HR Safety Technician removes the employee from the Excel spreadsheet and/or closes the employee's file. (The employee could have office visits for years.)
19. End of Process

Miscellaneous Notes:

- MDC has around 100 or fewer workers' compensation incidents in a year. Currently, only two employees are off duty.
- MDC HR Staff may request a drug and alcohol test based on the circumstances of the accident. MDC HR policy indicates the criteria for determining whether a test should be requested. If a test is requested, MDC HR informs the employee's supervisor.
- MDC HR Staff can ask CARO for case management (i.e., send a nurse to the doctor appointments).
- The Office of Administration makes payments and enters data into the CARO system.
- OA (or the Division of Worker's Compensation) also notifies the MDC HR Safety Technician when an employee is placed on modified duty or released from care.
- If an employee has an attorney, MDC HR Staff can't consult the employee regarding their case. HR Staff sometimes consults/notifies the MDC general counsel. The Attorney General's office usually handles these cases.
- The employee must use different codes on their time sheet when they are off duty.
- The employee's division chief must approve a personnel form for anyone going on leave without pay (in any status).
- The process is the same for hourly and salaried employees and "official volunteers".
- Volunteers are not maintained in UltiPro. (They don't get paid but their medical expenses are paid.)
- MoAccidents provides reports by division, employee, date range, etc. The MDC HR Safety Technician prepares monthly reports for the director's office.

Vehicle Accidents



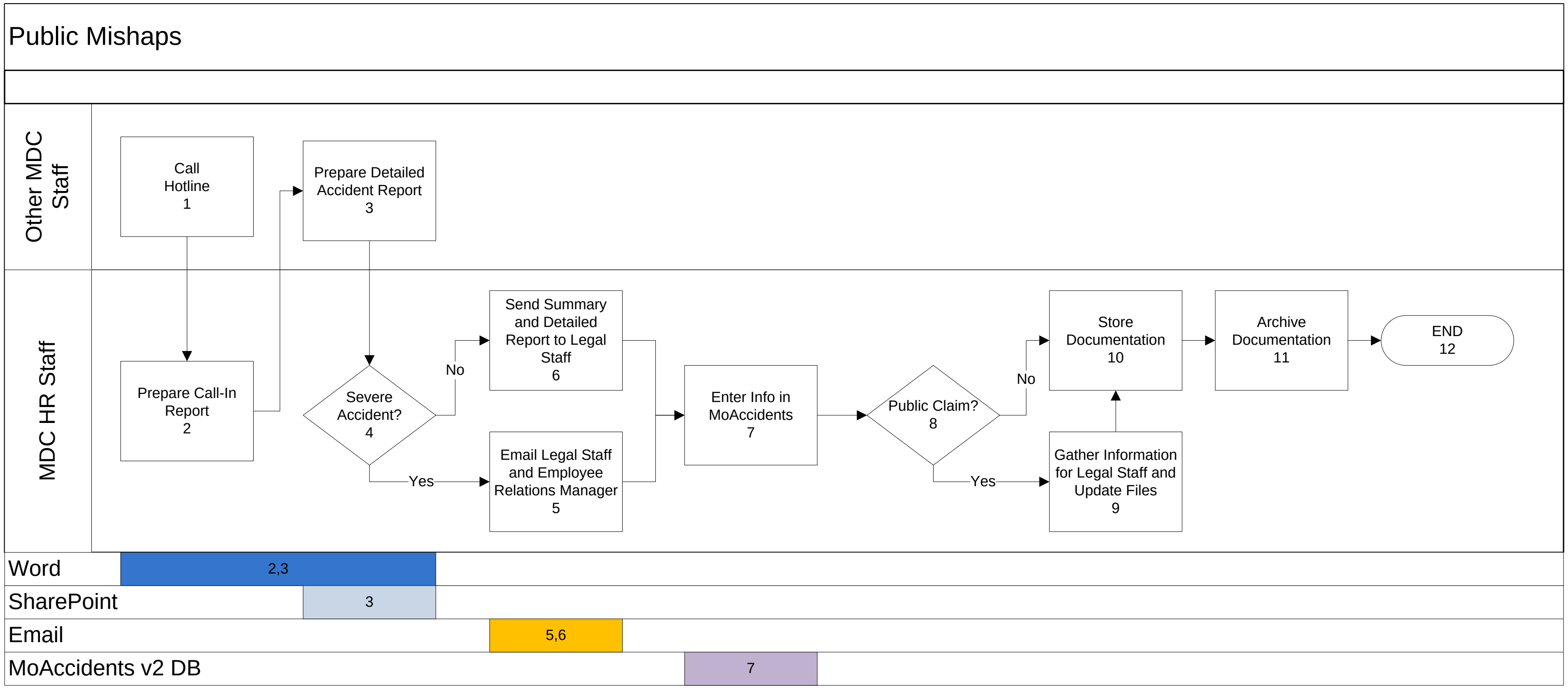
The preceding diagram illustrates the process to document MDC vehicle accidents.

1. An MDC employee or supervisor calls the hotline to report a vehicle accident. (This only applies when someone was hurt as a result of the accident, a member of the public was involved in the accident, or the accident caused more than $300 in damage to the vehicle.)
2. The MDC HR Safety Technician answers the hotline call and completes/prints a call-in form (Word document) indicating who called, the date/time of the accident, where the accident happened, whether an injury resulted from the accident, etc.
3. The MDC HR Safety Technician determines whether a member of the public was involved in the accident. If not, proceed to Step 5.
4. If a member of the public was involved in the accident, the MDC HR Safety Technician completes the Loss Notice form and sends it (as a pdf) to the Office of Administration Risk Management Staff.
5. The MDC HR Safety Technician assigns a claim number (i.e., employee initials and date) to the accident in the MoAccidents v2 database. This number is referenced when corresponding with the employee.
6. The MDC HR Safety Technician emails forms to the employee and supervisor (or they access the forms online) and asks the employee to obtain estimates for repairing the vehicle and fax a copy of the police report if one was obtained.
7. The MDC HR Safety Technician enters a summary of the accident in Chronolog (MoAccidents v2 database).
8. The employee and supervisor complete a Vehicle Accident Report, send it through the division for comment, and submit it (fax or email) to the MDC HR Safety Technician.
9. The MDC HR Safety Technician creates a checklist and folder for the employee and scans and files/sends documents as the employee and supervisor submit them.
10. The employee submits the repair estimates to the MDC HR Safety Technician if the employee was at fault. If a member of the public was at fault, the estimates are submitted to the Office of Administration Risk Management Staff, who contacts the other party involved. The MDC HR Safety Technician asks the MDC Administrative Services Staff to recommend where to get the vehicle repaired.
11. MDC Administrative Services Staff reviews the estimates and recommends where to get the vehicle repaired.
12. The MDC HR Safety Technician notifies the employee and supervisor of the recommended repair provider.
13. The employee or supervisor has the vehicle repaired and submits the bill to the MDC HR Safety Technician.
14. The MDC HR Safety Technician submits the estimates and bill to the MDC Administrative Services Staff for payment and enters the total cost in the MoAccidents v2 database.
15. Once the vehicle has been repaired, the Vehicle Accident Report has been submitted, and payment has been received, the MDC HR Safety Technician closes the file. The file will remain open if a member of the public was involved and MDC is waiting on an insurance payment or personal payment. MDC HR Staff may consult MDC Legal Staff if MDC doesn't receive payment. OA Risk Management Staff will contact the Department of Revenue on MDC's behalf regarding a default or uninsured driver.
16. End of Process

Miscellaneous Notes:

- MDC HR may request a drug and alcohol test based on the circumstances of the accident. MDC HR policy indicates the criteria for determining whether a test should be requested. If a test is requested, MDC HR informs the employee's supervisor.
- MDC HR may ask the employee to obtain a police report.
- The Office of Administration Risk Management Staff assigns a claim number, but MDC HR doesn't get it for vehicle accidents.
- MDC HR receives a monthly report of expenditures related to vehicle accidents from OA Risk Management Staff. The MDC HR Safety Technician verifies that the data is in Chronolog (MoAccidents v2 database).

Public Mishaps



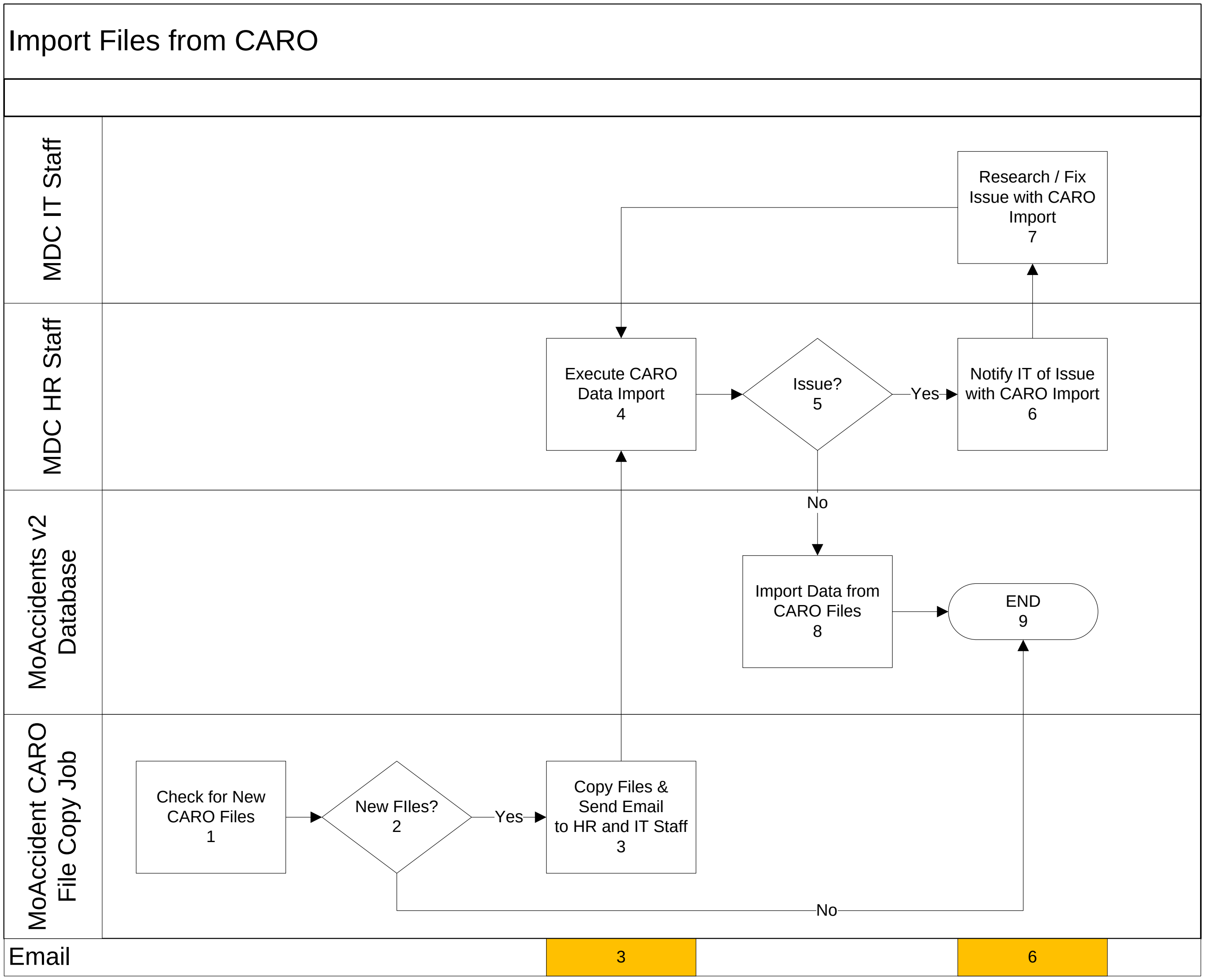
The preceding diagram illustrates the process to document public mishaps at MDC facilities.

1. An MDC site, facility, or area manager calls the hotline to report an accident involving a member of the public.
2. The MDC HR Safety Technician answers the hotline call and prepares a call-in report (Word document) of who called, the date/time of the accident, type of assistance given if someone was injured, etc.
3. The MDC site, facility, or area manager prepares a detailed report of the accident, which is available on SharePoint.
4. The MDC HR Safety Technician determines whether it was a severe accident. If it was not a severe accident, proceed to Step 6.
5. If it was a severe accident, the MDC HR Safety Technician emails the MDC Legal Staff and MDC HR Employee Relations Manager.
6. The MDC HR Safety Technician sends a summary of the accident and the detailed report to the MDC HR Legal Staff.
7. The MDC HR Safety Technician enters the accident information into the MoAccidents v2 database.
8. The MDC HR Safety Technician determines whether a member of the public has made a claim against MDC related to the accident. If not, proceed to Step 10.
9. If a member of the public has made a claim against MDC, the MDC HR Safety Technician gathers information for the MDC Legal Staff and updates the files.
10. The MDC HR Safety Technician stores the documentation in paper files divided by region.
11. After seven years, the MDC HR Safety Technician archives the documentation.
12. End of Process

Miscellaneous Notes:

- N/A

Import Files from CARO



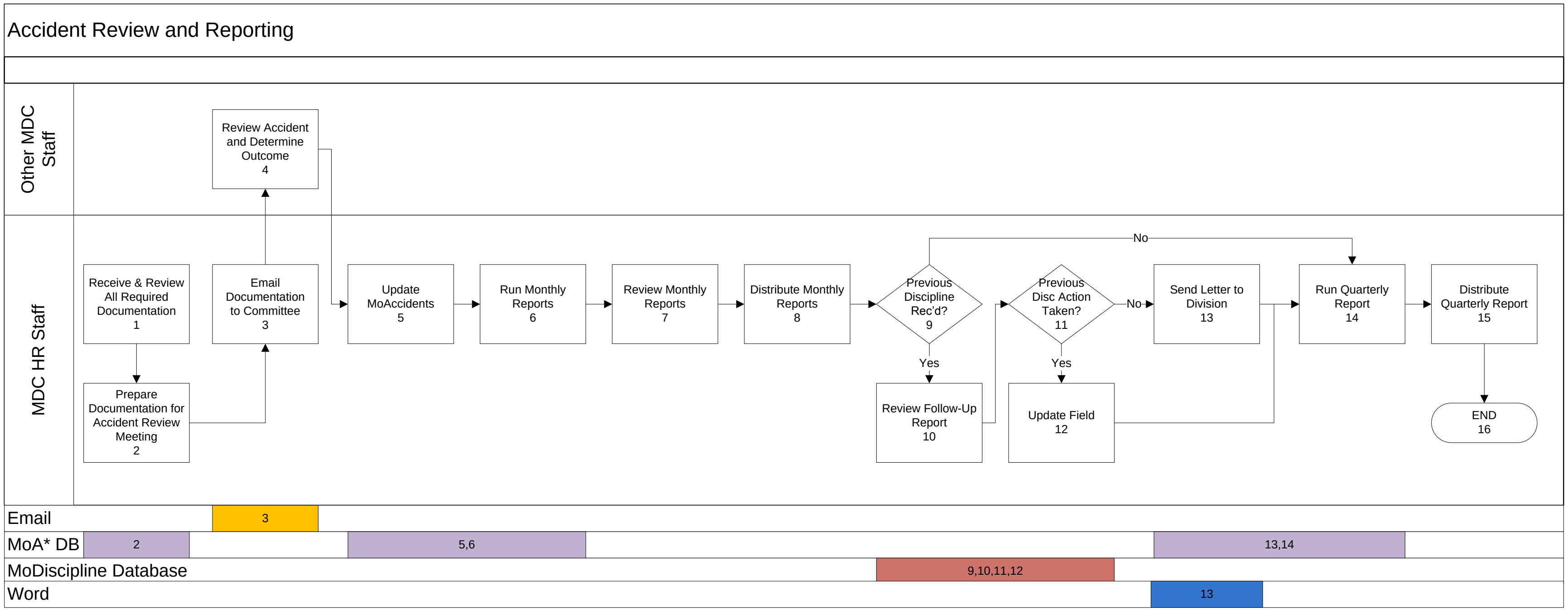
The preceding diagram illustrates the process to import CARO files. These files provide dollar amounts tracked by the Missouri Office of Administration for payments related to workers' compensation, doctor appointments, etc.

1. The MoAccident CARO File Copy Job checks for new CARO files each night.
2. The MoAccident CARO File Copy Job determines whether new CARO files are available for import. If there are no new files available, proceed to Step 9.
3. If there are new CARO files, the MoAccident CARO File Copy Job copies the files to a designated location and sends an email to the MDC HR Safety Technician, MDC HR Safety Coordinator, and MDC IT Staff.
4. The MDC HR Safety Technician opens the MoAccidents v2 database and executes the CARO Data import.
5. The MDC HR Safety Technician checks to see whether there was an issue with the CARO import. If there was no issue, proceed to Step 8.
6. If there was an issue with the CARO import, the MDC HR Safety Technician notifies MDC IT Staff of the issue.
7. The MDC IT Staff researches and fixes the issue with the CARO import. Return to Step 4.
8. The MoAccidents v2 database imports the CARO files, updating the Personal Injury table.
9. End of Process

Miscellaneous Notes:

- N/A

Accident Review and Reporting



* MoAccidents v2 Database

The preceding diagram illustrates the process to prepare for and conduct the Accident Review Meeting as well as to report on MDC accidents.

