University of Victoria – Payroll Business Process Review Project

Final Report and Findings

Report Date: July 7, 2013

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Executive Summary

Context

University of Victoria engaged Millennium Professional Services Ltd. to review business and payroll processes to identify process and service gaps, inconsistencies and opportunities for streamlining processes and enhancing service. The goal was to review workflow processes (electronic and manual) and document current state of business processes from point of hire – recommendation of appointment to point of pay – first payment made through payroll for all employee groups and pay change processes. Recruiting, hiring processes and decisions are made at the department/faculty level with information flowing to Human Resources, Payroll and the Office of the Vice President Academic. The project focused on identifying significant workflow streams, creating detailed process maps and linking documentation of significant business processes to gaps, opportunities and best practices with respect to forms, data entries, electronic feeds, change management, training and communication mechanisms and to prioritize and recommend business process changes.

The project was approached in 4 phases:

Phase 1: Project Setup and Discovery: Assess current process and business models to determine areas to focus the review on.

Phase 2: Detail Review and Analysis: identify workflow streams and create detailed process maps linking documentation of significant business processes.

Phase 3: Opportunity Identification: utilize results from Phase 1 and 2 to identify opportunities for streamlining and improving efficiency and effectiveness.

Phase 4: Recommendations: Provide strategy to implement recommendations for improvement.

Key personnel from all areas associated with Payroll processes at UVIC were consulted and worked collaboratively to review business processes to identify opportunities to improve services and reduce risk. Many of the “Quick Win” recommendations documented in this report have already been implemented and appropriate solutions put in place. As part of the review process, the team consulted broadly with both academic and administrative units. The following areas were consulted as part of this process:

- VP Academic & Provost
- Department of Biochemistry & Microbiology
- School of Nursing
- Faculty of Engineering
- University Library
- School of Business
- Island Medial Program
- Faculty of Fine Arts
- Division of Continuing Studies
- Dean’s office Faculty of Science (written)
- Dean’s office Faculty of Social Science (written)
- Human Resources
- Labour Relations
- Residence Services (in person and written)
- University Systems
- Facilities Management
- University Food Services
- Budget Office
- Institutional Planning and Analysis
- Payroll
- Benefits
- Pensions
- Work Life Consultants
- HR Systems and Work Analytics

The following provides a comprehensive list of processes and forms that were reviewed and raised from the departmental inputs (administrative and academic departments) and administrative outputs (HR, VPAC, Payroll, Benefits, Budget, Work Life and HR Analytics):

Time Sheets
Study Leaves
Payroll Benefits
Department Time Entry
Web Time Entry
Leave Time Entry
Advice of Separation
Recommendation for Appointment
Position Status Change Form
Internal VPAC Processes
Overpayments
Mass Salary Changes
Salary Planner
Sessional Lecturers
Annual Salary Increment
Work Life
Long Term Disability
HR Benefit Enrolment
Record of Employment
Budget integration
Pension integration
Research Grant in Lieu of Salary
Audit Desk
Pre-paid Benefits
One Time Payments
Leave administration
Extra to Load

The review process has informed the summary and details the recommendations that follow. As part of the consultation process, the team also identified strengths, weaknesses, opportunities and threats (SWOT) that were associated with the various processes.

This information has been captured in high level and detailed process maps in Appendix B – Project Documentation.

Recommendations

The following are the primary recommendations to address risks, opportunities and process inefficiencies identified during the process review:

1. ***Review existing technologies and the marketplace for a possible solution or develop a prototype to automate the submission, approval and upload of information currently collected on paper forms for Position Status Change, Advice of Separation and Recommendation for Appointment (non-Applicant tracking employees)*** to streamline the collection, processing, tracking and approvals for the originating and processing departments. These new processes could be intuitive to prompt for appropriate information and backup documentation depending on the type of appointment or change which would eliminate some of the back and forth chasing that occurs between the departments and Payroll, Human Resources (Benefits, Work life, Employee Services) and VPAC offices.

2. ***Develop a cross institutional training, education and coaching model*** that will enable departments to seek out training assistance and clarification of process. As part of the project, standard operating procedures will need to be established for payroll related activities. Coaches from Payroll, VPAC and Human Resources would actively work with department heads and administrative staff who have repetitious issues and errors with paperwork and process.

3. ***Establish a Roles, Responsibilities Matrix related to the generation and administration of Payroll activities*** to clearly articulate the responsibility, accountability and roles of the parties involved in the generation and administration of payroll (initiator, verification, approval, processor, and auditor) and outline the functions and focus expected by each of these roles.

4. ***Review some key areas that appear to have service and process fragmentation more deeply to determine if there are opportunities for optimization and streamlining.*** There are a few areas critical to Payroll processing where there appears to be process and service fragmentation causing confusion for employees on where to seek advice or clarification and causing duplication and inefficiencies.

5. ***Develop a document management strategy for Payroll related documents and rollout Banner Document Management to manage these documents across Payroll, Human Resources, VPAC, Originating Departments, Pensions and Budget Office*** to eliminate the duplicate copying, mailing, emailing, shuffling and filing of documents in all of the departments across the institution. Often these documents are only partially complete or not accurate as they are copied or filed at various stages of the payroll process. UVic has the toolset to manage these documents and needs to leverage it to streamline the document management process.

6. ***Develop an institution wide implementation and training plan for FAST HR*** to provide end user departments and key business units with the reports and information they need in a timely way. As part of this strategy, a new report would be developed to provide all departments with the information currently on the Appointment Status form so that the Appointment Status form could be eliminated and key stakeholders could get needed information immediately. To implement the product, consultation with the user areas would be needed, to define their information and reporting requirements.

7. ***Explore the opportunity of utilizing more fully the Faculty Tracking Module in Banner*** to collect and store data currently being stored in the VPAC Access Database to enable cross institutional reporting and single source of data.

8. ***Explore the opportunity of working with Institutional Analysis, Human Resources, Payroll, VPAC and Registrar's Office*** to create a single data and reporting source for ***Sessional Lecturer information.***

9. ***Establish a Process Improvement team*** to implement improvement initiatives and evaluate efforts. The team would adopt a continuous improvement methodology and resources from key areas would need to be identified to work on the team to implement improvement and streamlining initiatives.

10. ***Complete implementation of web time and leave time entry*** across the remaining departments that did not participate in the pilot project. Several areas are still submitting paper timesheets and these areas should be transitioned to web time entry and the pilot project for leave time entry expanded to include all departments.

The following recommendations are based on discussions that occurred during the review process. While we did not delve into each of these sub projects with any depth, it is recommended that these projects are successfully completed.

11. ***Proceed with UHIRE project replacement with integration to Banner HR*** to streamline the recommendation for appointment process and ensure the application is integrated with Banner HR to streamline data processing and eliminate duplicate entry.

12. ***Complete the provisioning and de-provisioning project*** to determine the appropriate processes and scenarios for provisioning and de-provisioning accounts and associated system privileges.

13. ***Complete the work of the Immigration Working Group*** to streamline and clearly outline the requirements of the immigration process and tracking of immigration paperwork.

Conclusion

In a collaborative approach, key personnel from all areas of UVic are working together to streamline payroll business processes, improve services and reduce risk. Many of the risks, redundancies, and inefficiencies that were uncovered can be resolved with better training and education, communication, clear identification of roles and responsibilities, addressing service and process fragmentation, automating critical processing functions and providing appropriate reporting to departments.

Payroll and other departmental staff are chasing paperwork and departments for supporting documentation. Accountability and responsibility for the information is not clear, and as a result, payroll and VPAC are at times playing the role of gatekeeper and guardian of the input and intent of data to process payroll. Department Heads and Managers, Deans and Budget Holders need to be very clear on the role they play in the payroll process and the responsibility and accountability that their role and signatures on source documents imply. The role of payroll needs to be clarified in relation to the validation and verification of documentation received from departments and consistent processes to address these inconsistencies.

While we recognize that these recommendations will not address all of the issues and opportunities, these are foundational areas that need to be addressed prior to considering focusing on broader issues. These strategies are significant implementation and change management initiatives that may be considered if warranted once these other areas have been addressed. With the implementation of many of these recommendations, the perceived need for these strategies may diminish or the focus may change. While we had some other areas raised throughout the consultation process, the recommendations in this report represent the major areas of concern and focus by the largest group of stakeholders.

The recommendations in this report are intended to provide guidance to UVic for process improvements and service streamlining with the goal to eliminate redundancy, service lags and confusion; enhance communication, training, document management and reporting and to clearly define roles, responsibilities and accountability. Next steps for consideration are identifying priorities from the list of recommendations, matching recommendations that have dependencies, creating a project road map, including initiatives already on going and identifying high level resources required to move forward.

Appendix A - Recommendation Detail

R1 - Review the marketplace for a possible solution or develop a prototype to automate the PSCR, RFA and AoS forms

Current State

The three most commonly used forms for input into Payroll, VPAC and HR created by departmental units both administrative and academic are the – Recommendation for Appointment, Position Status Change and Advice of Separation and are for the most part managed manually for both input, signature, transfer, verification and data entry. The current state of collection, distribution, data input and authorization are:

- Paper based (All)
- Requested information not available at time of submission (AoS)
- Multiple versions (All)
- Required scenario information missing (All)
- No document tracking and versioning (All)
- Physical form transfer from office to office by hand, suitcase or intercampus mail (All)
- 3-8+ photocopies of same input form in multiple campus locations (All)
- Input of information stored on department file spreadsheet or physical file in input and output offices (All)

Recommendation(s)

Review the marketplace for a possible solution or develop a prototype to automate the submission, approval and upload of information currently collected on paper forms for Position Status Change, Advice of Separation and Recommendation for Appointment (non-Applicant tracking employees) to streamline the collection, processing, tracking and approvals for the originating and processing departments. These new processes could be intuitive to prompt for appropriate information and backup documentation depending on the type of appointment or change which would eliminate some of the back and forth chasing that occurs between the departments and Payroll, Human Resources and VPAC.

Priority	Action Items
☐ **Critical** ☒ **High** ☐ **Medium** ☐ **Low**	**Short term** 1. Identify high level key functional and technical elements (not content) required for electronic form functionality including but not limited to: • Work flow and work view functionality • Using and/or integrating existing work flow approval hierarchy • Integration with current suite of tools including Banner, FAST if appropriate 2. Review marketplace for electronic form solution Possible approaches include: • Revisit Banner Personal Action Forms • Reengineer and repurpose existing WebReq functions (currently not available product) • Repurpose existing internal electronic forms • Issue RFI for existing software bolt on options in market • Develop prototype with other institution(s) and vendor(s) **Medium term – once solution identified** 1. Select electronic form solution 2. Reengineer Functionality of - Position Status Change Form, Advice of Separation and Recommendation for Appointment (for cases not covered by Applicant Tracking System) for content, approval, tracking, reporting and Banner upload

	3. Design workflow, work view, reporting, information and data elements – determine pilot or big bang implementation strategy

R2 - Develop a Cross Institutional Training, Education and Coaching Model for Payroll Processes

Current State

Throughout the course of the interviews and process mapping with various units, it was evident that there is not a clear training or education model in place related to HR/Payroll related activities. There is significant confusion and lack of clarity on form completion and approval, which form to use for what payroll event, where to send them for approval, how to use the systems that are currently in place or how to access the information they need to do their jobs. This lack of clarity and understanding is significantly contributing to some of the issues that are being experienced in both the VPAC and Payroll areas. Inaccurate, duplicate or incomplete forms, lack of supporting documentation or the correct documentation and inability to use some of the existing tools are resulting in areas chasing information, correcting or changing source documents to reflect their understanding of the document, processing of changed documents without the appropriate approvals and processing duplicate or not needed paperwork due to a lack of understanding.

Recommendation(s)

Conduct a needs assessment, using the observations from this process review as a starting point, to develop a training and education program that would address the training and education opportunities that are identified. Develop a structured training plan and an associated coaching model that would all Coaches to work hand in hand with some of the departments and users that are having issues with payroll functions and processes on a continual basis. This would allow the general training and education program to provide a baseline of knowledge focused in the areas identified in the needs assessment and the coaches to work more intensively with those areas that require more assistance.

Priority	Action Items
☐ **Critical** ☒ **High** ☐ **Medium** ☐ **Low**	**Short term** 1. Conduct a needs assessment, using the areas identified through the process review as a starting point, of the departments across UVic to identify the area of focus for training and education 2. Investigate the feasibility of using a Process Coach role to augment the training and education strategy and determine if this is a role that could be incorporated into an existing job within the institution. **Medium term** 1. Develop a training and education plan using various modes and modalities to address the identified training and educational requirements. 2. Develop a coaching model and processes to address training gaps for specific users, departments and functions 3. Pilot a few targeted training areas with associated coaching in place for users and departments that exhibit additional training or coaching requirements. 4. Scale training, education and coaching model to address all identified areas from the needs assessment to address the knowledge and process gaps related to payroll processing. 5. Evaluate the model – both the pilot and the full scale model – to identify any aspects of the model that you may want to leverage and expand or areas that might need to be revised to be more effective.

R3 - Establish a Roles, Responsibilities and Accountability Matrix for Payroll Activities

Current State

The roles, responsibilities and accountability for each step and associated documentation in the payroll process is not clearly defined or understood. There is ambiguity at all levels of the organization related to authorization and approval of source documents and the associated pay processing. Modifications to paperwork occur that change the overall intent of the initial documentation and forms without appropriate re-approval and authorization. While it is clear that the intent of the changes are to facilitate payroll processing and ensure people are paid in a timely way, the overall approval process needs to be reviewed to ensure that the original intent is not lost.

Recommendation(s)

To develop a payroll processing responsibility matrix that clearly outlines each of the various roles, responsibilities and accountability. The matrix will need to be clear and provide the most common scenarios within Payroll so that all parties involved in the processing of the transaction are clear on the roles that they are playing in the completion of that work. The matrix should outline the roles each of the parties play in the generation and administration of payroll (document initiator, verification, transaction approval, transaction processor, transaction auditor) and what level of responsibility each of these roles have in various circumstances. As we work through the definition and establish content requirements in recommendation 1, this matrix will inherently emerge as a byproduct of that definition process.

Priority	Action Items
☐ **Critical** ☒ **High** ☐ **Medium** ☐ **Low**	**Short term** 1. Generate a matrix that clearly defines the roles of the parties involved in the generation and administration of payroll (document initiation, document verification, transaction approval, transaction processor, transaction auditor) 2. Clearly articulating what approval means to the approver, one up signatory and payroll and the expectations related to validation and verification of payroll documentation or payroll documentation changes after submission. **Medium term** 1. Define the roles and responsibilities of all parties involved in the LTD and RTW process – there is ambiguity on the roles of the WL Consultants and an assumption that the departments are positioned to track and deal with these complicated claims – this process also seems fragmented, so definition of roles as well as process streamlining is needed 2. Who decides on what access to the various systems people can have and who is accountable – this recommendation should be addressed within the scope of the provisioning and de-provisioning working group. 3. Review the requirement for signing of each of the forms to determine if 3 signatures are needed for faculty related forms.

R4 - Review some key areas that appear to have service and process fragmentation more deeply to determine if there are opportunities for optimization and streamlining

Current State

In reviewing the current processes and service areas, a few areas were identified that seemed to have fragmented processes that are causing duplication of effort, lack of clarity of roles and responsibilities for key parts of the process and overall confusion for service users.

Recommendation(s)

Conduct an in-depth analysis of the current service delivery methods related to HR and Payroll benefits enrolment and payment to pinpoint the areas of duplication and possibilities to streamline the contact for the staff and reduce double entry and checking between HR and Payroll. Conduct an in-depth analysis of the medical short and long term leave and return to work processes to clearly outline the areas of fragmentation and confusions as well as the roles that each stakeholder holds in the overall process. These areas need to be streamlined and optimized to reduce confusion, clearly articulate roles and ultimately manage the overall process better. Current processes result in overpayments, missed claims and fragmented services to the clients. VPAC is currently not doing any direct entry in Banner. Once the initial implementation of Faculty tracking is complete, review of additional entry functions needed should be done to streamline the entry and processing of paperwork they are handling.

Priority

- ☐ **Critical**
- ☒ **High**
- ☐ **Medium**
- ☐ **Low**

Action Items

Short term

1. HR and Payroll Benefits
    a. Review the benefits enrolment and benefits payment processes in detail to identify duplicate effort, service gaps and potential process optimization.
    b. Review the identified areas and work with the two groups to revise and redefine a new work process and potential work assignment
2. Medical Leave (short and long term) and Return to Work
    a. Review the benefits enrolment and benefits payment processes in detail to identify duplicate effort, service gaps and potential process optimization.
    b. Review the identified areas and work with the two groups to revise and redefine a new work process and potential work assignment to ensure the staff needs are met and to reduce risk related to overpayments/missed claims.

Medium term

3. HR and Payroll Benefits:
    a. Revise communication for employees on the new work processes and communication contact points.
    b. Implement new process design and appropriate resources to pilot the new work processes and evaluate the revised process for 3 to 6 months.
    c. Review and revise process based on feedback from staff and HR/Payroll Benefits staff.
4. Medical Leave (short and long term) and Return to Work
    a. Revise communication for employees on the new work processes and communication contact points.
    b. Implement new process design and appropriate resources to pilot the new work processes and evaluate the revised process for 3 to 6 months.
    c. Review and revise process based on feedback from staff and Work Life Consultants, HR and Payroll.

	5. Investigate the opportunity for VPAC to do direct entry of payroll paperwork once the implementation of Faculty Tracking and paper forms is completed.

R5 - Develop a Document Management Strategy for Payroll related documents and rollout Banner Document Management

Current State

Currently, source document management for payroll and benefit related forms are copied and stored in employee files within various offices in HR, Payroll, VPAC, Benefits, Pensions, Budget and originating departments. Information relating to some fields on these forms is also stored in electronic shadow systems. There is also a risk to privacy given how paperwork or electronic records may be stored.

Recommendation(s)

To develop a document management and imaging strategy for Payroll related documents and rollout Banner Document Management to manage these documents across Payroll, Human Resources, VPAC, Originating Departments, Pensions and Budget Office to eliminate the duplicate copying, mailing, emailing, shuffling and filing of documents in all of the departments across the institution. Often these documents are only partially complete or not accurate as they are copied or filed at various stages of the payroll process. UVic has the toolset to manage these documents and needs to leverage it to streamline the document management process.

Priority	Action Items
☐ **Critical** ☒ **High** ☐ **Medium** ☐ **Low**	**Short term** 1. Identify document imaging approach with core group of stakeholders– staged or full rollout versus pilot stakeholders with one form selection for prototyping 2. Identify document types that could be candidates for document imaging 3. Confirm with and identify technical requirements – physical hardware, security, access protocol and hardware configuration requirements (suggest scoping this component as an initial step prior to project plan creation based on lessons learned from the Faculty of Graduate Studies project) 4. Meet with Student Systems and Student Client account manager to review and understand BDM capability, functionality and information set up and requirements prior to creating a BDM Employee Project Plan **Medium term** 1. Determine scope of Employee Document management/imaging project 2. Create multi-stakeholder project team with operational, technical and departmental representatives 3. Create project plan

R6 - Develop an institution wide implementation and training plan for FAST HR	
Current State Distributed reporting for faculties and departments is somewhat ad hoc way and has not been approached from a holistic requirements driven perspective. As urgent or specific needs emerge or departments identify specific reporting needs, a report is either developed using ViewCat or provided to the user group in FAST. Training and education on user driven adaptation of standard or custom reports has not been conducted widely and FAST HR has been implemented piecemeal to the various user areas.	
Recommendation(s) To provide end user departments and key business units with the reports and information they need in a timely way. To implement, product consultation with the user areas would be needed to define their information and reporting requirements and develop a security and access model that would facilitate appropriate access to the information they require.	
Priority ☐ **Critical** ☒ **High** ☐ **Medium** ☐ **Low**	**Action Items** **Short term** 1) Create an inventory of current FAST HR users, departments and report requirements 2) Conduct a further assessment consultation session with a variety of new reporting clients in both academic and administrative departments to determine common data needs and compare to the needs of existing users 3) Establish a top 10-15 cross institutional HR reports incorporating data elements established in the consultation sessions 4) Review on line training requirements and match with the FAST HR training module identify other training methods (one to one, group lab sessions, train the trainer program) 5) Determine if current access and approval model for FAST Finance can be transferred to FAST HR approval authorities 6) Establish privacy and personal information guidelines for viewing, storage, sharing and usage of HR report data and encryption requirements **Medium term** 1. Develop and test with both an academic and administrative department a sample model of the top 10-15 reports 2. Create a training program for primary data users as well as high level dash board training for managers and other consumers 3. Document training methods 4. Create a training program 5. Create a communication plan 6. Pilot and evaluate report results, ease of use and data usage with sample departments 7. Create an implementation roll out plan including training

R7 - Explore the opportunity of utilizing more fully Faculty Tracking Module in Banner

Current State

The Vice President Academic's Office (VPAC) is currently capturing extensive faculty data related to demographics, tenure, promotion, appointments and contracts in an access database that is used for generating payroll and faculty reports. This information is collected via the Recommendation for Appointment, Position Status Change Form and Advice of Separation forms that are submitted to the VPAC manually for validation and approval.

Recommendation(s)

Explore the possibility of using the Banner Faculty tracking module in Banner to capture the information that is currently being stored in the VPAC access database. This will provide VPAC with the ability to access this data in combination with other Banner data and develop reports using FAST HR. Transition to use this toolset will also eliminate some of the duplicate entry that is occurring and scanning of key documents into BDM will allow for the capture and retrieval of important documentation related to the appointment, change or termination activities for the faculty member. This will also allow the faculties and department to report on information related to their faculty members that is deemed appropriate for sharing and reporting purposes.

Priority	Action Items
☐ **Critical** ☒ **High** ☐ **Medium** ☐ **Low**	**Short term** 1. Establish a small working group to review the Banner Faculty Tracking module and its existing functionality as well as the current access database that is being used to store this information now. 2. Conduct a gaps analysis of the functionality and data storage needed and Banner Faculty Tracking and other Banner modules and determine the feasibility of using Banner Faculty Tracking. **Medium term – Faculty Tracking is a viable solution** 1. Establish a project team in the VPAC office to implement the Faculty Tracking module to capture the key information required within Banner 2. Define the ongoing reporting requirements and leverage the FAST HR reporting initiative to develop the needed custom reports for the VPAC area 3. Liaise with Institutional Planning and Analysis to identify the fields and data stored related to faculty in the Faculty Tracking module for use in Institutional Reports. 4. Determine data in Banner Student that may be coupled with Faculty information to augment reporting for both VPAC and IRP.

R8 - Explore the opportunity of creating a single data and reporting source for the Sessional Lecturer information

Current State

To facilitate reporting and tracking of academic units taught, the Payroll department is tracking sections taught on green post it notes on the Payroll file. The appointment forms are being forwarded to HR and entered into the Sessional Lecturers access database. The data being captured, with the exception of the academic units, is already being housed within Banner. HR indicated that they try to ensure all forms are entered but there are times when there may be forms missed or not sent to them. There is a feeling that academic units can't be determined based on the course schedule because courses that are cancelled or instructors changed are not being accurately captured in Banner Student.

Recommendation(s)

Consult with the Office of the Registrar on the capture and maintenance of sessional instructors associated with courses taught as well as the process for cancelling course sections. Work with the Institutional Planning and Analysis department to determine a method for calculating academic units taught on a semester and annual basis. Work with the FAST Reporting group to replicate the reporting needed for Labor Relations and the academic units into FAST HR and to be distributed to the appropriate users.

Priority

☐ **Critical**

☒ **High**

☐ **Medium**

☐ **Low**

Action Items

Short term

1. Analyze and document in detailed specification the functionality and reporting currently being done in the Sessional Lecturer's Database
2. Meet with the Office of the Registrar to discuss process for maintaining the course schedule and depicting course section changes or cancellations.
3. Meet with Jill Stringer, Systems, to determine what data elements are already being captured in Banner HR and other modules and denote any missing data and what it is used for in the Sessional Lecturer's database.
4. Meet with Institutional Analysis and Reporting to determine how to calculate academic units taught and determine if the data needs to be stored. If so, review the faculty tracking module to see if there is a suitable data element to store the academic units.

Medium term

1. Determine feasibility, based on the results of the short term actions, of transitioning this function from a separate database to the FAST HR reporting toolset. This could include potentially liaising with the Banner Student group to discuss modification of practices within the course schedule.
2. Revise processes in Office of the Registrar, if required, to capture data needed to calculate academic units.
3. Create needed reports in FAST HR, based on the reporting analysis and test with Labor Relations.
4. Implement the new reports in FAST HR within Labor Relations and eliminate the entry in Sessional Lecturers database; retain database for transition period to validate.
5. Scale report access to academic departments after initial testing and use has been completed.
6. Archive the Sessional Lecturer's database.

R9 - Establish a Process Improvement and Automation team

Current State

Consultation and consideration of system changes in an institution the size of UVic is critical to ensure that new initiatives, system changes and enhancements have been fully discussed and implications vetted prior to implementation. During Project Nova the teams met regularly to review these types of changes and enhancements but the practice is no longer followed. As a result, some changes have been implemented without full consultation or understanding of the business and process effects to other departments.

Recommendation(s)

To implement improvement initiatives and evaluate new functionality, enhancement and system use. The team would adopt a continuous improvement methodology and consist of cross institution resources representatives from key areas to implement improvement and streamlining initiatives and address data stewardship, consistency and accuracy. This team would review new initiatives, functionality, proposed process or technology use changes to ensure that all implications and cross institutional impact has been addressed.

Priority	Action Items
☐ **Critical** ☒ **High** ☐ **Medium** ☐ **Low**	**Short term** 1. Establish a terms of reference and key department area stakeholders for process and automation team 2. Select champions in each area (VPAC, HR, Payroll, IT, Academic and Administrative departments) with a senior manager holding the chair position **Medium term** 1. Select an improvement recommendation and project from list of recommendations 2. Create an implementation template driven by client requirements with a focus on project communication, training, change management and project effectiveness and evaluation 3. Insert team into the project management charter to enhance implementation team accountability and client service 4. Once priority list of recommendations is complete, redefine terms of reference to be proactive working with internal and external stakeholders and facilitators to establish the next set of improvements

Appendix B – Project Documentation

Project Methodology

The review and analysis of the Payroll functions and the related business processes involved a series of full-day sessions with the members of the university with representation from the Vice President Academic & Provost, Payroll, Human Resources, Pensions, Academic and Administrative departments, Ancillary areas, Work Life Consultants and the Budget Office.

- A systematic assessment and documentation of current systems, paper flow, procedures and processes;
- The identification of business processes identified by the working team;
- A detailed business and impact analysis of processes identified in Phase II as a priority;
- The identification and documentation of integration points with other business units;
- The identification of obvious bottlenecks and redundancies;
- The identification of issues and opportunities which impact the operations of the Payroll department; and
- The development of a set of recommendations that address the requirements outlined in the project request for proposal and documented in this report.

As a starting point for review of the functions and associated Payroll processes, we reviewed the key inputs and the areas that generate the inputs for Payroll. We reviewed the generation of these documents, approval and supporting documentation, submission of these to payroll and all the processes and associated processes that occur to process these documents within the Payroll, Benefits and HR departments. The key focal areas and processes reviewed for this report were identified through a consultative process and based on feedback from key areas such as Payroll, Human Resource, Benefits, Pensions, VP Academic & Provost, Academic and Administrative departments .

Process Mapping

The business functions and processes associated are very complex and reach across the institution. Inherent in administrative functions and processes is often a lack of knowledge and understanding about the up and downstream impact one process or function has on another. In looking at the various Payroll related processes and the processes and functions that directly affect payroll from end to end it was quite enlightening and educating for various stakeholders about the interdependencies and effect on downstream processes. Increasing this knowledge and awareness is a tangible benefit of the process and will undoubtedly help some of these areas whose functions are so interdependent be more aware of the full effect of changes in process, documentation or approvals.

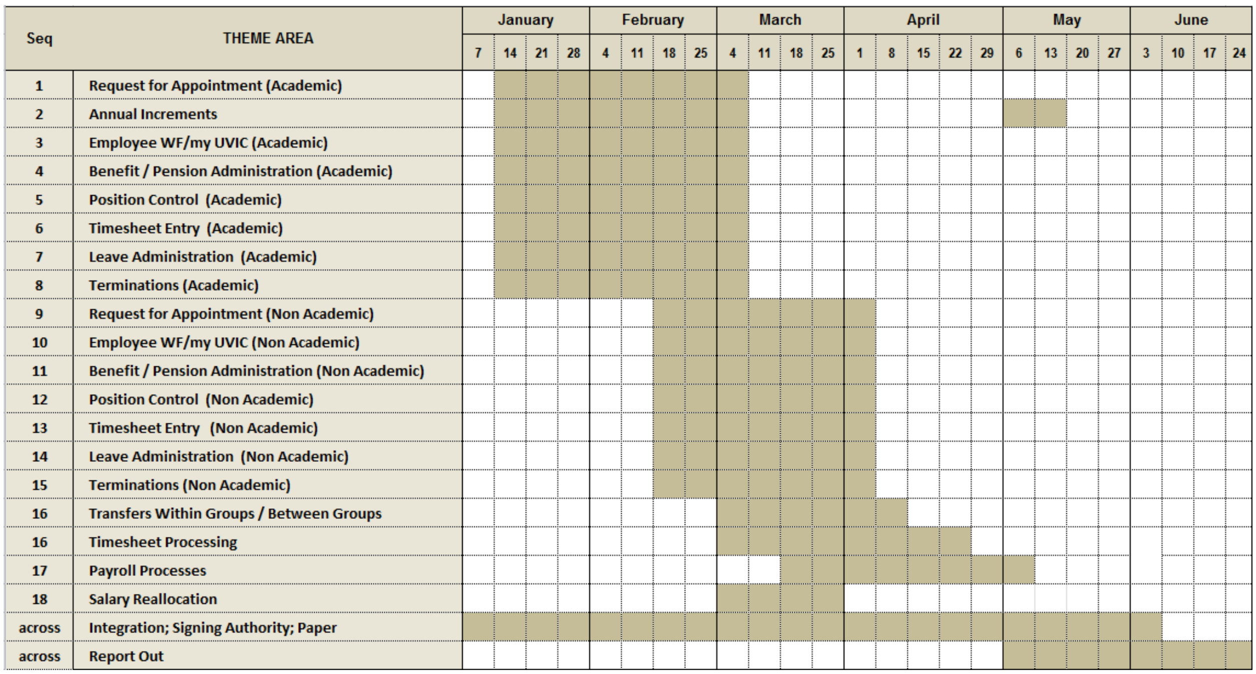
As part of the current state and situational analysis we reviewed many of the payroll and corollary processes. Detailed process mapping has been completed for each of these areas.

Project Timeline

The project was delivered based on the following estimated timelines:

- Phase 1 November 2012 to March 2013
- Phase 2 February 2013 to May 2013
- Phase 3 April 2013 to May 2013
- Phase 4 May 2013 to July 2013

Based on the high level information provided in our initial consultations with the user area, we drafted the following high level schedule for the project.



Themes and Opportunities for Consideration

Documentation of the various process areas and the identification of various opportunities throughout the course of the interviews and subsequent meetings helped to identify various themes and areas of focus that were used in developing the recommendations associated with this report. These broad based themes have more granular opportunities for consideration and areas that were observed as part of this process.

1. **<u>Training, Education and Communication</u>**
   - Layoff Protocols/Process for ESL Instructors
   - Encumbrance processing for VPAC and Payroll Staff
   - Provide education on generation and information needed for inclusion to support the RFA, PSCR and AoS forms
   - Provide detailed information to departments on when each of these forms are required and what supporting documentation is needed
   - Work Study student training on Web Time entry
   - Timesheet completion and accuracy training and follow up for repeat offenders
   - PSCR completion training and documentation on when a PCSR is needed, and what backup
   - Provide education for all staff involved in the pay processing on their role/accountability as it relates to the pay processing function; changes to source documents should be rationalized and approved and this is not occurring consistently
   - Provide documentation on process and information needed as it relates to vacation payouts
   - Conduct new manager training and provide coaching to new managers and repetitious offenders
   - Provide clear procedures and process related to STD, LTD and RTW processes clearly outlining roles and responsibilities of all parties involved (see below)
   - A clear policy related to the ability to view and access DOB (or components of it) needs to be developed and articulated to all parties
   - Create a formal standardized checklist that would be used for most appointments
   - Provide FAST HR and Banner 101 training to all staff with access and provide coaching/mentorship on use of these toolsets – standardized training is not sufficient so coaching is likely a needed component to develop competencies
   - Educate departments on the generation of the second PSCR and eliminate the generation of this form – nothing happens with it unless there is a true change but it requires Payroll to review and determine if any processing is needed
   - Evaluate information and design of the Payroll website – there is a lot of information on this website but it is difficult for a non-payroll person to find the information that they are looking for
   - Provide training within payroll on correct method for entry of date and other information on the Jobs record – audit entries and coach staff on proper approach to facilitate report generation and decision making; discuss appropriate circumstances for source document changes and the associated implications of changes to the originator and other departments.
   - Create a set of "how to" and "tutorials" checklists for things like retirements, changes in benefits, sick leave, long term disability, etc.

2. **<u>Roles, Responsibilities and Accountability</u>**
   - Clearly define the roles of the parties involved in the generation and administration of payroll (document initiation, document verification, transaction approval, transaction processor, transaction auditor)
   - Clearly articulate what approval means to the approver, one up signatory and payroll

- Define the roles and responsibilities of all parties involved in the LTD and RTW process – there is ambiguity on the roles of the Work Life Consultants and an assumption and perception that the departments are positioned to track and deal with these complicated claims – this process also seems fragmented so definition of roles as well as process streamlining is needed
- Who decides on what access people can have and who is accountable
- Review the requirement for signing of each of the forms to determine if 3 signatures are needed for faculty related forms

3. **System and Process Opportunities**
   - Should we look at implementing the use of timesheets for ESL Instructors
   - Investigate amalgamating the SA and SM payrolls; this is a longer term consideration
   - Rework Study Leave automation process; the current process using Workflow is fraught with issues and complicated and not really fulfilling the requirements from the VPAC perspective.
   - Provide data load process for PHATIME for Department Leave and Time entry
   - Separate departure checklist items from Advice of Separation and use Advice of Separation as a processing document only and the Checklist as an exit signoff tool
   - Migrate Work Study students to use web time entry
   - Review the method used to calculate MAT and PAR leaves – does this need to be captured and entered via timesheet or could this be done through an earning code as part of the CALC process – PR Timesheet desk reenters this each pay that a person is on MAT leave
   - Review the method being used to request and record one time payments
   - Add a specific change reason type in Banner to denote Layoffs/recall
   - Evaluate need of Deans signatures on RFA's for PEA951 and determine if these are required and determine the times where it might be appropriate to have a proxy approve the new employee WF
   - Add a probationary indicator to the RFA form
   - Arrange for Benefits provider to send out Benefits Cards to employees
   - Could we provide training on PEN/Ins calculator to look at who determines continuation amounts for layoffs
   - Setup employees into multiple jobs so that default coding works for WTE
   - Departments often do not send notification or forms when employees go on leave so education and coaching is needed to ensure that repeat offenders are addressed

4. **Service Model Fragmentation/Optimization**
   - Benefits enrolment versus benefits payment and calculations – this process is very fragmented and needs to be reworked to provide end to end continuity – consider amalgamation
   - LTD and Return to Work processes – fragmented, unclear roles, lots of mistakes and missed leaves/dates/overpayments
   - Review the functionality of the Sessional Lecturers database – this data is stored elsewhere and more accurate – look to automate using FAST reports that can be accessed broadly across campus and how to calculate academic units
   - Evaluate the use of web versus department time entry and migrate employees to WTE wherever possible – this may include an education and coaching component but the long term benefits of WTE over DTE are significant as DTE is labor intensive and prone to error

5. **Error Rate/Ratio and In Process Auditing**
   - Develop and implement weekly and daily variance auditing
   - Work to reduce timesheet errors and editing of these prior to submission to payroll – pre-audit function

- Completely duplicate checking for entry errors within Payroll is highly resource intensive and could potentially be addressed through training and coaching
- Implement pre and post pay run audits to catch errors prior to processing pay

6. **<u>Duplication and Redundancy</u>**
   - Use of the sessional lecturers database needs to be further investigated and possibly replaced with reports that can be generated from already existing data sources
   - VPAC enters much of the payroll data related to faculty, in addition to Faculty specific data, into their Access database. Rather than having this data re-entered into Banner by payroll we should look at the feasibility of storing this data in Banner and having this office directly enter this information into Banner Faculty tracking – this might reduce some duplicate processing and entry of information.
   - Implement sufficient pre pay run audits and education within the departments to eliminate the need for duplicate data entry checking within payroll; timesheet audits prior to pulling into PHATIME to catch errors at the source
   - Eliminate the generation and distribution of the Appointment Status Form
   - Eliminate immaterial adjustments between employer codes – it adds no value – set threshold and don't make adjustments below the thresholds

7. **<u>Access Administration and Authorization</u>**
   - There is ambiguity and lack of clarity on the process for requesting access, approving access and removing access for users to key systems
   - Users that would like access to some of the enterprise and reporting systems seem unable to gain access but are not clear on the process to receive approval and the staff administering access are not clear on who or where to seek approval for access
   - Investigate the possibility of cloning access for new person from person they are replacing or a person in the same job
   - Provide appropriate FAST and Banner access for VPAC staff

8. **<u>HR/Payroll Reporting</u>**
   - Departments are often chasing information or operating blind in the absence of this information in relation to Payroll processing. Departments receive very little information or confirmation related to source document submission or status. Institutional Rollout and comprehensive training for FAST HR needs to be completed and the toolset leveraged by incorporating reports using VIEWCAT and other data sources to accommodate distributed reporting needs
   - Generation and distribution of the Appointment Status forms is creating very little value for the effort required to sort and distribute them – this process should be stopped. This information could be provisioned via a customized report in FAST HR that is available to departments once the source document has been processed
   - Provide the equivalent Pinned report to provide the entered information associated with PSCR, RFA and AoS
   - Evaluate the Sessional Lecturers database and migrate this to established institutional data sources and eliminate entry into this database – all data captured in this database is stored institutionally. Some verification with the AREG is needed to ensure that cancelled courses are being denoted and the reporting will need to eliminate these in the calculation of the courses taught.
   - Provide report to departments to be able to look up V#'s as soon as they are generated so they are not constantly chasing this information and calling departments to get it.
   - Replace the spreadsheet for tracking faculty hiring with reports that are pinned in FAST

- Create a report for expiring appointments that is available to both Payroll and the department in which the expiry is occurring
- Provide sick leave related information via a report to Work Life Consultants for action and follow up
- Create FAST equivalent report to NBPMASS
- Create custom FAST report for Heidi on Faculty data reporting
- Create report for VPAC for faculty members that are put on leave to allow them to extend their tenure clock automatically
- Enhance or create custom report in FAST to enable it to show multiple changes per employee or position per day
- Once UHIRE replacement is implemented run audit report of RFA entries that don't have a corresponding Recommendation to Recruit
- Create Top 10 reports for Klaudia and Payroll staff

9. Record Management and Imaging

- Implement Banner Document Management (BDM) for HR, VPAC, Budget and Payroll – forms are being copied, sorted, mailed and scanned hundreds of times – this is a huge time waster and inefficient for both the generating department and the receiving department. This will also address some of the risk associated with transfer of key information via campus mail, email and the VPAC suitcase – there is no consistency in approach related to how documents are transitioned between departments
- Review and determine the appropriate process for transferring files between key departments (VPAC,HR, Payroll, Budget, etc.) as the process is inconsistent between the areas (suitcase versus internal mail versus scanning/emails)
- Review of the VPAC Access database should be completed and this data should be migrated to use functionality in Banner if available or the application ported to store this data in the Oracle database. This will ensure access and continuity of this mission critical data.
- Benefits needs access to the Offer letters via BDM
- Provide VPAC access to information related to Benefits assessment via BDM
- Provide LTD related information that is appropriate to VPAC via BDM
- Add earning code for retirement allowance and severance and review all the earning codes in place and determine need for them and scenarios for use of each

10. Workflow Automation

- Automation and integration with UHIRE replacements – need to feed information into Banner on successful applicants; if not integrated with new ATS then need to automate this form and approval process to then feed into a form in Banner that can be matched and loaded.
- Automation of the PSCF and approvals – ability to track the status, approvals and drill into the documentation in FAST – provide the opportunity to view the status of the form as it makes its way through the approval and payroll process
- Streamline the automation of the Study Leave process – current automation is fragmented and not meeting the needs of the departments or the VPAC
- Automate the AoS form – include smart selection in the form so that based on criteria and fields specified we collect appropriate information for that separation event.
- Automate the method for tracking Vacation and Sick time for ME and PEA; the institution does not know the liability or the vacation/sick burden as this information is either not collected consistently or not reported
- Look at opportunity to use an upload for shift differentials in Facilities, F&C and Residence
- Provide an easy to use, online method for extension of appointments and re-appointments

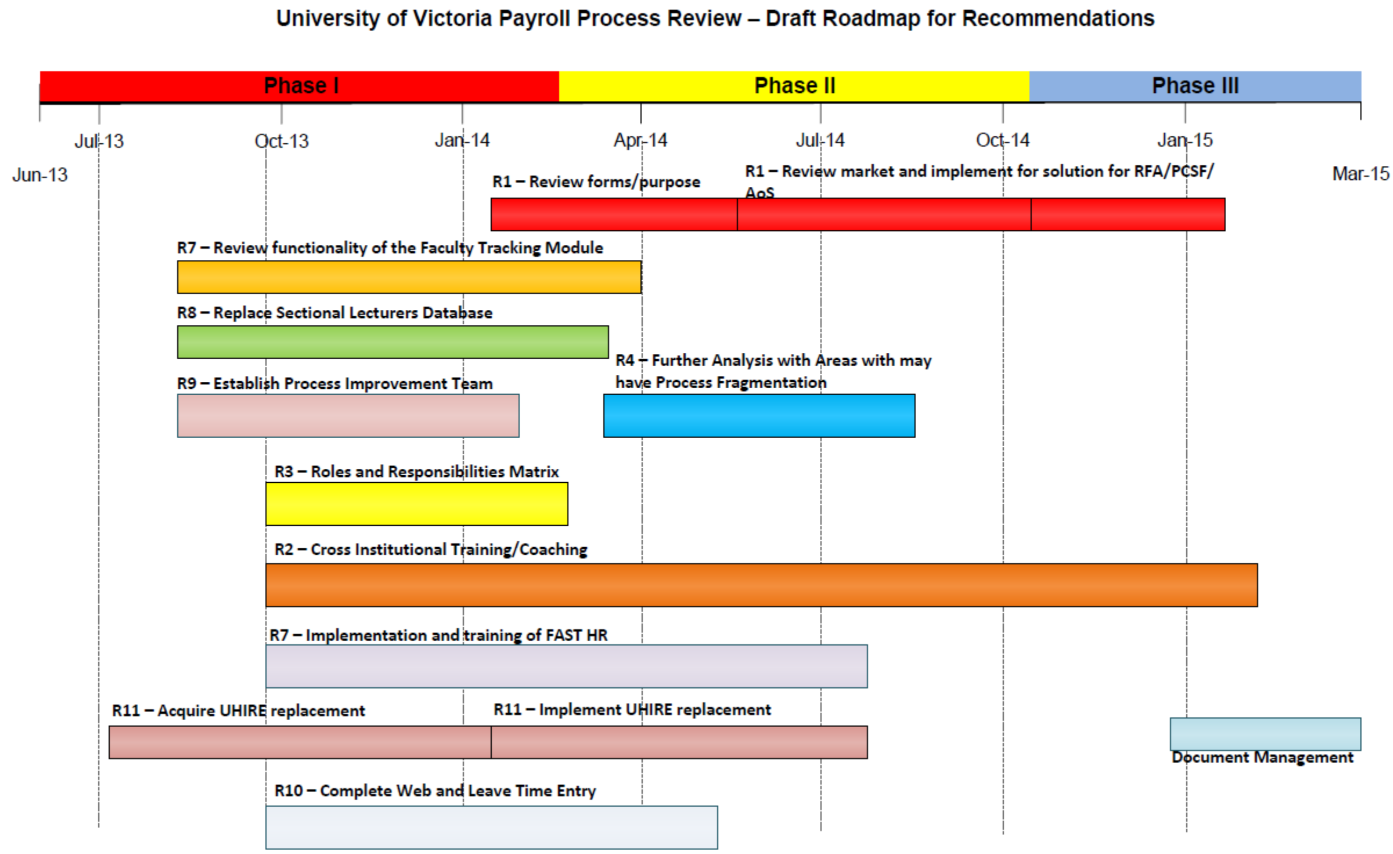
- Investigate the feasibility of automating the Annual Increment Process in a more streamlined way
- Complete implementation of Web Time and Leave Time entry

11. <u>Other Opportunities</u>

- Review use of the Reports To field and use the Org Charting functionality in FAST
- Investigate the opportunity for enhancing use of Self Service for functions such as Benefits enrolment, and TD1 completion
- Research the use of and population of the 'Units' field in the Sessional Lecturers database – can this be pulled from Student or table used by Institutional Planning and Analysis
- Need forum to discuss and make decisions related to data standards and oversight
- Need to review access to DOB for VPAC (Quick Win)
- Separate exit checklist from Advice of Separation form
- Need a forum to look at opportunities for innovation and efficiency
- Lack of consistency in the use of the Advice of Separation which results in clawbacks and is a significant risk for UVic
- Lack of consistency in data changes – changes are made in jobs but need to be reflected in position but Budget Office is not advised
- Need forum for investigating possible options and alternative/solutions that span across the stakeholder areas
- Formalize the process for enrolling Visiting Scholar/Scientist and Adjuncts

Appendix C – Recommendations Planning Roadmap

The following is a pictorial representation of the project priorities and a potential timeline to implement the given recommendations.



Appendix D – Project Status Reports

Throughout the course of the project we generated monthly status reports to keep key stakeholders apprised of progress and work to date. Attached are the Status Reports generated for the project:

December 2012

University of Victoria

UVIC PAYROLL PROCESS REVIEW
STATUS REPORT

Project Name	University of Victoria Payroll Process Review
Project Number	UVIC PPR-01
Reporting Date	December 2012
Overall Project Update	
● Project Management	• Identified initial theme areas and documented • Developed high level timeline for process review • Met with Project Sponsors and Executive Sponsors to confirm project scope and focus • Met with key stakeholders from departments to discuss scope and overall approach • Started to identify project risks and establish risk register • Developed Status Report template • Began documentation on Emerging Themes and Areas of Consideration
Process Review/Area Update	
● Faculty	• Not started; work to begin in January 2013
● Non Faculty	• Not started; work to begin in late February 2013

Objectives Next Reporting Period (January 1 to January 31, 2013)

Project Management

- Develop project framework
- Revise project timeline based on feedback from December sessions
- Identify key inputs and source documents
- Review Post Implementation Risk and Control report
- Begin to document emerging themes/areas of consideration

Process Reviews

- Meet with Pam and key group to review key inputs and source documents for the faculty related processes, touch points and outputs to identify process concerns, gaps and bottlenecks.
- Meet with Pam and key group to begin to identify key inputs, processes, touchpoints, processors and outputs of the Sessional Appointment process
- Job Shadow year end and start of term processes with Pam's area

Communications

- Develop Project Bulletin for review and distribution

Items for Consideration/Direction

- None at this time

Legend: ● Green: Progress on Track ■ Orange: Issue Needs Direction ▲ Red: critical issue Page 1

January 2013

University of Victoria

UVIC PAYROLL PROCESS REVIEW STATUS REPORT

Project Name	University of Victoria Payroll Process Review
Project Number	UVIC PPR-01
Reporting Date	January 2013
Overall Project Update	
● Project Management	• Initial project documentation created; revisions underway • Identified key inputs and established project approach for process review • Revised timeline to accommodate shifts in Payroll schedule • Developed Project Bulletin template, Status Reports • Began documentation on quick wins and project considerations/risks • Reviewed initial post implementation Risk and Control reports provided from Payroll
Process Review/Area Update	
● Faculty	• Began documentation of key processes for Vice President Academic (VPAC) area up to Payroll ○ Reviewed and documented all Recommendation for Appointments (RFA) that relate to academic areas ○ Reviewed and documented RFA process as it relates to Budgets for VPAC ○ Reviewed and documented process map for Advice of Separation ○ Reviewed and documented process map for Annual Salary Process ○ Reviewed and met with VPAC area to review detailed daily workflow for Heidi and Catalin's areas • Discussed and arranged process consultation for the Academic Departments with Pam – this is arranged for February 27/28
● Non Faculty	• Not started; work to begin in late February 2013

Objectives Next Reporting Period (February 1 to February 28, 2013)

Project Management
- Continue to document emerging themes and consideration
- Complete Project Framework and Schedule
- Prepare Project documentation as needed – status reports, bulletins, process maps
- Document and outline quick wins as they emerge
- Conduct some basic tools training for VPAC area (Banner and FAST) to provide context for some of the discussions
- Meet with Project Sponsors to provide update on progress to date

Process Reviews
- Meet with VPAC areas to document Access database work and Study Leave process as well as detailed work process for Julie and Asad
- Meet with Benefits, Pensions, Human Resources, University Systems, Institutional Planning, VPAC and Long Term Disability and Return to Work areas to document processes as they relate to RFA, Advice of Separation and Position Status Change Request.

Communications
- Revise and finalize bulletin
- Discuss with Project Sponsors and draft further project communication documentation

Legend: ● Green: Progress on Track ■ Orange: Issue Needs Direction ▲ Red: critical issue

February/March 2013

University of Victoria

UVIC PAYROLL PROCESS REVIEW
STATUS REPORT

Project Name	University of Victoria Payroll Process Review
Project Number	UVIC PPR-01
Reporting Date	February 1 to March 15, 2013
Overall Project Update	
● Project Management	• Initial project documentation completed; • Identified key inputs and established project approach for process review • Revised timeline to accommodate shifts in Payroll schedule • Prepared Project Bulletins, Status Reports, Meeting Agendas • Began documentation on quick wins and project considerations/risks – initial risk register completed • Reviewed existing process maps for Budgets
Process Review/Area Update	

● Faculty	• Completed documentation of key processes for Vice President Academic (VPAC) area up to Payroll
	  o Reviewed and documented all Recommendation for Appointments (RFA) that relate to academic areas
	  o Reviewed and documented RFA process as it relates to Budgets for VPAC
	  o Reviewed and documented process map for Advice of Separation
	  o Reviewed and documented process map for Annual Salary Process
	  o Reviewed and documented process maps for VPAC areas (Heidi, Catalin, Julie, Asad) including Study Leave and their access database
	• Met and began documentation of processes within the Academic Areas (Dean, Departments, Library) to the point of submission to VPAC
	• Areas that have been consulted include:
	  o Department of Biochemistry
	  o School of Nursing
	  o Faculty of Engineering
	  o University Library
	  o Faculty of Business
	  o Island Medial Program
	  o Faculty of Fine Arts
	  o Division of Continuing Studies
	  o Deans office Faculty of Science(written)
	  o Deans office Faculty of Social Science(written)

● Non Faculty	• Met with Non Academic departments and began mapping process from Departments to until submission to Payroll
	• Reviewed Payroll specific processes completed within some of the CUPE departments including Housing, Food Services and Facilities
	• Met with Benefits Office to document and map the processes related to Benefits administration
	• Met with Institutional Analysis and Planning to understand inputs and key data sources for their work
	• Areas that have been consulted include:
	  o Residence Services (in person and written)
	  o University Systems
	  o Facilities Management

Legend: ● Green: Progress on Track ■ Orange: Issue Needs Direction ▲ Red: critical issue Page 1

April 2013

University of Victoria

UVIC PAYROLL PROCESS REVIEW STATUS REPORT

Project Name	University of Victoria Payroll Process Review
Project Number	UVIC PPR-01
Reporting Date	March 15, 2013 – April 30, 2013
Overall Project Update	
● Project Management	• Comprehensive documentation of March and April Sessions • Validation of process flow charts in person • Follow up validation with Payroll via WebEx to confirm process flows and swim lanes • Facilitation of 9 separate data gathering sessions – multiple stakeholders • Facilitated update session with University Controller • Facilitated session with Director Labour Relations • Update with two project sponsors and Internal Auditor
Process Review/Area Update	
● Payroll/VPAC	• Completed documentation of key processes for Payroll (April 8,9,18,19) Time Sheets Study Leaves Payroll Benefits Department Time Entry Web Time Entry Advice of Separation Recommendation for Appointment Position Status Change Form Sessional Lecturers Review of Payroll Process Review Brainstorming List
● HR Benefits and Payroll Benefits	• Met with HR Benefits and Payroll Benefits together to confirm common processes • Identified areas of intersection • Confirmed mutual understanding of each of the processes within HR and Payroll
• Work Life Consultants	• Met with Work Life consultants to confirm process flow and identify roles, responsibilities and accountability • Reviewed work tools and communication pathways
• Employment Services HR	• Met with Employment Services staff and Manager HR Systems and Work Analytics • Reviewed processes and guidelines that drive information distribution to HR and Employment Services • Created process review flow chart with the functions that pass through HR to other areas • Reviewed training and communication pathways

Objectives Next Reporting Period (May 1 to June 15, 2013)
Project Management • Prepare Project documentation as needed – status reports, bulletins, process maps, risk register, quick wins

Legend: ● Green: Progress on Track ■ Orange: Issue Needs Direction ▲ Red: critical issue — Page 1

May/June 2013

University of Victoria

UVIC PAYROLL PROCESS REVIEW STATUS REPORT

Project Name	University of Victoria Payroll Process Review
Project Number	UVIC PPR-01
Reporting Date	May 1 to June 30, 2013
Overall Project Update	
● Project Management	• Completed the Status Reports • Prepared initial template of the Project Reports for review with Janice • Worked on the draft of the report and reviewed recommendations summary/details with Murray, Kane, Pam and Janice • Completed the initial draft of the report for review by team (July 1) and project sponsors
Process Review/Area Update	
● VPAC	• Completed documentation of key processes and incorporated changes; sent final version to Pam and included in report
● HR Benefits and Payroll Benefits	• Met with HR Benefits and Payroll Benefits to review and complete the documentation of the process and to review the duplication between areas • Completed documentation of key processes and incorporated changes; sent final version to Janice for review; develop rolled up or summary process maps •
● Payroll	• Met with Payroll several times – in person and remote – to review and incorporate changes to the various process maps and provided to Janice, Klaudia and Susan • Completed documentation of all processes and incorporated changes to swim lane maps; created summarized payroll process map and included in report

Objectives Next Reporting Period (July 1 to July 31, 2013)

Project Management
- Meet with Sponsors and teams to review report recommendations
- Modify report to incorporate feedback and changes; submit final report to Janice for distribution and follow up

Process Reviews
- Break out process maps into logical file groups and provide to Janice for distribution and storage at UVIC

Communications
- Prepare Final Project Bulletin

Items for Consideration/Direction

- None at this time

Budget Summary

Project Budget: $70,000.00

Spending To Date (June 30, 2013): $69,000.00

Remaining Spend Projections: $1,000.00 (we will absorb any overage)

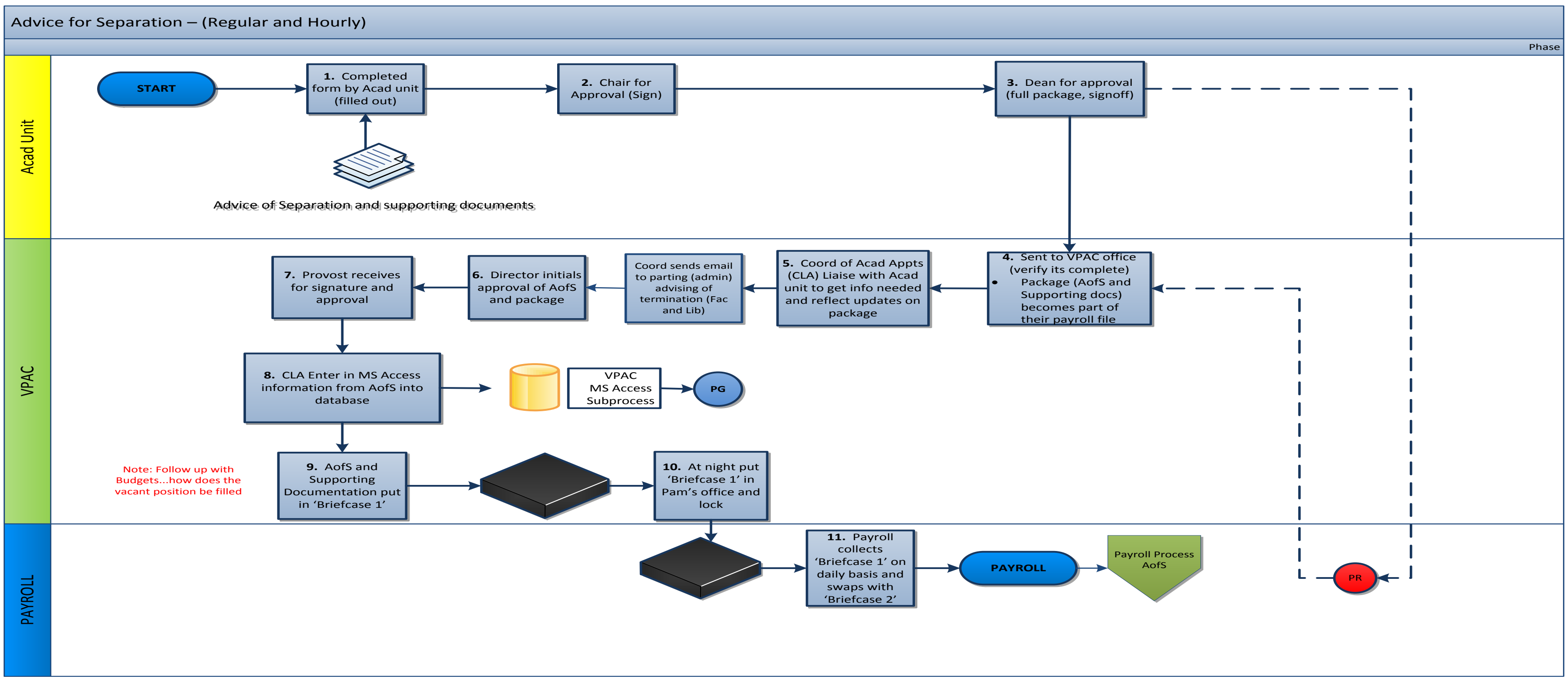
Legend: ● Green: Progress on Track ■ Orange: Issue Needs Direction ▲ Red: critical issue Page 1

Appendix E – Process Flows

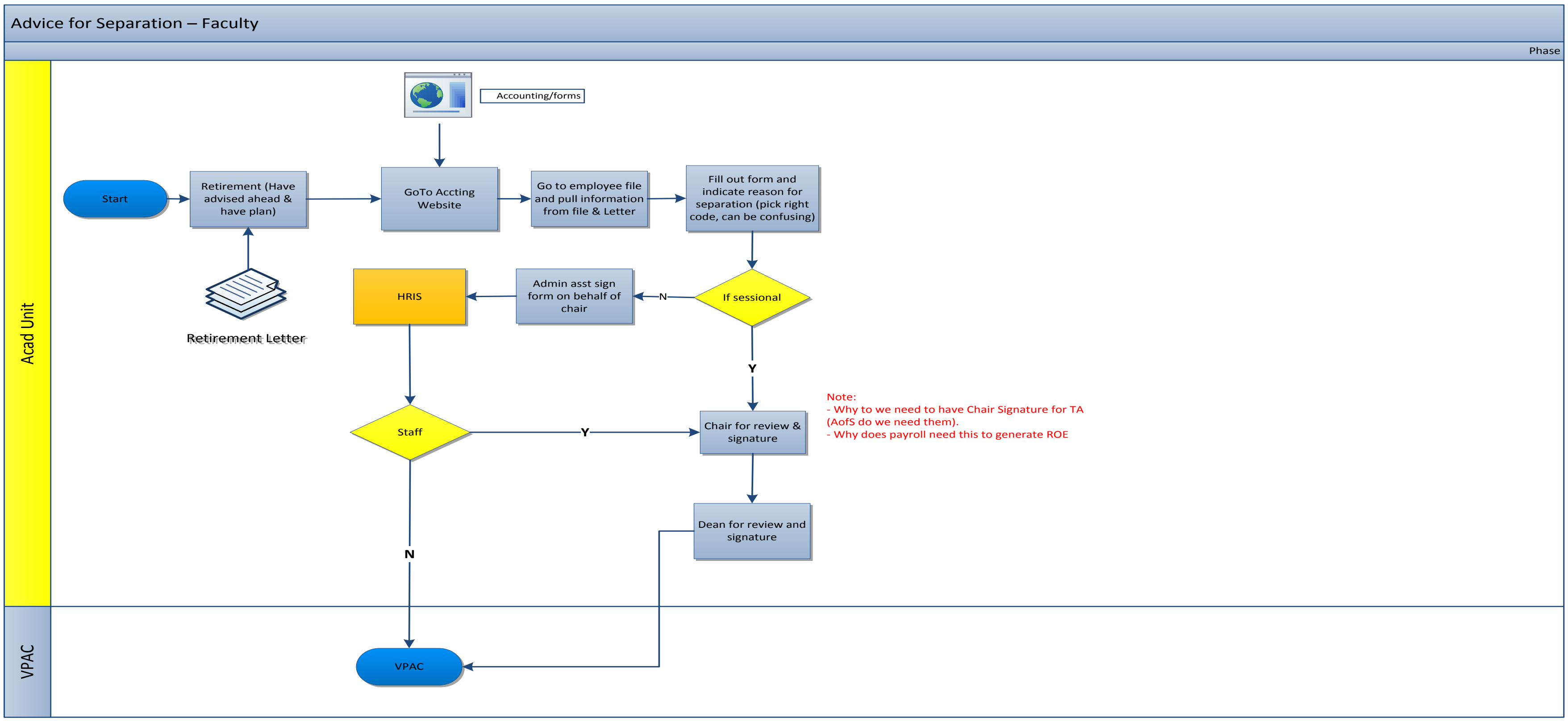
The following is a pictorial representation of the project process flows.

1. Advice for Separation

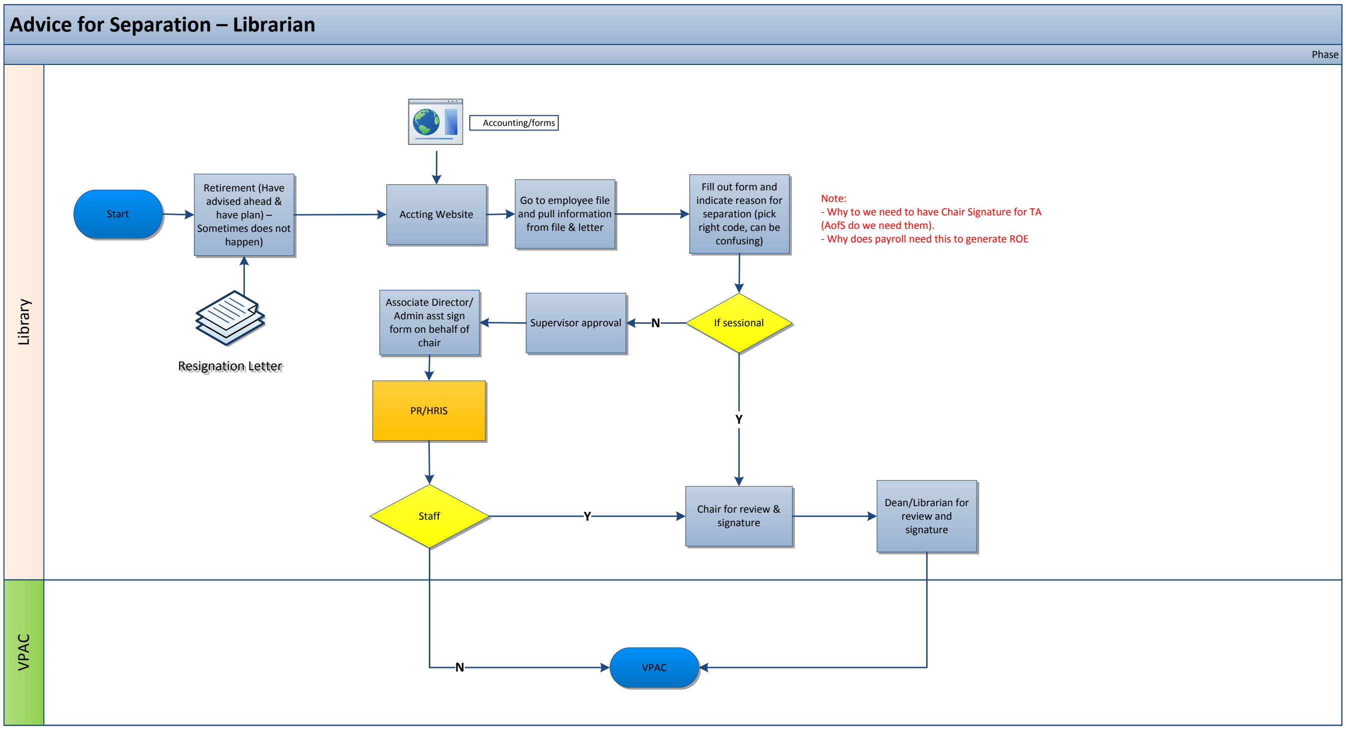
1.1. Advice for Separation Regular and Hourly



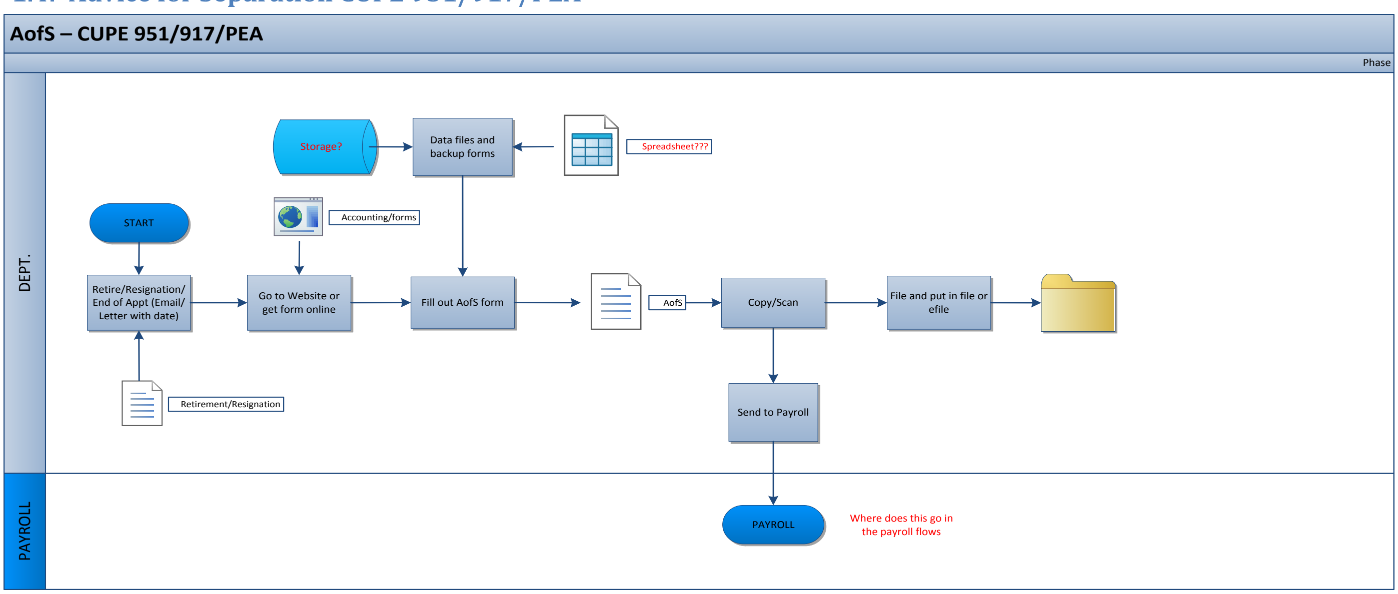
1.2. Advice for Separation Faculty



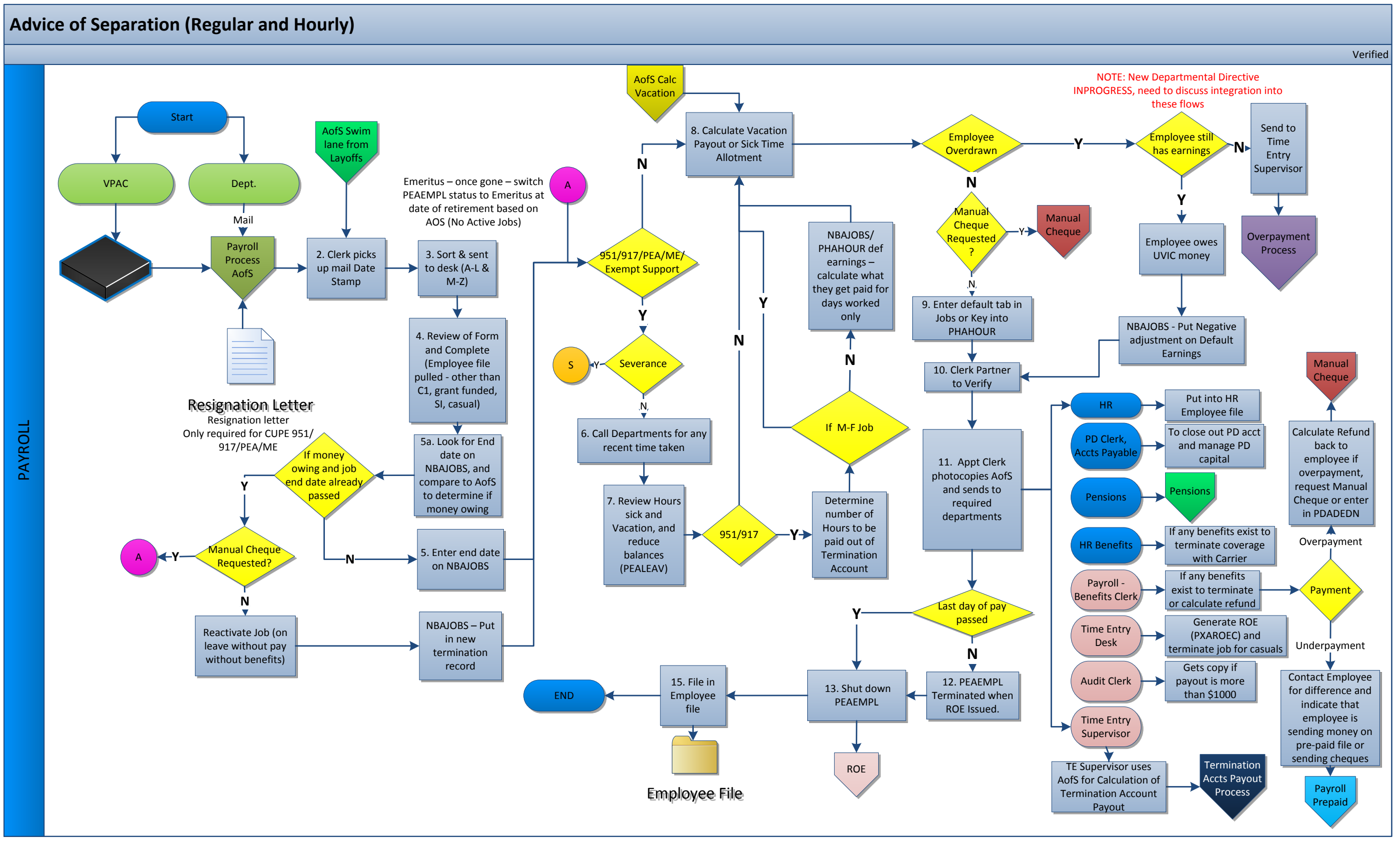
1.3. Advice for Separation Library



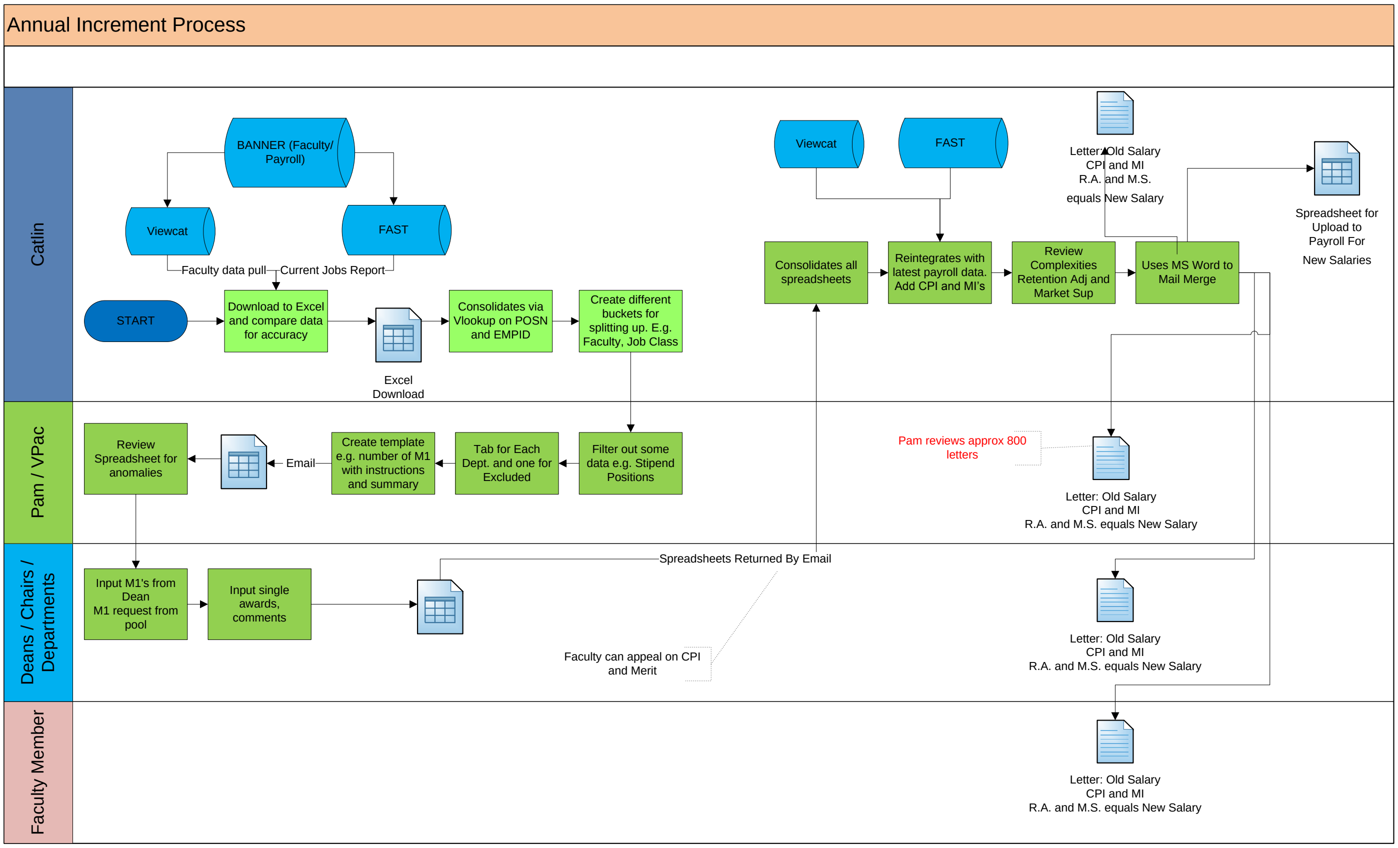
1.4. Advice for Separation CUPE 951/917/PEA