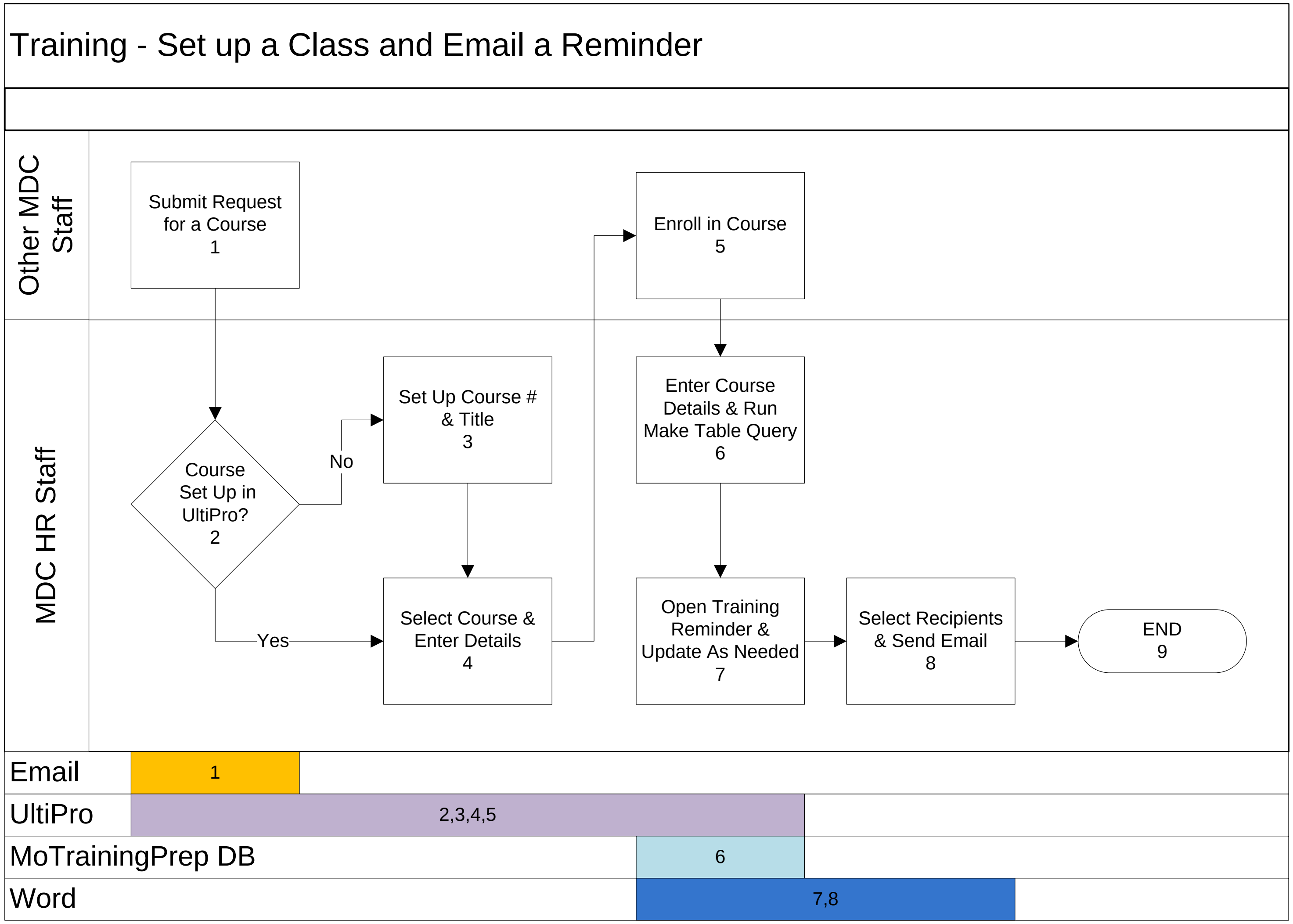
1. The MDC HR Safety Technician receives and reviews all required documentation, which varies based on the type and circumstances of the accident. For example, a vehicle accident is ready for accident review once the MDC HR Safety Technician receives the vehicle incident report, repair estimates, and police report (if one was requested).
2. The MDC HR Safety Technician prepares the documentation for the Accident Review Meeting. This includes pulling documents from the paper files, making copies of accident reports, and whiting out personal information (e.g., name, division, etc.) so the documents are anonymous. The MDC HR Safety Technician also runs a report from the MoAccidents v2 database that indicates whether the employee has had any prior preventable accidents. (This report is only for MDC HR Safety Coordinator to reference during the meeting.)
3. The MDC HR Safety Technician scans the documents for the Accident Review meeting and emails them (as a pdf) to the Statewide Safety committee members.
4. The Statewide Safety Committee (someone from every division, mostly managers or unit chiefs) reviews each accident. Each member votes on whether the accident was preventable or non-preventable and the cause. When reviewing vehicle accidents, points are given based on the cost of repairs, cause of the accident, and if the employee had prior vehicle accidents within the past three years. The committee contacts the employee's supervisor if additional information is required.
5. After the Accident Review Meeting, the MDC HR Safety Technician updates the accident record in Chronolog (MoAccidents v2 database).
6. The MDC HR Safety Technician runs the standard monthly accident reports in the MoAccidents v2 database.
7. The MDC HR Employee Relations Manager reviews the monthly accident reports.
8. The MDC HR Safety Technician distributes the monthly accident reports:
    - Director - summary of all accidents with key point letter
    - Division Chief/Office Manager - paper copies and email report of their division (They can send the report to their regional offices.)
    - Division Chiefs - summary of division accidents along with any corrective action memos for preventable accidents (vehicle only).
    - Regional Safety Committee Chairs – copies of accident reports
9. The MDC HR Safety Technician determines whether any employees have a disciplinary action recommendation from a previous Accident Review Meeting. If there was no disciplinary action recommended previously, proceed to Step 16.
10. If an employee has a disciplinary action recommendation from a previous Accident Review Meeting, the MDC HR Employee Relations Manager and the MDC HR Data Analyst review a monthly follow up report.
11. The MDC HR Employee Relations Manager and the MDC HR Data Analyst determine whether the recommended disciplinary action has been taken. If it has not been taken, proceed to Step 15.
12. If the recommended disciplinary action has been taken, the MDC HR Data Analyst or the MDC HR Compliance Coordinator updates the field in the MoDiscipline database indicating the disciplinary action was taken. This field prevents the letter to the division from printing.
13. The MDC HR Safety Technician generates letters in the MoAccidents v2 database, formats them in Word, and sends them to the divisions.
14. The MDC HR Safety Coordinator runs the quarterly accident reports in the MoAccidents v2 database.

15. The MDC HR Safety Coordinator distributes the quarterly accident report to all Regional Safety Committee chairs. This report has the same kind of information as the monthly reports (no names, divided by regions and divisions).
16. End of Process

Miscellaneous Notes:

- The date of the Accident Review Meeting is what is looked at for reports.
- The MDC HR Employee Relations Manager and Compliance Coordinator have access to the MoDiscipline database to determine whether the disciplinary action recommended in an Accident Review Meeting has been completed.

Training – Set up a Class and Email a Reminder



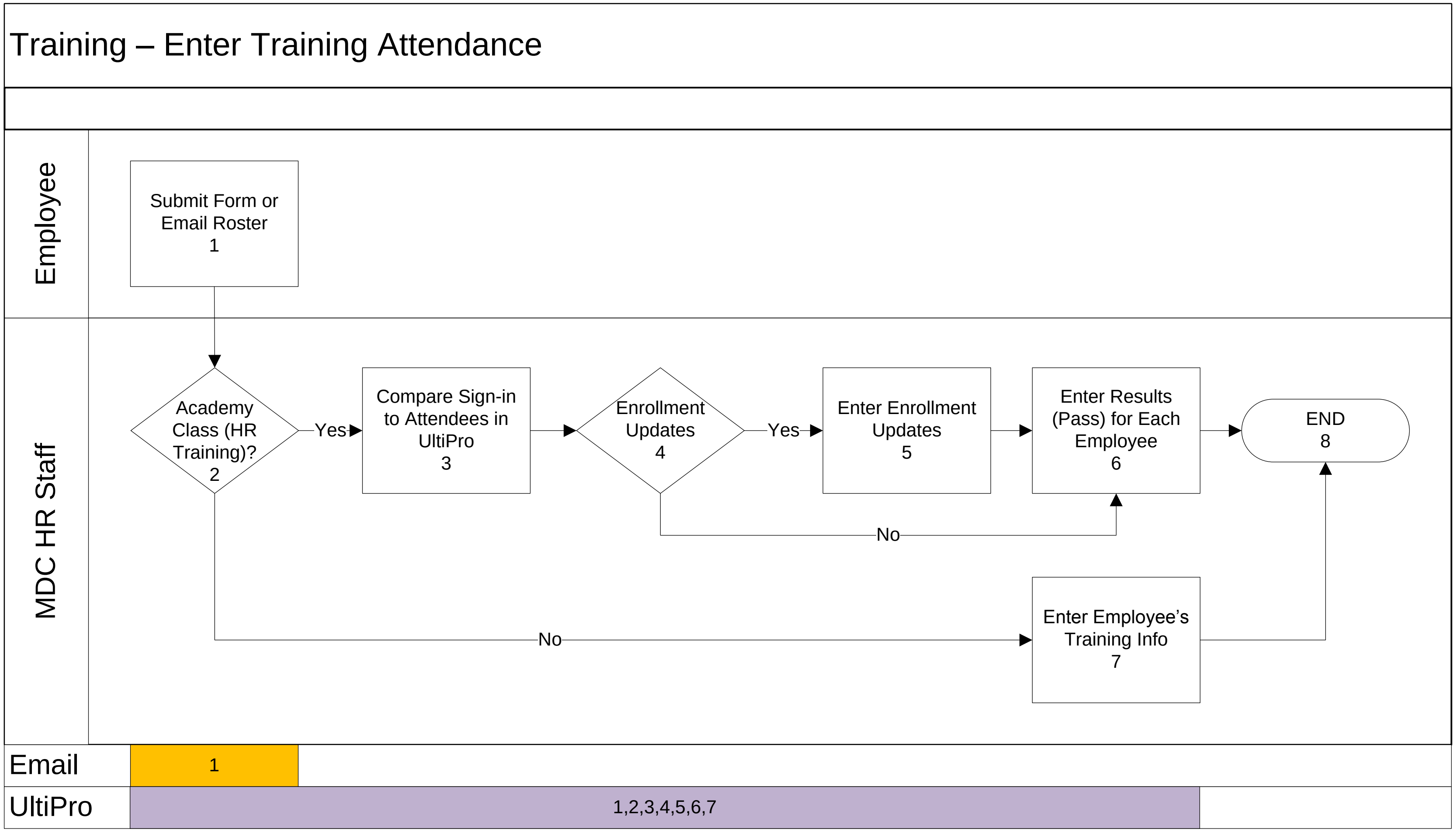
The preceding diagram illustrates the process for scheduling a training class in UltiPro and sending email reminders in advance of the class.

1. MDC Division Staff email the MDC HR Administrative Staff Assistant requesting a course (include the name, date, time, and location of the course).
2. The MDC HR Administrative Staff Assistant determines whether the course is set up in UltiPro. If it is already set up, proceed to Step 4.
3. If the course is not already set up, MDC HR Administrative Staff Assistant sets up the course number and title in UltiPro.
4. The MDC HR Administrative Staff Assistant selects the course in the Class Scheduler and enters the course details (e.g., date, time, location, size, etc.). This makes the course available for enrollment through UltiPro Web.
5. MDC employees enroll in the course.
6. About two weeks before the course date, the MDC HR Administrative Staff Assistant opens the MoTrainingPrep database, enters the course details, and runs a query to set up the table for the email reminder.
7. The MDC HR Administrative Staff Assistant opens the training reminder (Word), previews the email text, and updates it as needed.
8. The MDC HR Administrative Staff Assistant selects the email recipients and sends the email reminder.
9. End of Process

Miscellaneous Notes:

- N/A

Training – Enter Training Attendance



The preceding diagram illustrates the process for entering the employees who attended a training class in UltiPro.

1. The MDC training facilitator submits a form or emails the class roster to the MDC HR Administrative Staff Assistant. In some cases, the MDC HR Administrative Staff Assistant prints the sign-up sheet for the class.
2. The MDC HR Administrative Staff Assistant determines whether the class is an Academy Class (HR training) or other training. If it is not an Academy Class, proceed to Step 7.
3. If the class is an Academy Class, the MDC HR Administrative Staff Assistant compares the class sign-in sheet to the enrollees in UltiPro.
4. The MDC HR Administrative Staff Assistant determines whether there are enrollment updates to enter into UltiPro. If there are no enrollment updates, proceed to Step 6.
5. If there are enrollment updates, the MDC HR Administrative Staff Assistant enrolls employees who attended the class but weren't previously enrolled and cancels any enrollees who did not attend the class.
6. The MDC HR Administrative Staff Assistant enters the results (Pass) for each employee in UltiPro.
7. The MDC HR Administrative Staff Assistant enters the employee's training information in UltiPro.
8. End of Process

Miscellaneous Notes:

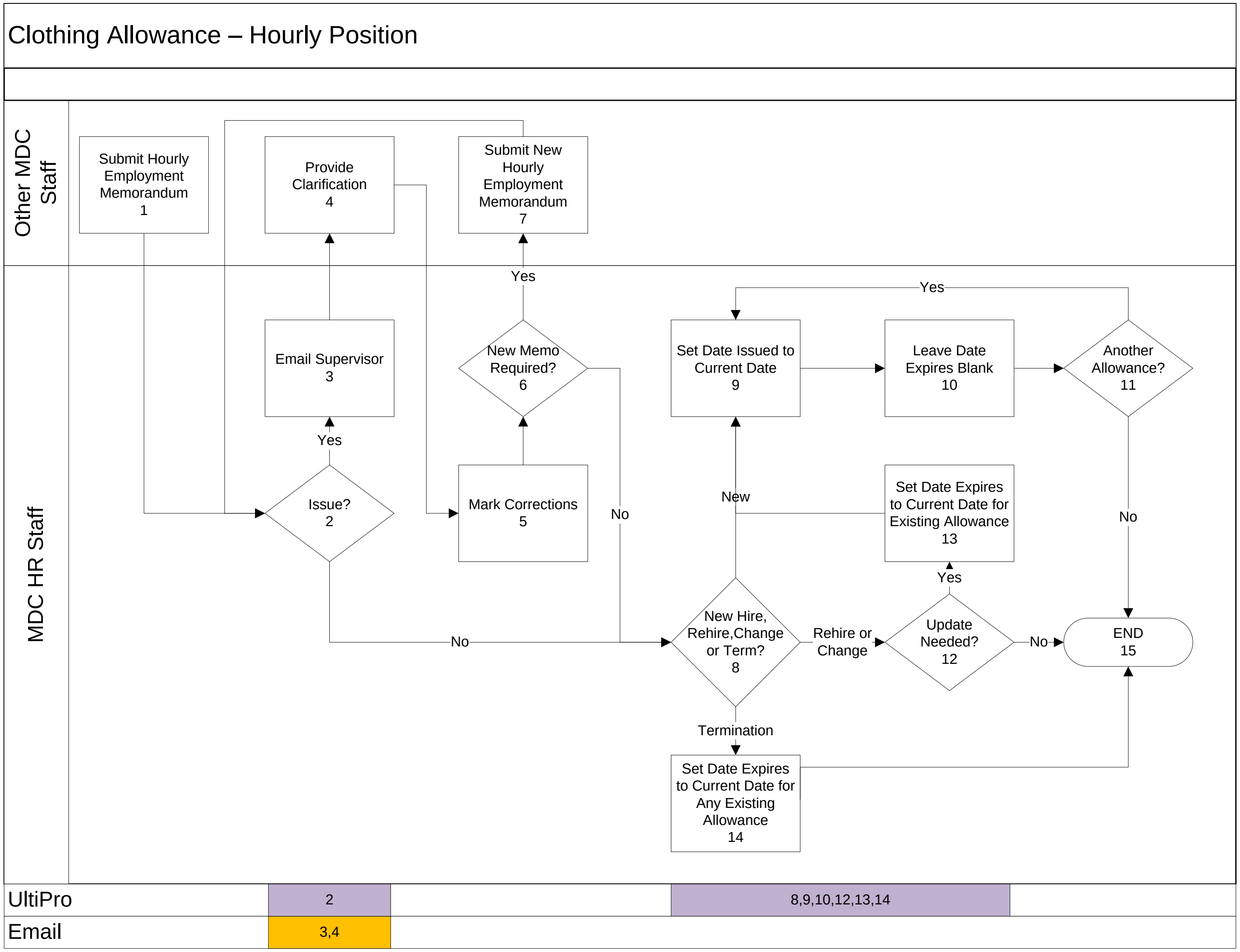
- Non-Academy ("technical") classes are not available in UltiPro for online enrollment. "Technical" training isn't offered by MDC HR. Sometimes, an MDC division conducts a class and then sends the enrollment to HR to be entered in the system – they don't have the class available for enrollment on UltiPro Web.
- If an MDC employee attends outside training, the MDC HR Administrative Staff Assistant creates the course (but does not put it in the scheduler), enrolls the employee, and records their attendance.
- The MDC Protection Division has some funding available for a new training system. MDC has a committee researching a new training system for the entire department. MDC HR Staff would like to use that system for training offered/tracked by HR or have the entire department use the training component of the new HR system.

Individual Development Plans (IDPs) and Competencies

The development of Individual Development Plans and Competencies for the various positions within the Missouri Department of Conservation are being conducted entirely outside of the existing HRIS. The Department is developing a stand-alone database and system for handling these activities. As such, there is no specific business process that must be mapped for this effort.

There will be a need to have data transferred between the existing HRIS (or any future HRIS) with the database being developed for the IDP / Competency program to ensure data is appropriately synced and utilized. This will be addressed further in future documents.