1.5. Advice for Separation Payroll Regular and Hourly

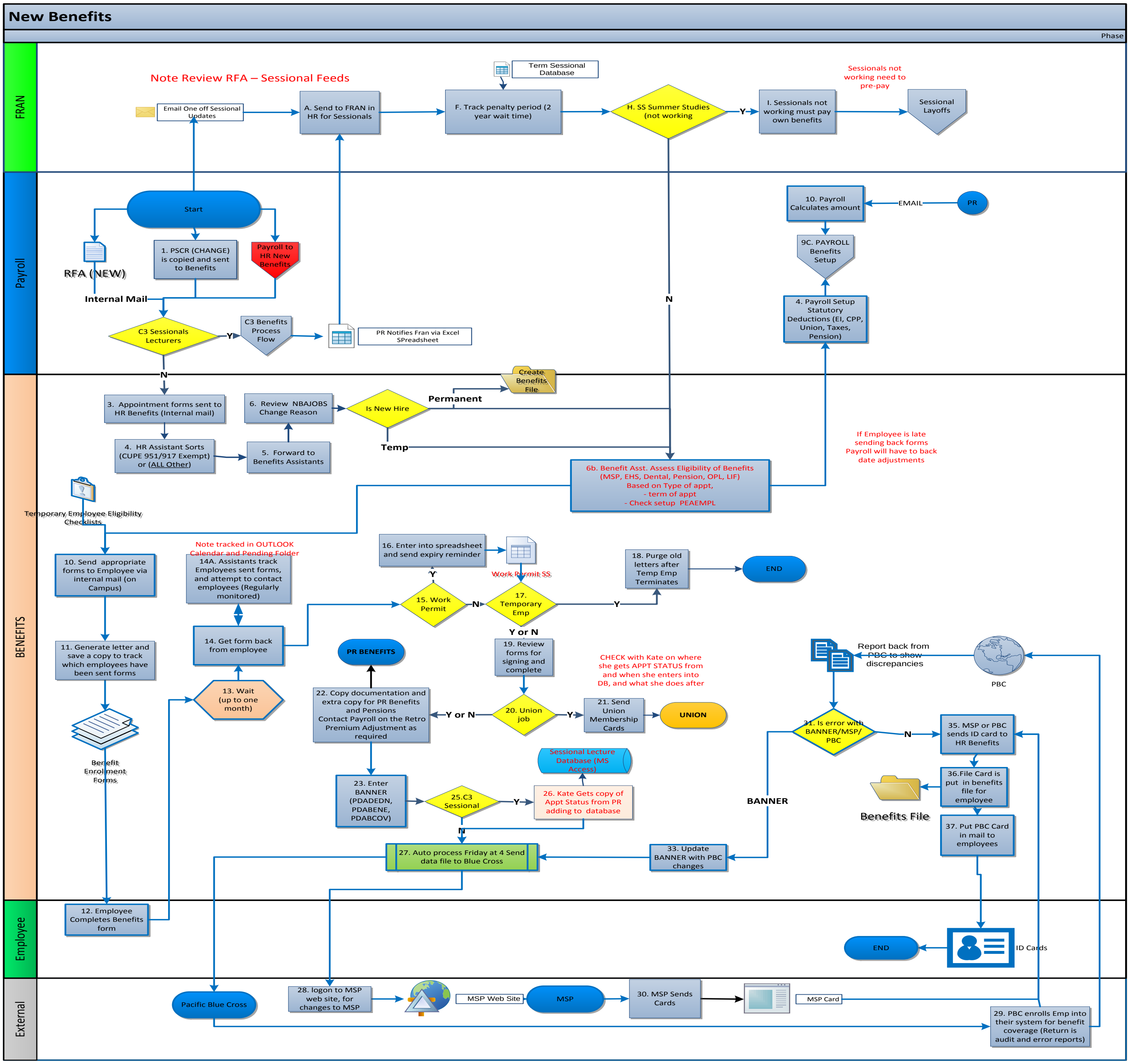


2. Annual Increment Process



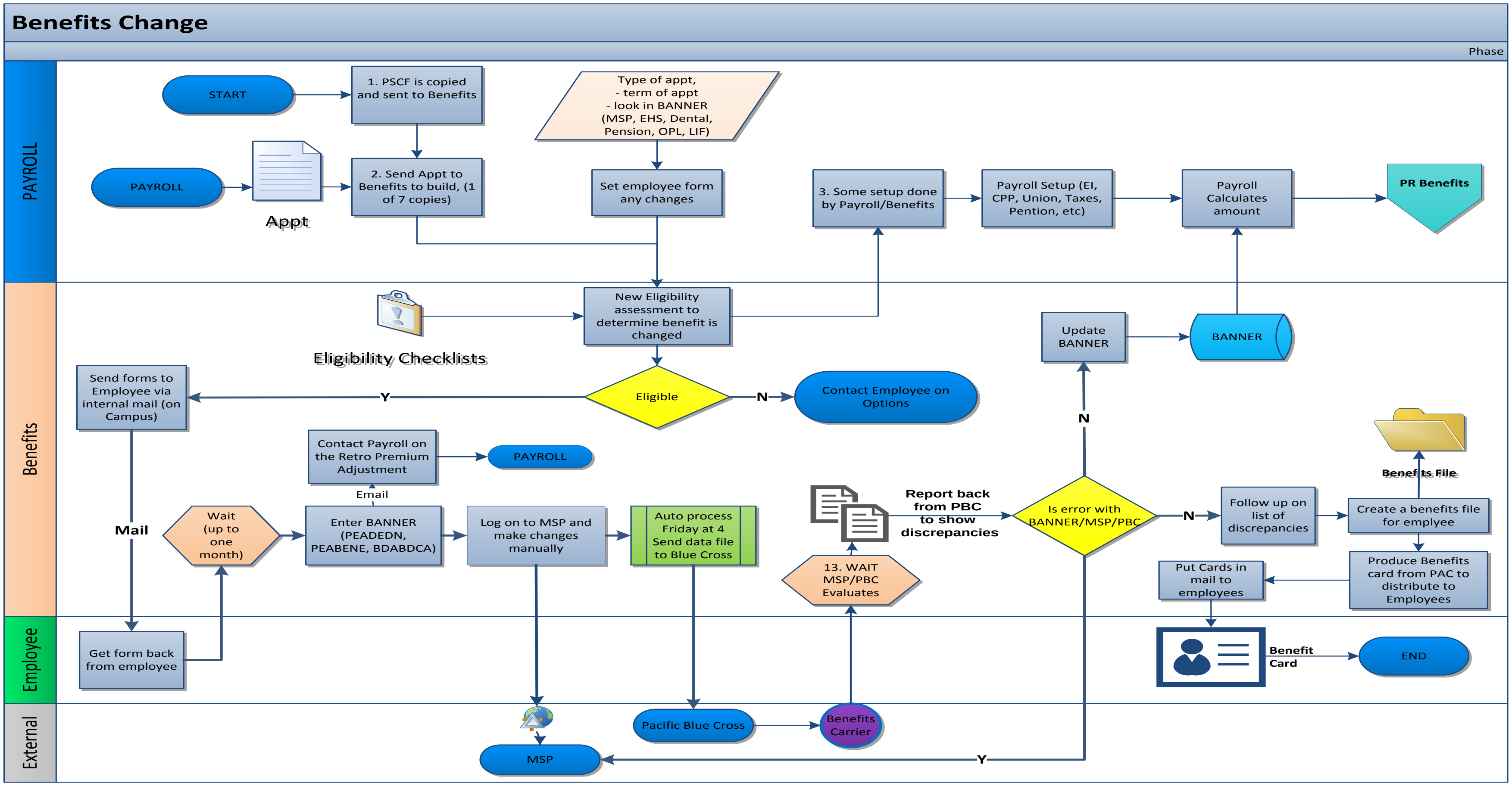
3. Benefits

3.1. New Benefits

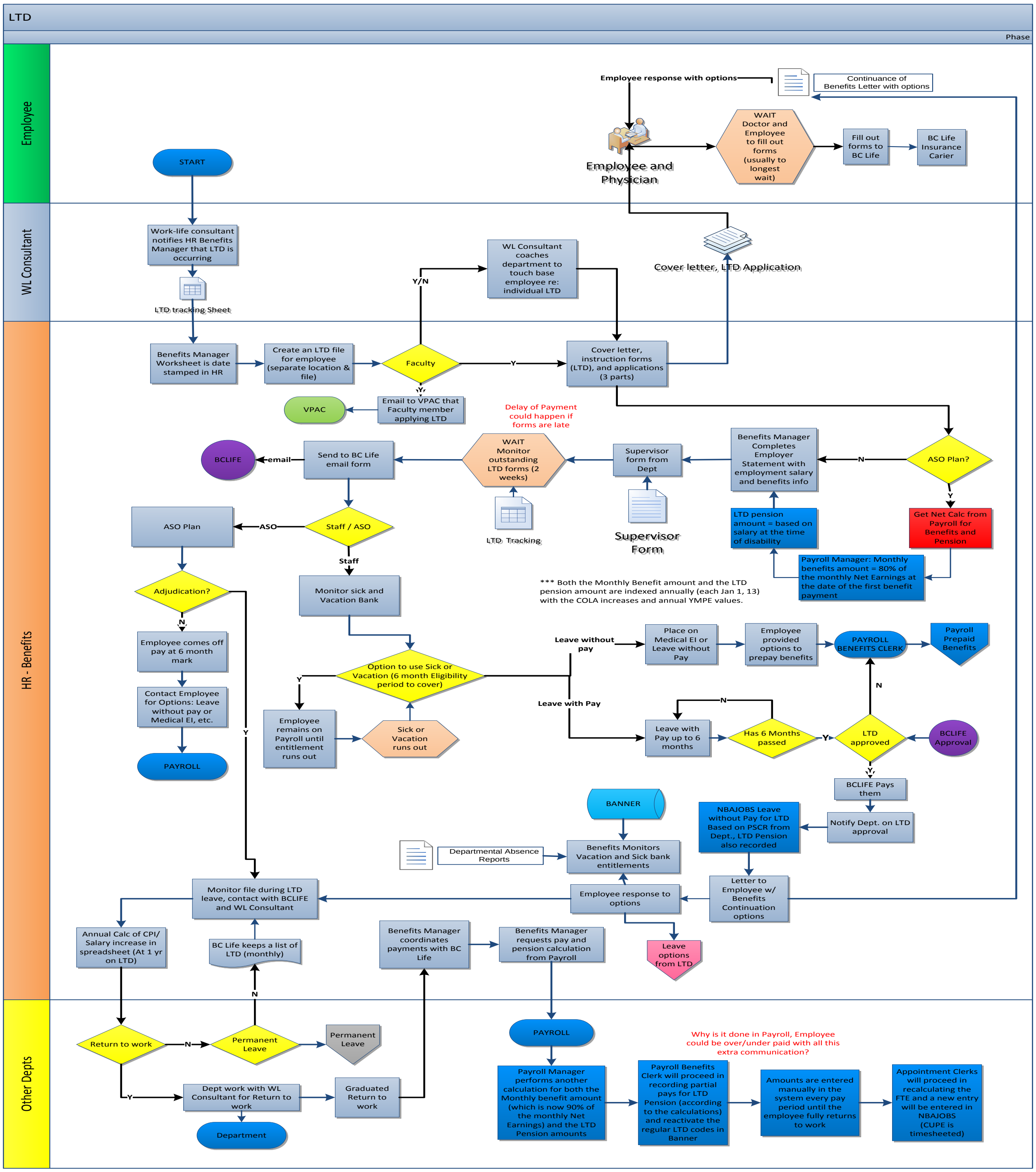


millennium
software & service solutions.

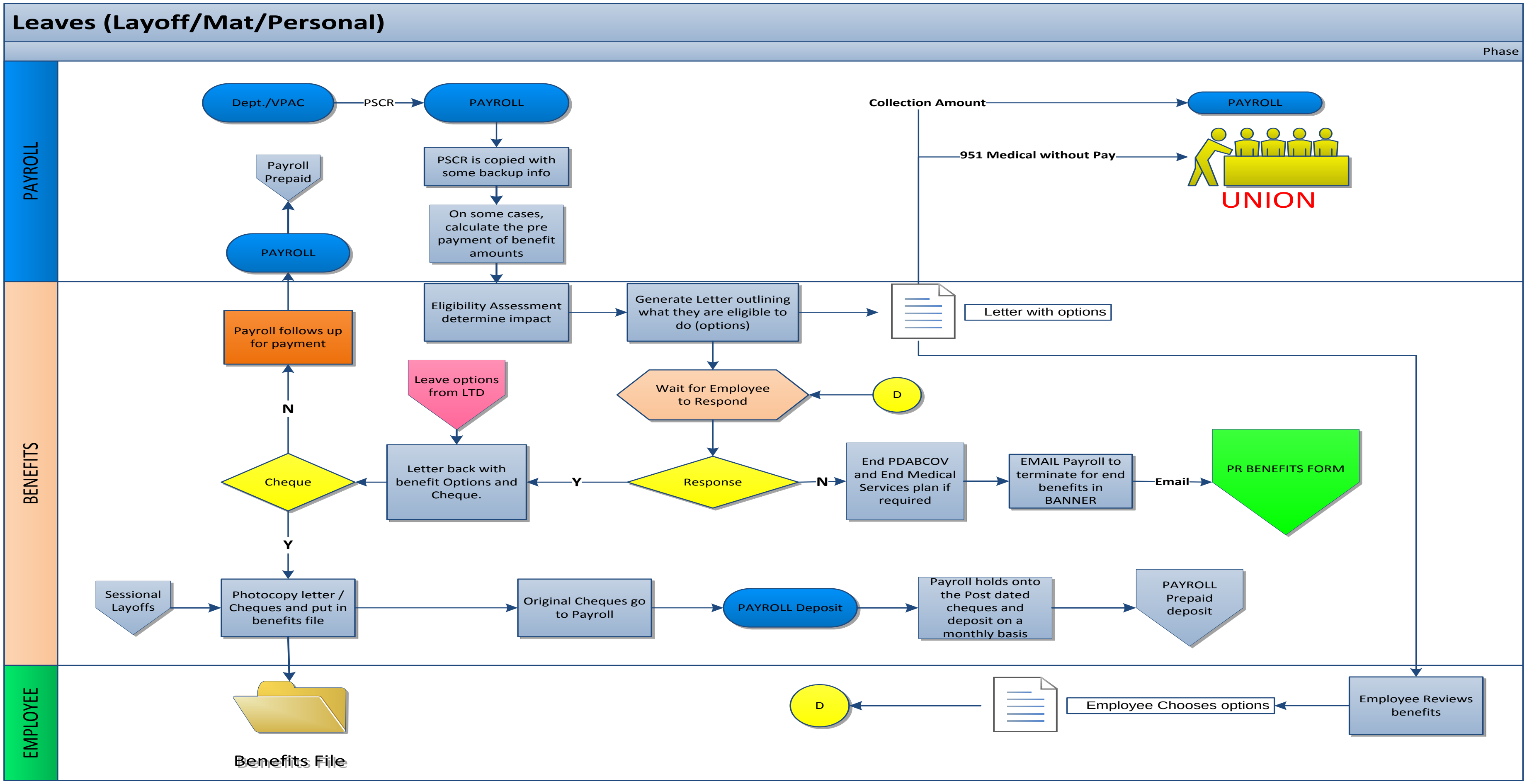
3.2. Benefits Change



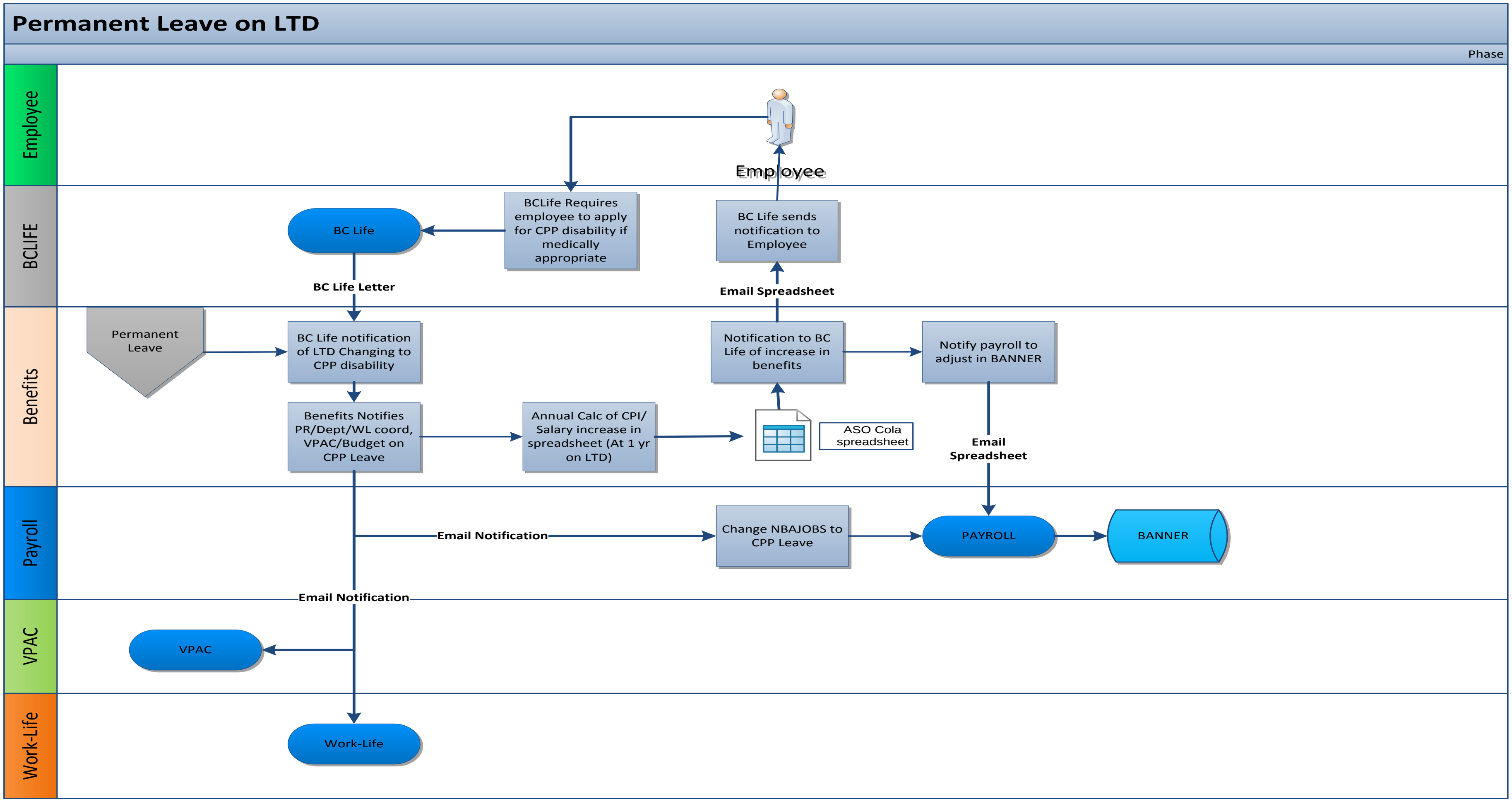
3.3. LTD


LTD
Phase
Employee
WL Consultant
HR - Benefits
Other Depts
Employee response with options
Continuance of Benefits Letter with options
Employee and Physician
WAIT Doctor and Employee to fill out forms (usually to longest wait)
Fill out forms to BC Life
BC Life Insurance Carier
START
Work-life consultant notifies HR Benefits Manager that LTD is occurring
LTD tracking Sheet
WL Consultant coaches department to touch base employee re: individual LTD
Cover letter, LTD Application
Y/N
Benefits Manager Worksheet is date stamped in HR
Create an LTD file for employee (separate location & file)
Faculty
Cover letter, instruction forms (LTD), and applications (3 parts)
Email to VPAC that Faculty member applying LTD
VPAC
Delay of Payment could happen if forms are late
BCLIFE
email
Send to BC Life email form
WAIT Monitor outstanding LTD forms (2 weeks)
Supervisor form from Dept
Benefits Manager Completes Employer Statement with employment salary and benefits info
ASO Plan?
LTD Tracking
Supervisor Form
LTD pension amount = based on salary at the time of disability
Get Net Calc from Payroll for Benefits and Pension
ASO Plan
ASO
Staff / ASO
Staff
Payroll Manager: Monthly benefits amount = 80% of the monthly Net Earnings at the date of the first benefit payment
*** Both the Monthly Benefit amount and the LTD pension amount are indexed annually (each Jan 1, 13) with the COLA increases and annual YMPE values.
Adjudication?
Monitor sick and Vacation Bank
Employee comes off pay at 6 month mark
Leave without pay
Place on Medical EI or Leave without Pay
Employee provided options to prepay benefits
PAYROLL BENEFITS CLERK
Payroll Prepaid Benefits
Option to use Sick or Vacation (6 month Eligibility period to cover)
Leave with Pay
Contact Employee for Options: Leave without pay or Medical EI, etc.
Employee remains on Payroll until entitlement runs out
Sick or Vacation runs out
Leave with Pay up to 6 months
Has 6 Months passed
LTD approved
BCLIFE Approval
PAYROLL
BCLIFE Pays them
BANNER
NBAJOBS Leave without Pay for LTD Based on PSCR from Dept., LTD Pension also recorded
Notify Dept. on LTD approval
Departmental Absence Reports
Benefits Monitors Vacation and Sick bank entitlements
Monitor file during LTD leave, contact with BCLIFE and WL Consultant
Employee response to options
Letter to Employee w/ Benefits Continuation options
Annual Calc of CPI/ Salary increase in spreadsheet (At 1 yr on LTD)
BC Life keeps a list of LTD (monthly)
Benefits Manager coordinates payments with BC Life
Benefits Manager requests pay and pension calculation from Payroll
Leave options from LTD
Return to work
Permanent Leave
PAYROLL
Why is it done in Payroll, Employee could be over/under paid with all this extra communication?
Dept work with WL Consultant for Return to work
Graduated Return to work
Department
Payroll Manager performs another calculation for both the Monthly benefit amount (which is now 90% of the monthly Net Earnings) and the LTD Pension amounts
Payroll Benefits Clerk will proceed in recording partial pays for LTD Pension (according to the calculations) and reactivate the regular LTD codes in Banner
Amounts are entered manually in the system every pay period until the employee fully returns to work
Appointment Clerks will proceed in recalculating the FTE and a new entry will be entered in NBAJOBS (CUPE is timesheeted)

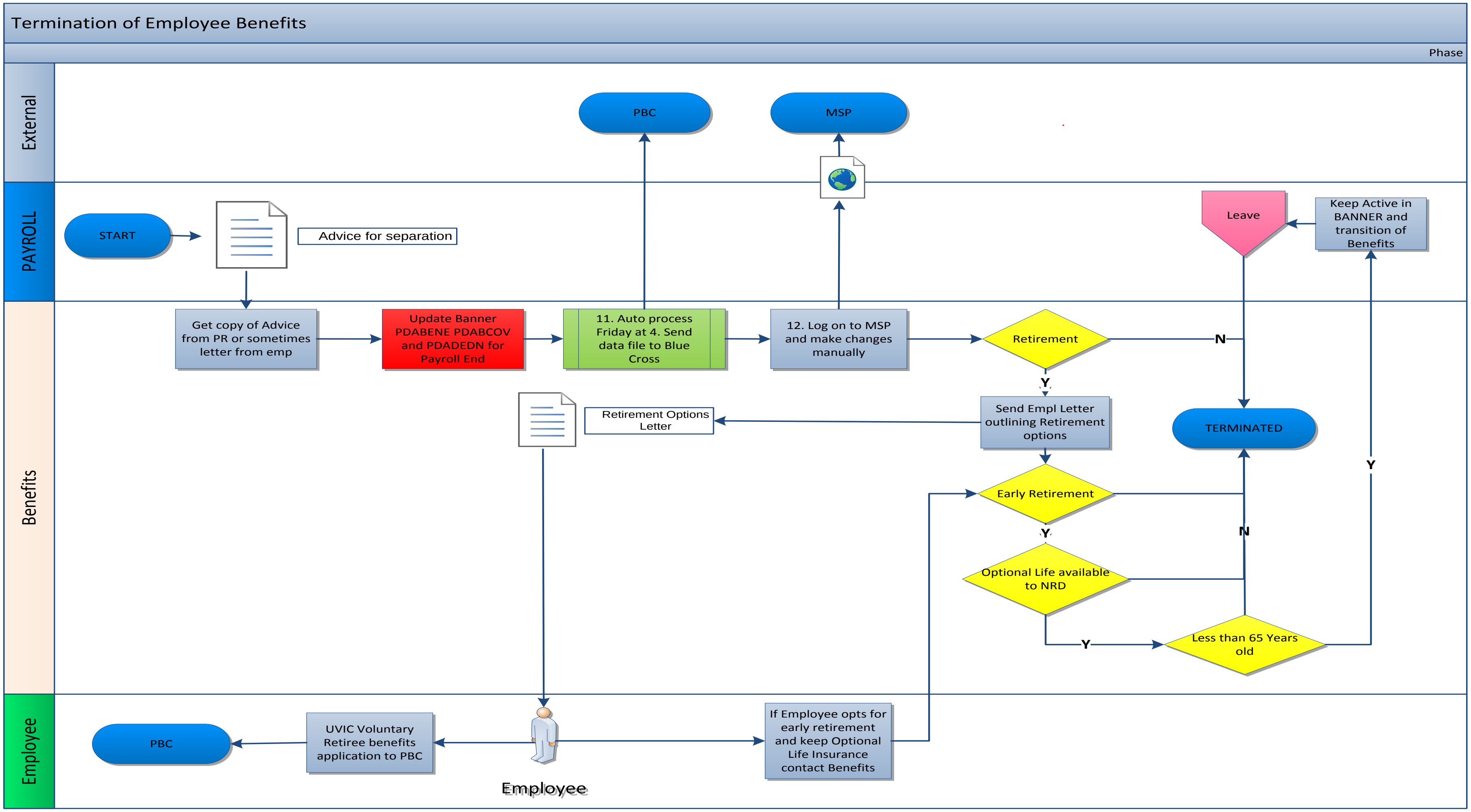
3.4. Leave (Layoff/Maternity/Personal)



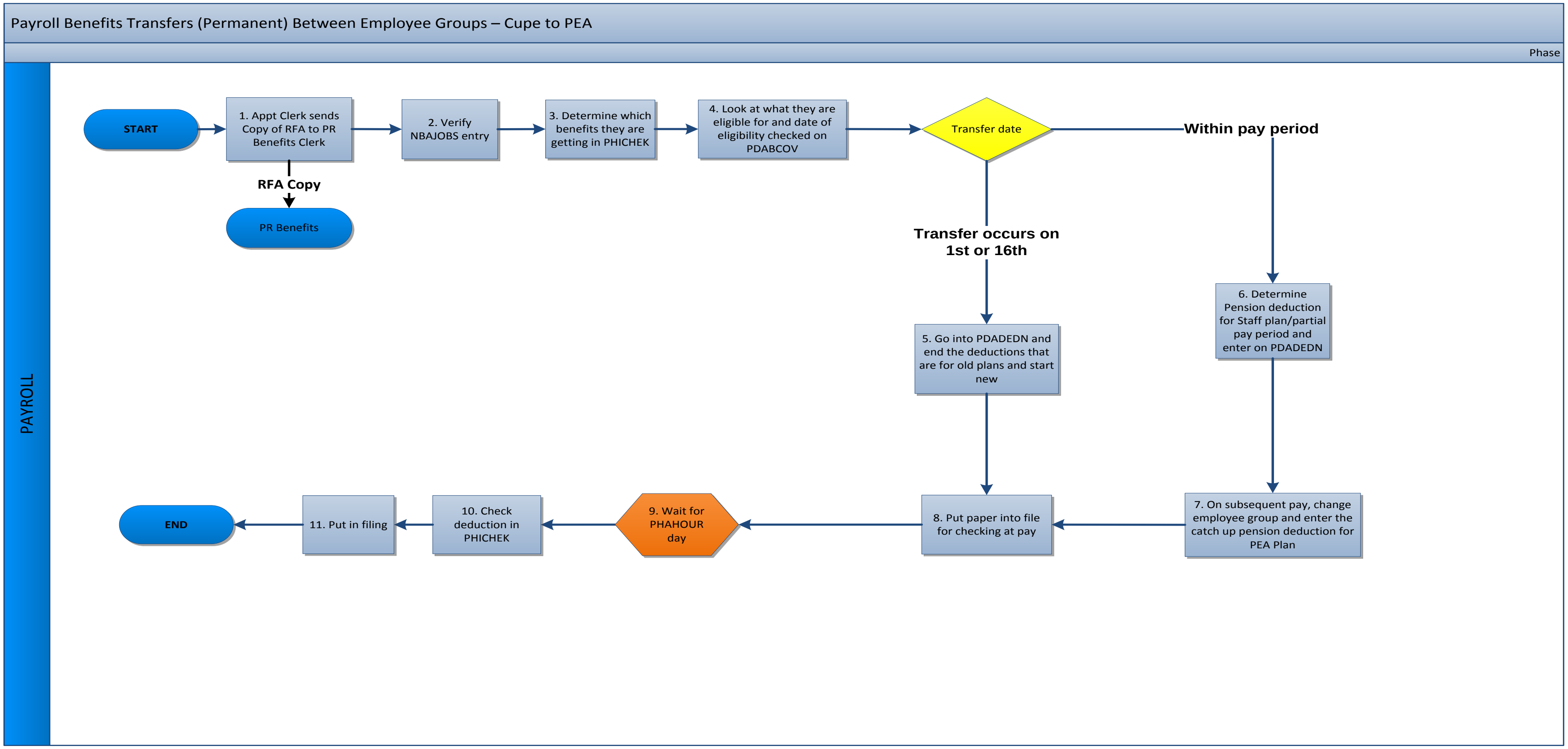
3.5. ermanent Leave



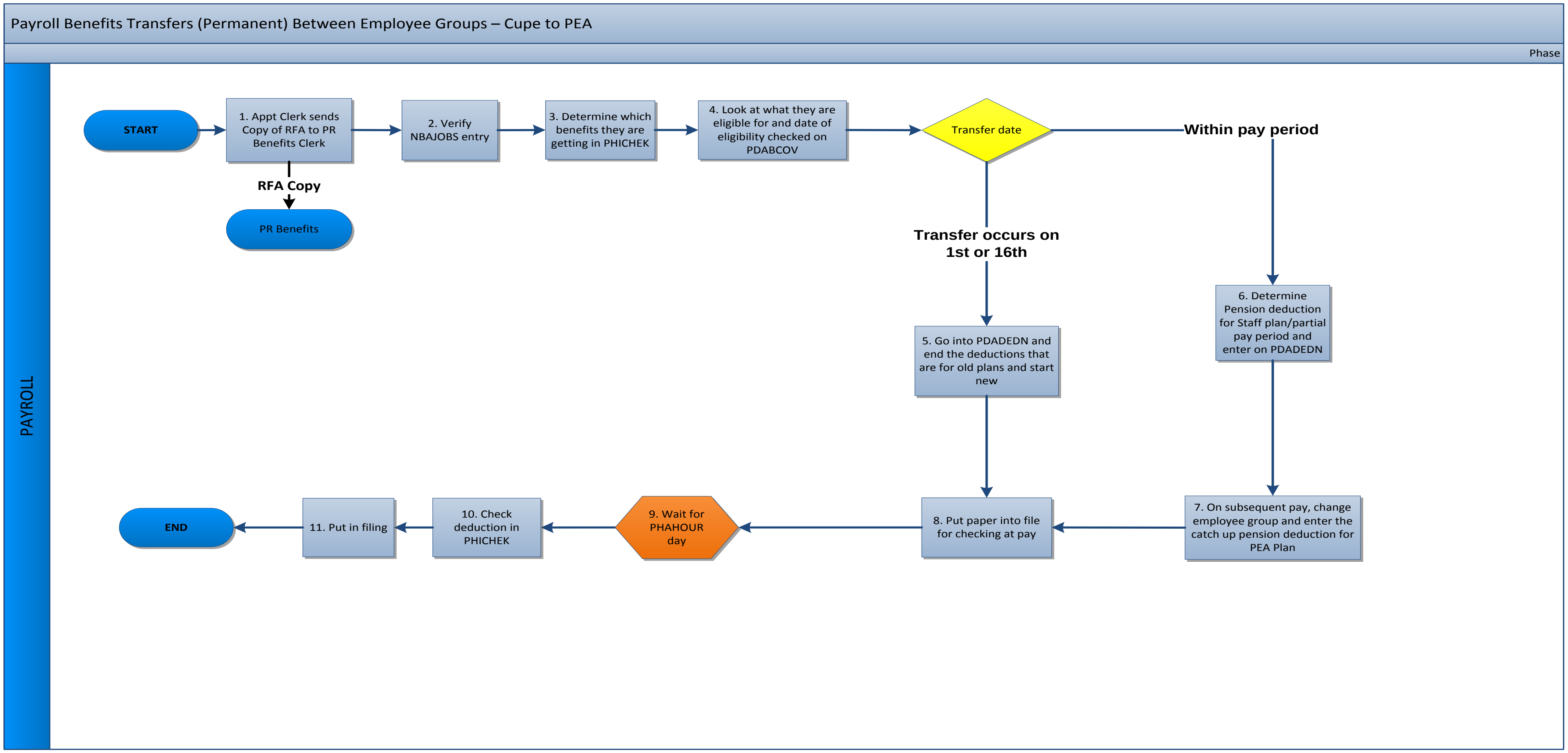
3.6. Termination



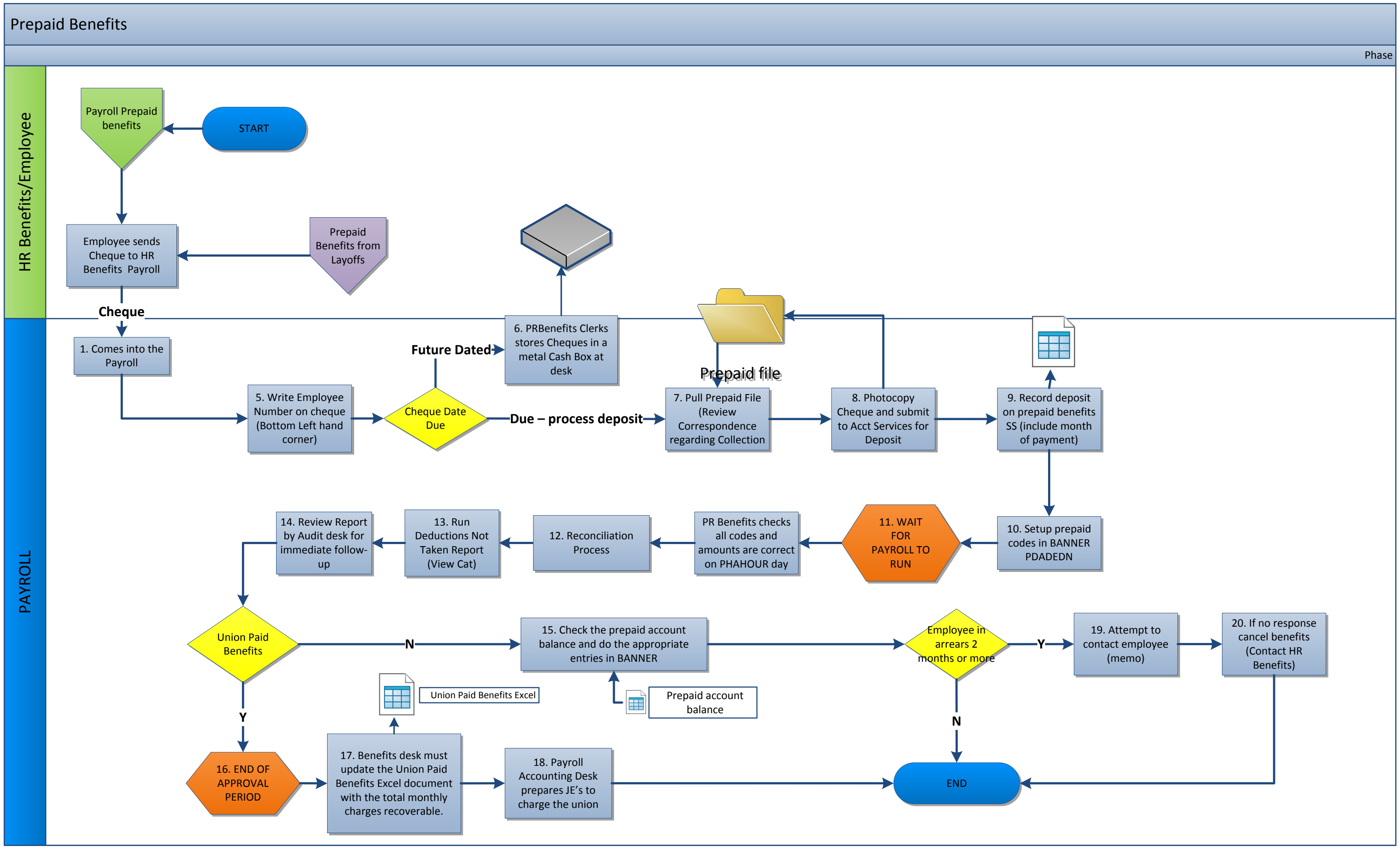
3.7. Transfers between Employee Groups



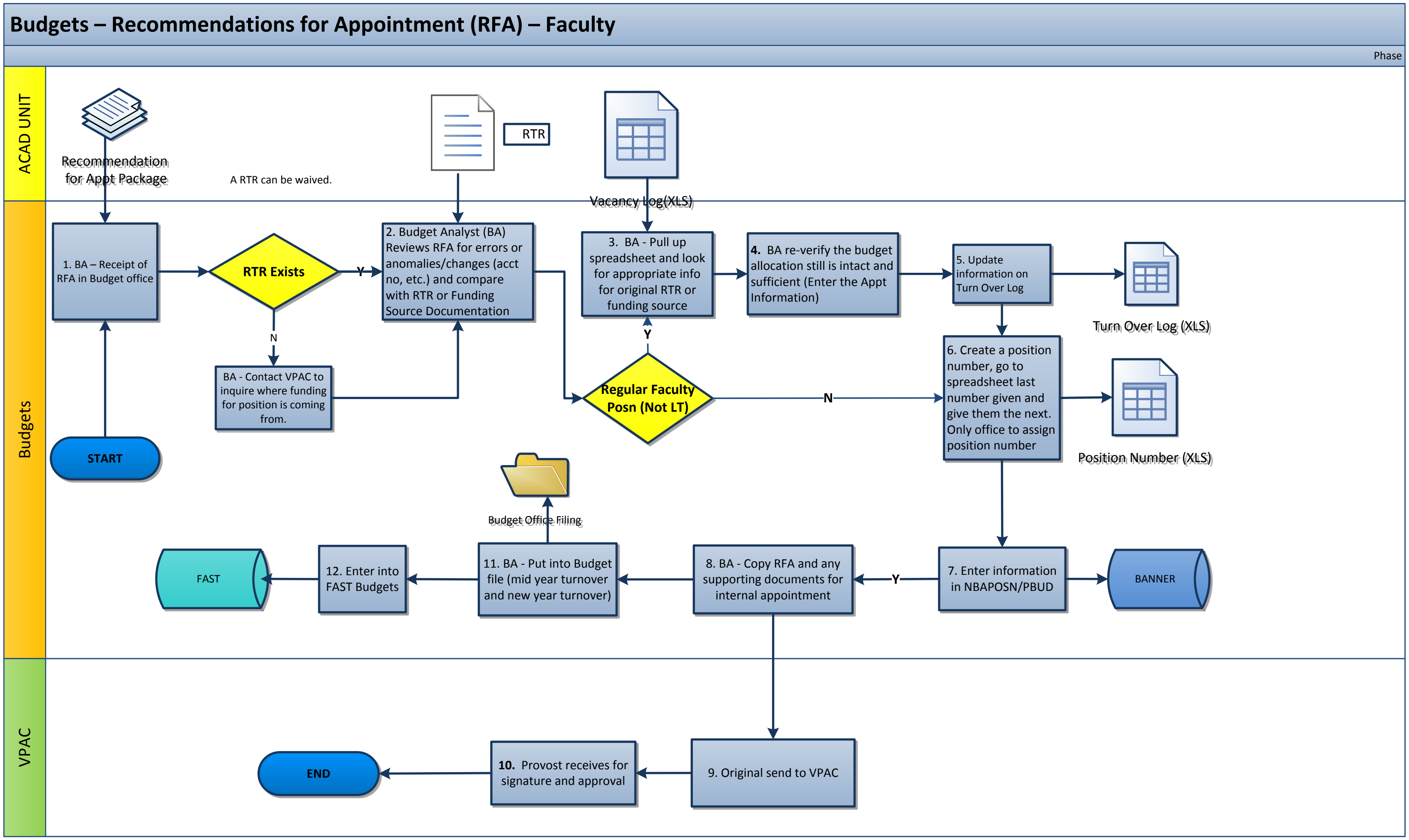
3.8. Payroll Benefits Enrolment



3.9. Prepaid Benefits

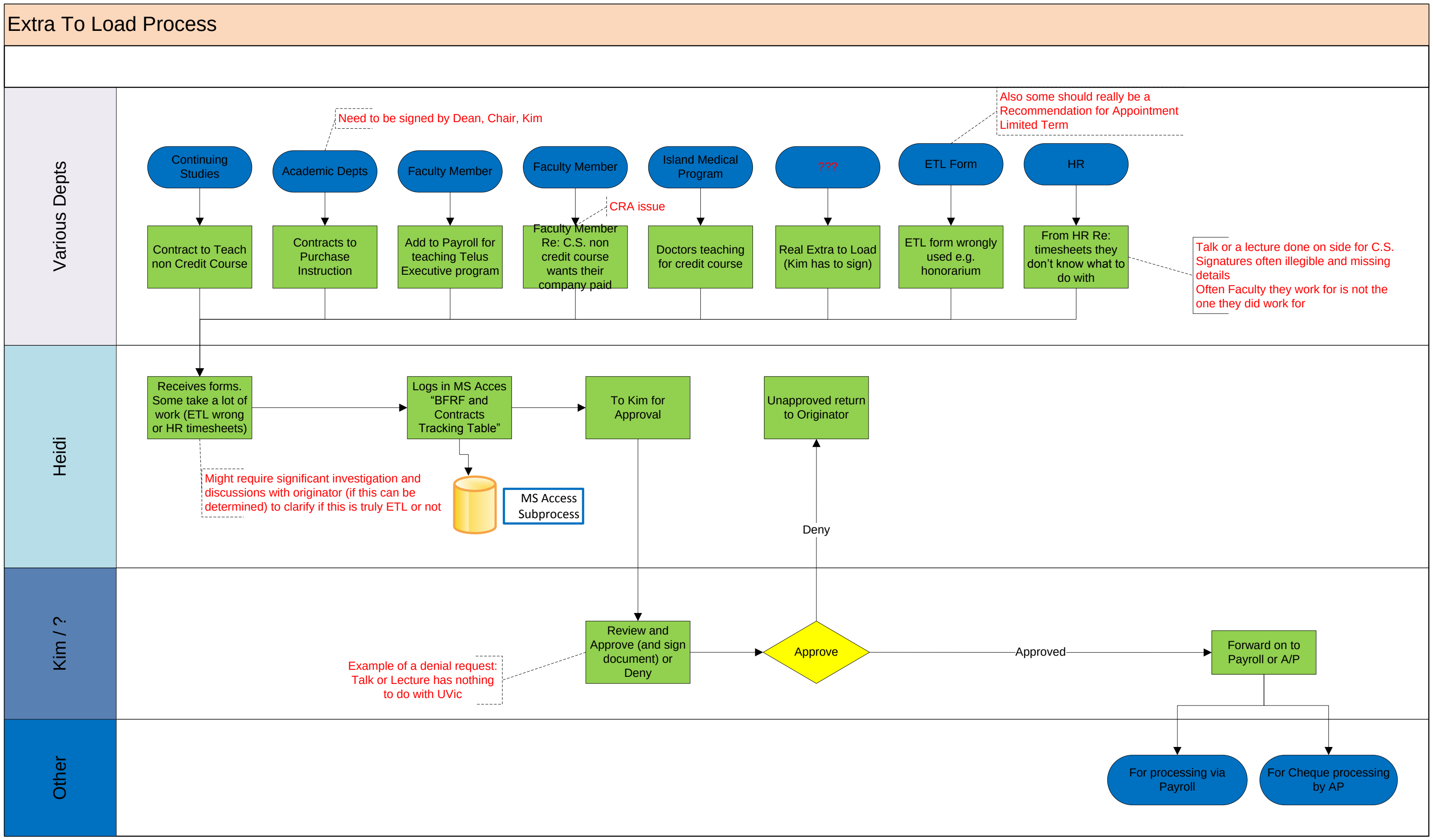


4. Budgets

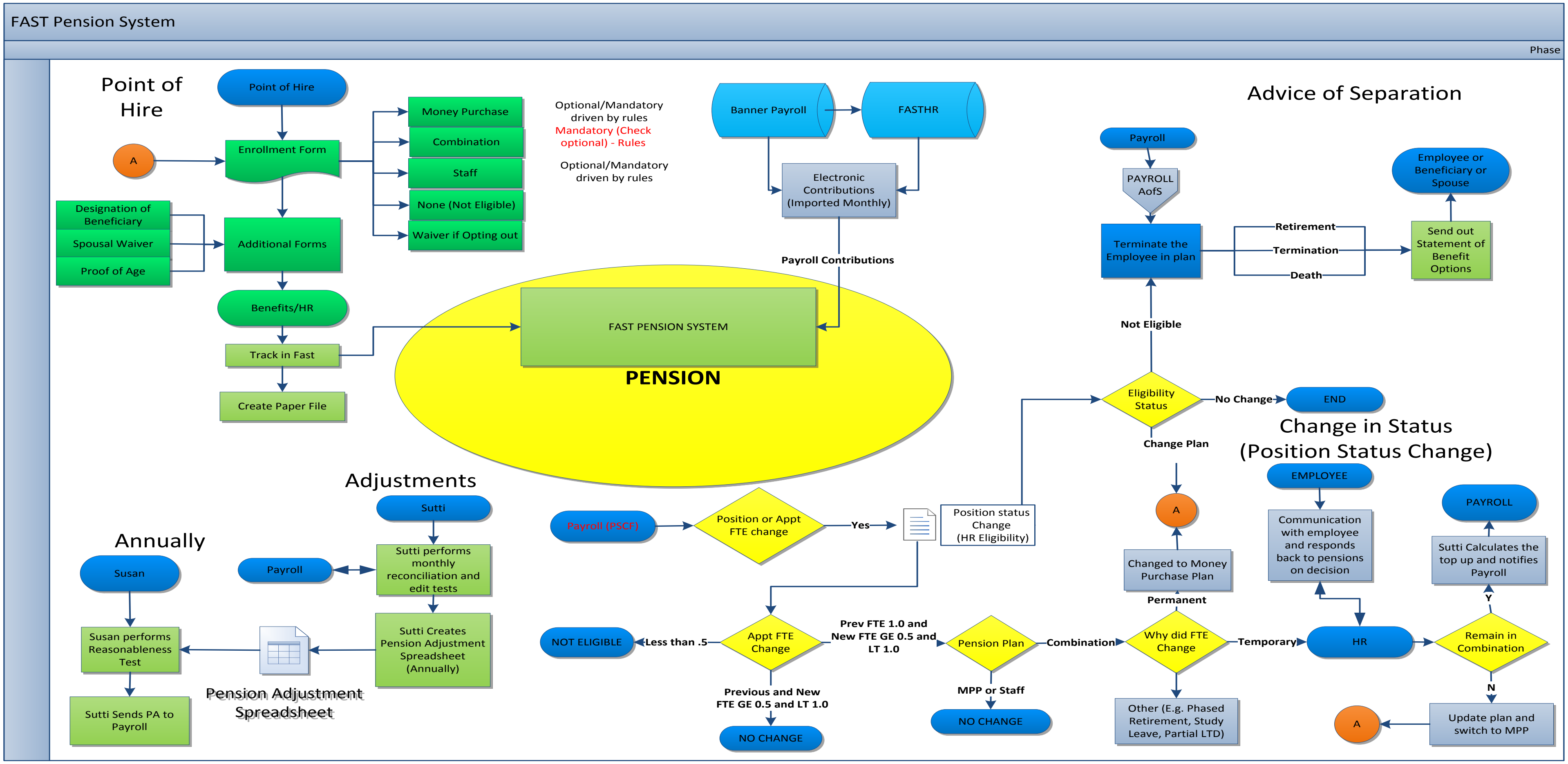


Budgets – Recommendations for Appointment (RFA) – Faculty
Phase
ACAD UNIT
Budgets
VPAC
Recommendation for Appt Package
A RTR can be waived.
RTR
Vacancy Log(XLS)
1. BA – Receipt of RFA in Budget office
RTR Exists
Y
N
BA - Contact VPAC to inquire where funding for position is coming from.
2. Budget Analyst (BA) Reviews RFA for errors or anomalies/changes (acct no, etc.) and compare with RTR or Funding Source Documentation
3. BA - Pull up spreadsheet and look for appropriate info for original RTR or funding source
4. BA re-verify the budget allocation still is intact and sufficient (Enter the Appt Information)
5. Update information on Turn Over Log
Turn Over Log (XLS)
Regular Faculty Posn (Not LT)
Y
N
6. Create a position number, go to spreadsheet last number given and give them the next. Only office to assign position number
Position Number (XLS)
START
Budget Office Filing
FAST
12. Enter into FAST Budgets
11. BA - Put into Budget file (mid year turnover and new year turnover)
8. BA - Copy RFA and any supporting documents for internal appointment
Y
7. Enter information in NBAPOSN/PBUD
BANNER
END
10. Provost receives for signature and approval
9. Original send to VPAC

5. Extra to Load

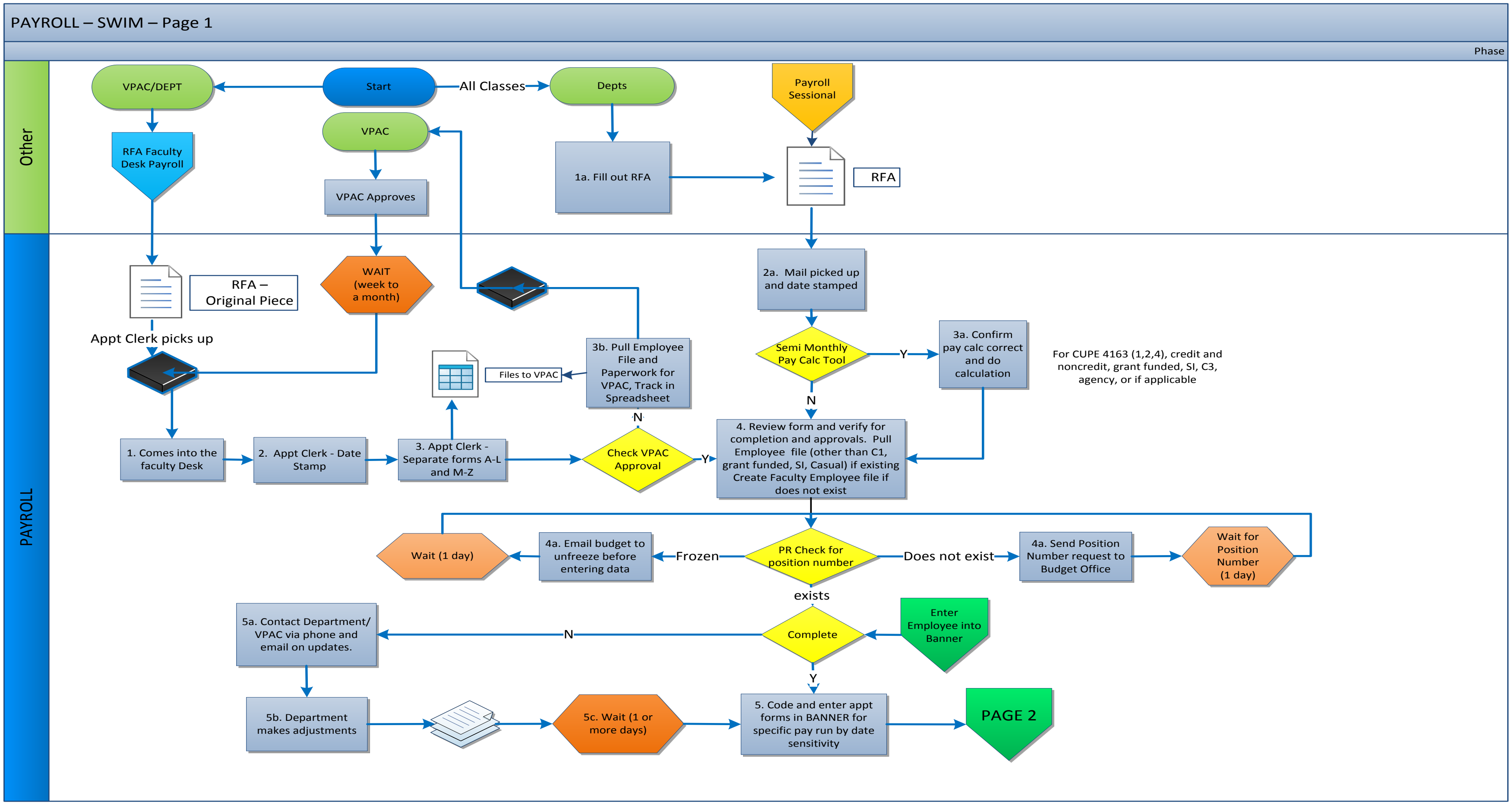


6. Pension

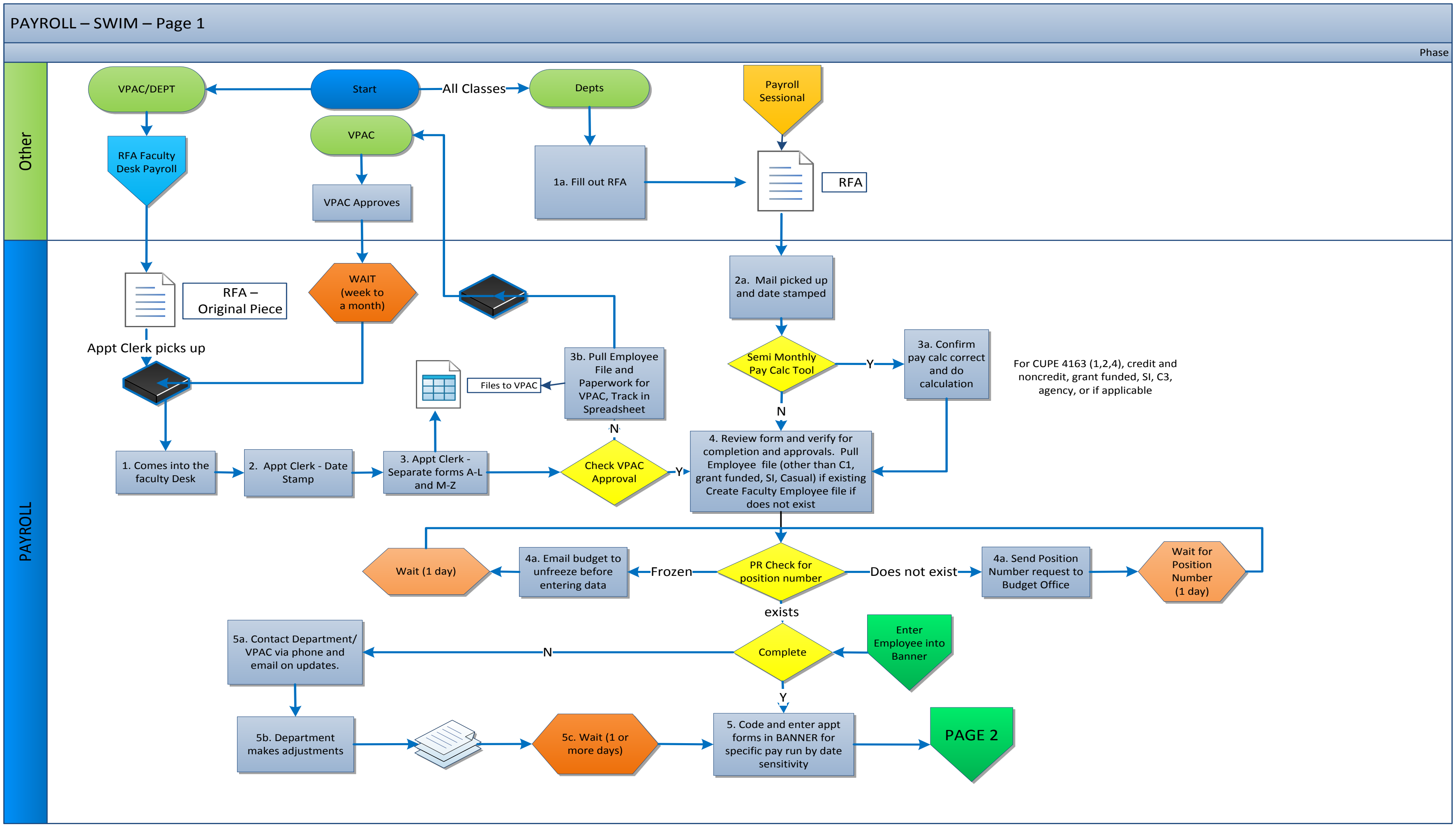

FAST Pension System
Phase
Point of Hire
Point of Hire
A
Enrollment Form
Money Purchase
Combination
Staff
None (Not Eligible)
Waiver if Opting out
Optional/Mandatory driven by rules
Mandatory (Check optional) - Rules
Optional/Mandatory driven by rules
Designation of Beneficiary
Spousal Waiver
Proof of Age
Additional Forms
Benefits/HR
Track in Fast
Create Paper File
Banner Payroll
FASTHR
Electronic Contributions (Imported Monthly)
Payroll Contributions
FAST PENSION SYSTEM
PENSION
Advice of Separation
Payroll
PAYROLL AofS
Terminate the Employee in plan
Retirement
Termination
Death
Employee or Beneficiary or Spouse
Send out Statement of Benefit Options
Not Eligible
Eligibility Status
No Change
END
Change Plan
Change in Status (Position Status Change)
Adjustments
Sutti
Sutti performs monthly reconciliation and edit tests
Payroll
Sutti Creates Pension Adjustment Spreadsheet (Annually)
Pension Adjustment Spreadsheet
Annually
Susan
Susan performs Reasonableness Test
Sutti Sends PA to Payroll
Payroll (PSCF)
Position or Appt FTE change
Yes
Position status Change (HR Eligibility)
Appt FTE Change
Less than .5
NOT ELIGIBLE
Previous and New FTE GE 0.5 and LT 1.0
NO CHANGE
Prev FTE 1.0 and New FTE GE 0.5 and LT 1.0
Pension Plan
MPP or Staff
NO CHANGE
Combination
Why did FTE Change
Permanent
Changed to Money Purchase Plan
A
Other (E.g. Phased Retirement, Study Leave, Partial LTD)
Temporary
EMPLOYEE
Communication with employee and responds back to pensions on decision
HR
PAYROLL
Sutti Calculates the top up and notifies Payroll
Y
Remain in Combination
N
Update plan and switch to MPP
A

7. Payroll

7.1. Payroll 1

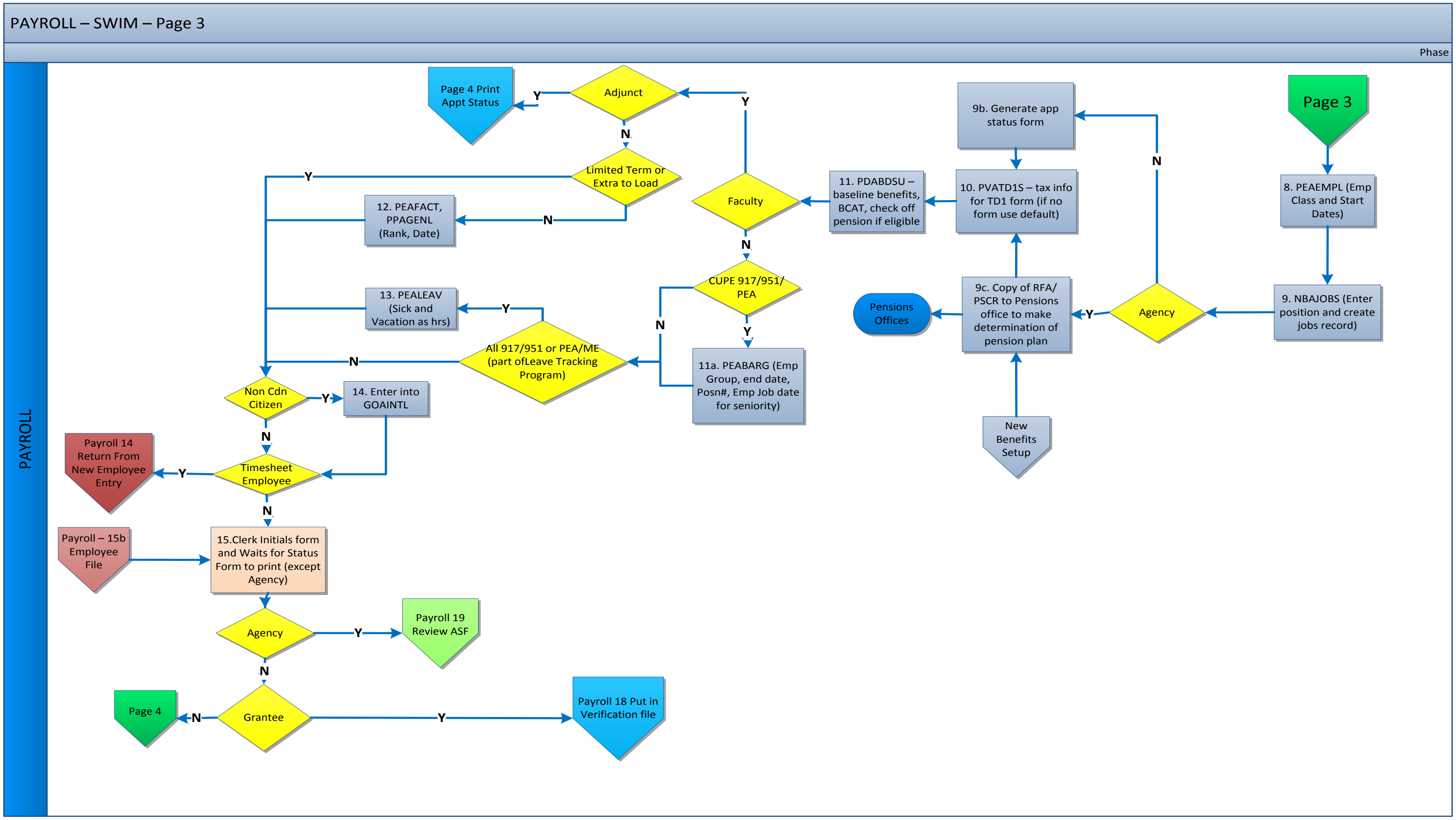


7.2. Payroll 2



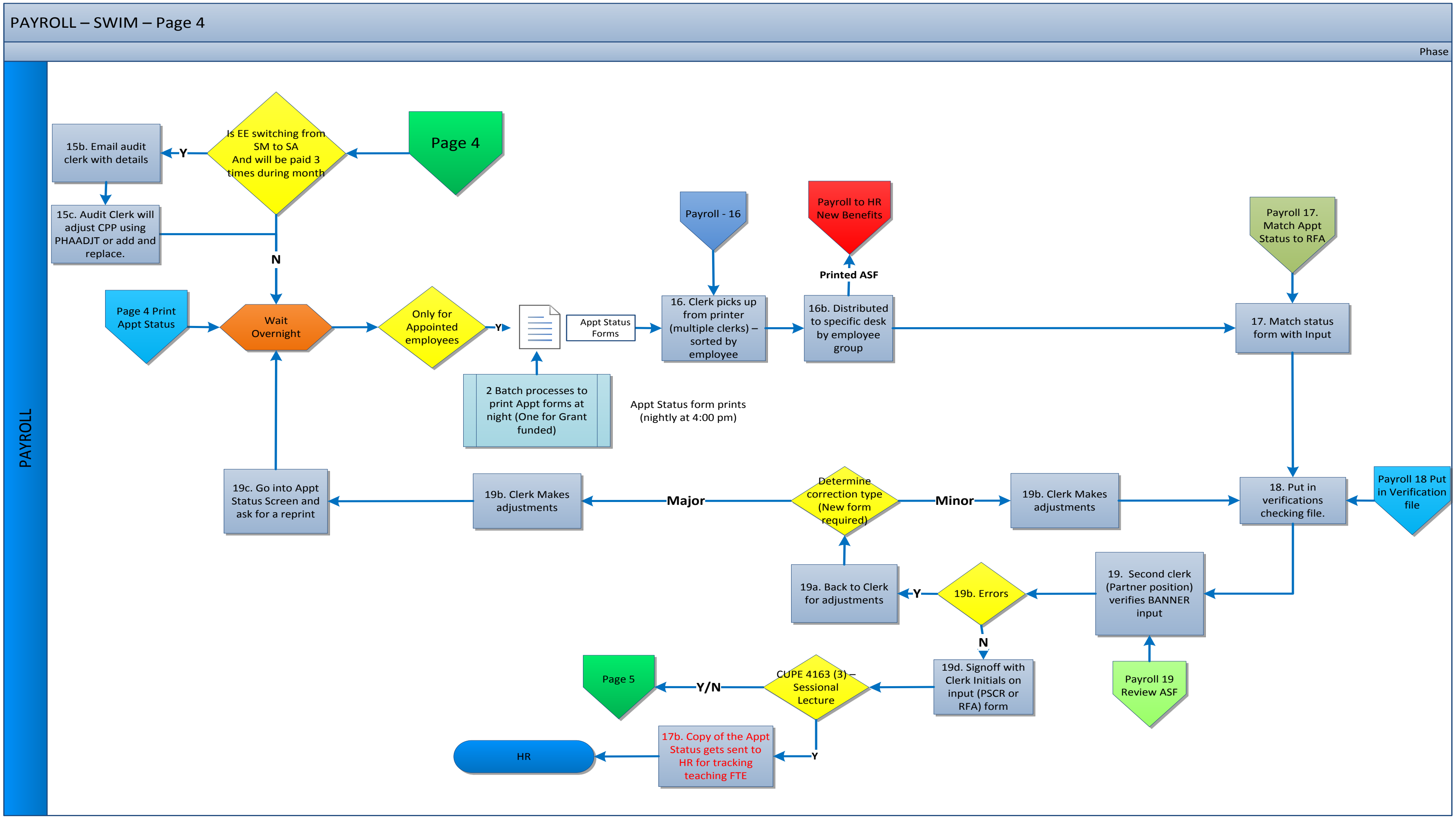
PAYROLL – SWIM – Page 1
Phase
Other
PAYROLL
VPAC/DEPT
Start
All Classes
Depts
Payroll Sessional
RFA Faculty Desk Payroll
VPAC
1a. Fill out RFA
RFA
VPAC Approves
RFA – Original Piece
WAIT (week to a month)
2a. Mail picked up and date stamped
Appt Clerk picks up
3b. Pull Employee File and Paperwork for VPAC, Track in Spreadsheet
Files to VPAC
Semi Monthly Pay Calc Tool
Y
3a. Confirm pay calc correct and do calculation
For CUPE 4163 (1,2,4), credit and noncredit, grant funded, SI, C3, agency, or if applicable
N
1. Comes into the faculty Desk
2. Appt Clerk - Date Stamp
3. Appt Clerk - Separate forms A-L and M-Z
Check VPAC Approval
Y
4. Review form and verify for completion and approvals. Pull Employee file (other than C1, grant funded, SI, Casual) if existing Create Faculty Employee file if does not exist
Wait (1 day)
4a. Email budget to unfreeze before entering data
Frozen
PR Check for position number
Does not exist
4a. Send Position Number request to Budget Office
Wait for Position Number (1 day)
exists
5a. Contact Department/ VPAC via phone and email on updates.
N
Complete
Enter Employee into Banner
Y
5b. Department makes adjustments
5c. Wait (1 or more days)
5. Code and enter appt forms in BANNER for specific pay run by date sensitivity
PAGE 2

7.3. Payroll 3

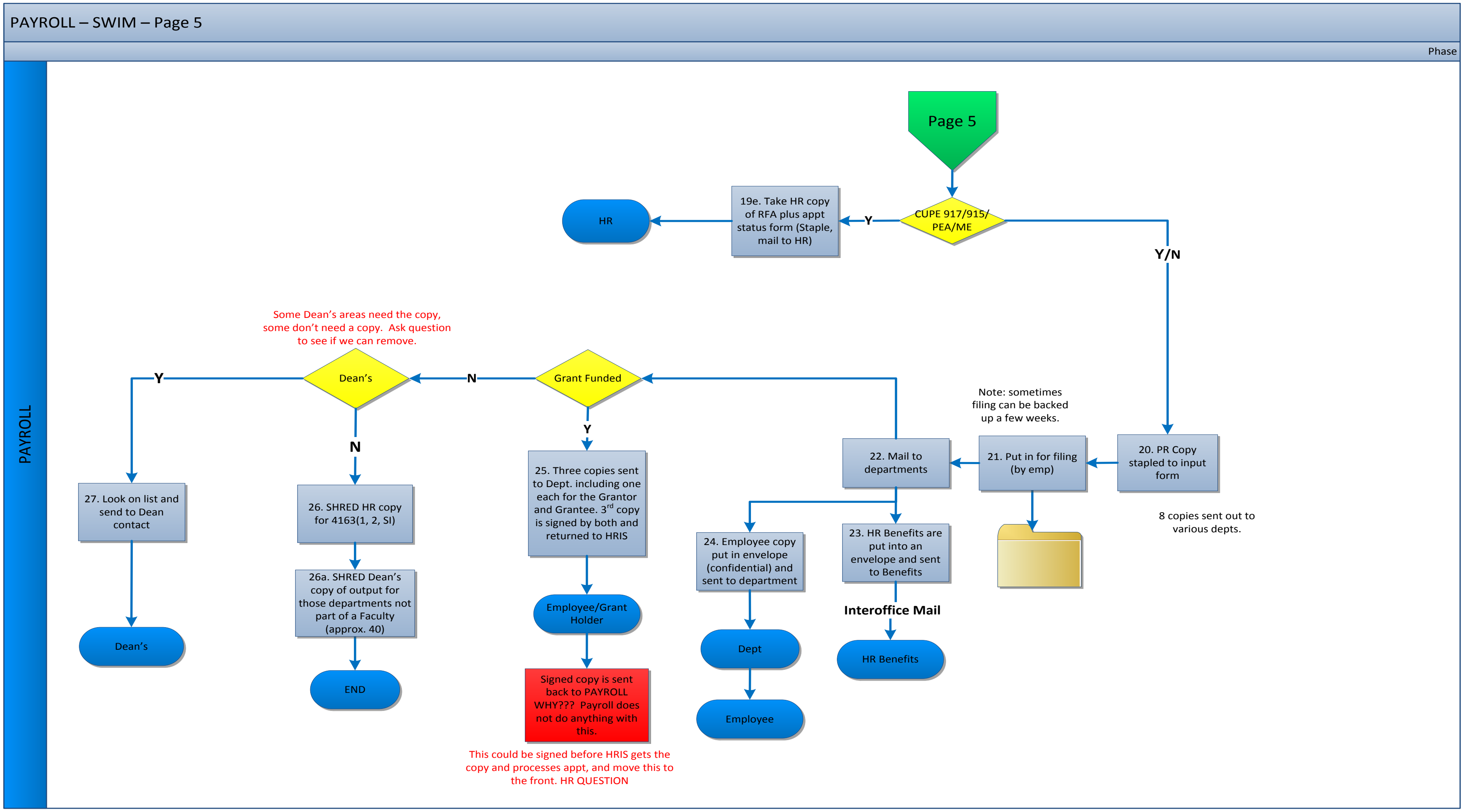


PAYROLL – SWIM – Page 3
Phase
PAYROLL
Page 3
8. PEAEMPL (Emp Class and Start Dates)
9. NBAJOBS (Enter position and create jobs record)
Agency
N
Y
9b. Generate app status form
9c. Copy of RFA/ PSCR to Pensions office to make determination of pension plan
Pensions Offices
New Benefits Setup
10. PVATD1S – tax info for TD1 form (if no form use default)
11. PDABDSU – baseline benefits, BCAT, check off pension if eligible
Faculty
Y
N
Adjunct
Y
Page 4 Print Appt Status
N
Limited Term or Extra to Load
Y
N
12. PEAFACT, PPAGENL (Rank, Date)
CUPE 917/951/ PEA
Y
N
11a. PEABARG (Emp Group, end date, Posn#, Emp Job date for seniority)
All 917/951 or PEA/ME (part ofLeave Tracking Program)
Y
N
13. PEALEAV (Sick and Vacation as hrs)
Non Cdn Citizen
Y
14. Enter into GOAINTL
N
Timesheet Employee
Y
Payroll 14 Return From New Employee Entry
N
Payroll – 15b Employee File
15.Clerk Initials form and Waits for Status Form to print (except Agency)
Agency
Y
Payroll 19 Review ASF
N
Grantee
N
Page 4
Y
Payroll 18 Put in Verification file