Clothing Allowance – Hourly Position



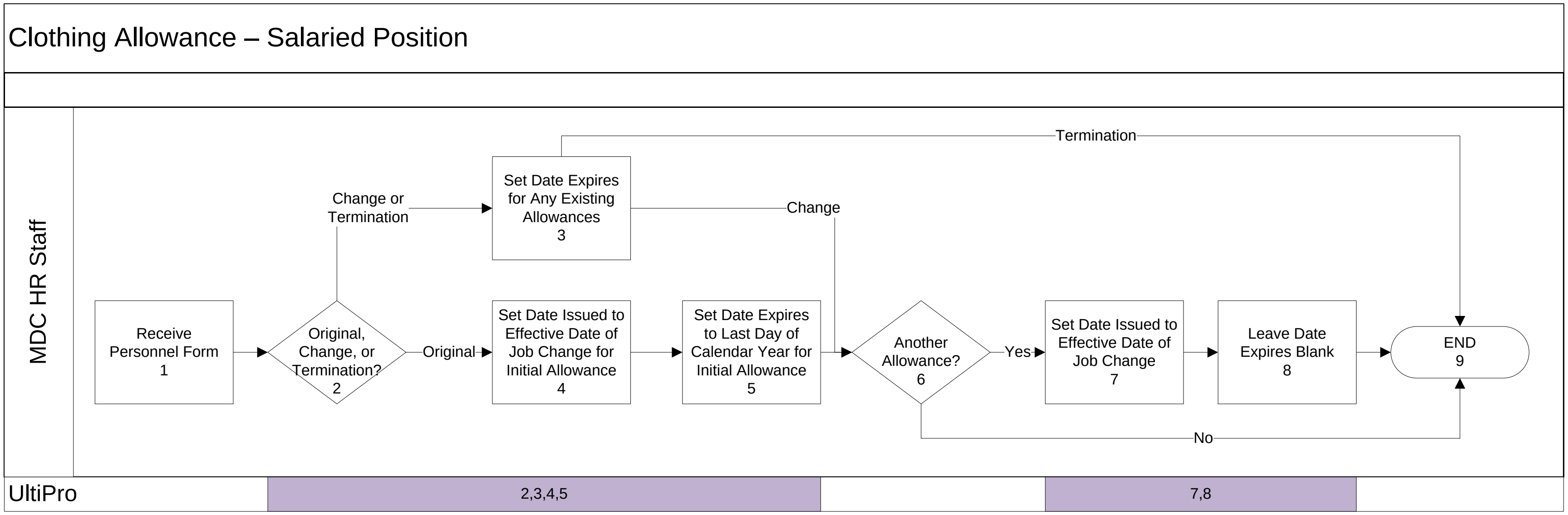
The preceding diagram illustrates the process to enter or update clothing allowance information for an hourly position.

1. An MDC employee’s supervisor submits an Hourly Employment Memorandum with new clothing allowance information to the MDC HR Specialist.
2. The MDC HR Specialist determines whether there is an issue with processing the clothing allowance. For example, if the employee is not active (in UltiPro), the MDC HR Specialist holds the memorandum and rechecks every two weeks until the employee is active. Other items checked include the employee’s hours and allowance amount(s) on the memorandum. If there is no issue with processing the clothing allowance, proceed to Step 8.
3. If there is an issue with processing the clothing allowance, the MDC HR Specialist emails the employee’s supervisor for clarification.
4. The employee’s supervisor provides clarification for processing the clothing allowance.
5. The MDC HR Specialist marks the corrections on the Hourly Employment Memorandum and/or files the email with the corrections from the supervisor.
6. The MDC HR Specialist determines whether a new Hourly Employment Memorandum is required. If a new memorandum is not required, proceed to Step 8.
7. If a new memorandum is required, the employee’s supervisor submits a new memorandum. Return to Step 2.
8. The MDC HR Specialist determines whether the memorandum includes a clothing allowance for a new hire or rehire, a change to an existing clothing allowance, or termination of a clothing allowance. If the memorandum includes a clothing allowance for a rehire or a change to an existing clothing allowance, proceed to Step 12. If it is for the termination of a clothing allowance, proceed to Step 14.
9. If the clothing allowance is for a new hire, the MDC HR Specialist enters the current date as the issue date in UltiPro.
10. The MDC HR Specialist leaves the expiration date blank.
11. The MDC HR Specialist determines whether another allowance needs to be entered. If another allowance needs to be entered, return to Step 9. If not, proceed to Step 15.
12. If the clothing allowance is for a rehire or a change to an existing clothing allowance, the MDC HR Specialist determines whether the existing clothing allowance needs to be updated. If not, proceed to Step 15.
13. If the existing clothing allowance needs to be updated, the MDC HR Specialist enters the current date as the expiration date for the existing allowances. Return to Step 9.
14. If the Hourly Employment Memorandum is for the termination of a clothing allowance, the MDC HR Specialist enters the current date as the expiration date for any existing allowances.
15. End of Process

Miscellaneous Notes:

- N/A

Clothing Allowance – Salaried Position



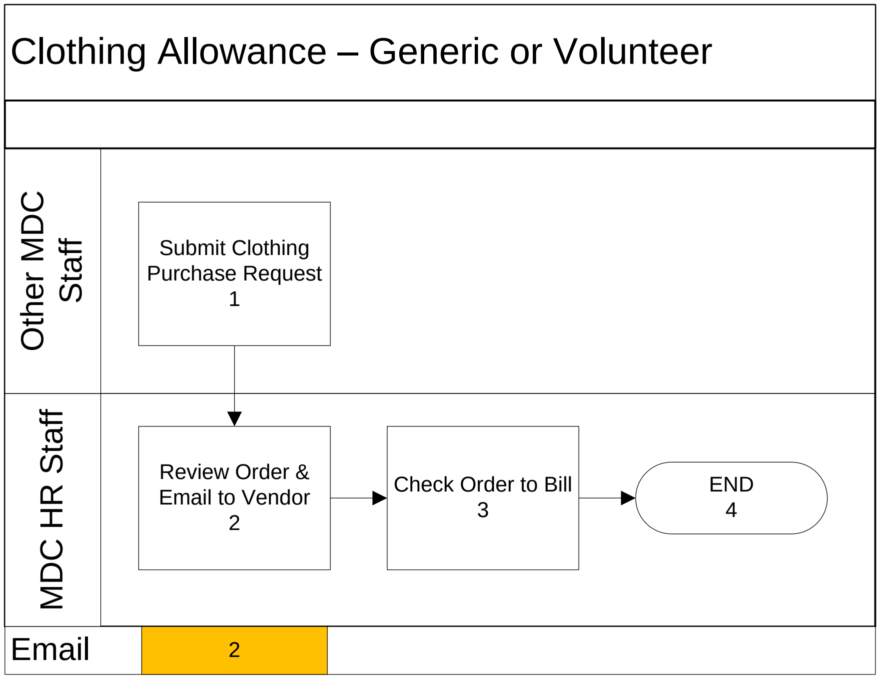
The preceding diagram illustrates the process to enter or update clothing allowance information for a salaried position.

1. The MDC HR Data Analyst receives a Personnel Form with new clothing allowance information from an MDC division office manager.
2. The MDC HR Data Analyst determines whether the Personnel Form includes an original clothing allowance for the employee, a change to an existing clothing allowance, or termination of a clothing allowance. If it is the original clothing allowance, proceed to Step 4.
3. If it is a change or termination, the MDC HR Data Analyst enters the date prior to the effective date of the change or the last date of employment as the expiration date for the previous allowance(s). If it is a change, proceed to Step 6. If it is a termination, proceed to Step 9.
4. The MDC HR Data Analyst enters the effective date of the job change as the issue date for the Initial Clothing Allowance.
5. The MDC HR Data Analyst enters the last day of the calendar year as the expiration date for the Initial Clothing Allowance.
6. The MDC HR Data Analyst determines whether there is a Regular Clothing Allowance or other clothing allowance to enter. If there is no other allowance to enter, proceed to Step 9.
7. The MDC HR Data Analyst enters the effective date of the job change as the issue date for the Regular (or other) Clothing Allowance.
8. The MDC HR Data Analyst leaves the expiration date for the Regular (or other) Clothing Allowance blank.
9. End of Process

Miscellaneous Notes:

- The Initial Clothing Allowance is given to new hires or employees who haven't had a clothing allowance within the past year.

Clothing Allowance – Generic or Volunteer



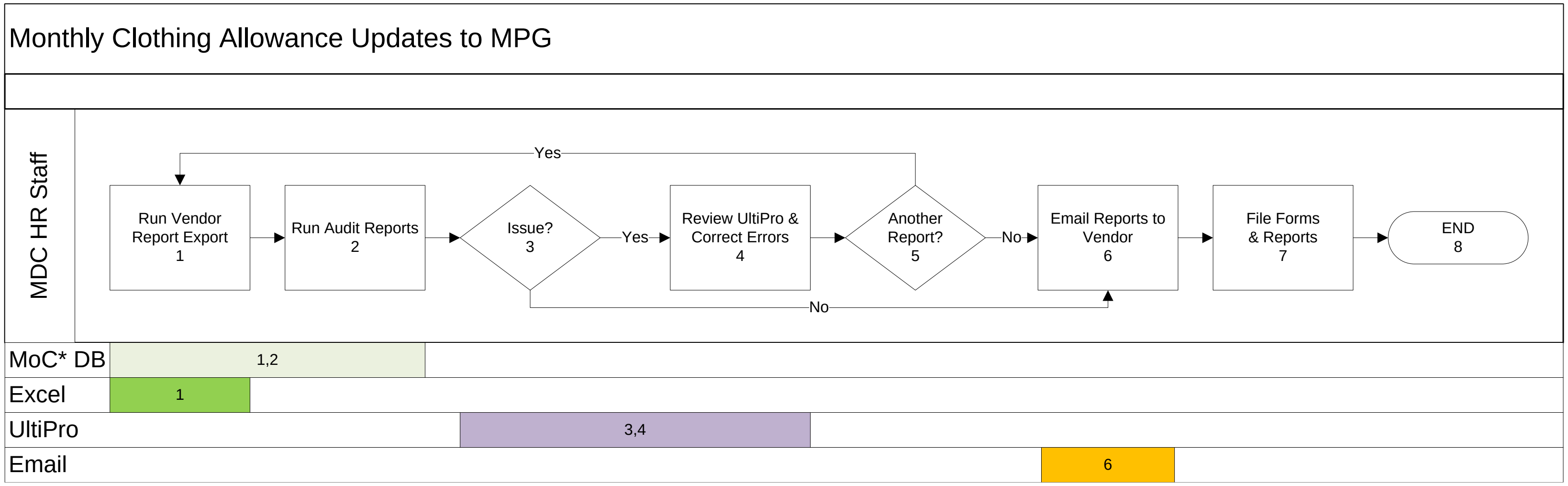
The preceding diagram illustrates the process to send clothing allowance updates to MPG. MPG is the clothing vendor and is responsible for monitoring the amount of clothing purchases made per employee and ensuring the employee does not exceed the amount of his/her clothing allowance(s). MDC HR provides reports to MPG twice each month (on or near the 1st and 16th).

1. An MDC supervisor submits the Generic Clothing Purchase Request form or the Volunteer Clothing Purchase Request form.
2. The MDC HR Specialist reviews the form, contacts the supervisor with any questions, scans the form, and emails it to the clothing vendor.
3. The MDC HR Specialist checks the order to bill.
4. End of Process

Miscellaneous Notes:

- The volunteers' names must be submitted with the Volunteer Clothing Purchase Request form.

Monthly Clothing Allowance Updates to MPG



* MoClothing Database

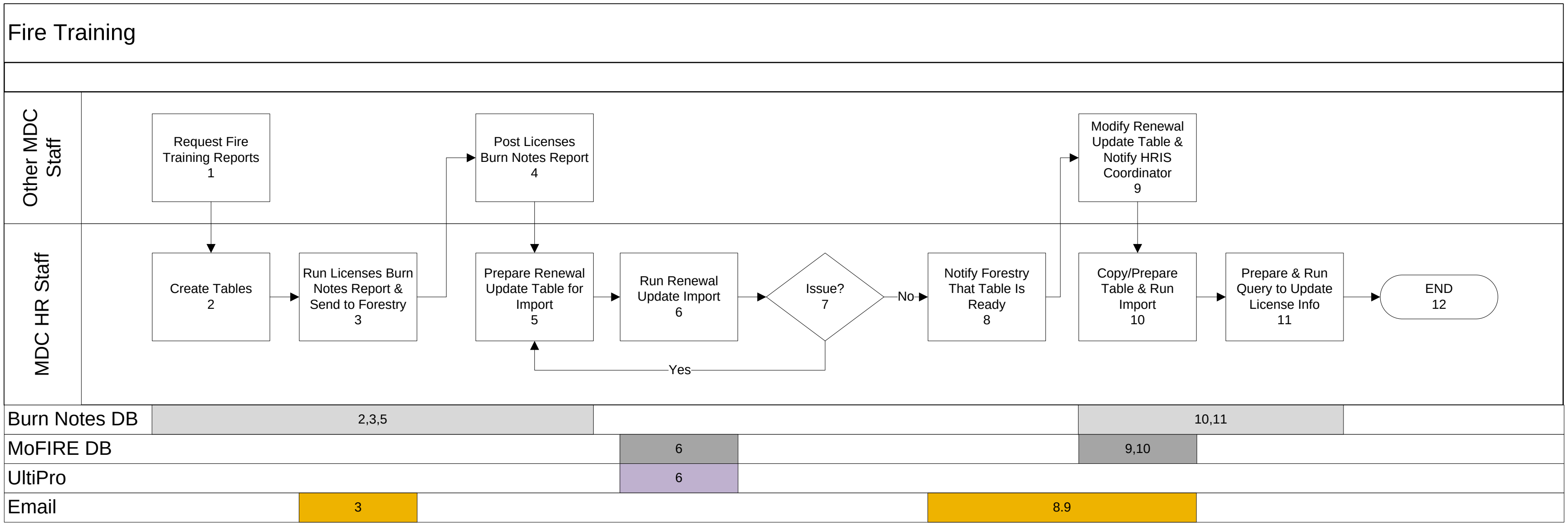
The preceding diagram illustrates the process to send clothing allowance updates to MPG. MPG is the clothing vendor and is responsible for monitoring the amount of clothing purchases made per employee and ensuring the employee does not exceed the amount of his/her clothing allowance(s). MDC HR provides reports to MPG twice each month (on or near the 1st and 16th).

1. The MDC HR Specialist runs the vendor report export in the MoClothing database. Running the export includes specifying the reporting period and the network location for the exported data to be saved. (Some reports are saved as Excel spreadsheets; one is an export file.)
2. The MDC HR Specialist runs audit reports in the MoClothing database.
3. The MDC HR Specialist uses the audit reports, UltiPro, and clothing allowance forms on file to determine whether there is an issue with the vendor report. If there is no issue, proceed to Step 6.
4. If there is an issue with the vendor report, the MDC HR Specialist corrects any erroneous clothing allowance data in UltiPro.
5. The MDC HR Specialist determines whether another vendor report must be generated. If so, return to Step 1. (This process is repeated for four vendor reports – Clothing Changes, Name/Address Changes, Terminations, and Division Changes – and audit reports.)
6. Once all four vendor reports are generated and verified, the MDC HR Specialist emails the reports to the clothing vendor, MPG.
7. The MDC HR Specialist files the clothing allowance forms in a binder and the four vendor reports with audit reports in a file cabinet.
8. End of Process

Miscellaneous Notes:

- Only files for the current year and one prior year are kept in the MDC HR Specialist’s office. Older files are sent to storage.

Fire Training



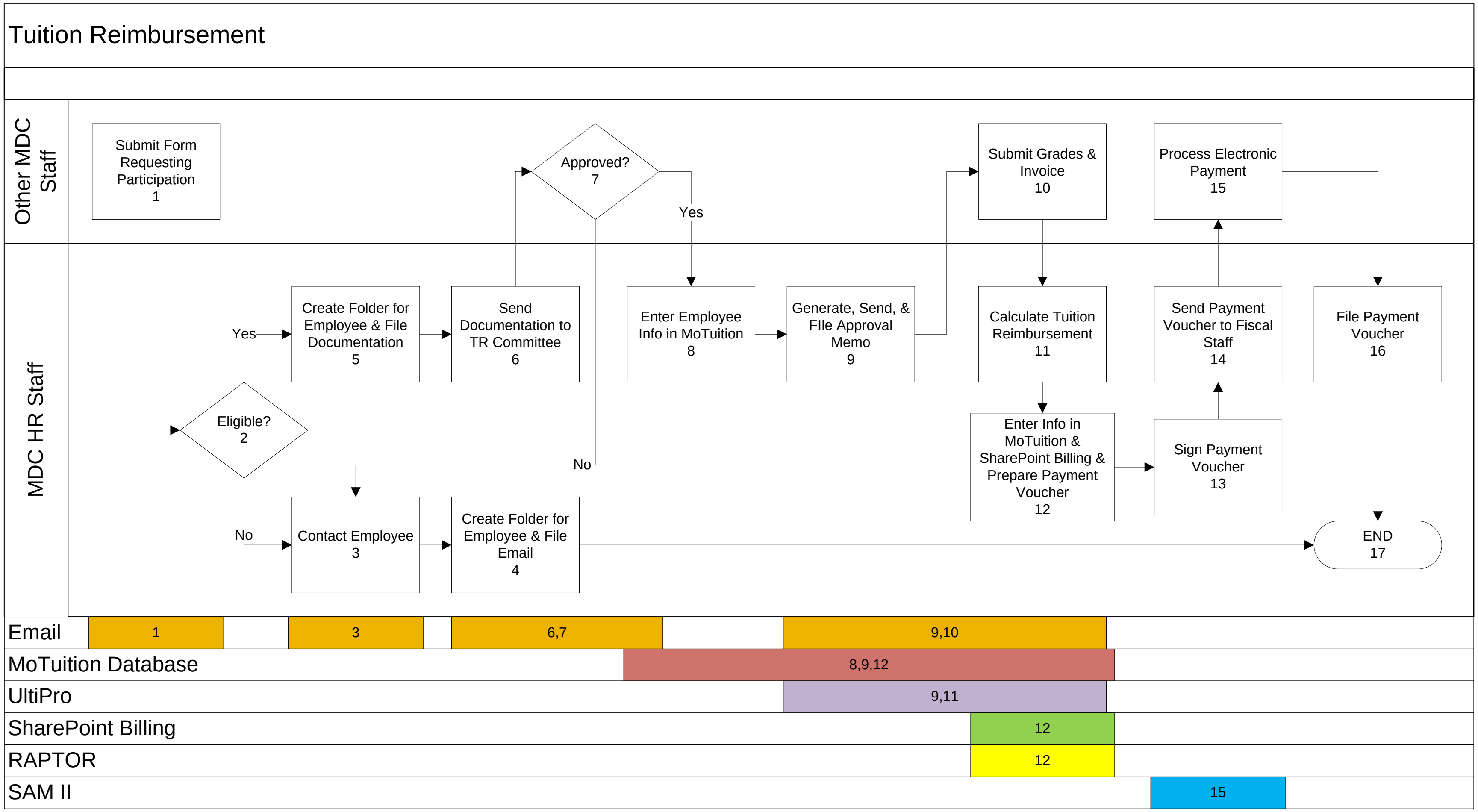
The preceding diagram illustrates the process for tracking information related to MDC employees' fire management training and licenses for the Forestry Division.