7.4. Payroll 4

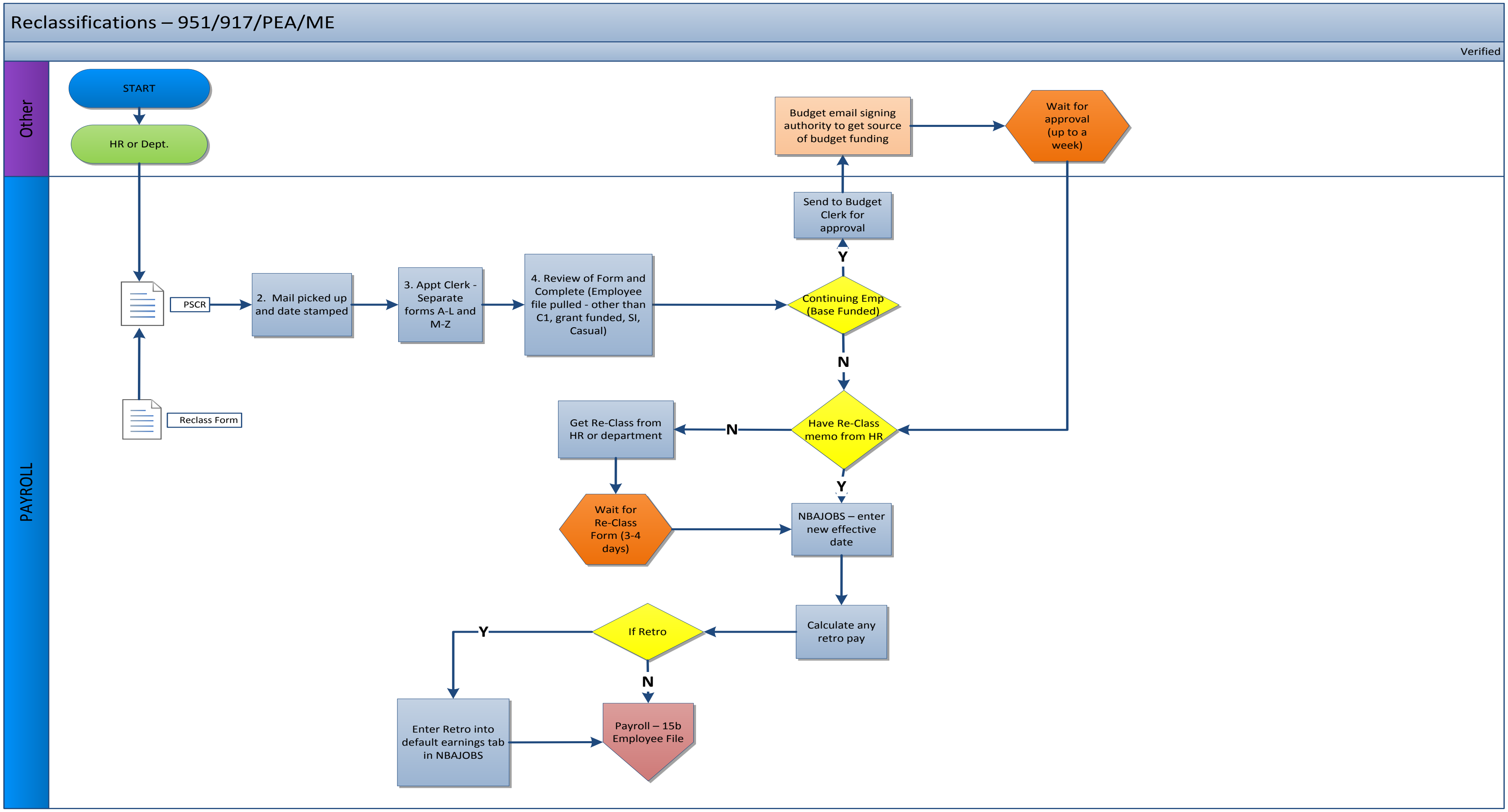

PAYROLL – SWIM – Page 4
Phase
PAYROLL
Page 4
Is EE switching from SM to SA And will be paid 3 times during month
Y
15b. Email audit clerk with details
15c. Audit Clerk will adjust CPP using PHAADJT or add and replace.
N
Page 4 Print Appt Status
Wait Overnight
Only for Appointed employees
Y
Appt Status Forms
2 Batch processes to print Appt forms at night (One for Grant funded)
Appt Status form prints (nightly at 4:00 pm)
Payroll - 16
16. Clerk picks up from printer (multiple clerks) – sorted by employee
Payroll to HR New Benefits
Printed ASF
16b. Distributed to specific desk by employee group
Payroll 17. Match Appt Status to RFA
17. Match status form with Input
18. Put in verifications checking file.
Payroll 18 Put in Verification file
19b. Clerk Makes adjustments
Minor
Determine correction type (New form required)
Major
19b. Clerk Makes adjustments
19c. Go into Appt Status Screen and ask for a reprint
19a. Back to Clerk for adjustments
Y
19b. Errors
19. Second clerk (Partner position) verifies BANNER input
Payroll 19 Review ASF
N
19d. Signoff with Clerk Initials on input (PSCR or RFA) form
CUPE 4163 (3) – Sessional Lecture
Y/N
Page 5
Y
17b. Copy of the Appt Status gets sent to HR for tracking teaching FTE
HR

7.5. Payroll 5

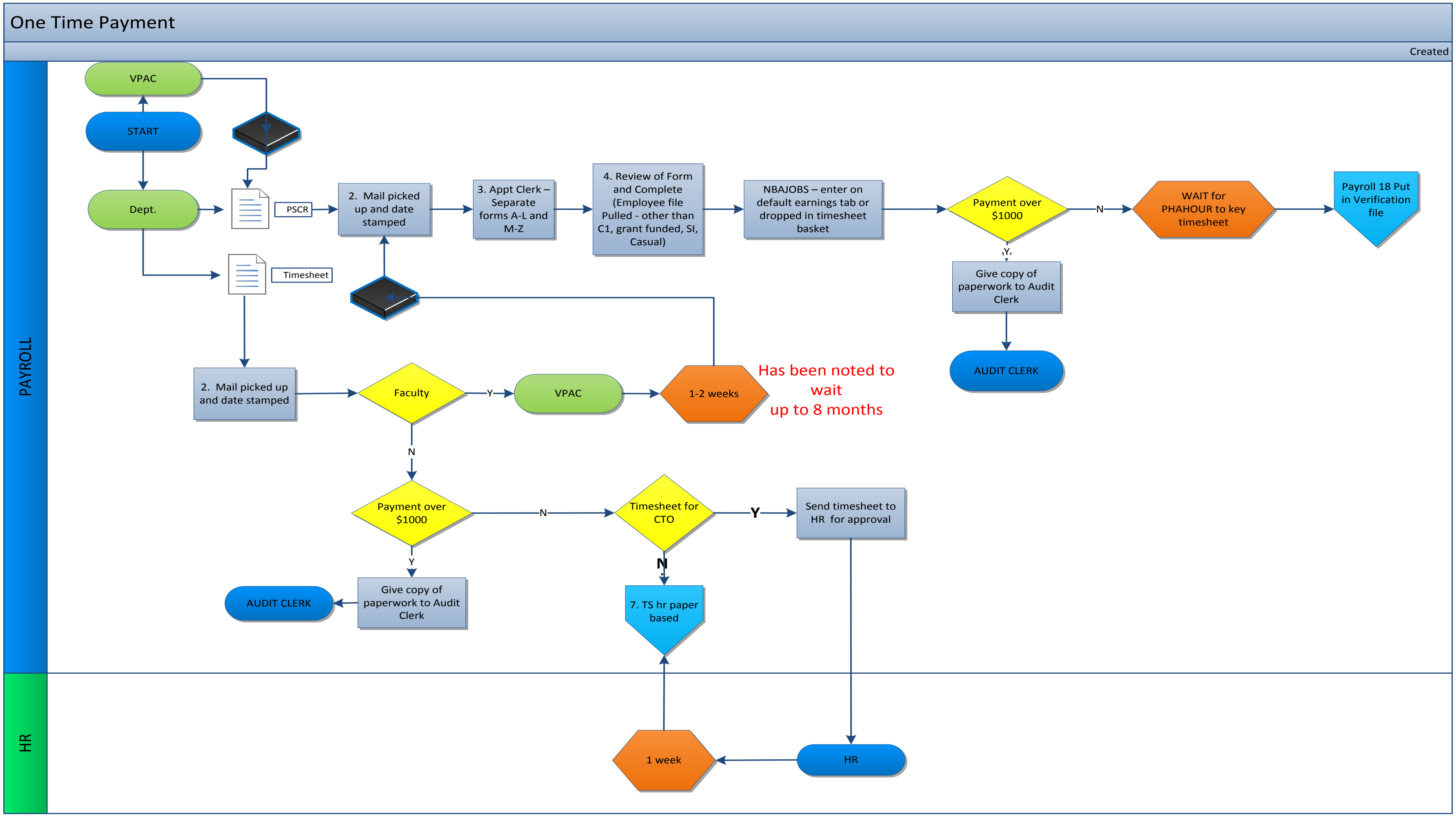


PAYROLL – SWIM – Page 5
Phase
PAYROLL
Page 5
CUPE 917/915/ PEA/ME
Y
19e. Take HR copy of RFA plus appt status form (Staple, mail to HR)
HR
Y/N
20. PR Copy stapled to input form
8 copies sent out to various depts.
21. Put in for filing (by emp)
Note: sometimes filing can be backed up a few weeks.
22. Mail to departments
23. HR Benefits are put into an envelope and sent to Benefits
Interoffice Mail
HR Benefits
24. Employee copy put in envelope (confidential) and sent to department
Dept
Employee
Grant Funded
Y
25. Three copies sent to Dept. including one each for the Grantor and Grantee. 3rd copy is signed by both and returned to HRIS
Employee/Grant Holder
Signed copy is sent back to PAYROLL WHY??? Payroll does not do anything with this.
This could be signed before HRIS gets the copy and processes appt, and move this to the front. HR QUESTION
N
Dean's
Some Dean's areas need the copy, some don't need a copy. Ask question to see if we can remove.
N
26. SHRED HR copy for 4163(1, 2, SI)
26a. SHRED Dean's copy of output for those departments not part of a Faculty (approx. 40)
END
Y
27. Look on list and send to Dean contact
Dean's

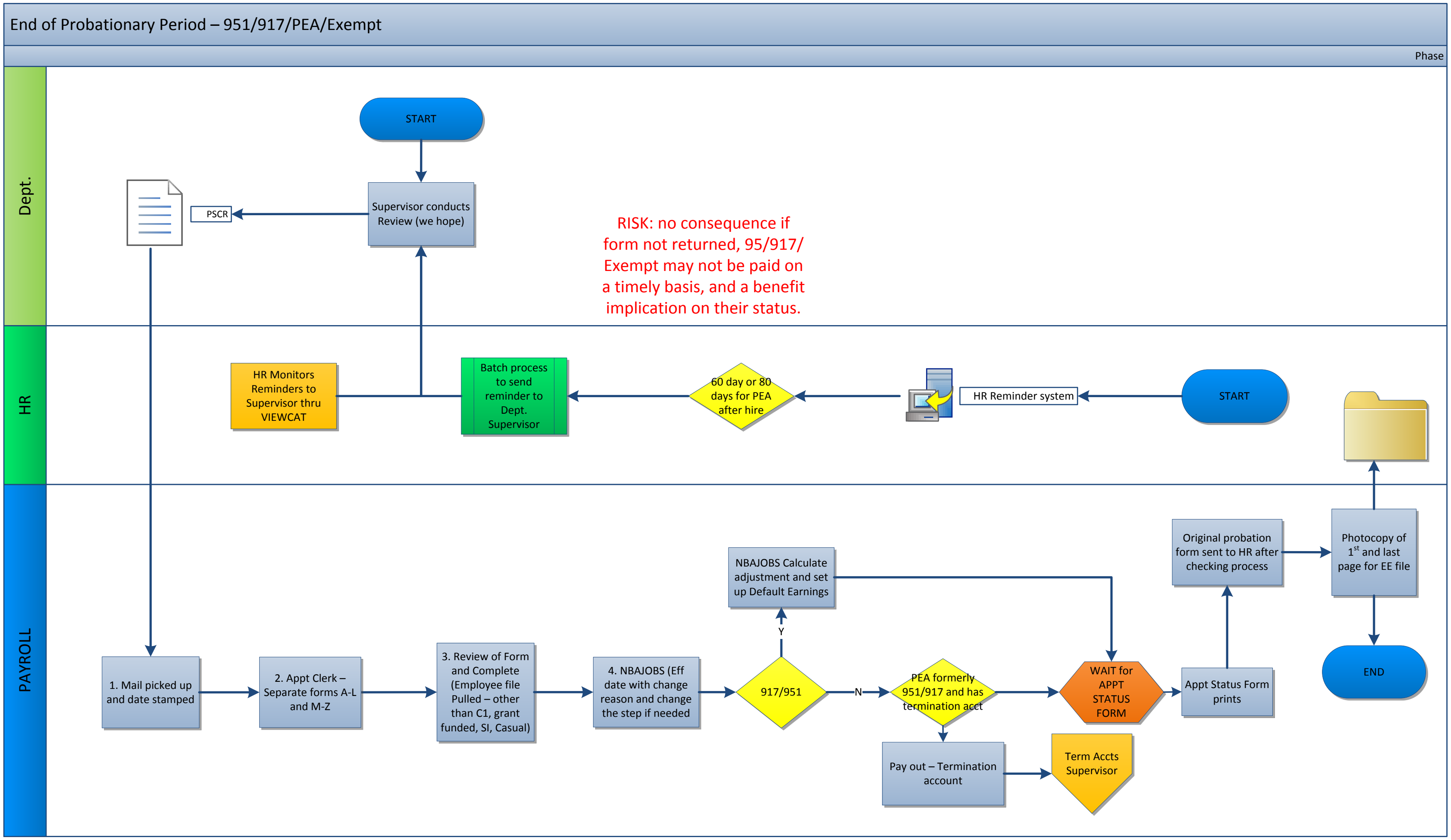
7.6. Reclassifications



7.7. One-Time Payment



7.8. End of Probation



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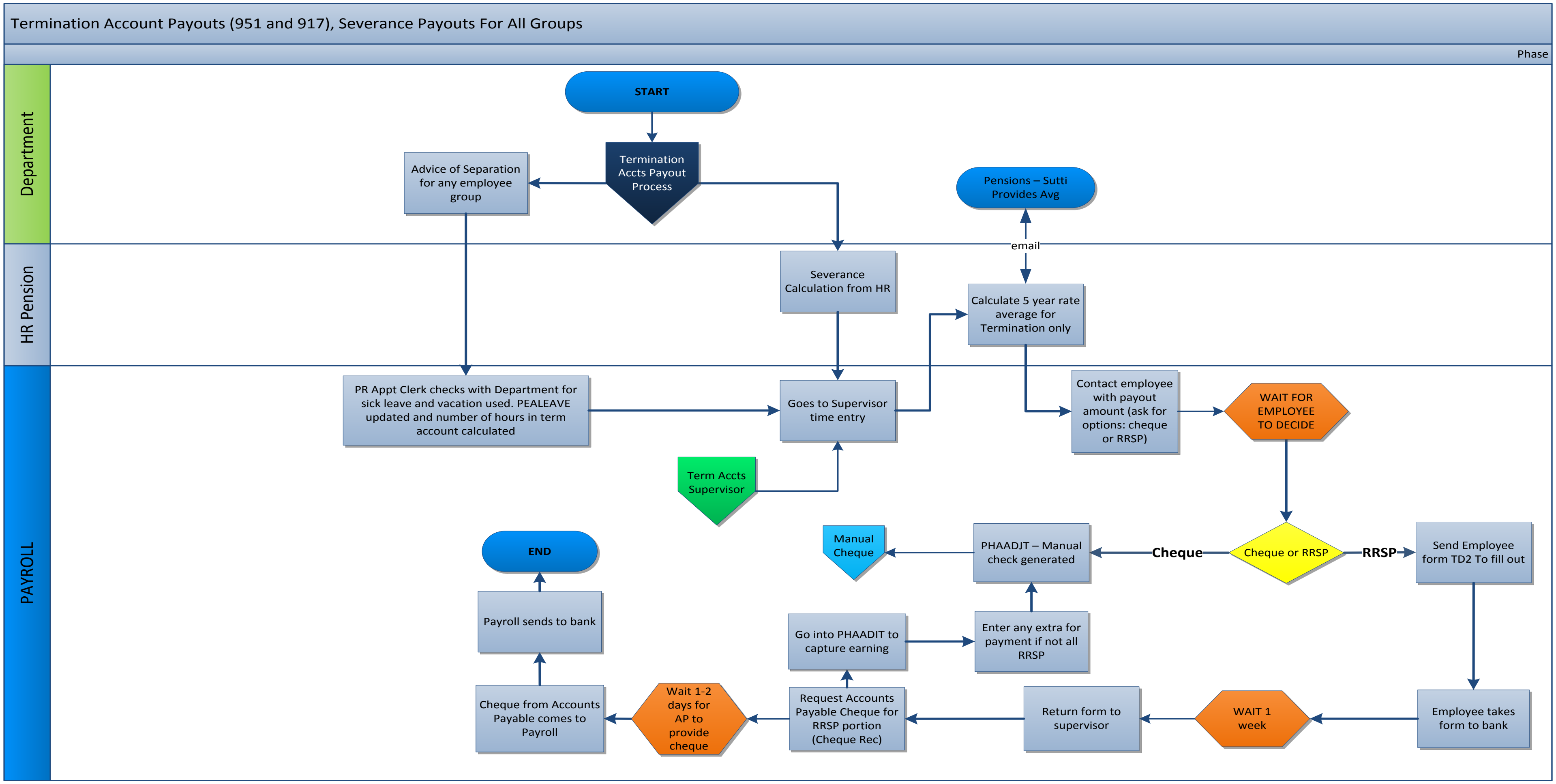
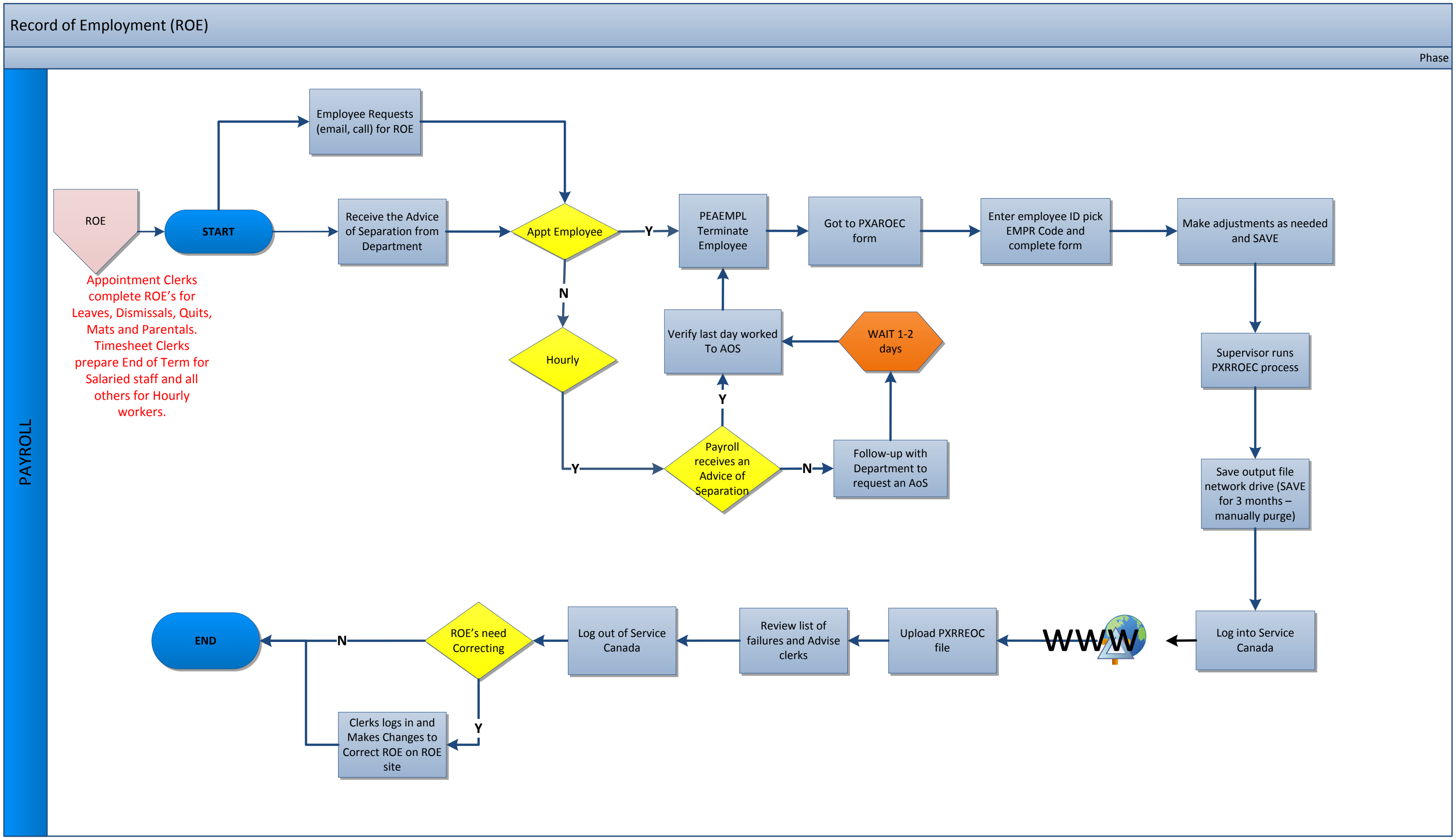
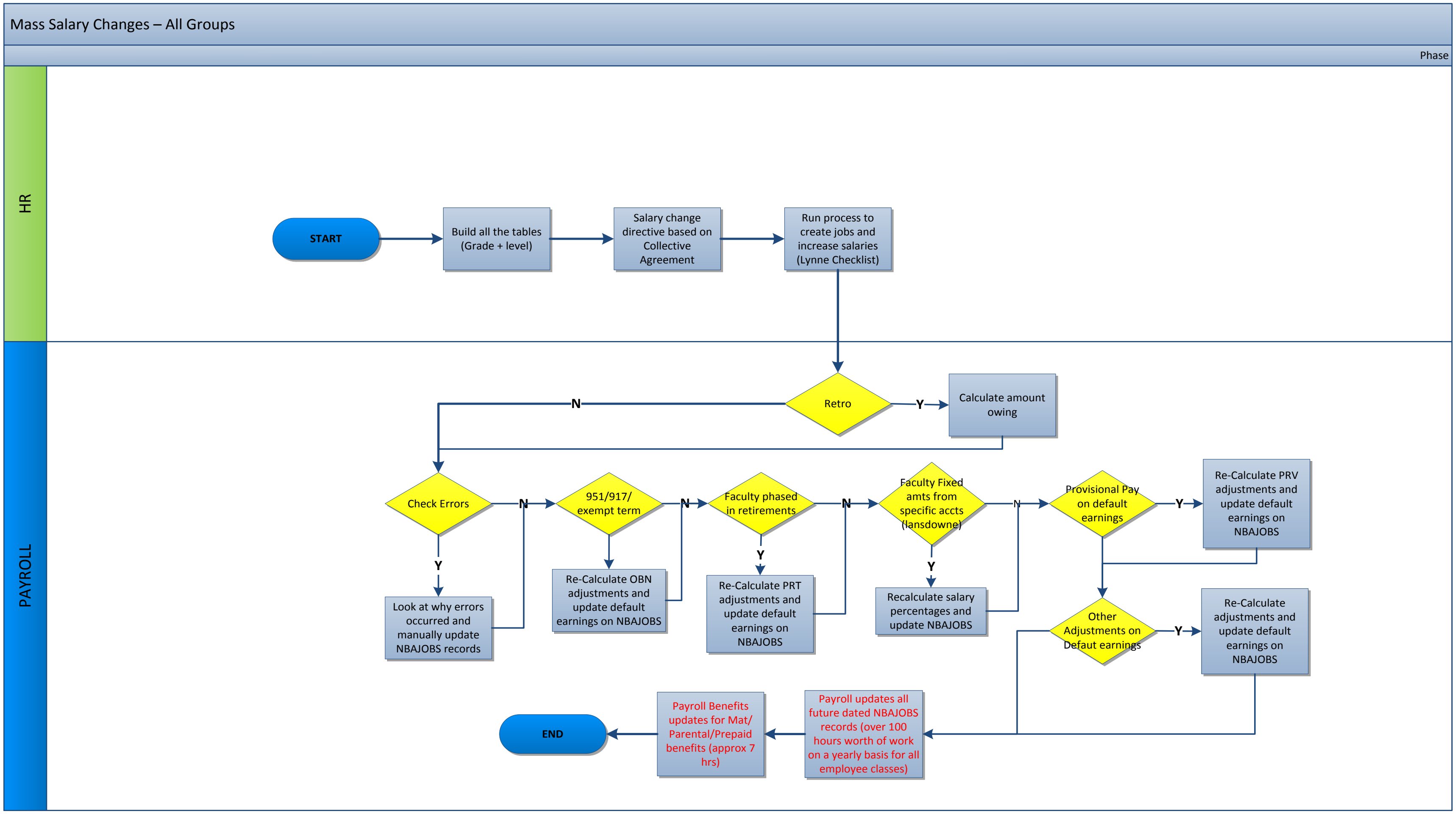
7.9. Termination/Separation Accounts



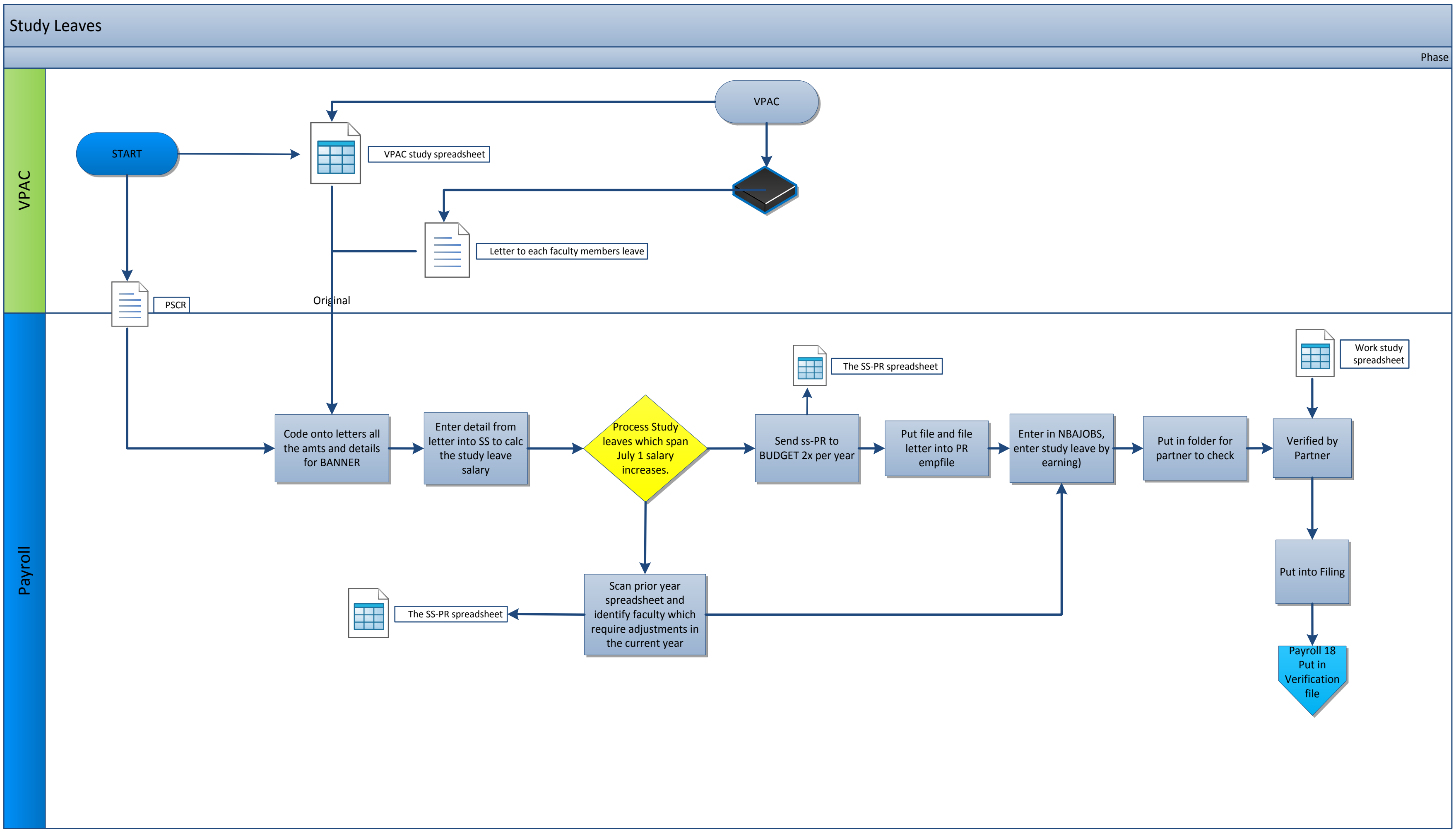
7.10. Record of Employment (ROE)



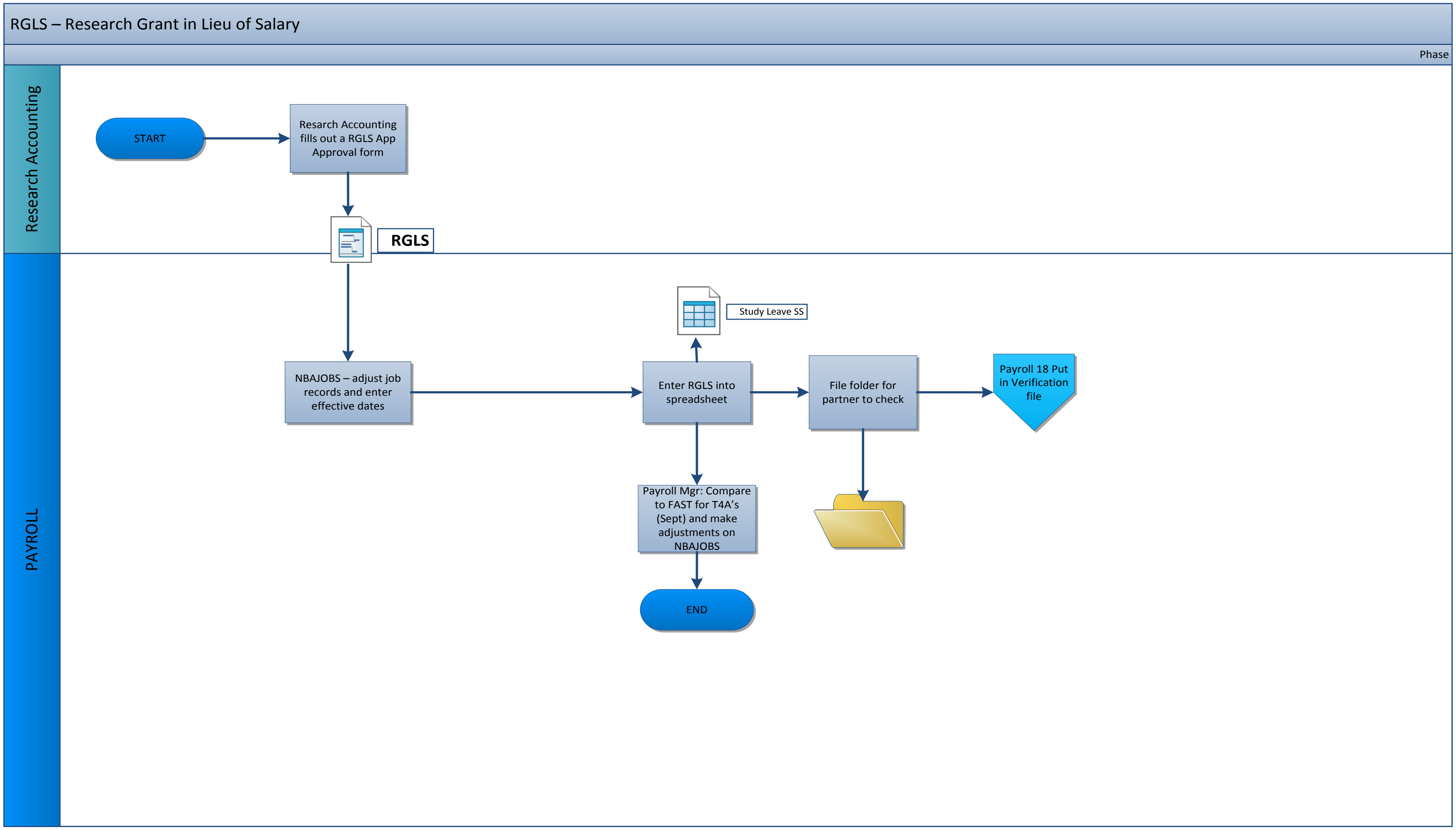
7.11. HR – Mass Salary Changes – All Groups



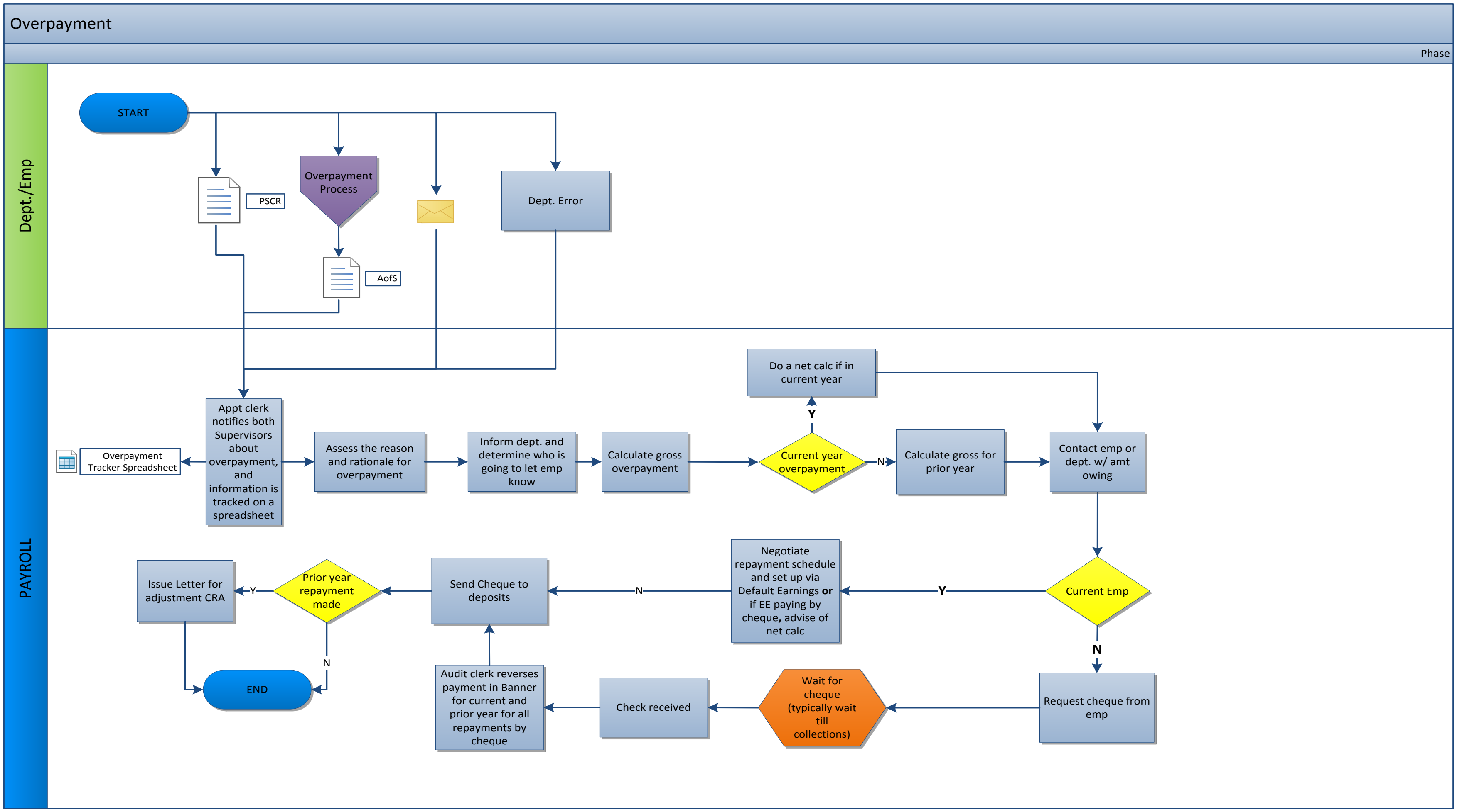
7.12. Study Leaves



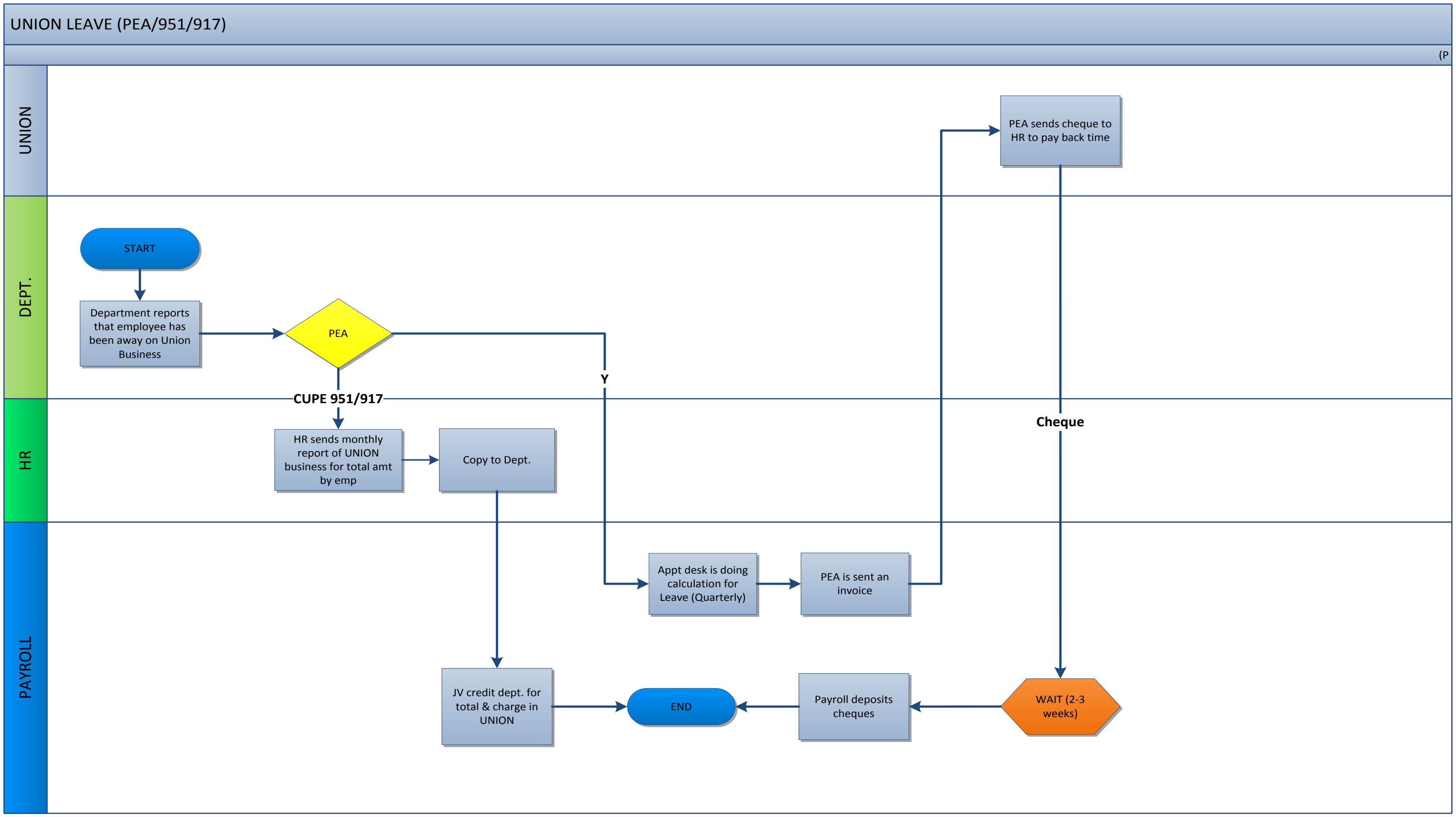
7.13. NGLS – Research Grant in Lieu of Salary



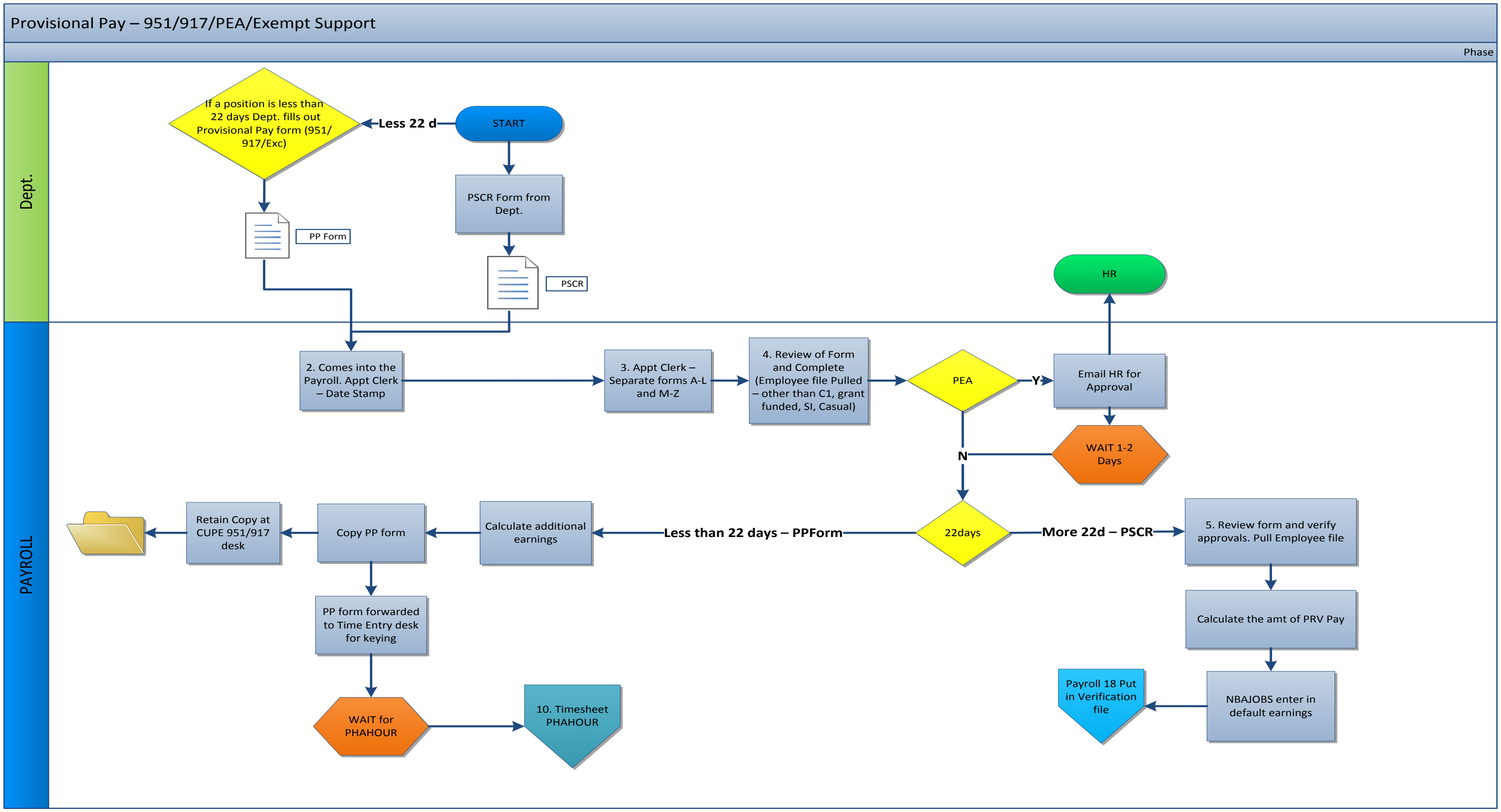
7.14. Overpayment



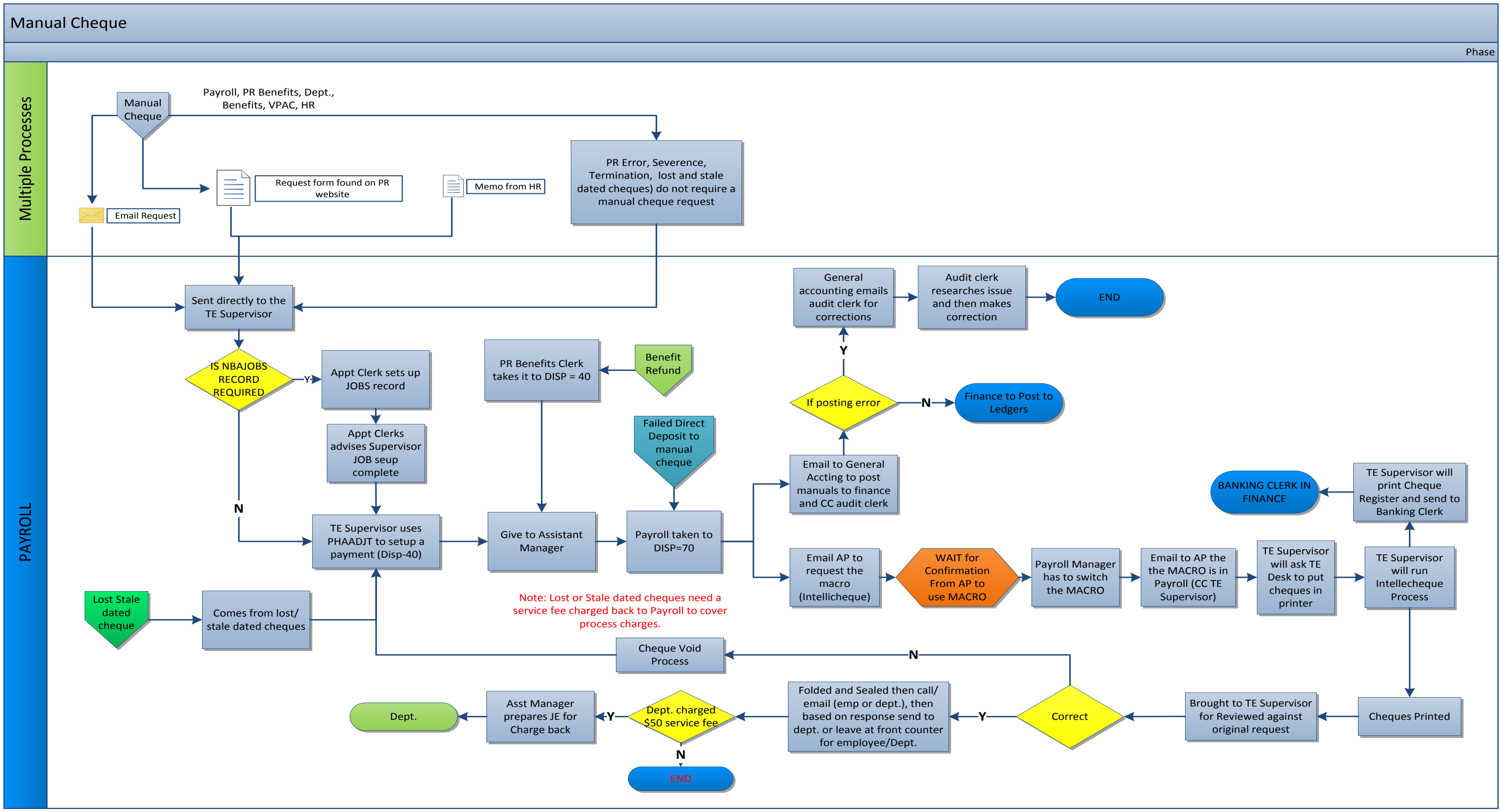
7.15. Union Leave



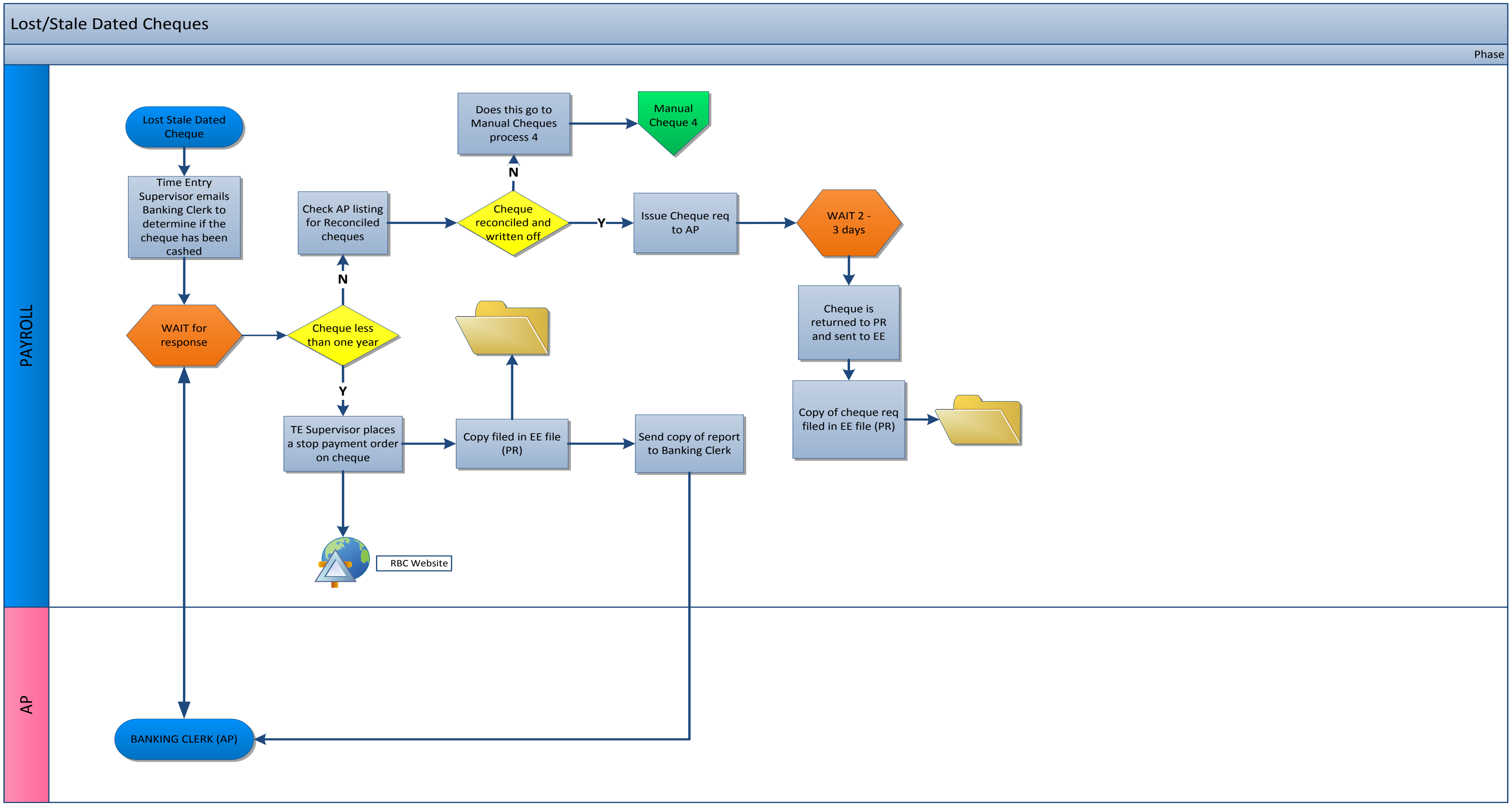
7.16. Provisional Pay



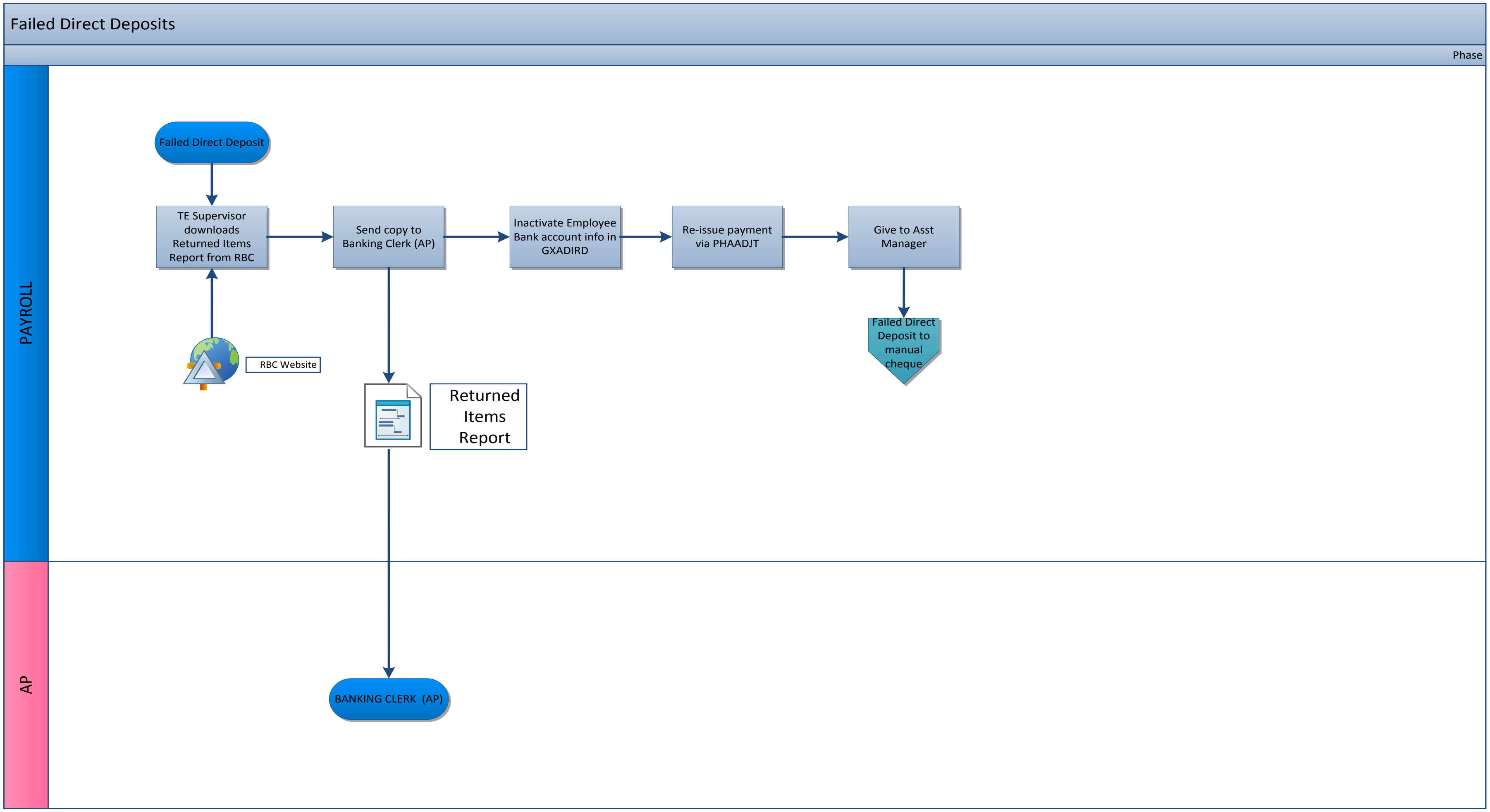
7.17. Manual Cheque



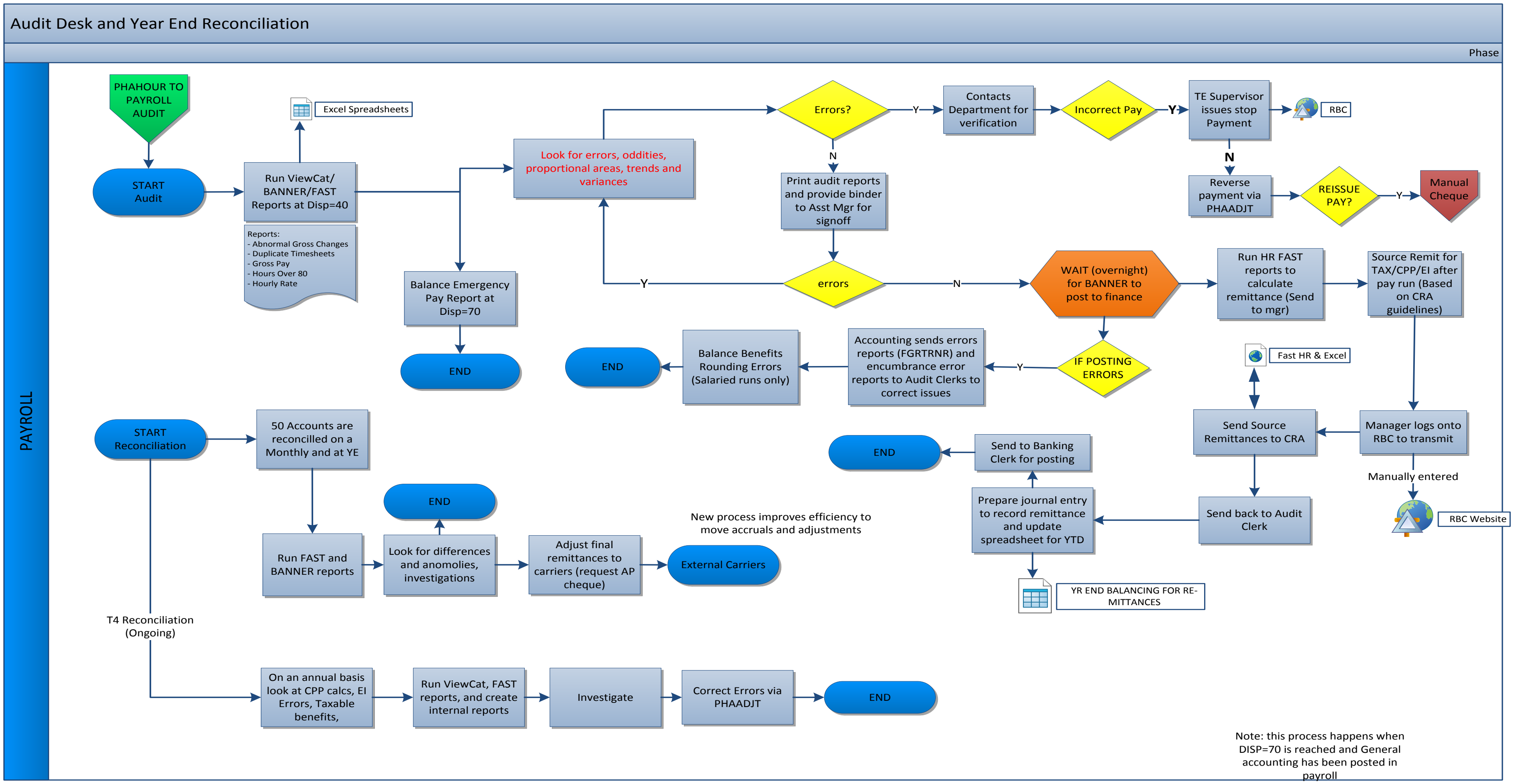
7.18. Lost/Stale Dated Cheque



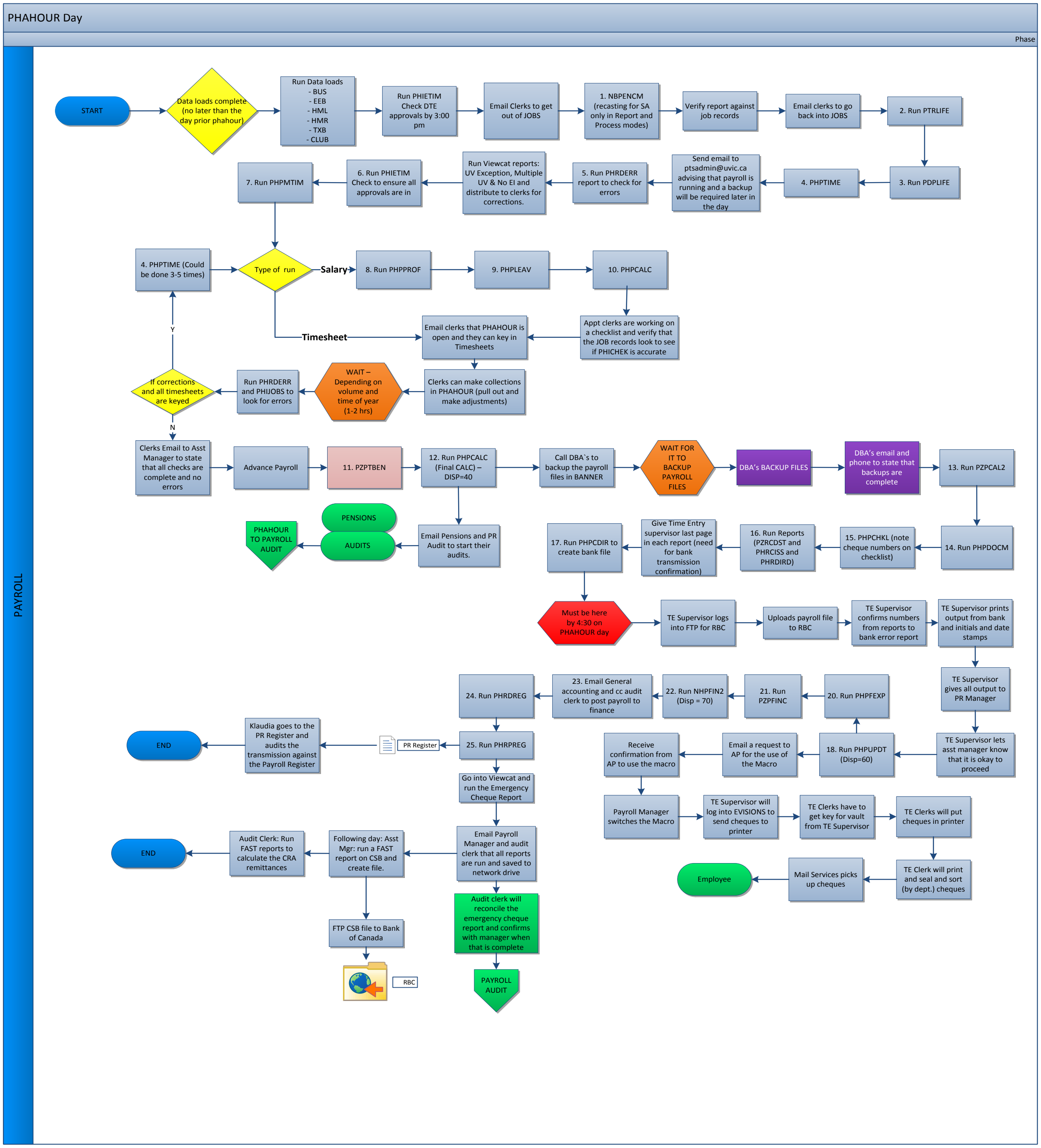
7.19. Failed Direct Deposits



7.20. Audit Desk

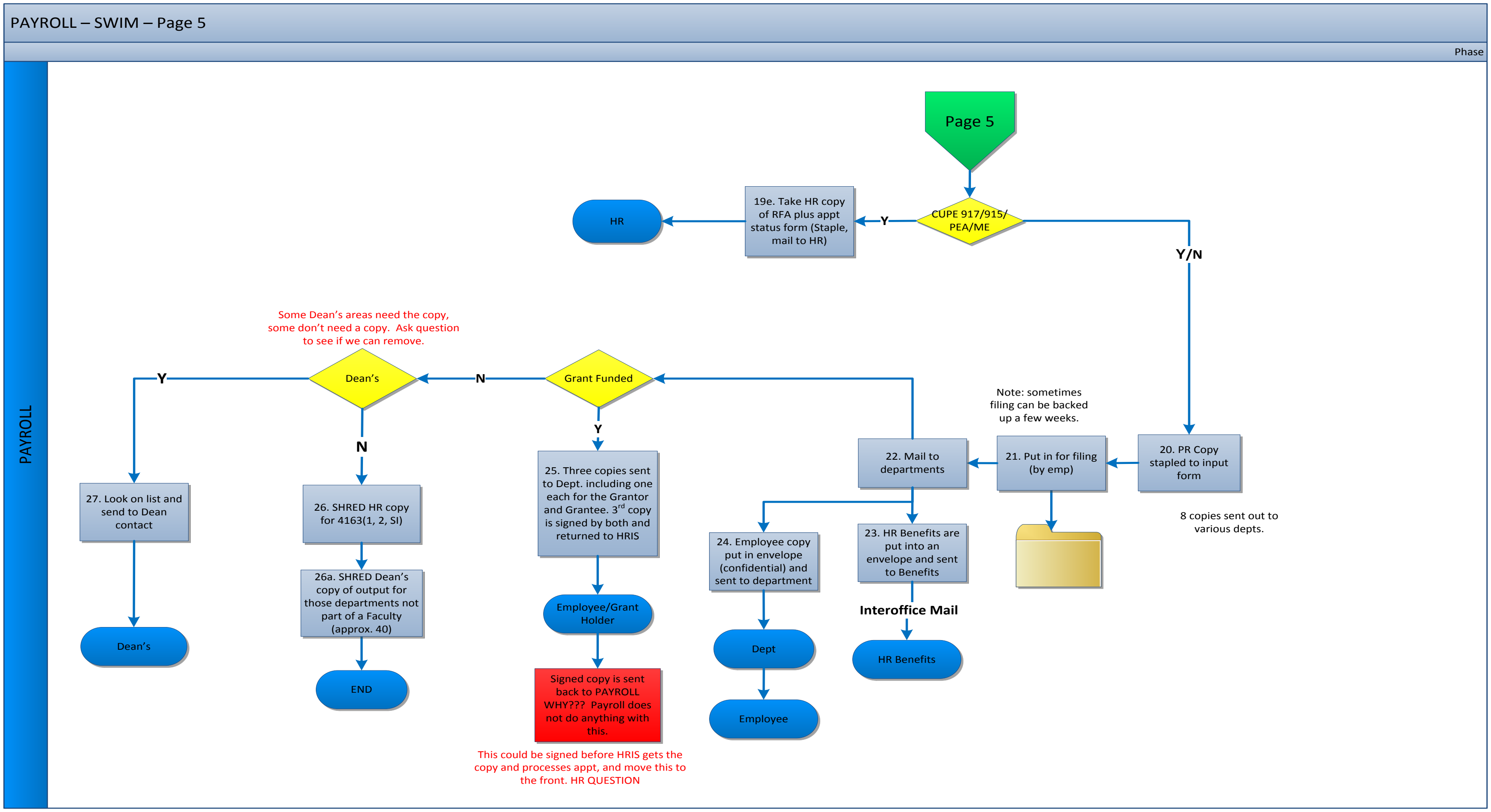


7.21. PHAHOUR



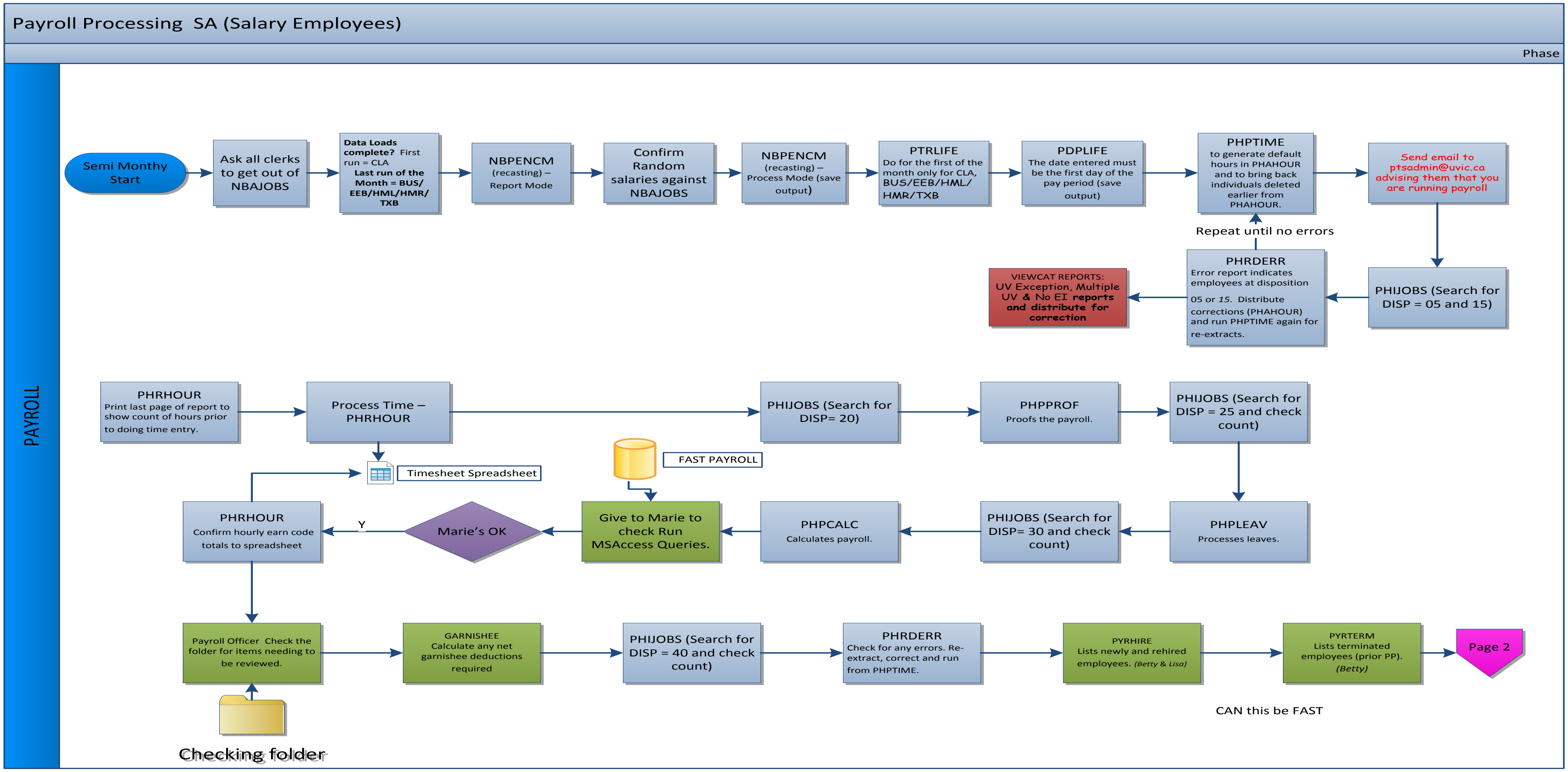
PHAHOUR Day
Phase
PAYROLL
START
Data loads complete (no later than the day prior phahour)
Run Data loads - BUS - EEB - HML - HMR - TXB - CLUB
Run PHIETIM Check DTE approvals by 3:00 pm
Email Clerks to get out of JOBS
1. NBPENCM (recasting for SA only in Report and Process modes)
Verify report against job records
Email clerks to go back into JOBS
2. Run PTRLIFE
3. Run PDPLIFE
4. PHPTIME
Send email to ptsadmin@uvic.ca advising that payroll is running and a backup will be required later in the day
5. Run PHRDERR report to check for errors
Run Viewcat reports: UV Exception, Multiple UV & No EI and distribute to clerks for corrections.
6. Run PHIETIM Check to ensure all approvals are in
7. Run PHPMTIM
4. PHPTIME (Could be done 3-5 times)
Type of run
Salary
8. Run PHPPROF
9. PHPLEAV
10. PHPCALC
Timesheet
Email clerks that PHAHOUR is open and they can key in Timesheets
Appt clerks are working on a checklist and verify that the JOB records look to see if PHICHEK is accurate
Y
If corrections and all timesheets are keyed
Run PHRDERR and PHIJOBS to look for errors
WAIT – Depending on volume and time of year (1-2 hrs)
Clerks can make collections in PHAHOUR (pull out and make adjustments)
N
Clerks Email to Asst Manager to state that all checks are complete and no errors
Advance Payroll
11. PZPTBEN
12. Run PHPCALC (Final CALC) – DISP=40
Call DBA`s to backup the payroll files in BANNER
WAIT FOR IT TO BACKUP PAYROLL FILES
DBA's BACKUP FILES
DBA's email and phone to state that backups are complete
13. Run PZPCAL2
PENSIONS
AUDITS
PHAHOUR TO PAYROLL AUDIT
Email Pensions and PR Audit to start their audits.
17. Run PHPCDIR to create bank file
Give Time Entry supervisor last page in each report (need for bank transmission confirmation)
16. Run Reports (PZRCDST and PHRCISS and PHRDIRD)
15. PHPCHKL (note cheque numbers on checklist)
14. Run PHPDOCM
Must be here by 4:30 on PHAHOUR day
TE Supervisor logs into FTP for RBC
Uploads payroll file to RBC
TE Supervisor confirms numbers from reports to bank error report
TE Supervisor prints output from bank and initials and date stamps
TE Supervisor gives all output to PR Manager
24. Run PHRDREG
23. Email General accounting and cc audit clerk to post payroll to finance
22. Run NHPFIN2 (Disp = 70)
21. Run PZPFINC
20. Run PHPFEXP
END
Klaudia goes to the PR Register and audits the transmission against the Payroll Register
PR Register
25. Run PHRPREG
Receive confirmation from AP to use the macro
Email a request to AP for the use of the Macro
18. Run PHPUPDT (Disp=60)
TE Supervisor lets asst manager know that it is okay to proceed
Go into Viewcat and run the Emergency Cheque Report
Payroll Manager switches the Macro
TE Supervisor will log into EVISIONS to send cheques to printer
TE Clerks have to get key for vault from TE Supervisor
TE Clerks will put cheques in printer
END
Audit Clerk: Run FAST reports to calculate the CRA remittances
Following day: Asst Mgr: run a FAST report on CSB and create file.
Email Payroll Manager and audit clerk that all reports are run and saved to network drive
Employee
Mail Services picks up cheques
TE Clerk will print and seal and sort (by dept.) cheques
Audit clerk will reconcile the emergency cheque report and confirms with manager when that is complete
FTP CSB file to Bank of Canada
RBC
PAYROLL AUDIT