1. Around the first of the year, the MDC Forestry Field Programs Supervisor calls the MDC HRIS Coordinator to request the fire training reports so he can check for employees whose fire certification is due on June 30.
2. The MDC HRIS Coordinator creates the following tables in the eLaborBurnNotes database:
   - Time Pair Summary
   - Burn Notes Detail
   - Renewal Update
3. The MDC HRIS Coordinator runs the Licenses Burn Notes Report in the eLaborBurnNotes database, saves the report as a pdf, and emails it to the MDC Forestry Field Programs Supervisor.
4. The MDC Forestry Field Programs Supervisor posts the Licenses Burn Notes Report on the MDC website and uses the report to determine whether employees have completed the requirements to renew their licenses.
5. The MDC HRIS Coordinator accesses the Renewal Update table (in the eLaborBurnNotes database) and changes the Update field to a Yes/No data type, preparing it for import into the MoFIRE database.
6. The MDC HRIS Coordinator runs the Renewal Update Import in the MoFIRE database.
7. The MDC HRIS Coordinator checks for issues with the import, verifying the data type for the Update field was maintained. If there was an issue with the import, return to Step 5.
8. The MDC HRIS Coordinator notifies (email) the MDC Forestry Field Programs Supervisor that the Renewal Update table is ready for review. (This is usually done in May.)
9. The MDC Forestry Field Programs Supervisor modifies the Renewal Update table via the Renewal Update form in the MoFIRE database by removing the check in the Update field for any licenses that should NOT be updated. When completed, the MDC Forestry Field Programs Supervisor notifies (email) the HRIS Coordinator of its completion.
10. The HRIS coordinator copies the table as tblRenewalUpdate_IMPORT, removes any licenses not marked for update from the new table, and imports the new table into the eLaborBurnNotes database.
11. The HRIS coordinator backs up the EmpLicns table in the eLaborBurnNotes database, updates the update_EmpLicns query with the correct renewal date, and runs the query to update the remaining licenses with a June 30 renewal date five years in the future.
12. End of Process

Miscellaneous Notes:

- The original data used in the initial import of licenses and training information into UltiPro can be found at V:\\HumRes\MoFIRE\Bruce Palmer Original\Fire Training Records_Master.mdb. This database continues to be referenced to identify employees who were "grandfathered" for certain licenses or granted a "bypass" for Level 1 training as questions arise.

Tuition Reimbursement



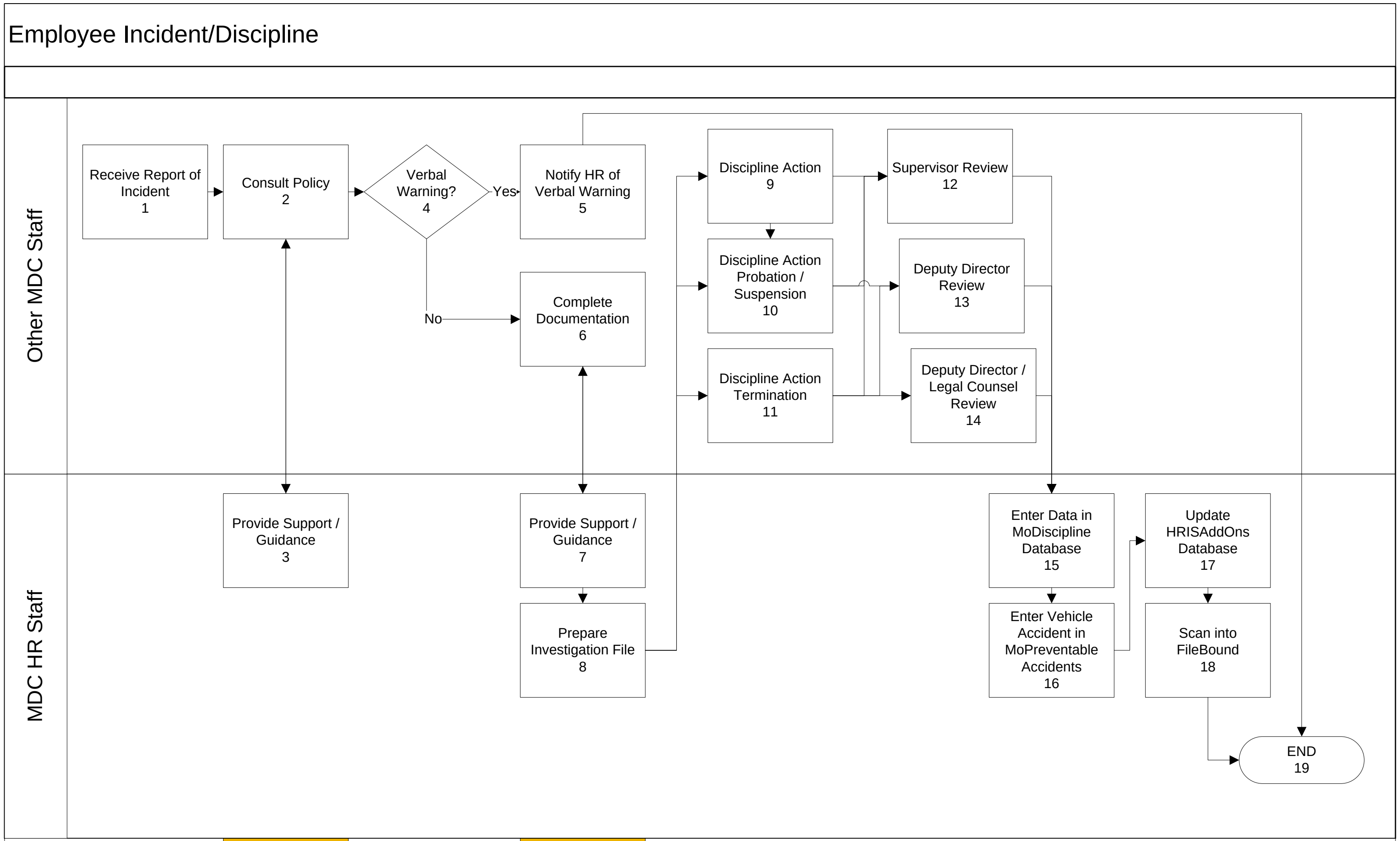
The preceding diagram illustrates the process for tuition reimbursement.

1. An MDC employee submits a form requesting participation in the Tuition Reimbursement Program. The employee could submit the long form to apply for reimbursement for an entire program or the short form to apply for reimbursement only for a class.
2. The MDC HR Analyst determines whether the employee is eligible to participate in the tuition reimbursement program. Employees on initial probation or CDP are not eligible. If the employee is eligible, proceed to Step 5.
3. If the employee is not eligible or not approved, the MDC HR Analyst calls or emails the employee.
4. The MDC HR Administrative Staff Assistant makes a folder for the employee and files a copy of the email to the employee along with the form. Proceed to Step 17.
5. The HR Administrative Staff Assistant makes a folder for the employee. The MDC HR Analyst holds the employee's form/documentation until the next Tuition Reimbursement Committee meeting (before each semester begins).
6. The MDC HR Analyst sends packets of employee documentation to the Tuition Reimbursement Committee before the next meeting.
7. The Tuition Reimbursement Committee decides whether to approve or deny the request for participation in the Tuition Reimbursement Program. (This is done during a regular meeting or via email if it is an off-semester situation.) If the request is denied, return to Step 3.
8. If the request is approved, the HR Administrative Staff Assistant enters the employee's information in the MoTuition database.
9. The HR Administrative Staff Assistant generates an approval memo (with number of credit hours, school/college/university, etc.) in the MoTuition database (pulling addresses from UltiPro), sends it to the employee, and files a copy in the employee's folder.
10. After the semester, the employee submits a copy of their grades and tuition invoice.
11. The MDC HR Analyst calculates the employee's tuition reimbursement. MDC only reimburses the employee's out-of-pocket tuition expenses. It does not reimburse for books, fees, etc. Sometimes the reimbursement amount is reduced by the amount of other aid (e.g., GI Bill) the employee receives or to keep within MDC's tuition reimbursement maximum.
12. The MDC HR Administrative Staff Assistant enters the employee's information in the MoTuition database and in SharePoint Billing (i.e., name, address, reimbursement amount, class, account number, invoice number, CI number, etc.). She also uses SharePoint Billing to prepare a payment voucher. (The account number and WPI would come from RAPTOR.)
13. The MDC HR Analyst signs the payment voucher.
14. THE MDC HR Office Manager sends the payment voucher to the MDC Fiscal Staff.
15. The MDC Fiscal Staff processes an electronic payment through SAM II.
16. When the payment voucher comes back, the MDC HR Administrative Staff Assistant files it.
17. End of Process

Miscellaneous Notes:

- The Tuition Reimbursement Committee includes one person from every division.
- The MDC HR Employment Manager can look at the budget to see what's spent on tuition reimbursement.
- Reports:
    - Class Payment History – report of employees in each division receiving tuition reimbursement.
    - Vendor Payment Details – report from the MoTuition database that is reconciled with a RAPTOR (budget) report printed by the MDC HR Office Manager

Employee Incident/Discipline



Email	3	7		
MoDiscipline DB	3		15	
Word		6		
MoPreventableAccidents DB			16	
HRISAddOns DB				17
FileBound				18

The preceding diagram illustrates the process for receiving, reviewing and recording incidents and associated employee discipline. The purpose is to support organizational objectives and employee development by addressing incidents quickly and effectively.

1. The Department receives the incident information. This can occur as the result of a police or other external report. The public may also file a complaint or send a letter / e-mail. No online reporting mechanism beyond direct contact with Department Ombudsman.
2. Following learning of an incident or complaint, the Supervisor will consult the Department's Corrective Action Policy for guidance on approach. The Department's policy includes a roster of 15 different codes to classify incidents. The Supervisor may begin to consult up the chain-of-command for guidance.
3. The Supervisor may also elect to contact Human Resources for guidance. Human Resources treats this interaction as informal until written documentation signed by the Supervisor and employee has been received.
4. The Supervisor may elect to issue a non-documented verbal warning to the employee.
5. The non-documented verbal warning and related information may be shared with Human Resources but no records are developed or maintained in the Human Resources tracking systems. All information for this level of offense is retained in the respective division.
6. If the Supervisor elects to move forward with a discipline action, they will complete the required documentation (in Word), review with the employee and submit with signatures (or notation by the Supervisor if the employee elects not to sign). Supervisor (or others up chain-of-command may contact Human Resources for support and guidance.
7. Human Resources will work collaboratively with the supervisor and other management team members to develop a reasonable, appropriate and defensible course of action.
8. Human Resources will also develop a hardcopy investigation file to track information as discovery proceeds throughout the process.
9. The Supervisor and the affected Division can take a range of actions. The first is a discipline action falling short of probation or suspension. Depending on the practices of the Division, this range of actions may only require the involvement of the next level Supervisor to the reporting Supervisor.
10. A discipline action involving probation or suspension is the next level of action. This is distinguished by the requirement for Deputy Director review and approval.
11. A discipline action involving termination is the most severe level of action. This is distinguished by the requirement for Deputy Director and the Department Legal Counsel review and approval.
12. The employee's Supervisor reviews and approves the discipline action related to incidents resulting in something less than probation or suspension.
13. The Department Deputy Director is added to the review of actions resulting in probation or suspension.
14. The Department Deputy Director and the Department Legal Counsel are added to the review of incidents resulting in termination.
15. Human Resources receives the completed documentation with signatures and enters information into the MoDiscipline tracking database.
16. Human Resources will also update information in the MoPreventableAccidents database if the incident involved a motor vehicle.
17. Human Resources changes the Next Performance Review Type to Disciplinary and enters the disciplinary completion date in the HRISAddOns database.

18. Human Resources scans action information into FileBound. The official letter response to the employee is scanned and placed in the employee's official Personnel File in FileBound. Supporting documentation is scanned and retained in the employee relations file in FileBound.
19. End of Process

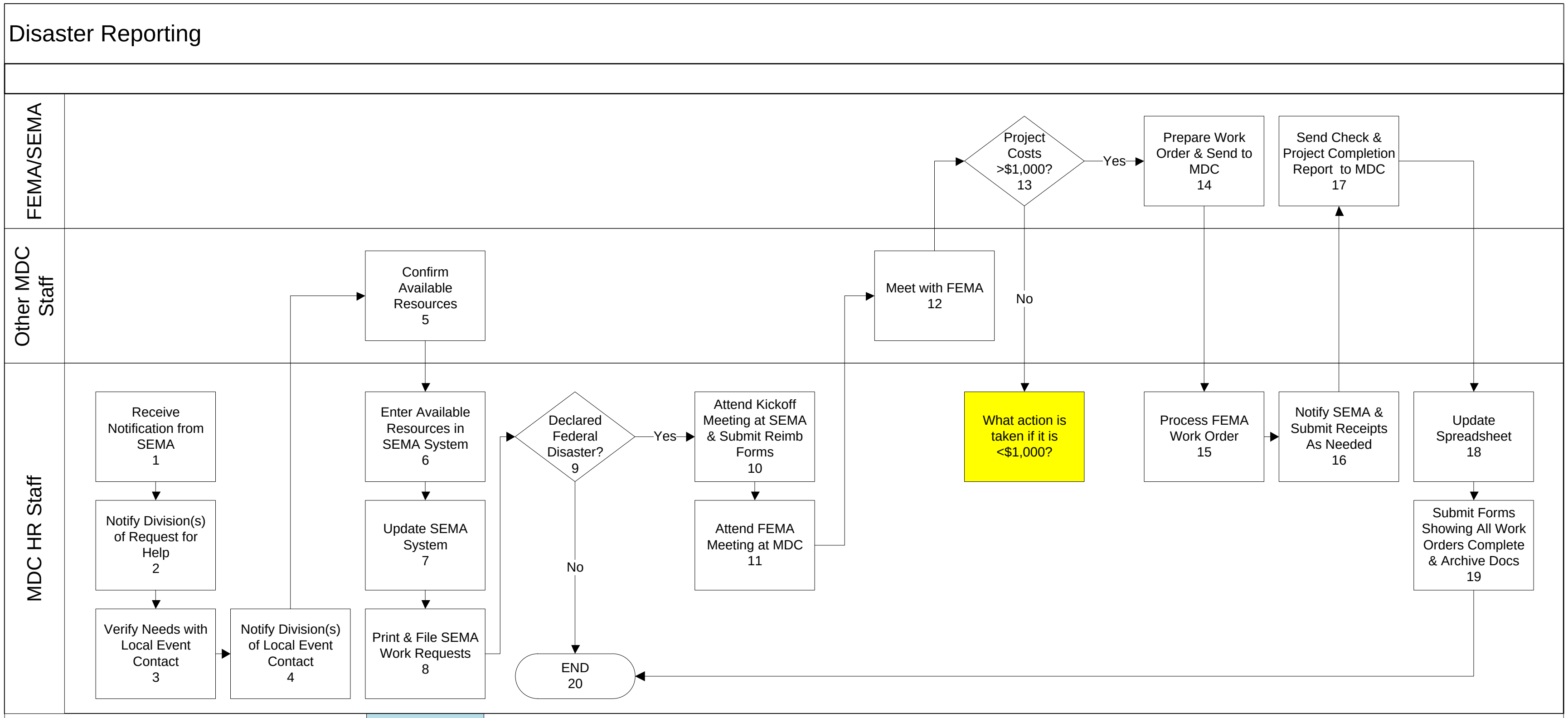
Limitations/Opportunities for Improvement:

- This is essentially a manual process with automated elements. Opportunity to bring individual elements together to better leverage data and associated effort.
- Recent staff reassignments to split efforts will require greater communication / collaboration between staff members. A more comprehensive, holistic approach could mitigate this concern.
- Staff may need to touch additional Access databases as research and discovery continues in a case. Would be beneficial for a system to have functionality incorporating FMLA database, MoPreventableAccidents database and MoDiscipline database.

Miscellaneous Notes:

- N/A

Disaster Reporting



SEMA System	6,7		
Excel	8	8	18
Email		14,15	

The preceding diagram illustrates the process for obtaining reimbursement from FEMA for the cost of MDC resources responding to declared disasters.