7.22. Salary Planner

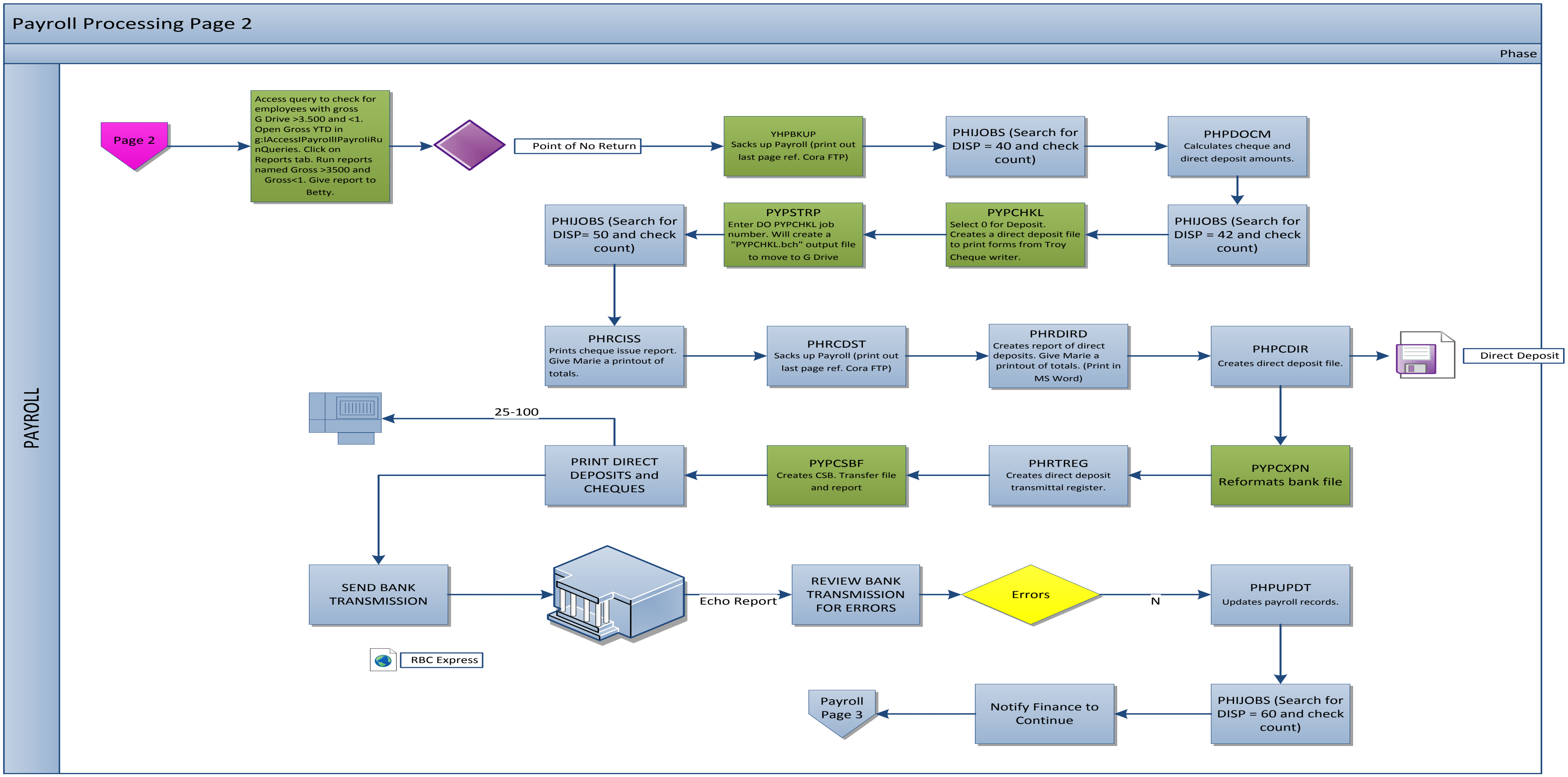


8. Payroll Setup

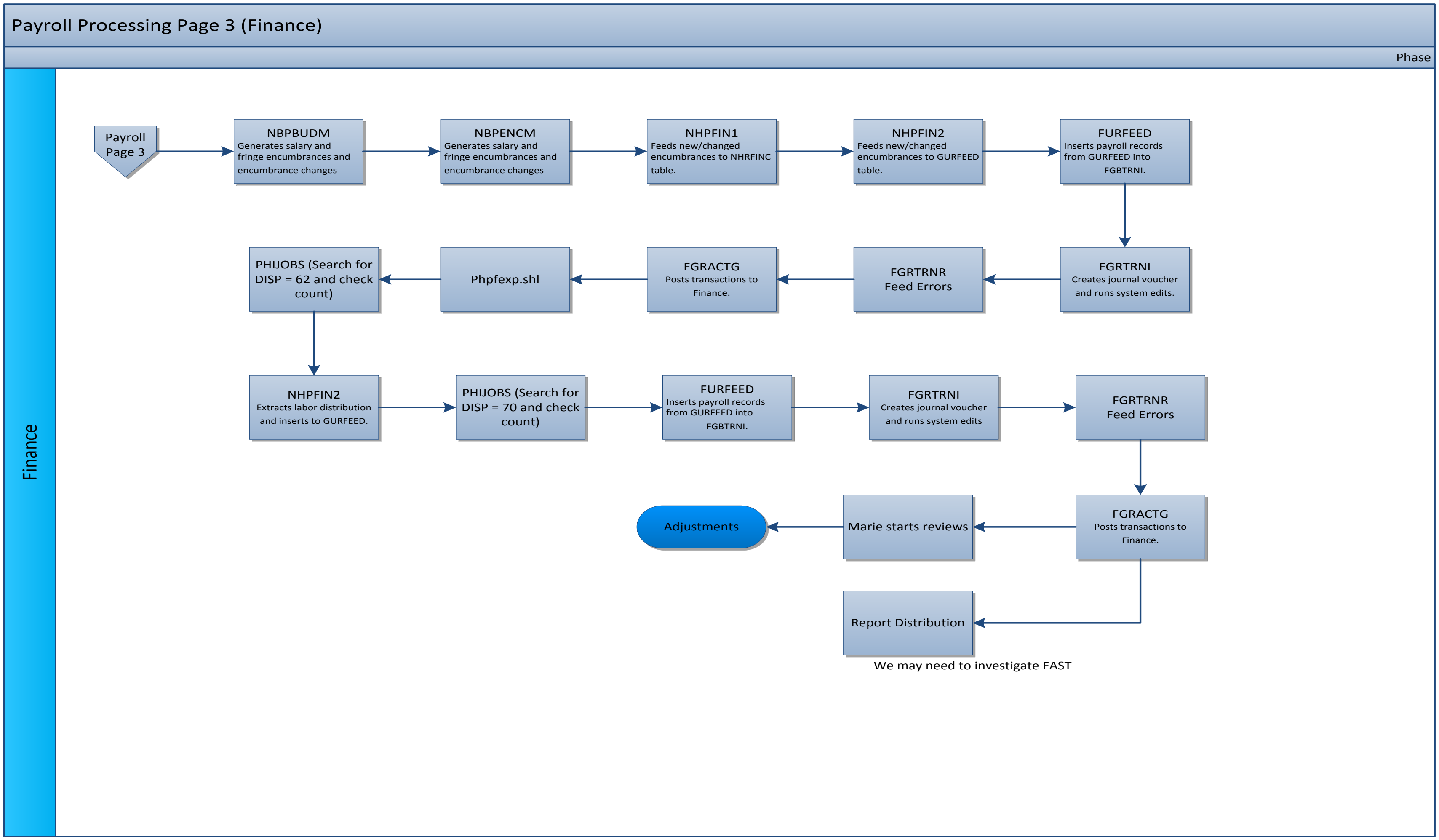
8.1. Salaried Employee Payroll Setup



8.2. Salaried Employee Payroll Page 2

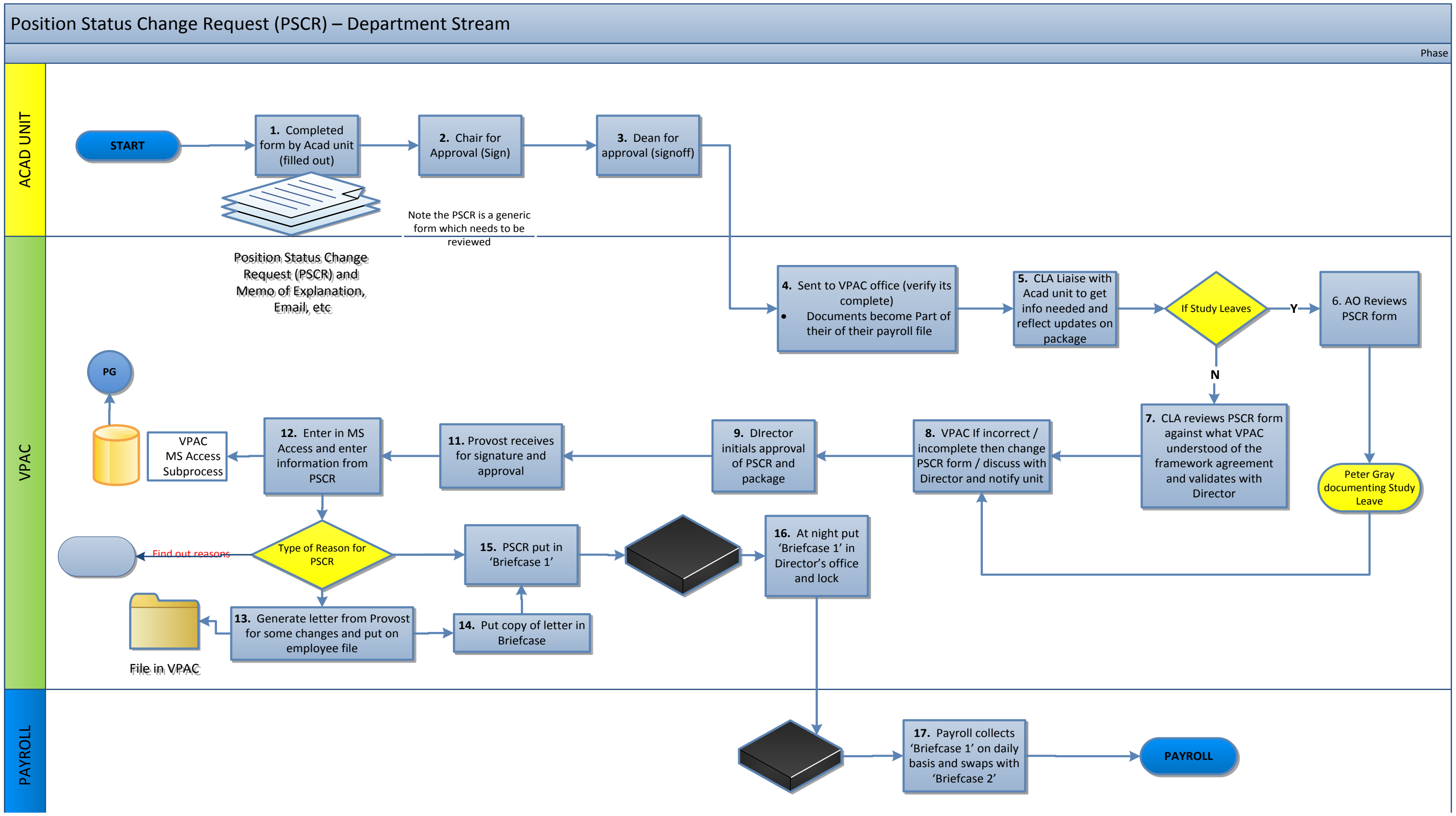


8.3. Salaried Employee Payroll Page 3

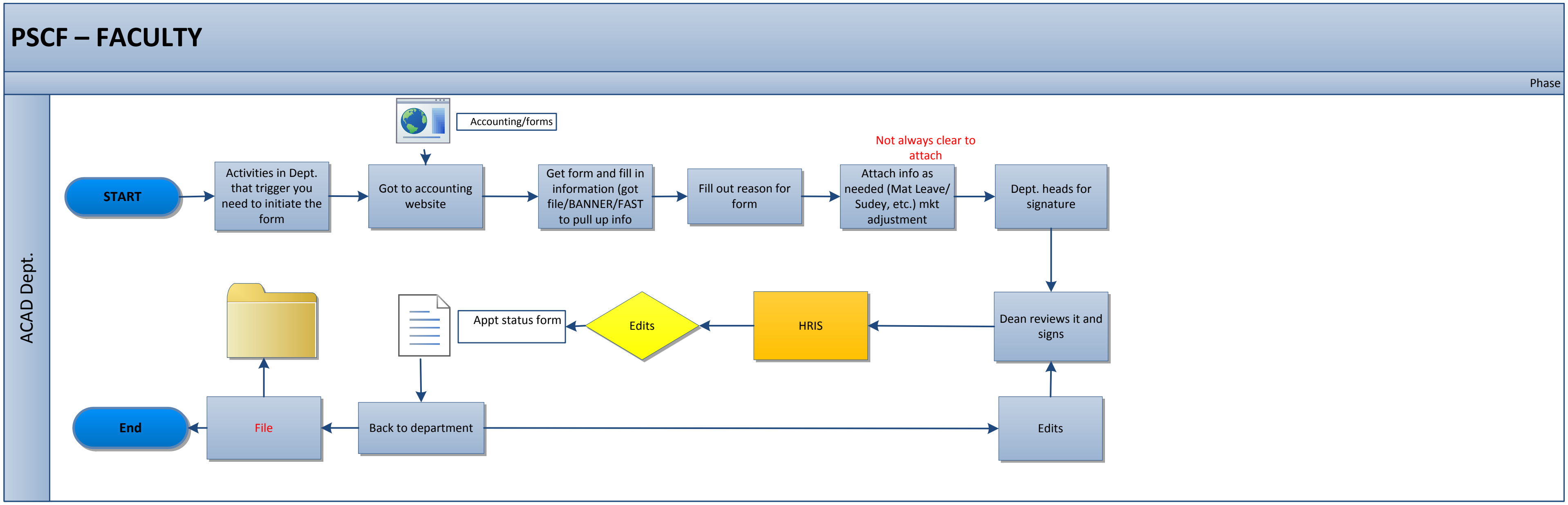


9. PSCR-PSCF Position Status Change Processes

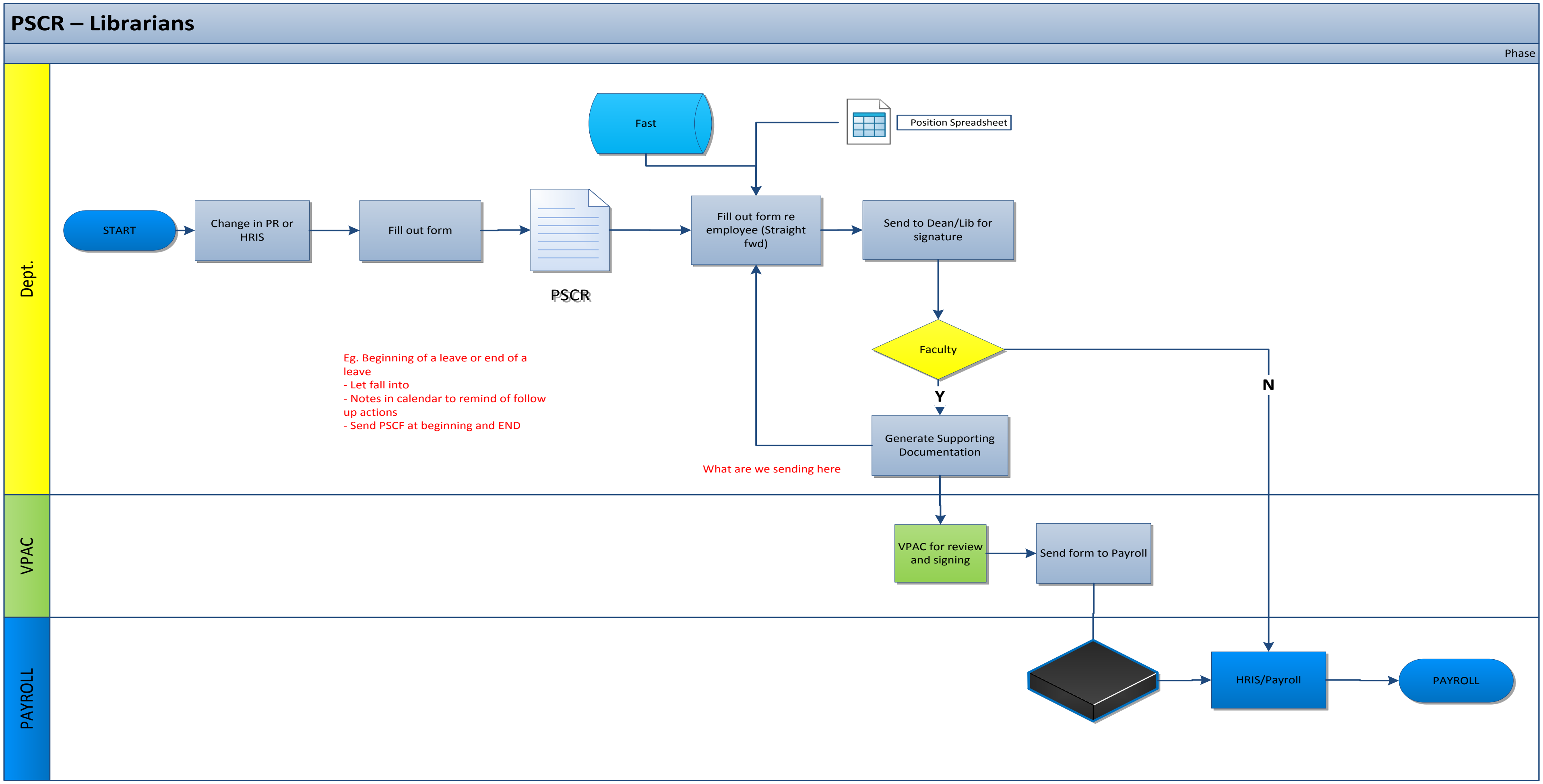
9.1. Position Status Change Request (PSCR) – Department Stream



9.2. Position Status Change Form (PSCF) – Faculty



9.3. Position Status Change Form (PSCF) – Librarians



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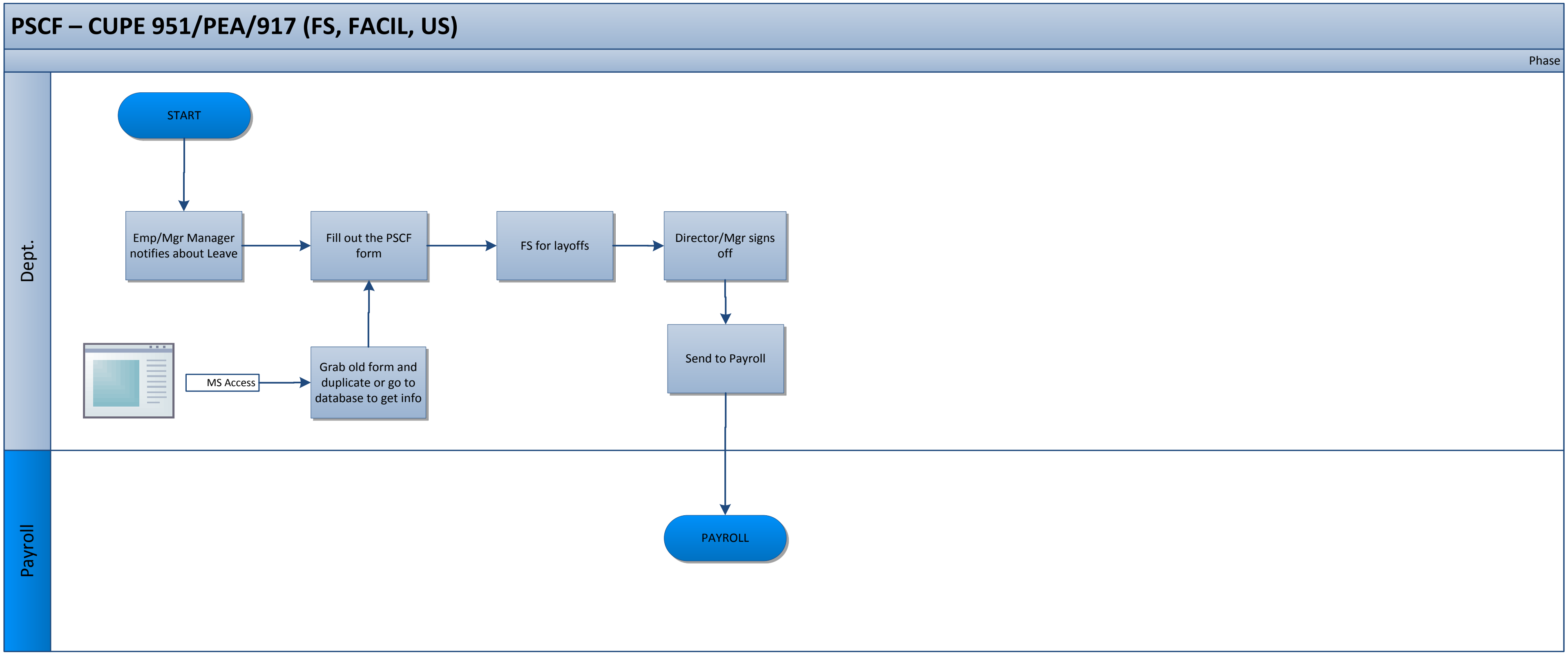
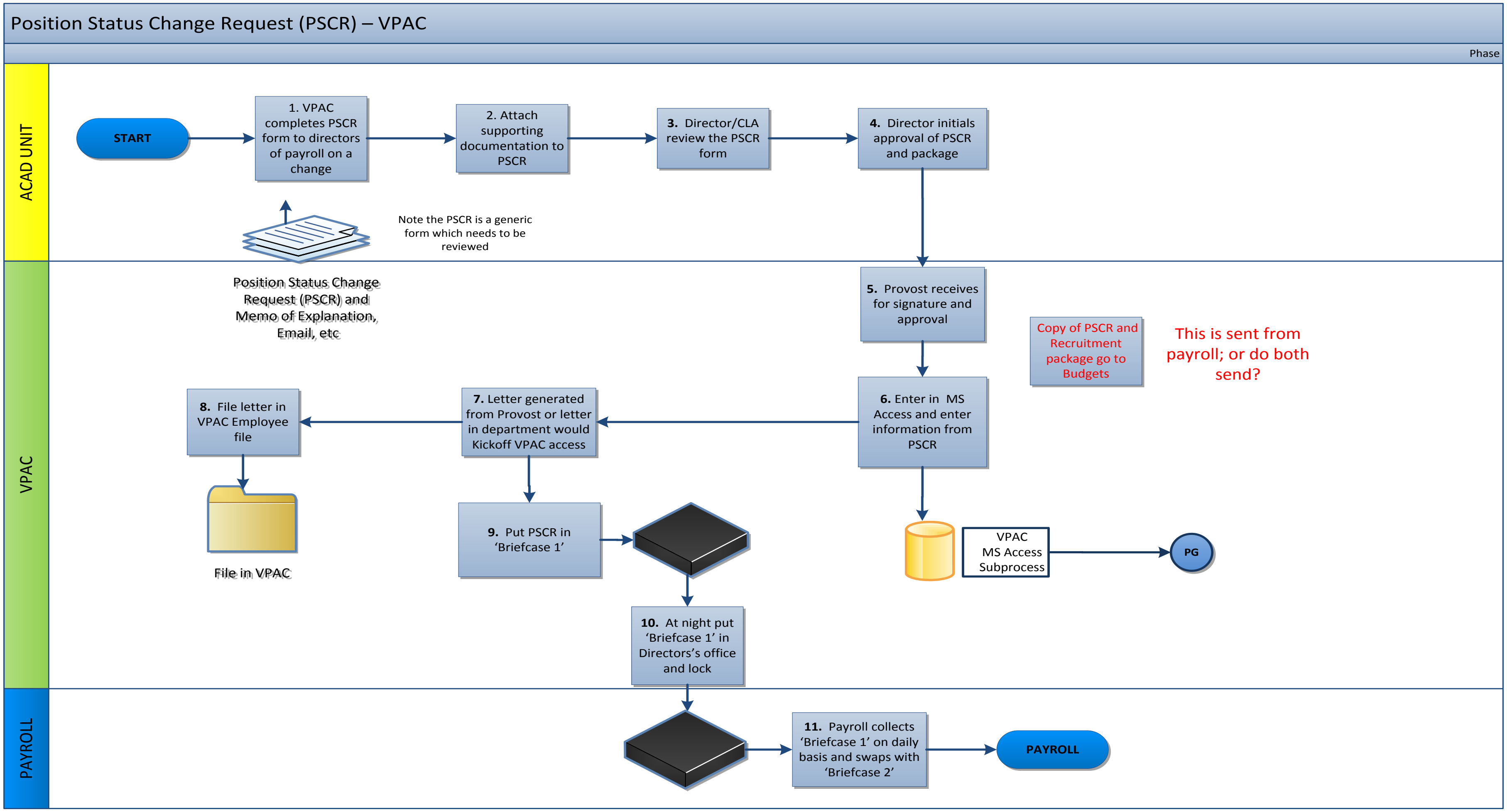
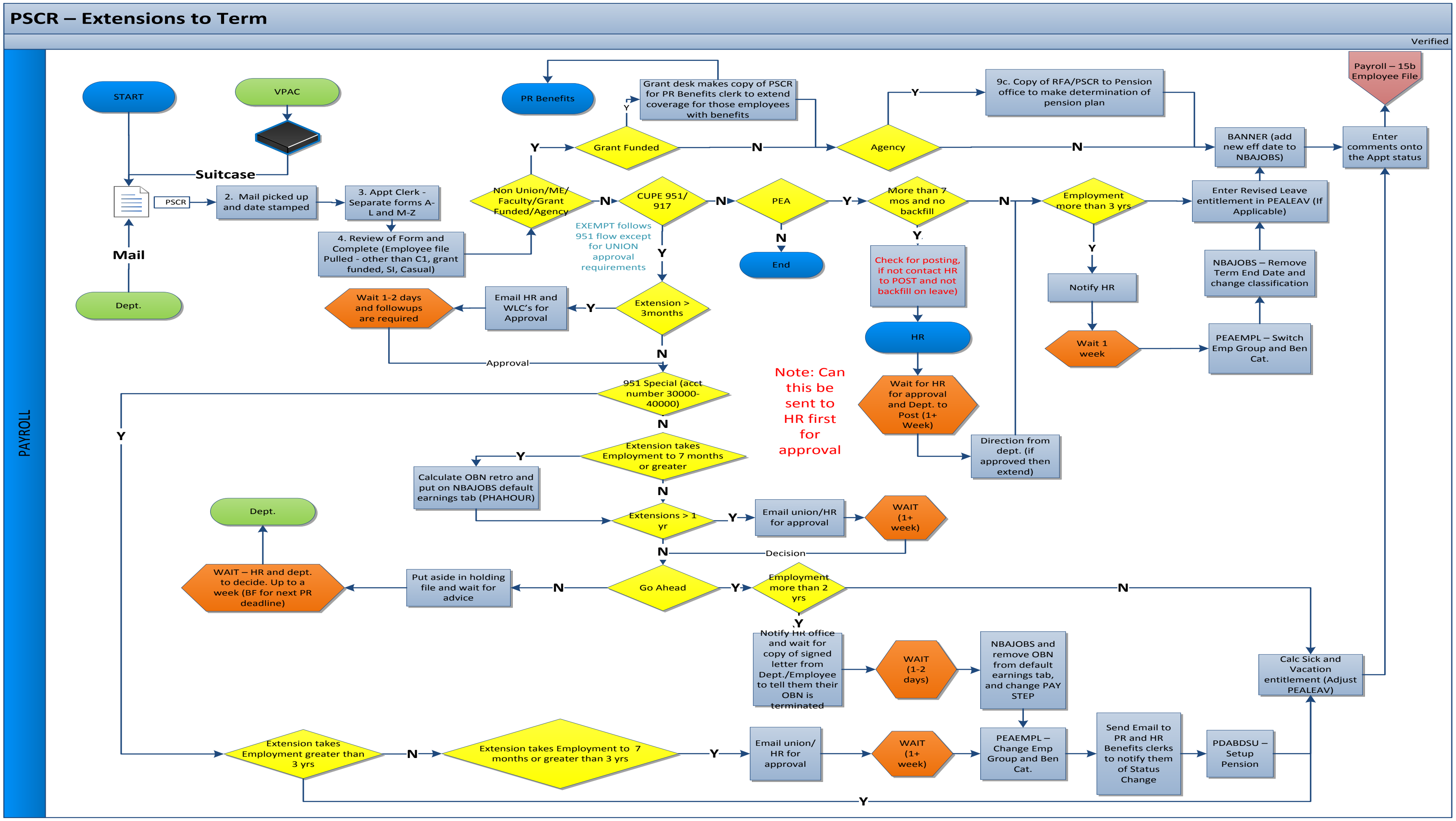
9.4. Position Status Change Form (PSCF) – CUPE 951/PEA/917



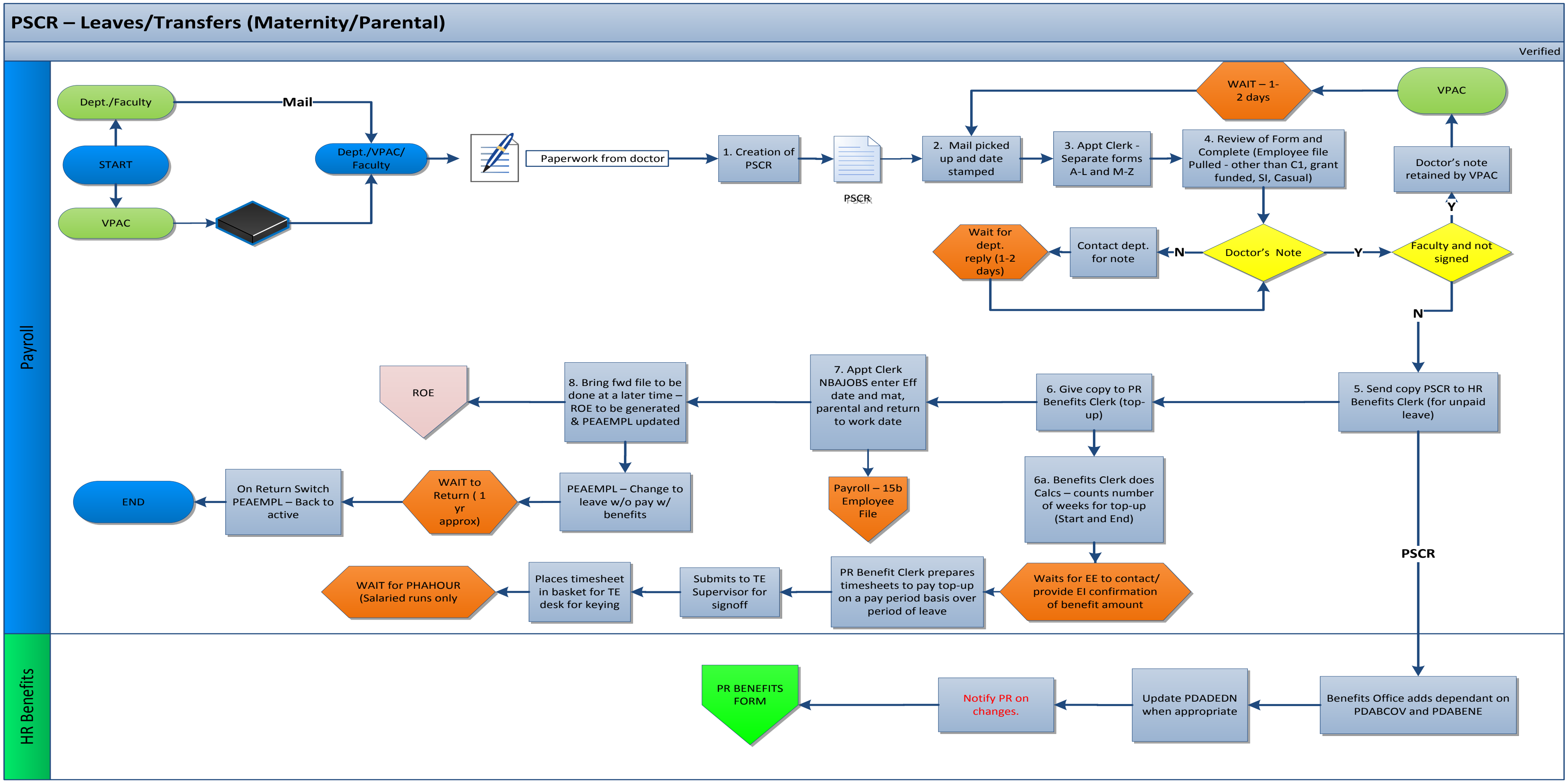
9.5. Position Status Change Request (PSCR) – VPAC



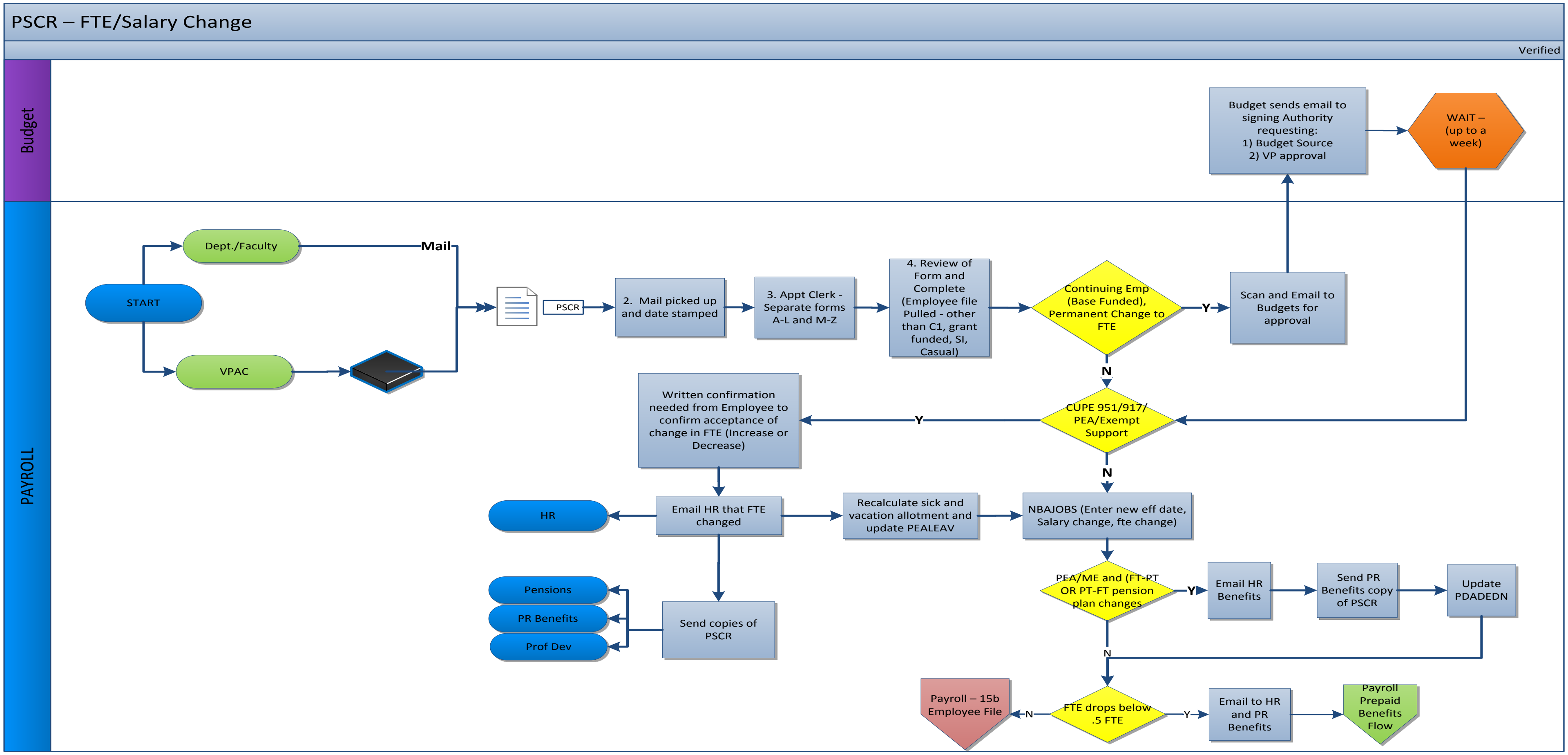
9.6. Position Status Change Request (PSCR) – Extensions to term