1. The MDC HR Safety Coordinator receives notification (phone call) from the State Emergency Management Agency (SEMA) that they are opening the Emergency Operations Center (EOC) and need MDC representation (either in person or by phone).
2. The MDC HR Safety Coordinator calls the appropriate MDC division(s) to notify them of the resources needed.
3. The MDC HR Safety Coordinator calls the local event contact person (e.g., emergency operation center or the actual person on the ground making the request) to verify what's needed.
4. The MDC HR Safety Coordinator provides the local event contact person's information to the MDC division(s) so they can coordinate.
5. The MDC division(s) confirm the available resources.
6. The MDC HR Safety Coordinator enters the available resources in the SEMA Incident Command/Disaster Recordkeeping System.
7. The MDC HR Safety Coordinator is the communications liaison between SEMA and MDC and continues to update the SEMA Incident Command/Disaster Recordkeeping System until the work is complete. Additional work requests could be made related to the same event.
8. The MDC HR Safety Coordinator prints the SEMA work request(s) and files them (notebook) and/or logs the information (email or contact) in Microsoft Outlook.
9. The MDC HR Safety Coordinator determines whether the event was declared a federal disaster. If it was not declared a federal disaster, proceed to Step 20.
10. If the event was declared a federal disaster, the MDC HR Safety Coordinator attends a kickoff meeting at SEMA involving all agencies that provided services related to the event. The MDC HR Safety Coordinator takes documentation of any SEMA work requests filled by MDC as well as any work MDC did on its own. At the meeting, the MDC HR Safety Coordinator completes and submits SEMA forms (paper) for MDC to receive reimbursement for expenses related to the event. MDC has a deadline for requesting reimbursement. (They can request an extension.)
11. The MDC HR Safety Coordinator attends a meeting that FEMA holds at MDC to discuss any damages to MDC property and the assistance that MDC provided related to the event.
12. The MDC Regional Coordination Team Chair (incident commander) meets with FEMA to discuss the areas damaged in the region impacted by the event and to make a plan to look at those areas.
13. FEMA determines whether the project costs total more than $1,000. If the project costs total less than $1,000, proceed to Step ??.
14. If the project costs total more than $1,000, FEMA prepares a project work order (paper) detailing the work that has been completed and that still needs to be completed. FEMA sends the work order to the MDC HR Safety Coordinator for signature and to the Missouri SEMA headquarters.
15. The MDC HR Safety Coordinator signs and returns the work order, keeps a copy of it in a file (paper), and scans it and sends a copy to the MDC division(s)/regional office(s). The MDC HR Safety Coordinator tracks the project work orders in an Excel spreadsheet (either from FEMA or one that the Safety Coordinator prepares).
16. As each work order is complete, the MDC Safety Coordinator notifies SEMA and submits receipts for large projects (above a certain dollar amount).
17. SEMA sends a reimbursement check to MDC. Sometimes, SEMA sends a check before a work order is complete. In that case, SEMA also sends a Project Completion and Certification Report.

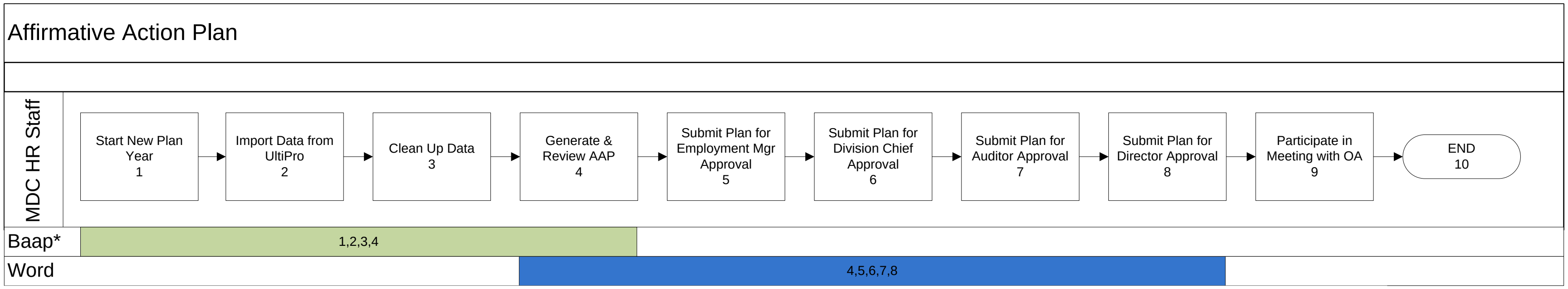
18. The MDC HR Safety Coordinator enters the check information in the project work order Excel spreadsheet. If the work order is not complete, the MDC HR Safety Coordinator asks the MDC field employees for updates and submits the Project Completion and Certification Report when the work order is complete. In some cases, when FEMA has sent the reimbursement but the work is not complete, MDC has to return money to FEMA.
19. When all of the work orders related to an event are complete, the MDC HR Safety Coordinator:
    - Confirms payment has been received for all work orders, and MDC has completed all work orders. (This may require a meeting.)
    - Signs the Project Completion and Certification Form and another form showing all work orders are complete.
    - Archives the documentation. MDC is required to keep the documentation for three years after the final payment is made or the last work order is complete.
20. End of Process

Miscellaneous Notes:

- This process was the responsibility of the MDC HR Safety Coordinator (Glenda Verslues), then it was assigned to the MDC Federal Aid Coordinator (Doyle Brown - who tracked things differently), and now it is the MDC HR Safety Coordinator’s responsibility again.
- The process starts with an event (e.g., flood, high wind, disease in dairy cows, etc.) that impacts the state. The size of the event determines whether it is a state or federal event: the event has to impact a certain number of people or cause a certain dollar amount of damages for FEMA to reimburse the state. It depends on the dollar ratio per person in the county impacted. It could be a state disaster, but MDC may not receive federal reimbursement. The event doesn’t have to be an officially declared disaster.
- MDC helps municipalities or other state agencies with the event.
- Events are categorized:
    - A – Emergency work – assist for a year or two after the event, e.g., removal of debris, trees, etc.
    - B – Emergency work – measures are taken to save lives (while the event is happening)
    - C – Permanent work – rebuild bridges, roads, culverts, etc.
    - D – F – Permanent work
    - G – Permanent work – involving public parks, recreational areas, pools, cemeteries, nature centers, etc.
- For MDC to be reimbursed for its costs of responding to an event, all of the following must be true:
    - It must be a direct result of a declared event.
    - It has to be in a designated disaster area.
    - It has to be MDC’s legal responsibility.
- When the MDC HR Safety Coordinator knows of an event, the MDC Financial Services Staff sets up a RAPTOR code in eLabor for the event so employees can log their time and include notes in their timesheets about their work related to the event. The MDC HR Safety Coordinator works with the MDC Financial Services Staff (via email or phone) to make sure employees are logging their time spent responding to an event correctly. Every month, the MDC Financial Services Staff emails the division chief if employees aren’t logging their time/information correctly. The MDC HR Safety Coordinator tracks their time, equipment used, area worked on, etc.
- Some SEMA/FEMA paperwork has to be signed by the MDC Auditor and CFO.

- When events happen on MDC property, the same process is followed even though SEMA didn’t send MDC to assist. MDC reports damage to its own property.

Affirmative Action



* BALANCEaap

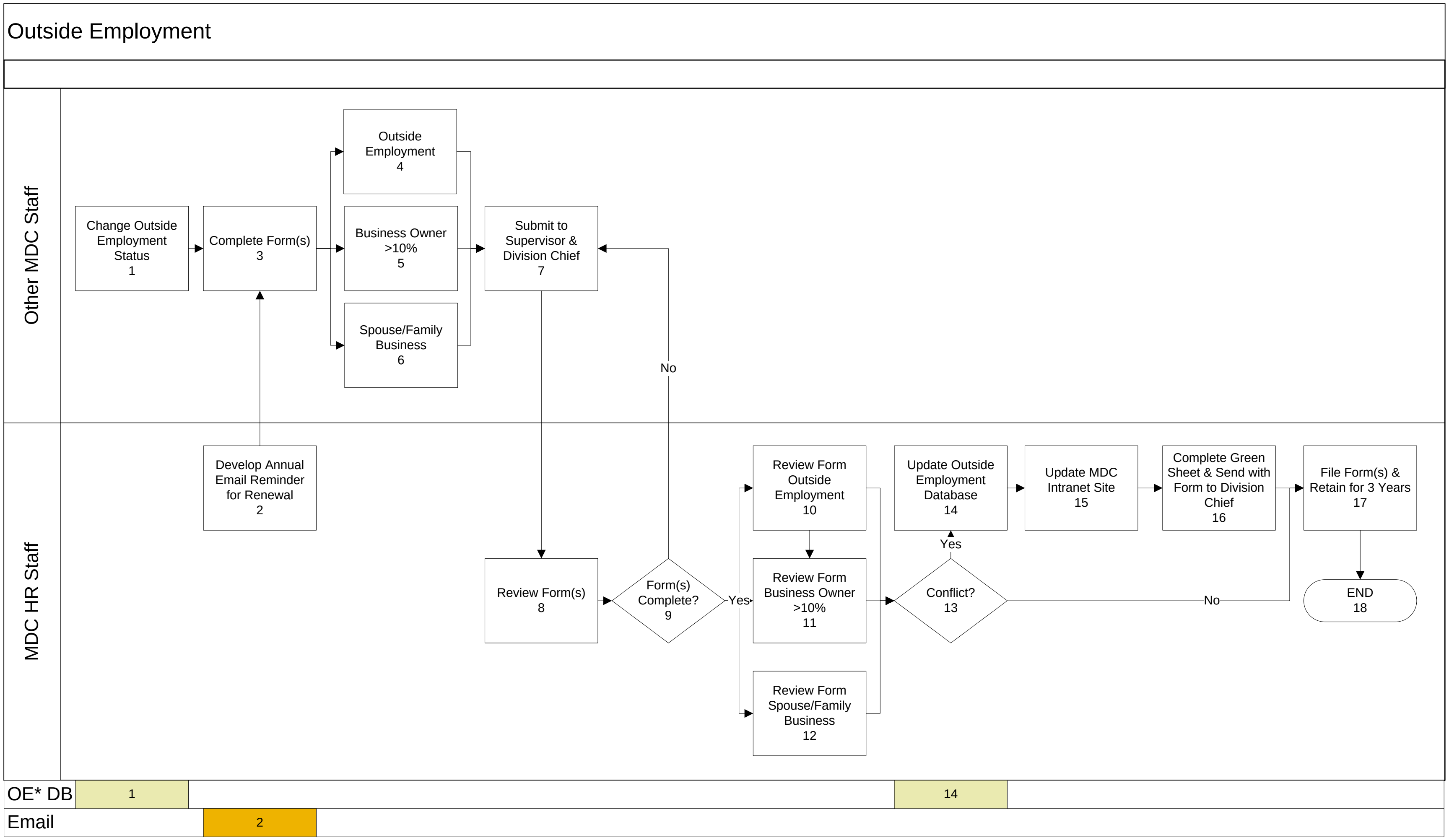
The preceding diagram illustrates the process for preparing MDC's annual Affirmative Action Plan.

1. The MDC HR Specialist starts the new plan year in BALANCEaap.
2. The MDC HR Specialist imports data (e.g., name, terminations, new hires, jobs, EEO codes, gender, etc.) from UltiPro into BALANCEaap.
3. The MDC HR Specialist cleans up the data, as necessary. For example, the MDC HR Specialist determines whether to include a job posting's pool of applicants in the current plan year or the next, populates race and gender if they weren't provided, populates new EEO codes, etc.
4. Once the data is valid, the MDC HR Specialist generates the Affirmative Action Plan report. BALANCEapp pulls together data tables and text templates into a report (Word document). The MDC HR Specialist inserts/updates text (e.g., recruiting efforts), where required, and reviews the plan.
5. The MDC HR Specialist submits the plan to the MDC HR Employment Manager for approval and makes any necessary changes.
6. The MDC HR Specialist submits the plan to the MDC HR Division Chief for approval and makes any necessary changes.
7. The MDC HR Specialist submits the plan to the MDC Auditor for approval and makes any necessary changes.
8. The MDC HR Specialist submits the plan to the MDC Director for approval and makes any necessary changes.
9. The MDC HR Division Chief and the MDC HR Specialist meet with the Office of Administration to review the plan.
10. End of Process

Miscellaneous Notes:

- MDC is required by Executive Order to submit an Affirmative Action Plan each year.
- MDC has some term positions designated specifically to facilitate more diversity.
- THE MDC HR Specialist would like to see MDC hire more minorities into the hourly positions and internships because many of the hourly employees and interns are hired into salaried positions.
- MDC's Workforce Council used to be more focused on diversity. Its efforts have expanded over the years to address generational issues and veterans. Recently, it is attempting to refocus on diversity.
- For most job classifications, MDC compares its data to Missouri data when analyzing jobs/employment areas.
- MDC has difficulty finding qualified minority candidates for some job classifications (e.g., forester) and for positions in some locations.

Outside Employment



*Outside Employment Database

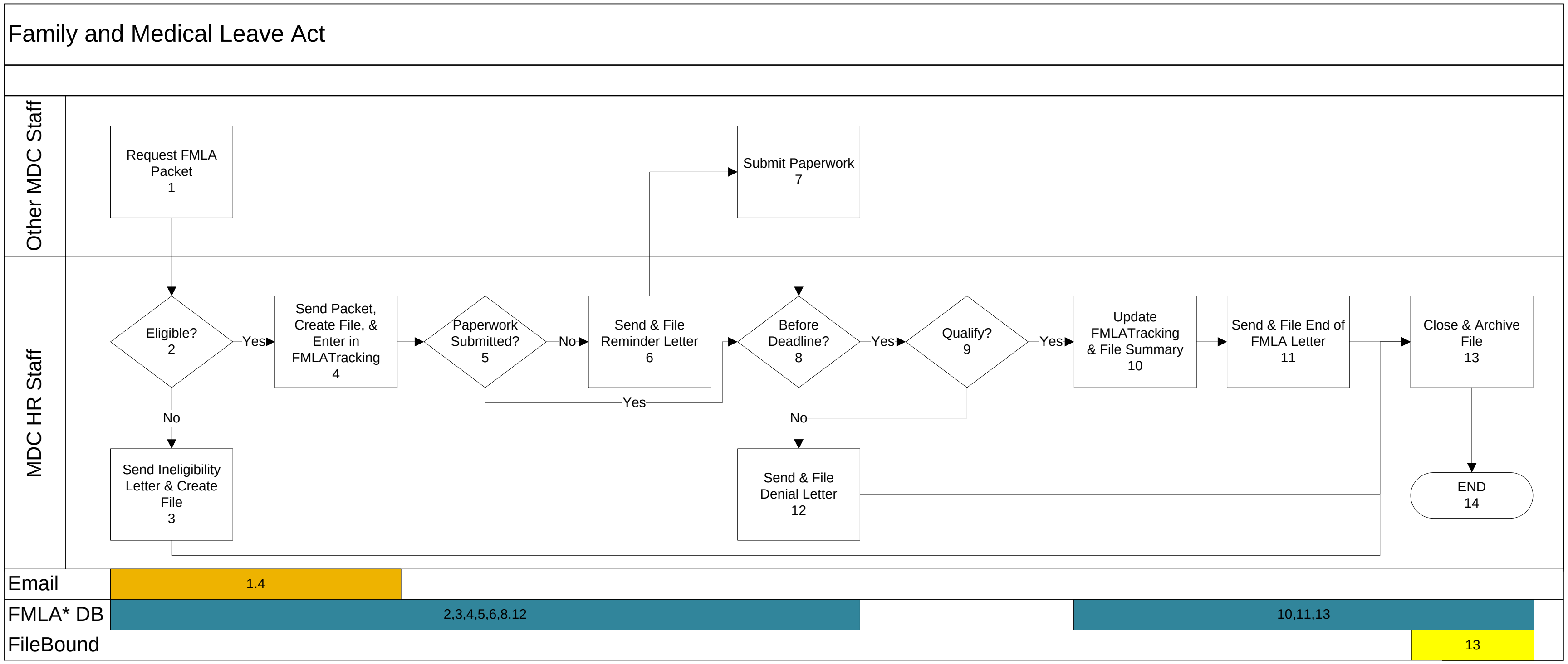
The preceding diagram illustrates the process for requesting, processing and retaining required information relating to an employee's employment outside the Department or interest in another commercial entity. This information is required because these outside relationships could pose a conflict of interest with Department operations or procurement practices.

1. A current employee makes a change to their outside employment status that requires them to notify the Department.
2. Human Resources develops an annual email reminder to Department staff members of the need to report outside employment, volunteer work or ownership interest in a business.
3. Employee accesses forms from Department intranet site and completes one, two, or three forms depending on their respective outside employment status.
4. Outside Employment form is completed if the employee has any form of outside employment or volunteer activity. The level of compensation is not relevant, only information pertaining to a possible conflict of interest.
5. Business Owner form is completed if the employee owns 10% or more of a business, has their name on the business title, serves in a managerial or decision making capacity, or significantly contributes to the organization's workforce.
6. Spouse / Family Business form is completed if the employee has a relationship to a business owner that is also a family member and the employee plays a role in the business (owner, on title, contribute to workforce).
7. Employee submits completed forms to their supervisor for review; supervisor forwards forms to Division Chief for review and submission to HR.
8. HR reviews outside employment forms.
9. Determine if submitted forms are complete and signed. If not, return to Division Chief for action.
10. Review the Outside Employment form for background and to assess potential conflict.
11. Review the Business Owner form for background and to assess potential conflict.
12. Review the Souse / Family Business form for background and to assess potential conflict.
13. Assess whether potential conflict of interest exists based on information provided in Outside Employment forma and/or Business Owner form.
14. If the information does present a conflict of interest, update the Outside Employment database.
15. For any Spouse / Family Business report, update the Department's intranet site. Also update any information from the other reports following data entry to the Department's intranet site.
16. For assessed conflicts related to Outside Employment form and Business Owner form, complete Green sheet, attach the Outside Employment form and send to the Division Chief of each employee.
17. File the forms and retain them for three years.
18. End of Process

Miscellaneous Notes:

- N/A

Family and Medical Leave Act



* FMLA Tracking Database

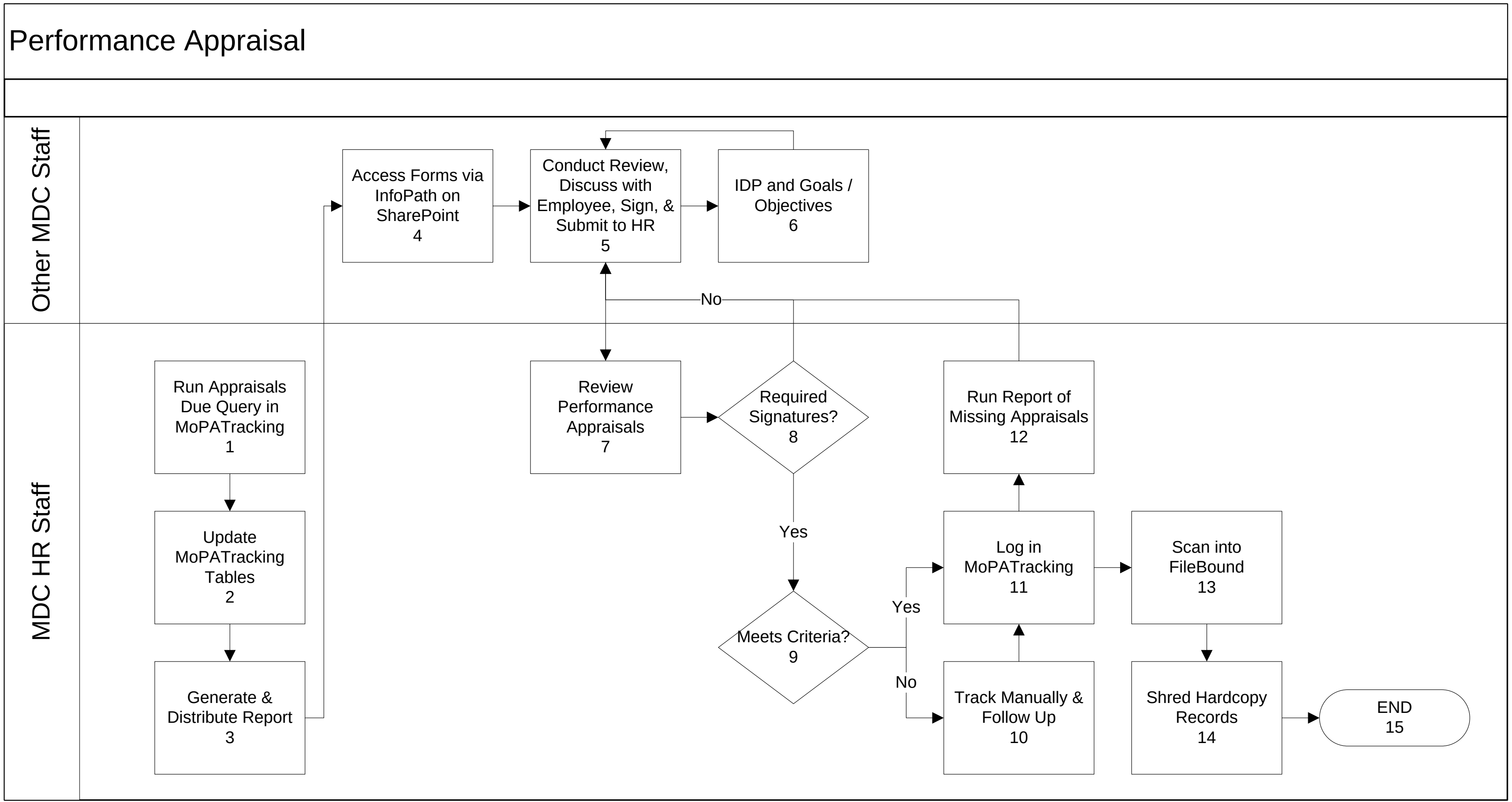
The preceding diagram illustrates the processing of employees' requests for leave under the Family and Medical Leave Act.

1. An MDC employee or supervisor emails or phones the MDC HR Compliance Coordinator requesting an FMLA information packet.
2. The MDC HR Compliance Coordinator enters the employee's name in the FMLATracking database (tied to UltiPro and eLabor) and determines whether the employee is eligible to apply for FMLA benefits. For hourly employees, the MDC HR Compliance Coordinator contacts MDC Administrative Services Staff for the information needed to determine eligibility. If the employee is eligible to apply for FMLA benefits, proceed to Step 4.
3. If the employee is ineligible to apply for FMLA benefits, the MDC HR Compliance Coordinator prepares a letter stating the employee is ineligible in the FMLATracking database, sends it to the employee, and creates a file (paper) for the employee.
4. If the employee is eligible to apply for FMLA benefits, the MDC HR Compliance Coordinator sends (mail/email) an FMLA information packet to the employee, creates a file (paper) for the employee, and notes in the FMLATracking database that the paperwork was sent. The employee has 30 days to submit their FMLA paperwork (i.e., request form signed by employee and supervisor and certificate from healthcare provider).
5. The MDC HR Safety Technician checks the active FMLA files twice each month to determine whether employees who requested FMLA packets have submitted all of their required paperwork. If an employee has submitted all of their paperwork, proceed to Step 8.
6. If an employee has not submitted all of their paperwork, the MDC HR Safety Technician generates a reminder letter in the FMLATracking database, sends it to the employee 15 days before the deadline for the paperwork, and files a copy in the employee's FMLA file. When the letter is generated, the FMLATracking database is systematically updated to indicate the letter was sent. (The MDC HR Compliance Coordinator approves the letter before it is sent.)
7. The MDC employee submits their FMLA paperwork to MDC HR Staff.
8. The MDC HR Safety Technician determines whether the employee submitted all of their required paperwork before the 30-day deadline. If the employee did not meet the deadline, proceed to Step 12.
9. If the employee submitted all of their required paperwork on time, the MDC HR Compliance Coordinator reviews the paperwork and determines whether the employee qualifies for FMLA leave. If the employee does not qualify for FMLA leave, proceed to Step 12.
10. If the employee qualifies for FMLA leave, the MDC HR Compliance Coordinator updates the employee's record in the FMLATracking database and files a summary in the employee's FMLA file.
11. The MDC HR Compliance Coordinator runs a report in the FMLATracking database each month to see which employees have exhausted their FMLA leave. The MDC HR Compliance Coordinator generates a letter in the FMLATracking database, sends it to the employee, and files a copy in the employee's FMLA file. Proceed to Step 13.
12. The MDC HR Safety Technician generates a denial letter in the FMLATracking database, sends it to the employee, and files a copy in the employee's FMLA file.
13. The MDC HR Compliance Coordinator closes the employee's record in the FMLATracking database and scans the employee's paperwork to archive it in FileBound.
14. End of Process

Miscellaneous Notes:

- Employees (whether salaried or hourly) are eligible to take a designated amount of time off for an FMLA-qualifying event if they have:
  - worked for their employer (e.g., the State of Missouri – employment at other state agencies counts toward service for FMLA benefits at MDC) at least twelve months (need not be consecutive) and
  - worked at least 1,250 hours in the twelve months immediately preceding the leave.
- FAQs are available online for employees to obtain the FMLA eligibility criteria.
- When the employee requests a packet, MDC HR Staff enter in the FMLATracking database that the employee has requested leave. This starts the 30-day timeframe for submission of the paperwork.
- Employees on FMLA have to log their time differently in eLabor. MDC HR Staff run a report of employees on FMLA who aren't logging time to it and vice versa. The MDC HR Office Manager approves this report.
- MDC uses the calendar year for FMLA (i.e., employees may receive 12 weeks of FMLA leave per calendar year). MDC HR Staff enter December 31 as the end date for FMLA in the current year and open another file for the employee for the following year. Some employees obtain a medical statement to be on FMLA overlapping years. Depending on the length of time the employee will be on FMLA in the following year, MDC HR Staff may request new paperwork for FMLA in the following year.
- MDC HR Staff run a report in the FMLATracking database looking for employees with the default FMLA End Date of "9/99/9999". MDC HR Staff verify whether their FMLA has ended or the employee needs to continue it into the next year.
- At MDC, FMLA always runs concurrently with workers' compensation. Anytime an employee uses the "W" code for workers' compensation time reporting in eLabor, FMLA is initiated. If the MDC HR Safety Technician or the MDC HR Safety Coordinator approves workers' compensation, a letter notifying the employee that they are eligible for FMLA is automatically generated. The MDC HR Safety Technician sends a monthly report of employees on workers' compensation to the MDC HR Compliance Coordinator, so she can enter the employee in the FMLATracking database.
- MDC employees are supposed to submit a return to work order from their healthcare provider to MDC HR Staff, but many don't. Employees must have the release to return to work. Supervisors enforce that policy. Usually, MDC HR Staff can check the employee's timesheet to see if they've returned to work. MDC HR Staff can sometimes use the original certificate from the healthcare provider to determine when the employee will return to work.
- MDC HR Staff check once each year for terminated employees in the FMLATracking database. If any are found, their records are closed in the database and their information is archived in FileBound.
- FMLA records are kept in FileBound for 3-4 years. The FMLATracking database records are kept indefinitely.

Performance Appraisal



PAT* DB	1,2				11,12		
AddOn** DB	3						
SharePoint		4					
FileBound						13	

* MoPATracking DataBase

** HRISAddOns DataBase

The preceding diagram illustrates the process for initiating, processing and recording employee performance appraisals. The same process applies to monthly tracking for probationary period appraisals as well as annual performance appraisals.

17. Human Resources runs the Appraisals Due query in the MoPATracking database to identify new employees requiring probationary review following 5 ½ months of service.
18. Update the PA Tracking table in the MoPATracking database through an append operation.
19. Human Resources generates the Performance Review Report in the HRISAddOns database (used to notify supervisors of employees requiring review) and distributes it to MDC supervisors.
20. Supervisors access forms and materials via InfoPath on SharePoint necessary to identify review recipients and initiate review process.
21. Supervisors conduct employee performance reviews pursuant to Department policies and procedures. Review appraisal with employee and both sign (or note whether employee refuses to sign). This then goes to the Division Chief to sign (3 signatures required). If the supervisor is a Division Chief or higher, the form goes to the Deputy Director/Director for signature. Return hardcopy signed forms to HR.
22. Individual Development Plan materials as well as Goals and Objectives materials now separate from Performance Appraisal process and remain resident with employee's division records.
23. HR receives and conducts review of incoming performance appraisals.
24. Check for required signatures. If supervisor's signature is missing or employee's signature is missing and lacks a note that the employee declined to sign, return form to Division.
25. Check whether the appraisal indicates that employee 'meets criteria.
26. Any instance of "Does Not Meet Criteria" is noted and followed up on by the MDC HR Employee Relations Manager.
27. Log received appraisal to MoPATracking database.
28. Run report in MoPATracking database to identify any missing appraisal forms from those initially solicited from supervisors. (This is done one or two times each year.)
29. Scan hardcopy Performance Appraisal forms into employee's Personnel File in FileBound.
30. Shred hardcopy Performance Appraisal forms.
31. End of Process

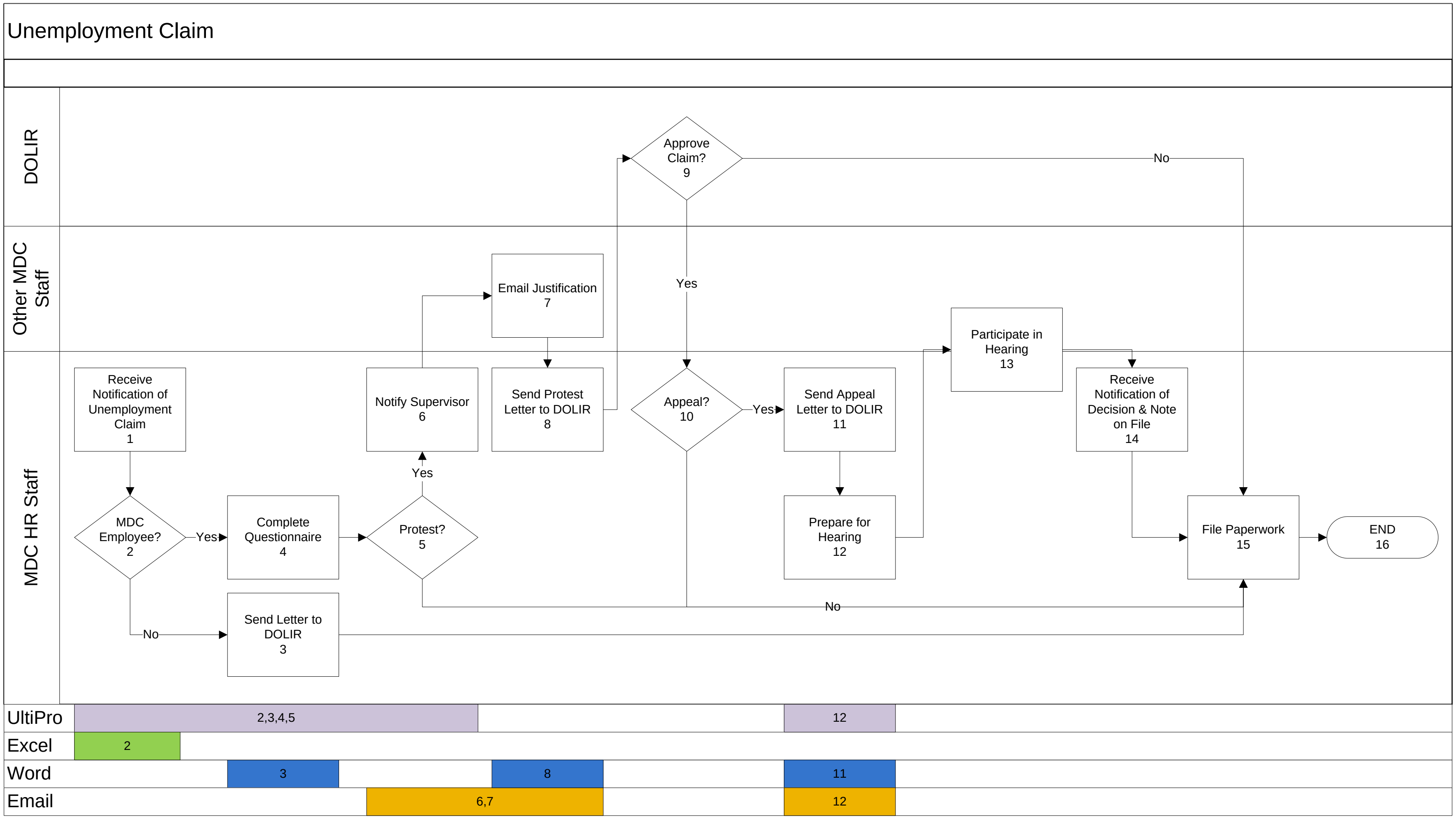
Limitations/Opportunities for Improvement:

- Automated processes join with manual form generation due to inability to accept electronic signatures. Requires time consuming and potential error inducing manual processing that is ultimately destroyed at the conclusion of the process.

Miscellaneous Notes:

- See Monthly Reports in HRISAddOns database for other queries (Initial Dates, Promotions, 5 Month Due) that change the Next Performance Review date field.

Unemployment Claim



The preceding diagram illustrates the process for responding to an unemployment claim against MDC.

1. The MDC HR Administrative Staff Assistant receives notification (paper) from the Missouri Department of Labor and Industrial Relations (DOLIR) Unemployment Security Division that an unemployment claim has been filed against MDC.
2. The MDC HR Administrative Staff Assistant uses UltiPro to determine whether the person who filed the unemployment claim was an MDC employee and enters the information (e.g., name, SSN, reason for leaving MDC, protest or not, etc.) in an Excel spreadsheet. If the claimant was an MDC employee, proceed to Step 4.
3. If the claimant was not an MDC employee, the MDC HR Administrative Staff Assistant prepares a letter (Word document) stating that the claimant was not an MDC employee, obtains the MDC HR Employee Relations Manager's approval, and faxes it to DOLIR. Proceed to Step 15.
4. If the claimant was an MDC employee, the MDC HR Administrative Staff Assistant completes a questionnaire form (paper) with data from UltiPro and information from the former employee's supervisor (e.g., name, SSN, dates of employment, salaried or hourly position, title, division, supervisor, rate of pay, last day worked, reason for leaving, etc.).
5. The MDC HR Administrative Staff Assistant determines whether MDC will protest the claim. If MDC doesn't protest, no response is required. Proceed to Step 15.
6. If MDC protests the claim, the MDC HR Administrative Staff Assistant notifies (email) the former employee's supervisor of the claim.
7. The MDC supervisor emails the MDC HR Administrative Assistant with the cause and other details of the employee's departure from MDC employment.
8. The MDC HR Administrative Staff Assistant prepares a protest letter (Word document), obtains the MDC HR Employee Relations Manager's approval, and faxes it to DOLIR.
9. DOLIR determines whether the unemployment claim is approved or denied and notifies MDC in a letter (paper). If the claim is denied, proceed to Step 15.
10. If the unemployment claim is approved, MDC determines whether it will appeal the decision. The MDC HR Administrative Staff Assistant pulls the file and gathers additional documentation, if necessary, for the MDC HR Division Chief and/or MDC HR Employee Relations Manager to review. If MDC does not appeal the decision, proceed to Step 15.
11. If MDC appeals the decision, the MDC HR Administrative Staff Assistant prepares an appeal letter (Word document), obtains the MDC HR Employee Relations Manager's approval, and faxes it to DOLIR.
12. Once DOLIR schedules an appeals hearing, the MDC HR Administrative Staff Assistant notifies the MDC HR Division Chief, the MDC HR Employee Relations Manager and any MDC witnesses of the hearing. The MDC HR Administrative Staff Assistant gives the file to the MDC HR Employee Relations Manager and sends copies of the evidence for the hearing to the claimant and DOLIR.
13. The MDC HR Employee Relations Manager and any MDC witnesses participate in the hearing.
14. The MDC HR Administrative Staff Assistant receives notification of the decision and notes the decision (i.e., approved or denied) on the file folder.
15. The MDC HR Administrative Staff Assistant files the paperwork related to the unemployment claim.
16. End of Process

Miscellaneous Notes:

- The MDC HR Administrative Staff Assistant processes approximately 150-200 unemployment cases each year.
- The MDC HR Administrative Staff Assistant maintains an Excel spreadsheet of everyone who has filed an unemployment claim against MDC.
- The MDC Forestry Division proactively sends the MDC HR Administrative Staff Assistant a list of employees who were laid off. Other MDC divisions do not.
- Most hearings are conducted via telephone.
- The MDC HR Administrative Staff Assistant receives a quarterly report showing the total unemployment being paid out, names of claimants, dates, SSNs, how much MDC is being charged, etc. from the Office of Administration (OA). She verifies anyone on the report is in the Excel spreadsheet she maintains. If a claimant on the report is not in the Excel spreadsheet, she notifies OA.

4.1 LIMITATIONS/OPPORTUNITIES FOR IMPROVEMENT

The listing below summarizes the limitation and opportunities for improvement identified from the preparation of the human resources business workflows. These have been grouped from the above charts for convenience.

Process #1 – New Position

- Currently, the scanned copies are PDF documents stored on the network drive. MDC HR Staff plan to upload scanned copies of the PDQs into FileBound.
- The MDC HR Data Analyst keeps printed lists of title numbers from SAM II and UltiPro so she can see what title numbers are available for assignment.

Process #2 – Recruitment

- According to the MoRecruit manual, MDC HR keeps paper copies in addition to electronic copies of applicants' resumes and transcripts.
- The MoRecruit database utilizes reference codes from the UltiPro database. While it does pull data from UltiPro tables (e.g., position information, locations, etc.), the bulk of the MoRecruit database is stand-alone tables that are not connected to UltiPro.
- When updating tables in the MoRecruit database, there is some duplicate entry of data that is already in UltiPro (e.g., a short code for the office – usually the same code as used in UltiPro – is entered in the Location ID field when updating the Office Locations table).
- Much more of the recruitment process could be done electronically (e.g., Requests to Fill could be completed and approved online).
- Recruitment could be more fully integrated with the drug and CDL databases, etc.

Process #3 – New Hire

- An HR System with workflow and document management functionality could expedite the review/approval steps in the new hire process and reduce or eliminate the need for routing and storing paper documents.
- Some fields (e.g., clothing allowance, annual leave payout, overtime payout, etc.) aren't in the UltiPro wizard, so the MDC HRIS Coordinator created the Personnel Form in the MoPersonnelForm database to capture this information. The database utilizes views from UltiPro as the base for the personnel form to be used by MDC office managers. MoPersonnelForm does not commit changes directly to UltiPro. Ultimately, the form must be printed or saved as a pdf and sent to MDC HR Staff to be entered into UltiPro. A different copy of the database is made for each division.
- MDC HR Benefits Staff track which new employees attend the benefits video conference on paper. If an employee doesn't attend the video conference, MDC HR Benefits Staff call or meet with the new employee to explain their benefit options before the deadline for submitting their paperwork. MDC HR Benefits Staff have considered providing a pre-

recorded video but decided to keep it live/interactive so it is more personal and staff is available to answer questions. Employees are provided copies of the forms and the PowerPoint presentation used during the video conference.

- The MDC HR Benefits Analyst would like the system to inform employees that they can't sign up for the high-deductible medical plan AND flexible medical in the cafeteria plan.
- Both MDC HR Recruitment and Benefits Staff ask the employee for a copy of their birth certificate, passport, etc. instead of uploading the paperwork to a common area in FileBound for various HR Staff to access. Recruitment doesn't use FileBound currently. In FileBound, documents are organized by employee, with sub-folders (e.g., Benefits, Retirement) under each employee. One of the goals of implementing FileBound was to give the division office managers access to certain documents in FileBound so the divisions wouldn't have to keep their own files on employees.
- MDC HR Benefits Staff keep an Excel spreadsheet listing documents the still need from employees and the number of requests made.

Process #6 – Benefit Changes – Qualifying Event

- The MOSERS system doesn't allow future dating for retiree benefits, so benefit changes can't be entered in advance for retirees.
- The MDC HR Benefits Analyst runs the nine nightly exports in UltiPro even if no changes were entered that day; otherwise, an error would occur when the system tries to process the files and doesn't find any. If there is an error, the MDC HR Benefits Analyst contacts the MDC HRIS Coordinator to resolve the error.
- The MDC HR Benefits Analyst manually executes the nightly exports in UltiPro because the scheduled export functionality in UltiPro can't read the codes and so would send the wrong data.
- The MDC HR Benefits Analyst would like to make employees' individualized benefits statements available online for employees to review rather than having to generate and send them manually. The current system is not able to provide the full detail for supplemental life (i.e., 6x salary).
- MDC HR Benefits Staff keep a Word document listing documents they still need from employees and the number of requests made.

Process #8 – Retirement

- Process initiated with paper forms driven with automated data. Opportunity for dynamic data connection with multiple systems to minimize or eliminate numerous instances of manual data entry.
- Retirement processing currently comprises an essentially a manual process supported with specific automated tasks.
- Holistic employee issue using data from multiple systems. Will require additional cooperation and interface to automate processes.
- Current process requires some multiple manual data submission on the part of the employee through the required retirement forms submission and the Personnel Change Form.
- Process driven by employee; can elect to forgo retirement and reverse decision throughout bulk of process.
- Process has inherent time lag from notification to completion; requires more dynamic data links to update data and information required for final benefit determination.

Process #9 – Salary Increase

- MDC HR continues to rely on repetitive manual approvals involving hardcopy reports with notations instead of electronic approvals. Staff members cite limitations related to the acceptance of electronic signatures. The MDC HR Data Analyst would like to set up approvals using workflow functionality in FileBound.
- MDC HR could delegate some salary update tasks (e.g., for CDP increases and Delayed Fiscal Year increases) to Office Managers/Office Supervisors with subsequent review by HR Staff.
- UltiPro requires the "tax location" for a person and the "work location" for the position to match. However, if they don't match, no error message is displayed. This constraint limits the ability to conduct personnel transactions online. (MDC doesn't use UltiPro for taxes.)
- At times, additional manual effort is required to support salary adjustments beyond the annual increase due to state system constraints. For example, the Office of Administration (OA) allows an interface between UltiPro and the SAM II Employee Status Maintenance Transaction (ESMT) table for annual salary increases but OA will not allow daily or monthly interfaces (for things such as new employees and interim salary changes) between UltiPro and the SAM II Employee Status Maintenance Transaction (ESMT) table.
- UltiPro has mass update capability for individuals but not for positions. The MDC HRIS Coordinator makes changes for positions by accessing the tables directly through the database.
- UltiPro Web does not provide capability for position changes; they have to be done through the desktop. That is another reason MDC HR Staff hasn't offered more online.

Process #10 – Reconciliation of Benefit Premiums and HSAs

- Opportunities for additional automated processes are limited; this process addresses the need for reconciliation between State and MDC systems. The State will not allow MDC to cut checks independently. These processes exist to reconcile between these two independent, yet fundamentally interrelated systems.
- Review reports with HRIS Coordinator to determine if a report without SSNs can be created in Access.

Process #11 – Benefit Changes – Annual Enrollment

- UltiPro doesn't provide a way to exclude medical insurance from open enrollment if someone has declined it and is no longer eligible. This is one of the challenges preventing MDC HR from offering online benefits enrollment.

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Personal Injury Accidents

- MDC IT Staff created the MoAccidents database. The MDC HRIS Coordinator has made as many enhancements to the database as she can to facilitate having only one place for data entry. (Before, personal injury accidents, vehicle accidents, and public mishaps were in separate databases.). Even with the improvements, the HRIS Coordinator recommends redoing the accident tracking system.
- UltiPro doesn't have the capability of tracking accidents.

- MDC's old accident data, which dates back to 1987, is not clean. MDC HR Staff need to decide whether to convert this old data to the new system or not. The MDC HRIS Coordinator thinks they've done all they can to clean it and that it wouldn't be easy to convert (for example, division names have changed). Currently, MDC offers incentives for being accident-free for 3, 5, 10, 15, and 20 years. If they don't maintain the old data, it won't be factored into these incentives. They are considering changes to the incentive program (e.g., yearly incentives, start over after an accident or just take that year out, etc.).
- If the employee is off duty for more than three days, they receive workers' compensation benefits. These benefits equate to two-thirds of their salary, paid by the Office of Administration (OA) Central Accident Reporting Office (CARO). The employee can make up the difference in their salary by using sick leave. The MDC HR Safety Coordinator would like a system that could automate the calculation of the employee's sick leave available to make up the one-third of their salary not covered by workers' compensation.
- The MDC HR Safety Technician just acquired access to the FileBound scanning system, but hasn't started using it yet. She plans to wait until after the Accident Review meeting to scan and destroy the paper documents.
- The MDC HR Safety Technician would like a system in which they could flag an employee that is on light duty or off duty and through which they could receive notifications of the employee's next appointment so she knows when to expect additional paperwork.
- Workers' compensation has different pay cycles (every 14 days) than MDC pay cycles (twice a month).

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Vehicle Accidents

- The monthly report of expenditures related to vehicle accidents from OA Risk Management Staff does not differentiate new items, so the MDC HR Safety Technician has to check every item every month. The MDC HR Safety Technician would like to have a download of the data.
- If an employee has a vehicle accident involving personal injury, MDC HR will keep two paper files for that employee: one for the vehicle accident and one for the personal injury accident.

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Public Mishaps

- The MDC HR Safety Technician may use FileBound for documentation management in the future.

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – CARO Import

- The MoAccident CARO File Copy Job doesn't process anything – it only emails MDC HR to indicate the files are available.
- Updated CARO files are provided monthly. The MDC HR Safety Technician would like the copy/import process to happen more often so the expense information would be

updated more timely. The Missouri Office of Administration controls the availability of the CARO files.

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Accident Review and Reporting

- Rather than whiting out information on the accident reporting forms, the forms could be scanned to a PDF file and Adobe Professional used to delete the confidential fields.
- Consideration should be given to creating a SharePoint site that will be secured to only members of the Statewide Safety Committee to eliminate emailing these documents and allow the committee to potentially hold live meetings rather than requiring participants to physically come to the central office for the meeting.
- The design of the MoAccidents v2 database is somewhat convoluted, having been initially created by actual programmers but maintained and revised throughout the years by a non-programmer. This database is likely coming to the end of its lifespan.

Process #14 – Training – Set up a Class and Email a Reminder

- There is a form for MDC division staff to request a course, but they typically don't use it.
- UltiPro can send a message to the employee when they sign up for a class and when they cancel their enrollment, but it doesn't send a reminder two weeks before the class.
- Sometimes, the MDC Division Staff want to limit enrollment in a course to their employees or a certain list of employees. UltiPro allows MDC Staff to limit the number of enrollees, but it does not provide a way to limit enrollment to certain employees (for example, by division) or to suppress the course from displaying on the web for enrollment. The MDC HR Administrative Staff Assistant has to set up the course and open it for enrollment, enroll the list of employees, and then close the course before employees who are not on the course list enroll.
- UltiPro lists prerequisites, but it doesn't check for their completion or make enrollment in successive classes dependent upon their completion.
- Security administration of tables within UltiPro is not conducive to a decentralized maintenance of training records preferred by MDC.
- UltiPro's training management system structure is labor-intensive and is not considered for future enhancements by Ultimate Software.
- Training administration must all be done through the desktop application and is not available on the UltiPro Web.

Process #14 – Training – Enter Training Attendance

- The MDC HR Administrative Staff Assistant has to enter each employee's result individually. Once the person's attendance is entered, UltiPro closes that employee's record, and the MDC HR Administrative Staff Assistant has to navigate back into the course and select the next participant. There is no way to mass enter participant data.

Process #16 – Clothing Allowance – Hourly Position

- The Hourly Employment Memorandum is renewed each July. At that time, as well as any time throughout the year, an hourly employee may be granted a different allowance. However, an employee's spending of their allowance is calculated on a calendar year basis. If the employee's allowance is lowered at any point in the year

from $200 to $100, and the employee has already spent $200 at the point the allowance was changed, they will have nothing left to spend in that calendar year.
- Currently, an hourly employee cannot have clothing allowances provided by two different divisions. If an employee works in multiple positions for different divisions, the divisions/supervisors have to agree upon the appropriate clothing allowance amount.
- Require/Allow only one form per employee (rather than a separate form for each position for employees in multiple positions). If the supervisors would coordinate, only one would have to submit the clothing allowance.
- Replace paper Hourly Employment Memorandum with an electronic form and automate the processing.
- When the supervisor enters the number of hours for the employee, the electronic form should automatically apply the right clothing allowance amount based on business rules. Or, the form could be auto-populated with the number of hours for the employee (entered in UltiPro) and the applicable clothing allowance.
- If the employee isn’t active in the system, the system shouldn’t allow processing of a clothing allowance.
- The MDC HR Specialist sometimes receives numerous copies of the Hourly Employment Memorandum and has to check them against each other to see whether the data is the same. The memorandum should only route to HR if there is a change. Currently, some divisions don’t keep a copy of each memorandum, so they don’t know whether there is a change.

Process #16 – Clothing Allowance – Monthly Updates to MPG

- Manual verification of reports
- Manual email to the vendor
- Paper copies of forms are filed in a binder (would prefer to have an electronic form with electronic signatures – no need to scan/store in a separate system)
- MPG doesn’t always deduct an employee’s outside purchase amount from the clothing allowance, so they tell the employee they have more money than they actually have to spend and the employee overspends. MDC has to collect the overspent amount from the employee.

Process #17 – Fire Training

- MDC employees log their time and enter notes in their timesheets in eLabor to report their activities related to fire management training (e.g., prepare a burn plan). The MDC HRIS Coordinator would like to provide a better way for employees to report this activity.
- Another issue with using eLabor: once the timesheet is locked, it can’t be updated. If the employee didn’t report the activity on their timesheet, they have to contact the MDC Forestry Field Programs Supervisor to have their records updated to give them credit.
- The MDC HRIS Coordinator uses two databases to join the data in UltiPro with the data in eLabor and generate reports for the Forestry Division.

Process #18 – Tuition Reimbursement

- The MDC Administrative Staff Assistants would like a system that enables the employee to enter and submit the form and supporting documentation online.

Process #19 – Employee Incident/Discipline

- This is essentially a manual process with automated elements. Opportunity to bring individual elements together to better leverage data and associated effort.
- Recent staff reassignments to split efforts will require greater communication / collaboration between staff members. A more comprehensive, holistic approach could mitigate this concern.
- Staff may need to touch additional Access databases as research and discovery continue in a case. Would be beneficial for a system to have functionality incorporating FMLA database, MoPreventableAccidents database and MoDiscipline database.

Process #20 – Disaster Reporting

- The MDC HR Safety Coordinator tracks the project work orders in an Excel spreadsheet and keeps the documents in separate files (paper) as follows:
    - Work orders that are complete but not paid
    - Work orders that are complete and paid
    - Work orders that are not complete and not paid
    - Work orders that are not complete but are paid
- The MDC HR Safety Coordinator has to track the FEMA project work orders by two different numbers. She first gets a PW (Project Worksheet) Reference number. FEMA assigns a NEMIS number later in the process; this is what MDC uses for tracking. There also is a Doc number, which isn’t used.
- Tracking long projects is more difficult when supervisors change and the new supervisors don’t know the information to be reported/recorded.
- FEMA uses payment packets to group work orders for payment. The work orders may or may not be related to the same event, so it could be another, different grouping of the work orders, which makes processing less efficient.
- The MDC Design & Development Unit Chief posts that division’s project work orders on SharePoint so employees can update the information. Not all divisions do that.

Process #21 – Affirmative Action

- The Office of Administration uses the PeopleClick system; MDC uses BALANCEaap from Berkshire Associates.
- The Balance AAP System only pulls live data from UltiPro as of June 30; it doesn’t allow for looking at the data as of a previous date.
- MDC tracks some items outside of BALANCEaap (e.g., MANORS attendance, internship numbers, University of Arkansas-Pine Bluff visits).
- Review/approval of the MDC Affirmative Action Plan could be automated/electronic.

Process #22 – Outside Employment

- Additional automated data import from UltiPro to the Outside Employment Form would help to sustain the overall effort and minimize the repeated entry of basic descriptive employee information.
- Multiple forms require employees to re-enter the same data and Supervisors / Division Chief to review it.
- The Department is considering changes that would modify the program and soften the existing requirements.

Process #23 – FMLA

- The FMLA information packet is not available to MDC employees online.
- Scan the paperwork into FileBound earlier in the process to eliminate the need for paper files.
- The MDC HR Compliance Coordinator would like read-only access to employee information (e.g., timesheet codes, leave balances, etc.) in eLabor. She currently has to request the information through the MDC HR Office Manager or the MDC HR Employee Relations Manager.
- If an employee enters their leave at the end of the month, the employee may inadvertently exceed their 12-week FMLA limit.

Process #24 – Performance Appraisal

- Automated processes join with manual form generation due to inability to accept electronic signatures. Requires time consuming and potential error inducing manual processing that is ultimately destroyed at the conclusion of the process.

Process #25 – Unemployment Claim

- Scan the paperwork into FileBound to eliminate the need for paper files.

5. SUMMARY OF EXISTING REPORTS, MEMOS, AND FORMS

During the evaluation, the project team also compiled a listing of existing report, memos and forms utilized by human resources in their major processes. These are listed below by process for convenience and use in the selection and implementation of a new HRIS system to identify existing practices.

Process #1 – New Position

REPORTS	• Summary report for the Conservation Commission Meeting (Word)
LETTERS/MEMOS	• Memo prepared by the MDC HR Data Analyst stating whether to recommend the reclassification or establishment of the position (Word)
FORMS	• Request to Fill or Reclassify Form • Position Description Questionnaire

Process #2 – Recruitment

REPORTS	• Weekly job listing including external jobs, internal jobs, who was hired for jobs, etc. with job announcements attached • Report of interview evaluations sent with the Recommendation to hire • Reports of the number of positions filled, etc. prepared by the MDC HR Employment Manager (MoRecruit Database)
LETTERS/MEMOS	• Invite/Regret letters (MoRecruit database)
FORMS	• Job Application (Online Application System)

Process #3 – New Hire

REPORTS	• New Hires report used to adjust leave balances, identify those requiring new employee orientation training and prepare ad hoc reports used for various legislative and other requests (Leave Reports, MoTraining, MoPersonnel databases)
LETTERS/MEMOS	• Justification memo prepared by the division office manager or supervisor • Confirmation letter to the new hire prepared by division office manager (Word).
FORMS	• Salary Evaluation (Email) • Personnel Recommendation (Word) • Personnel Form (MoPersonnelForm Database) • New Employee Orientation Packet with Benefit Enrollment Forms

Process #4 – Job Change

REPORTS	• Numerous ad hoc reports used for various legislative and other requests (MoPersonnel Database)
LETTERS/MEMOS	• N/A
FORMS	• Personnel Form (MoPersonnelForm Database)

Process #5 – Termination

REPORTS	• Termination report used to adjust leave balances, identify those whose benefit need expired, and possibly send final leave balances to MOSERS (Leave Reports, MoPersonnel, Retiree Reports, SAM II Reports Databases)
LETTERS/MEMOS	• N/A
FORMS	• N/APersonnel Form (MoPersonnelForm Database)

Process #6 – Benefit Changes – Qualifying Event

REPORTS	• Individualized employee benefit statement (MoBenefits_EnrollmentsAndChanges Database)
LETTERS/MEMOS	• N/A
FORMS	• Personalized Change Form (MoBenefits_EnrollmentsAndChanges Database)

Process # 7 – Personal Information Change

REPORTS	• Employees with Former Names, Former Names in Current Name Order (PositionManagement Database)
LETTERS/MEMOS	• N/A
FORMS	• Personnel Form (MoPersonnelForm Database)

Process #8 – Retirement

REPORTS	• N/A
LETTERS/MEMOS	• Cover Memo and Retirement Awards Memo (MoBenefits_PendingRetirement)
FORMS	• Personalized Retirement Forms (MoBenefits_PendingRetirement Database) • Personnel Form (MoPersonnelForm Database)

Process #9 – Salary Increase

REPORTS	• Probation Complete Report (HRIS Add-Ons Database) • Career Development Plan (CDP) Increase Report (HRIS Add-Ons Database) • Performance Review Report (HRIS Add-Ons Database) • Delayed Fiscal Year Increase Report (HRIS Add-Ons Database) • Anniversary Increase Report (HRIS Add-Ons Database) • Fiscal Year Annual Increase Report (HRIS Add-Ons Database) • Inconsistency Reports (HRIS Monthly Audit Database)
LETTERS/MEMOS	• Letter notifying employees who are eligible for Fiscal Year Annual Increases on July 1
FORMS	• N/A

Process #10 – Reconciliation of Benefit Premiums and HSAs

REPORTS	• UltiPro reports for active employees (SAM II Benefits Report Database) • SAM II reports for active employees (SAM II Benefits Report Database and MOBIUS) • UltiPro reports for retired employees (Retirees Database)
LETTERS/MEMOS	• N/A
FORMS	• N/A

Process #11 – Benefit Changes – Annual Enrollment

REPORTS	• Individualized employee benefit statement and benefit confirmation statement (Employee Year End Benefits Statements Database) • Individualized retiree benefit statement and benefit confirmation statement (Retiree Year End Benefits Statements Database) • Verification reports (Insurance Updates_EMPLOYEES and Insurance Updates_RETIREES Databases)
LETTERS/MEMOS	• N/A
FORMS	• Benefits Change Form (Employee Year End Benefits Statements and Retiree Year End Benefits Statements Database)

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Personal Injury Accidents

REPORTS	• Reports by division, employee, date range, etc. (MoAccidents v2 Database)
LETTERS/MEMOS	• N/A
FORMS	• Call-In Form (Word) • Investigation Forms (e.g., OA Employee Injury Report, Supervisor Statement, Witness Statement, Medical Release Form, Personal Injury Report, etc.) • Personnel Form (MoPersonnelForm Database)

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Vehicle Accidents

REPORTS	• N/A
LETTERS/MEMOS	• N/A
FORMS	• Call-In Form (Word) • Loss Notice Form • Investigation Forms (e.g., Vehicle Accident Report)

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Public Mishaps

REPORTS	• Summary of accident to accompany detailed report to MDC HR Legal Staff
LETTERS/MEMOS	• N/A
FORMS	• Call-In Form (Word) • Accident Report (Word)

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – CARO Import

REPORTS	• N/A
LETTERS/MEMOS	• N/A
FORMS	• N/A

Process #12-13 – Workers' Compensation, CARO Import, and Safety/Accident Reporting – Accident Review and Reporting

REPORTS	• Report that indicates whether the employee has had any prior preventable accidents (MoAccidents v2 Database) • Standard monthly accident reports (MoAccidents v2 Database) o Summary report of all accidents for MDC Director o Division reports • Monthly follow up report for employees with a disciplinary action recommendation from a previous Accident Review Meeting • Quarterly accident reports (MoAccidents v2 Database)
LETTERS/MEMOS	• Key point letter that accompanies a summary report of all accidents for MDC Director • Corrective action memo for preventable accidents • Letters to divisions if the recommended disciplinary action has not been taken (MoAccidents v2 Database/Word)
FORMS	• N/A

Process #14 – Training – Set up a Class and Email a Reminder

REPORTS	• Training Course Roster, Facilitator Roster (Training Reports Database)
LETTERS/MEMOS	• Email reminder is send to class participants prior to class date (MoTrainingPrep)
FORMS	• Class Sign-In Sheet (Training Reports Database) • Form for MDC division staff to request a training course

Process #14 – Training – Enter Training Attendance

REPORTS	• Various reports, including Employees Without Specified Training, Number of Employees Trained by Course Title within Specified Time Frame, and Employees Requiring Specified Training (Training Reports Database)
LETTERS/MEMOS	• N/A
FORMS	• N/A

Process #15 – IDP/Competencies

REPORTS	• Position Competency Report (Competencies Database)
LETTERS/MEMOS	• N/A
FORMS	• Position Competencies and Training Addendum Form (Word)

Process #16 – Clothing Allowance – Hourly Position

REPORTS	• Allowances by Employee, Allowances by Division/Employee, Ad Hoc reports as requested (MoClothing Database)
LETTERS/MEMOS	• N/A
FORMS	• Hourly Employment Memorandum

Process #16 – Clothing Allowance – Salaried Position

REPORTS	• Allowances by Employee, Allowances by Division/Employee, Ad Hoc reports as requested (MoClothing Database)
LETTERS/MEMOS	• N/A
FORMS	• Personnel Form (MoPersonnelForm Database)

Process #16 – Clothing Allowance – Generic or Volunteer

REPORTS	• N/A
LETTERS/MEMOS	• N/A
FORMS	• Generic Clothing Purchase Request Form • Volunteer Clothing Purchase Request Form

Process #16 – Clothing Allowance – Monthly Updates to MPG

REPORTS	• Vendor Reports (MoClothing Database) o Clothing Changes o Name/Address Changes o Terminations o Division Changes • Audit Reports (MoClothing Database) • Mass Update to MPG in December
LETTERS/MEMOS	• N/A
FORMS	• N/A

Process #17 – Fire Training

REPORTS	• Licenses Burn Notes Report (eLaborBurnNotes Database)
LETTERS/MEMOS	• Time Entry Memo
FORMS	• frmRenewalUpdate used by Forestry to identify those whose licenses may be renewed (eLaborBurnNotes and MoFire Databases)

Process #18 – Tuition Reimbursement

REPORTS	• Class Payment History Report (MoTuition Database) • Vendor Payment Details Report (MoTuition Database)
LETTERS/MEMOS	• Approval memo with number of credit hours, school/college/university, etc. (MoTuition Database)
FORMS	• Form requesting participation in the Tuition Reimbursement Program

Process #19 – Employee Incident/Discipline

REPORTS	• Employee Incidents or Discipline by Reason, Employee or Date Prompt, Individual Profile Report (MDC Discipline and Investigations Database)
LETTERS/MEMOS	• N/A
FORMS	• N/A

Process #20 – Disaster Reporting

REPORTS	• N/A
LETTERS/MEMOS	• N/A
FORMS	• SEMA Forms ○ Project Work Order ○ Project Completion and Certification Report

Process #21 – Affirmative Action

REPORTS	• Affirmative Action Plan Report (BALANCEapp/Word)
LETTERS/MEMOS	• N/A
FORMS	• N/A

Process #22 – Outside Employment

REPORTS	• Restricted Businesses Alpha by City, Restricted Businesses Alpha by Business (MoOutsideEmployment Database)
LETTERS/MEMOS	• N/A
FORMS	• Outside Employment Forms ○ Outside Employment ○ Business Owner ○ Spouse/Family Business • Outside Employment Action Required Form

Process #23 – FMLA

REPORTS	• Report of employees who have exhausted their FMLA leave (FMLATracking Database) • Report of employees on FMLA who aren't logging time correctly • Report of employees with the default FMLA End Date of "9/99/9999' to verify whether their FMLA has ended or they need to continue it into the next year (FMLATracking Database) • Monthly report of employees on workers' compensation • Employees on FMLA (FMLA Tracking Database) • Employees Requesting FMLA (FMLA Tracking Database)
LETTERS/MEMOS	• Letter stating the employee is ineligible (FMLATracking Database) • Reminder letter (FMLATracking Database) • Letter stating the employee has exhausted their FMLA leave (FMLATracking Database) • Denial letter (FMLATracking Database) • Letter notifying the employee that they are eligible for FMLA
FORMS	• FMLA Request Form

Process #24 – Performance Appraisal

REPORTS	• Performance Review Report (HRISAddOns Database) • Performance Appraisals Not Received (MoPATracking Database)
LETTERS/MEMOS	• N/A
FORMS	• Performance Appraisal Form

Process #25 – Unemployment Claim

REPORTS	• N/A
LETTERS/MEMOS	• Letter stating the claimant was not an MDC employee (Word) • Protest letter (Word) • Appeal letter (Word)
FORMS	• Questionnaire Form

Other

REPORTS	• Annual reports related to position management prepared for MDC Financial Services Staff (Budget Prep Database) • Report(s) of GASB 45 data for retirees participating in the medical insurance program (GASB_Reporting Database) • Annual report(s) of CAFR and Leave Liability data for MDC Financial Services Staff (CAFR_Leave Liability Database) • Reconciliation Reports for MOSERS deductions (Retirees Database) • Turnover Report, On Hold Positions, Approved Job Titles report, Employees by Job Title and many other employee demographic reports (Position Management Database) • Mailing Labels for employees and retirees, selected for all or by type of insurance coverage (HRIS Mailing Labels Databases) (Retiree Year End Benefit Statement v2 Database) • COMPN overtime and leave balance reports (MoOvertime_Master Database)
LETTERS/MEMOS	• N/A
FORMS	• N/A

6. SUMMARY OF THE "TO BE" SYSTEM

In developing the high level model of the "to be" system, the project team identified the various systems that interact with the current HRIS system, the type of application, and how it is connected. For each element, there is an indication of what the future "to be" status should be.

Application Name	Type of Application	Connection	"To Be" Status
RAPTOR	Classic ASP in-house written	Direct link to UltiPro Tables	No change.
SAM II	State Payroll / HRIS System	No direct connections export data to SAM II	No change. Though direct link should be sought to eliminate duplicate entry by MDC staff.
eLabor	Purchased software from ADP	Import of Data. Critical that all data remains consistent between eLabor and HRIS.	No change. Duplicate data will remain.
Budget Prep (aka Annual Budget Reporting Process)	Access database.	Disconnected database with direct links to UltiPro data.	New HRIS system should have position management functionality. Eliminate need for separate database.
Clothing Allowance Reporting	Access database.	Disconnected. Mainly reporting to vendor of eligibility annually and monthly updates.	Reports to be provided to vendor will continue to be run and sent but should be generated from new HRIS eliminating need for access database.

Application Name	Type of Application	Connection	"To Be" Status
GASB Reporting	Access database.	Report on census data for active and retired employees.	This report should be generated directly from new HRIS eliminating need for access database.
MoFIRE	Access database.	Database utilized to conduct mass changes for import into UltiPro. Combines data between UltiPro and eLabor.	Functionality of new HRIS should be evaluated to ensure mass change capability is included. The reporting function which ties information between UltiPro and eLabor for reporting. Training program / module should track eligibility for recertification.
MoAccidents	Access Database	Direct links to UltiPro tables. Imported data from CARO.	Accident reporting should be considered as a functionality when new system evaluated. Requirement for CARO Data and letters to supervisors and employees may require maintaining access database.

Application Name	Type of Application	Connection	"To Be" Status
MoAAP Outreach	Access database.	Direct links to UltiPro tables.	AAP reporting may continue as effort external to new HRIS system. Many HRIS systems include Affirmative Action Plan development and reporting but not all. If available, this should be utilized to eliminate external database.
MoTraining Prep Email	Access database.	Imports data from UltiPro.	With new HRIS system or new training system, this functionality should be minimal requirement and enable elimination of this external process and database.
Performance Appraisal Tracking	Access database.	Import of data from UltiPro to track status and results of performance appraisals.	This database should be eliminated with new HRIS system. New system should enable status tracking of performance appraisals and enable ad-hoc reporting to be developed for required reports.
MoPersonnelForm	Master database.	Used for forms completed by office managers.	Should be fully integrated into new HRIS system with establishment of workflows to eliminate external forms (or integration of forms directly with database) to eliminate duplicate entry.

Application Name	Type of Application	Connection	"To Be" Status
MoBenefits NewHire	Access database.	Direct links to UltiPro tables.	The elimination of this database will be entirely dependent upon functionality of new HRIS system. Not all provide robust benefits package that will enable tracking and generation of tailored employee reports as is currently done.
MoBenefits Pending Retirement	Access database.	Direct links to UltiPro tables and direct link to Raptor data.	The elimination of this database will be entirely dependent upon functionality of new HRIS system. Not all provide robust benefits package that will enable tracking and generation of tailored employee reports as is currently done. Requires integration with Raptor to pull data.
MoDiscipline	Access database.	Direct links to UltiPro tables.	New HRIS system should provide functionality to track reason for discipline and type of discipline imposed. Grievance logs not easily integrated into HRIS.

Application Name	Type of Application	Connection	"To Be" Status
Outside Employment	Access database.	Direct links to UltiPro tables.	May remain as stand alone database due to data tracked. HRIS system are limited in tracking outside employment.
Setting up Roles / IDS	SQL Server Management Studio	Sets authority levels within UltiPro for Office Manager access.	New HRIS system may have alternative method for setting authority levels.
Leadership Planning	Access database.	No direct connection.	Will continue as presently established.
MoIDCARDS	Access database.	Mail merge program utilizing word and data from UltiPro.	Will continue as presently established. A few HRIS system have tracking of ID card data and if present in new system can be utilized to generate required mail merge feature.

6.1 KEY REQUIRED FUNCTIONALITY OF NEW HRIS

Additionally, the project team developed a listing of key functionalities, either from deficiencies or risks noted in the process evaluation, best management assessment, or the completion of the traceability matrix.

These functionalities are listed in the following table:

Required / Desired	Feature / Functionality	Business Need
Required	Workflow capabilities and automated forms.	To eliminate paper forms and requests for action, workflow functionality must be included in new HRIS. This enables entry at the division level, electronic approvals, and following approval direct posting of the approved change into the system.
Desired	Electronic approvals.	To fully implement workflows and automated forms, the system must allow electronic approvals.
Required	Capability to conduct mass changes / updates.	The system must allow mass changes to employee data fields including: positions (i.e. – title changes), individuals, pay rate changes (by position, salary grade, etc.), and other commonly utilized fields.
Required	Employee Self-Service	If the HRIS contains a module for employee self-service, this can simplify updating of routine information (address, phone numbers, etc.) for employees through direct entry by employee or Office Manager. Additionally, if the HRIS has robust benefits package, employee self-service would enable automation of enrollment process.
Desired	Recruitment	Further integration of recruitment activities with the main HRIS system would eliminate manually entering employees after selection, approval and hire. Fully integrated system will also enable greater tracking of recruitment efforts, and affirmative action efforts.

Required / Desired	Feature / Functionality	Business Need
Desired	Training	More advanced training functionality, including course scheduling, reminders, tracking of HR and Division courses completed, and certifications required and maintained is needed to advance the recordkeeping regarding training. The training functionality should enable both central HR training and division level training.
Required	Document Management Capabilities	Ability to link to external documents (such as personnel records / supporting documents stored within FileBound) and paper documents approved for personnel actions would enhance integration and audit trail of personnel transactions.
Required	Single database with fields enabling changing employee status from active to retired.	Eliminating the dual databases that currently exist (one for active and one for retirees) will simplify many processes and eliminate need to transfer employees between databases. Most HRIS systems are designed to segregate files within the database based upon a field indicating whether the employee is active or retired.
Required	HRIS system should have fields that can be customized with pre-defined input values.	This will both simplify data entry but also enhance ability for implementation of workflows allowing Office Managers to initiate personnel transactions as it provides data quality and checks for accuracy prior to submittal for review and approval.
Required	Leave Management	System must have functionality to track and monitor various leave approvals including FMLA, workers compensation, leave without pay, etc.
Required	Future Dated Actions	System must enable entry of personnel transactions with a future effective data with automatic system application of these changes on the specified date. System must not be limited to entry of changes within defined “entry periods” that are linked to payroll process.

7. LISTING OF POTENTIAL SOFTWARE VENDORS

Following the development of the required functionalities and process improvements, the project team conducted a high-level market research analysis to identify suitable vendors to receive a copy of any future HRIS RFP for response. The following are some of the more common HRIS systems in the marketplace and ones that should be considered for including in the distribution of the RFP:

a. Workday
b. SAP
c. Oracle
d. NuView
e. InteractHRMS
f. OrangeHRM
g. People-Trak
h. Sage HRMS
i. Kronos
j. NeoGov

The current vendor, Ultimate Software, was not included in this listing as the Department is already familiar with this vendor.