9.7. Position Status Change Request (PSCR) – Leave/Transfer (Maternity/Parental)



9.8. Position Status Change Request (PSCR) – FTE/Salary Change



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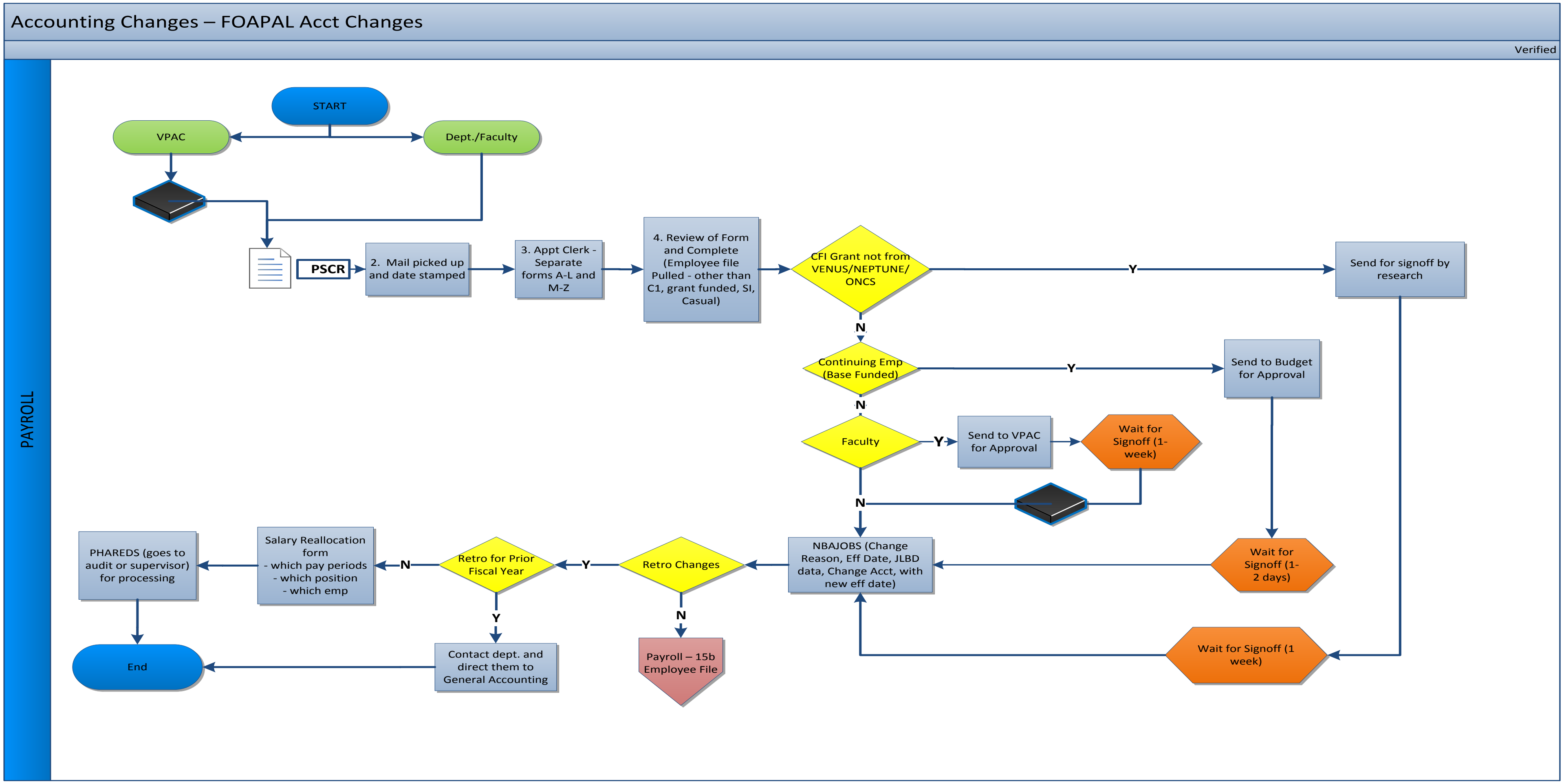
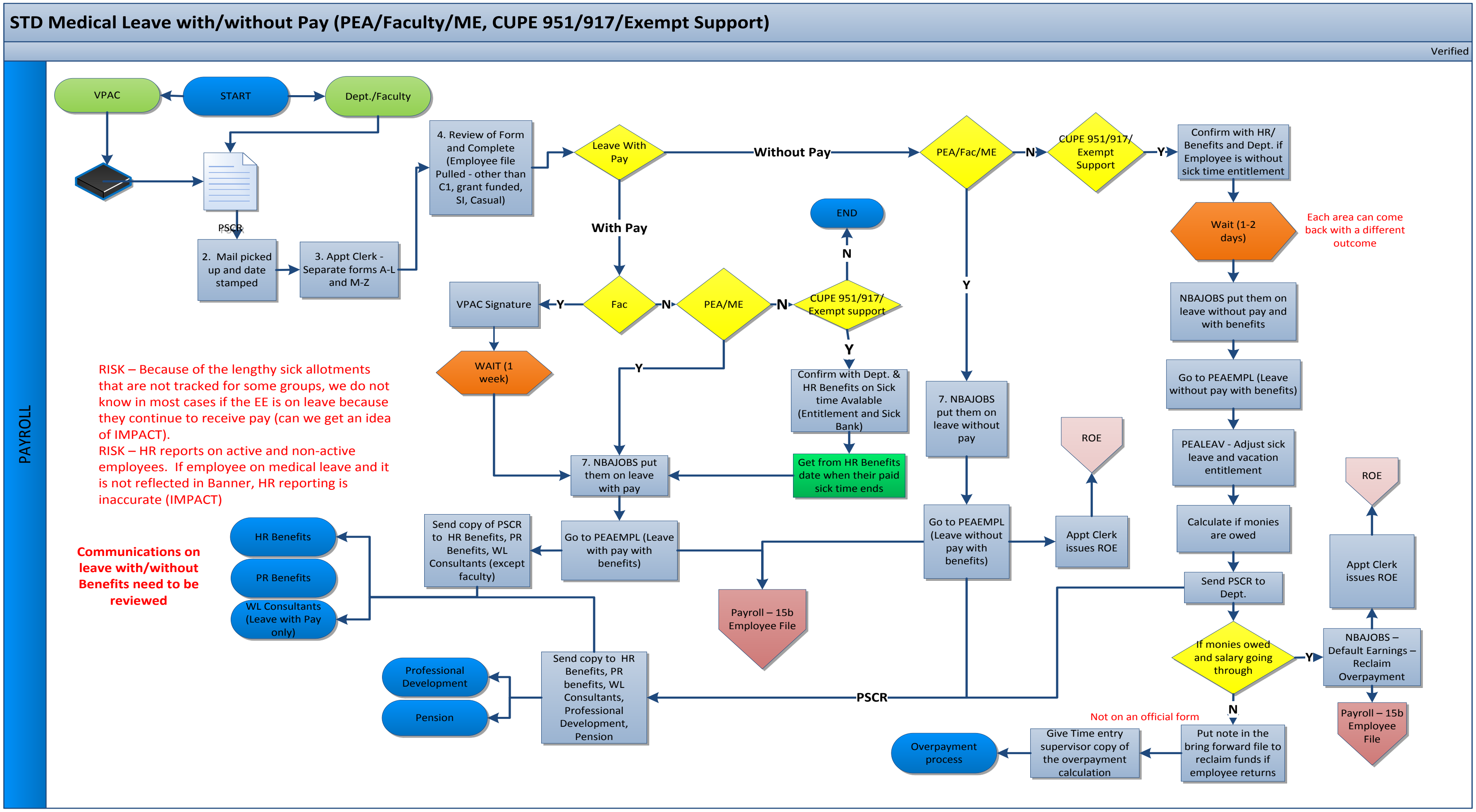
9.9. Position Status Change Request (PSCR) – Account Changes



9.10. Position Status Change Request (PSCR) – STD Medical Leave



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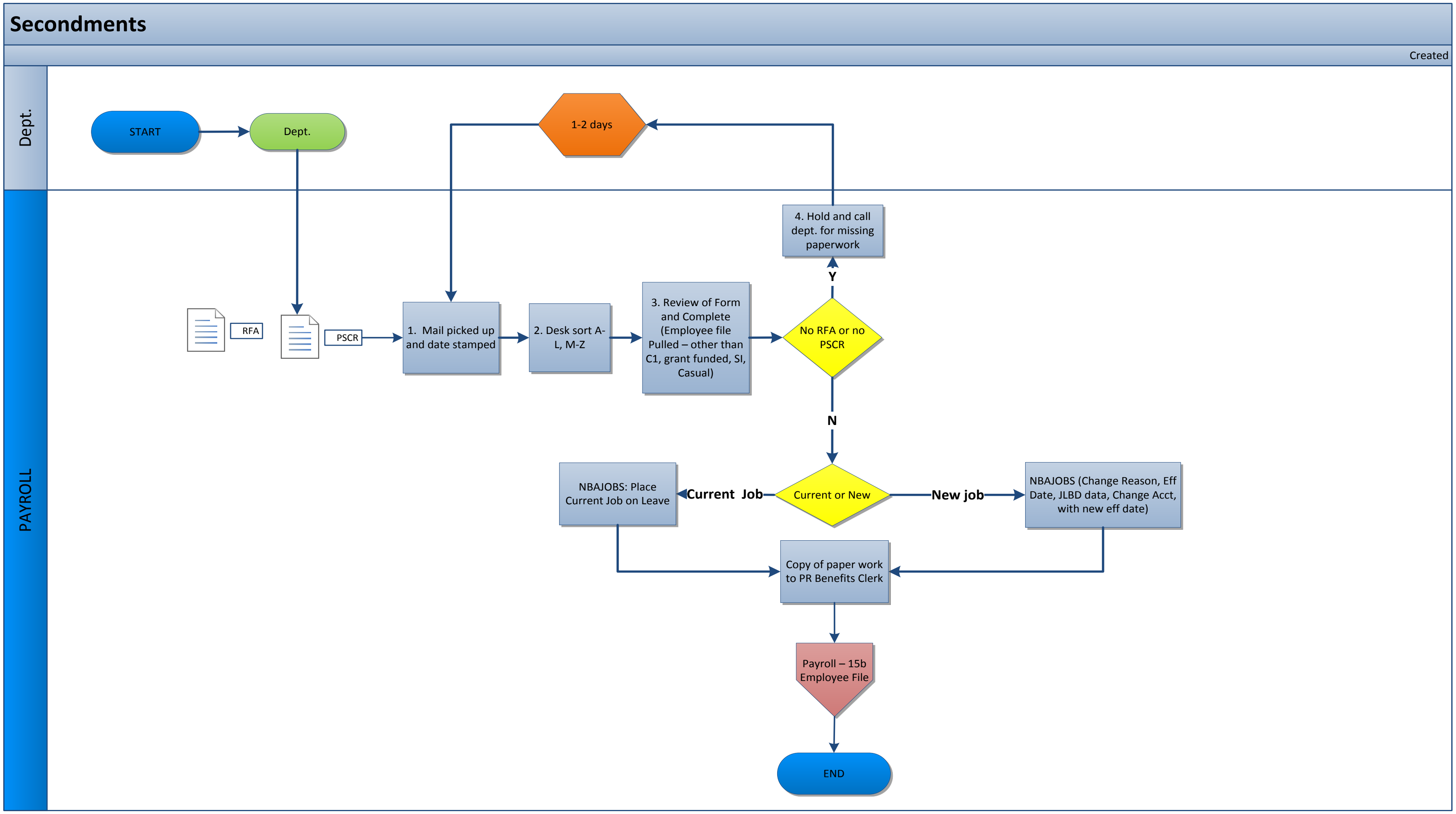
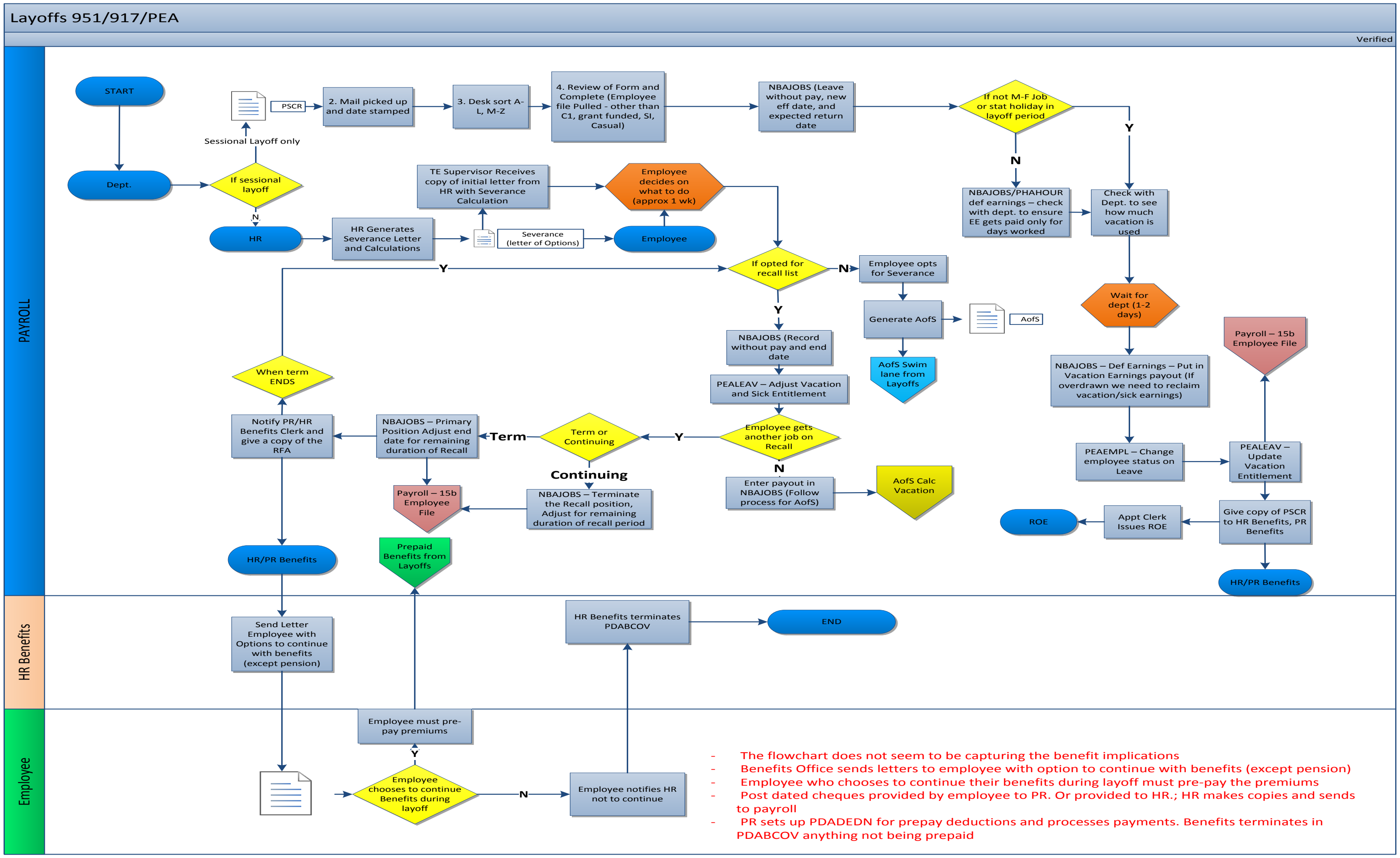
9.11. Position Status Change Request (PSCR) – Secondments

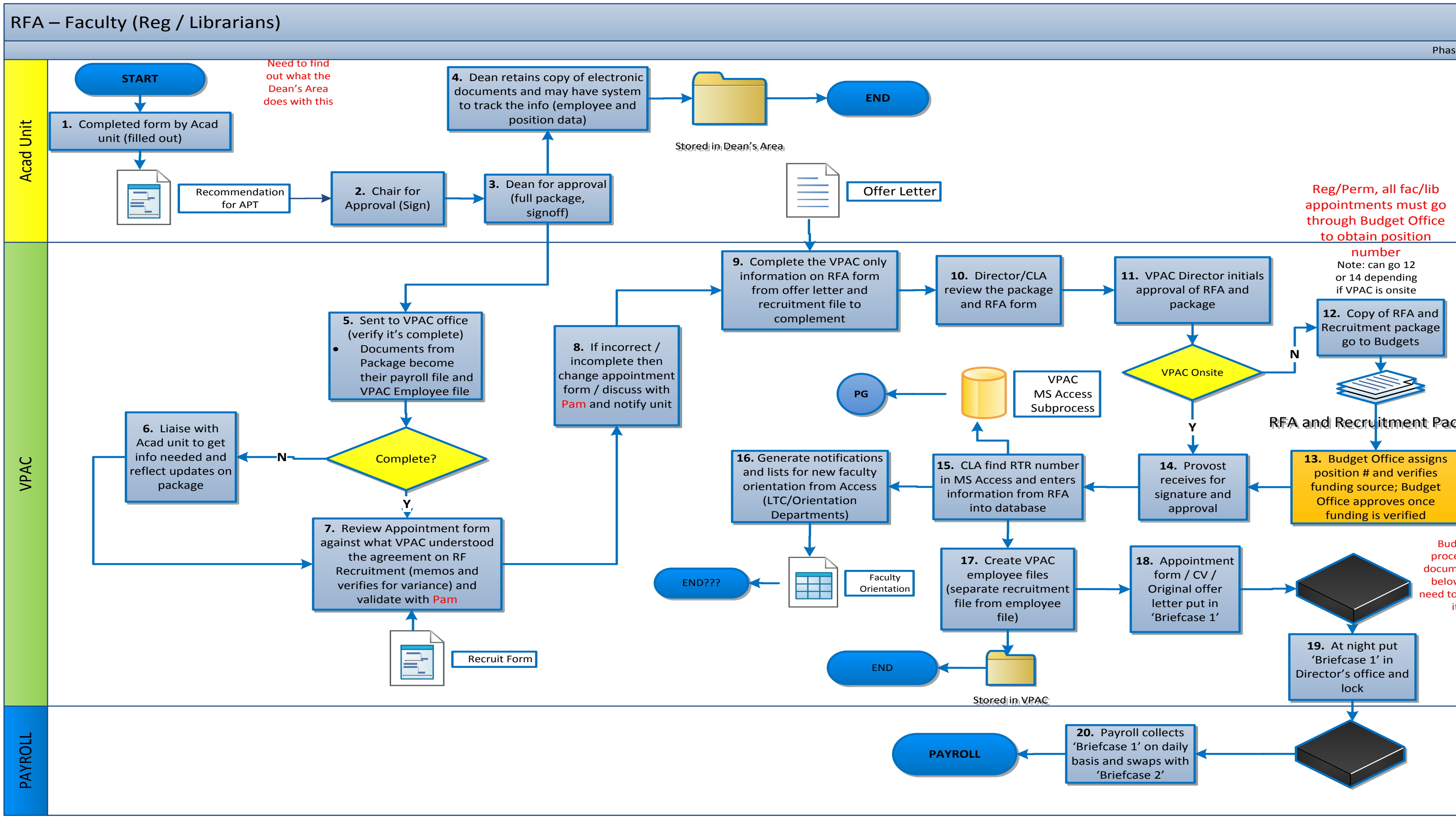


9.12. Position Status Change Request (PSCR) – Layoffs 951/917/PEA

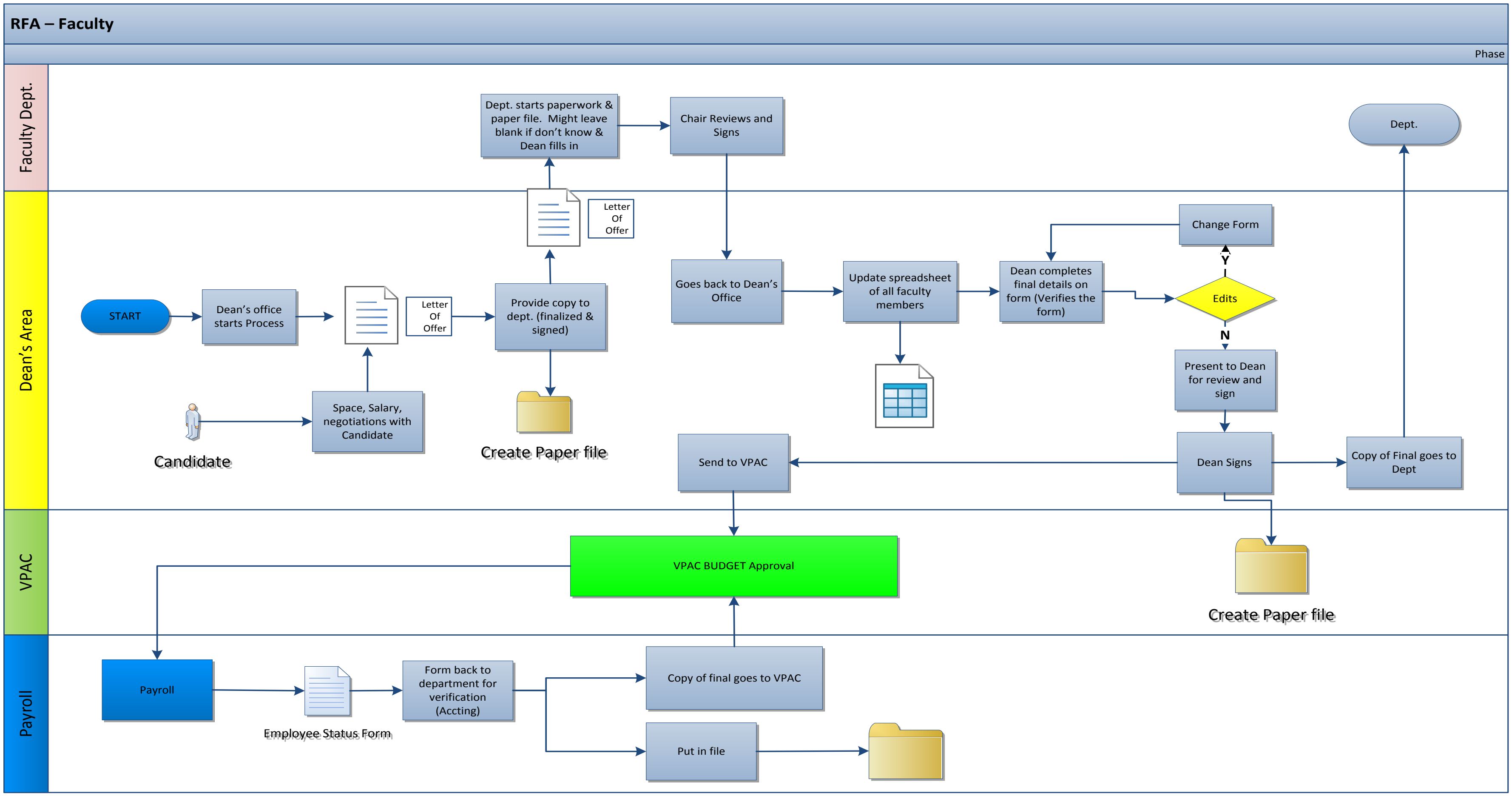


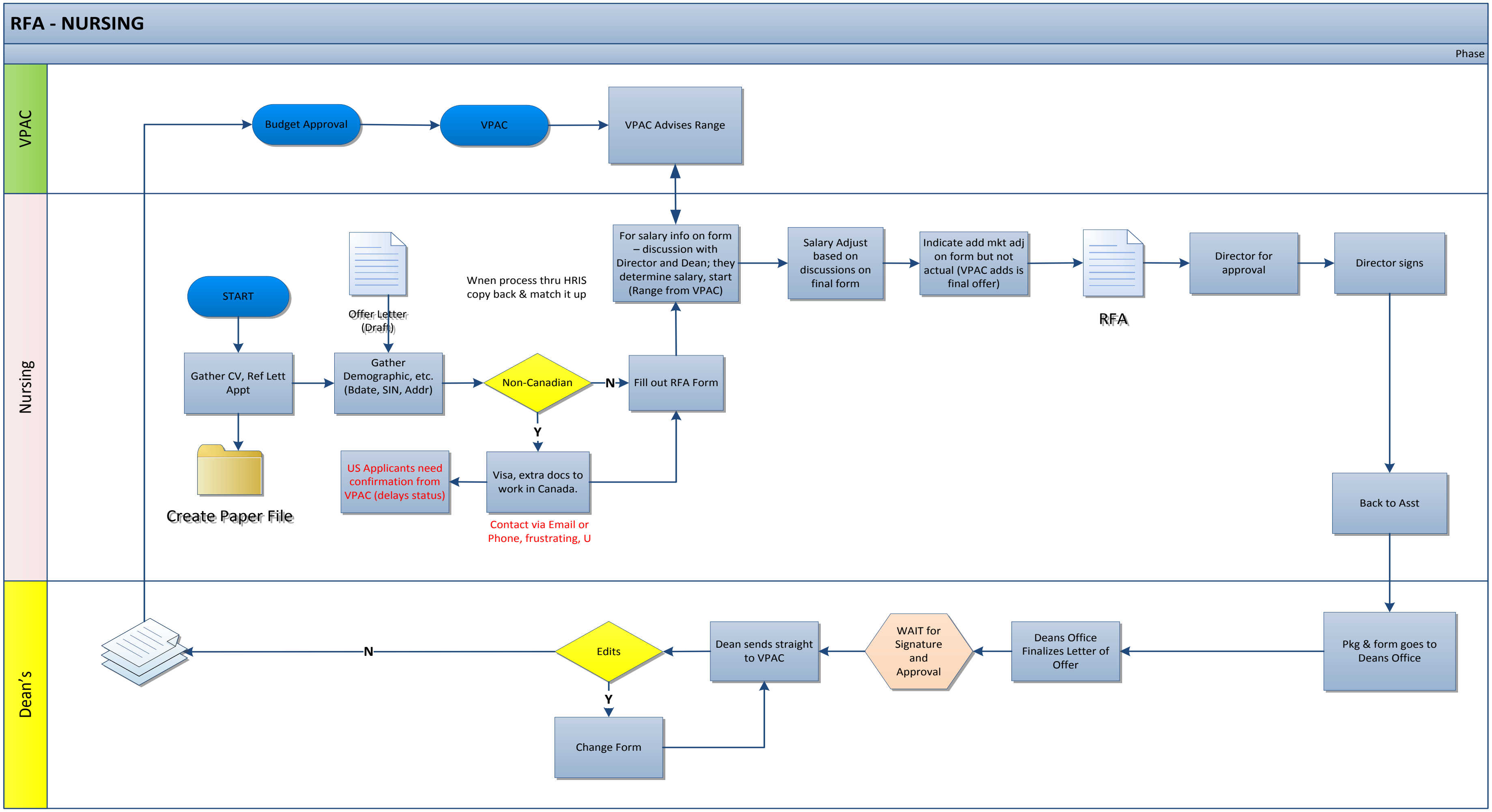
10. Request for Advice (RFA)

10.1. RFA – Faculty - Reg/Librarians

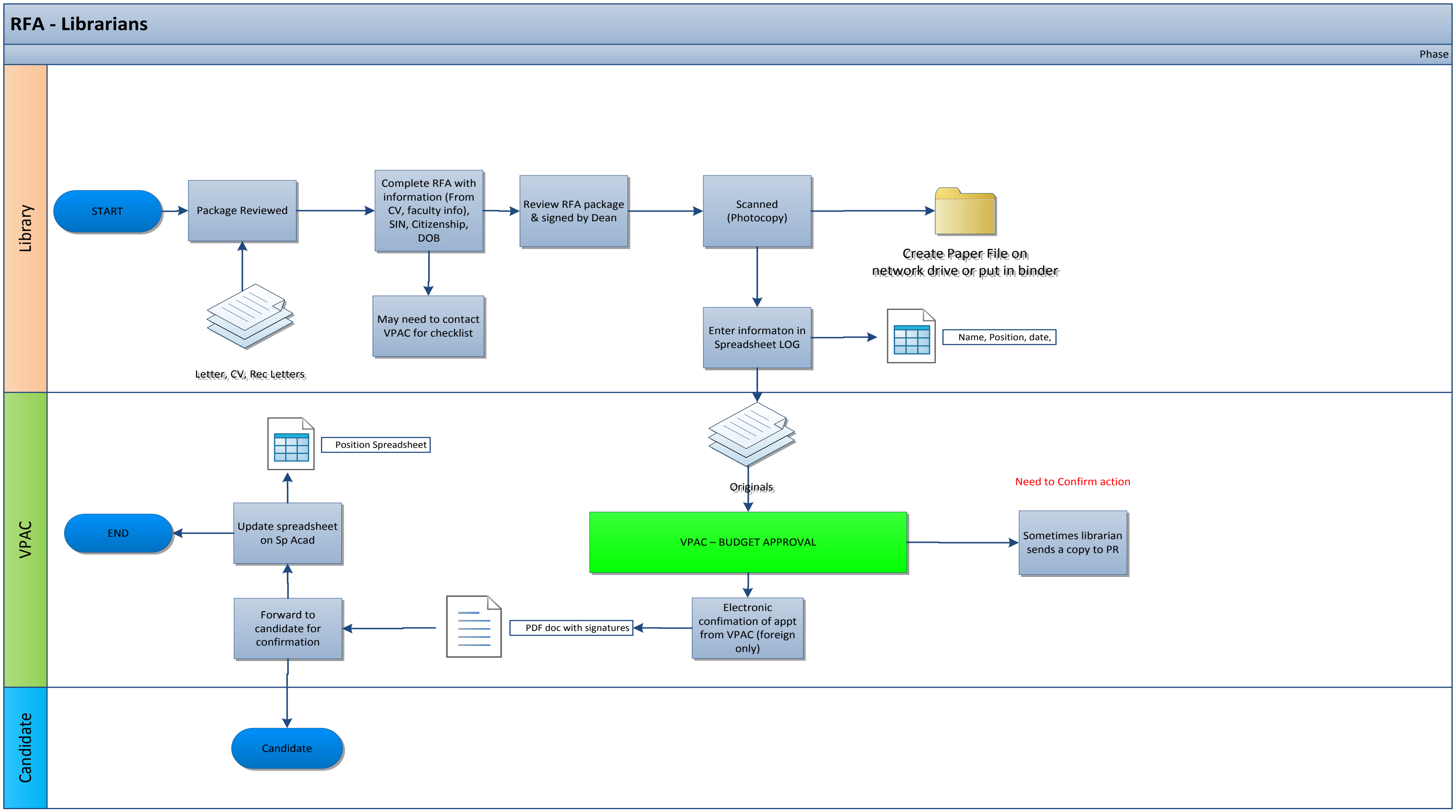


10.2. RFA – Faculty – Academic Unit

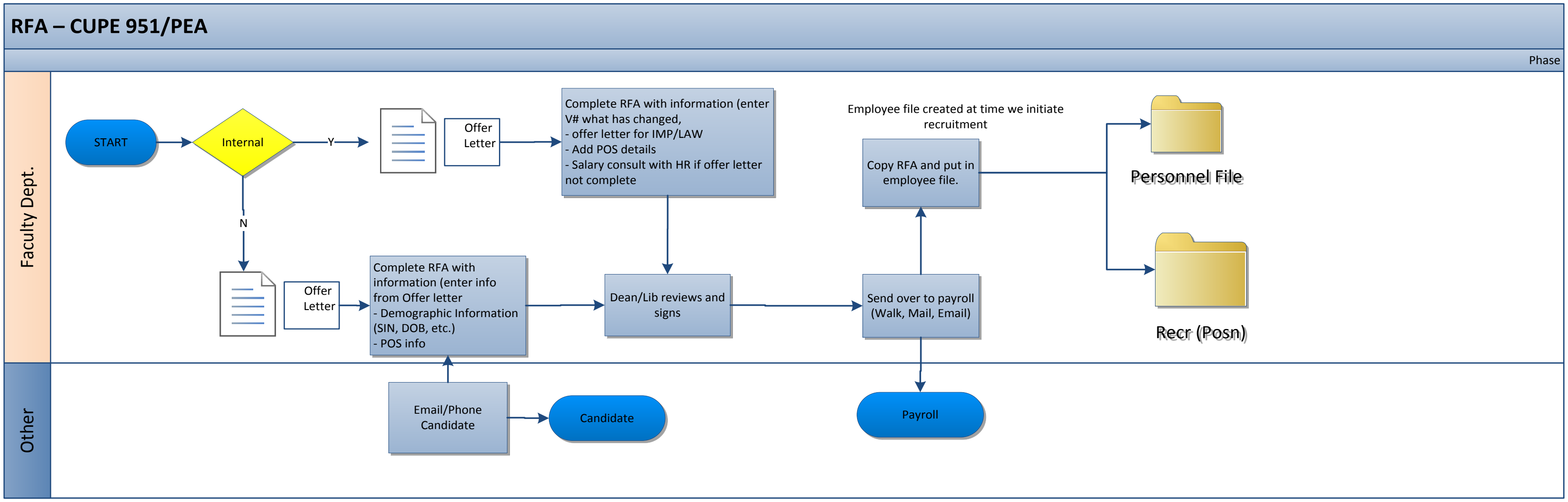


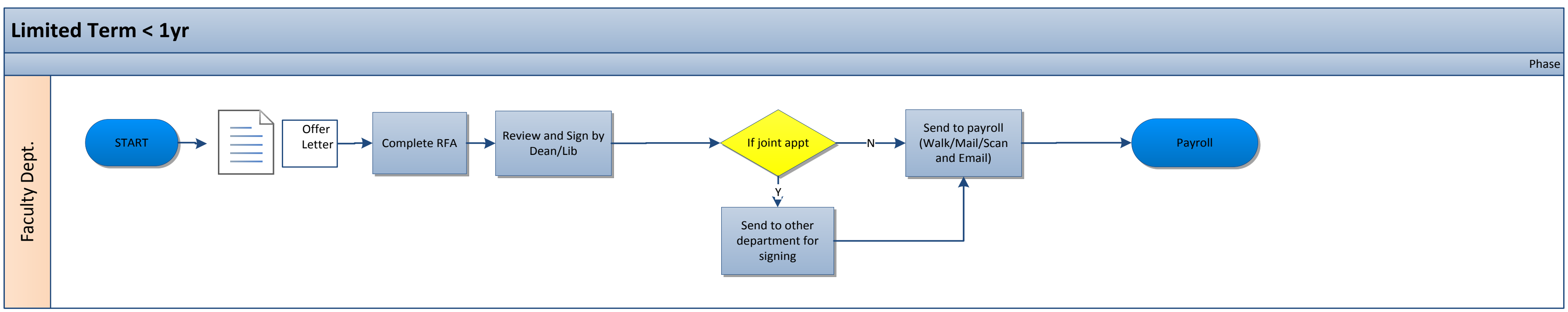

RFA - NURSING
Phase
VPAC
Nursing
Dean's
Budget Approval
VPAC
VPAC Advises Range
START
Offer Letter (Draft)
Wnen process thru HRIS copy back & match it up
For salary info on form – discussion with Director and Dean; they determine salary, start (Range from VPAC)
Salary Adjust based on discussions on final form
Indicate add mkt adj on form but not actual (VPAC adds is final offer)
RFA
Director for approval
Director signs
Gather CV, Ref Lett Appt
Gather Demographic, etc. (Bdate, SIN, Addr)
Non-Canadian
N
Fill out RFA Form
Y
Create Paper File
US Applicants need confirmation from VPAC (delays status)
Visa, extra docs to work in Canada.
Contact via Email or Phone, frustrating, U
Back to Asst
N
Edits
Dean sends straight to VPAC
WAIT for Signature and Approval
Deans Office Finalizes Letter of Offer
Pkg & form goes to Deans Office
Y
Change Form

10.3. RFA – Faculty - Librarians

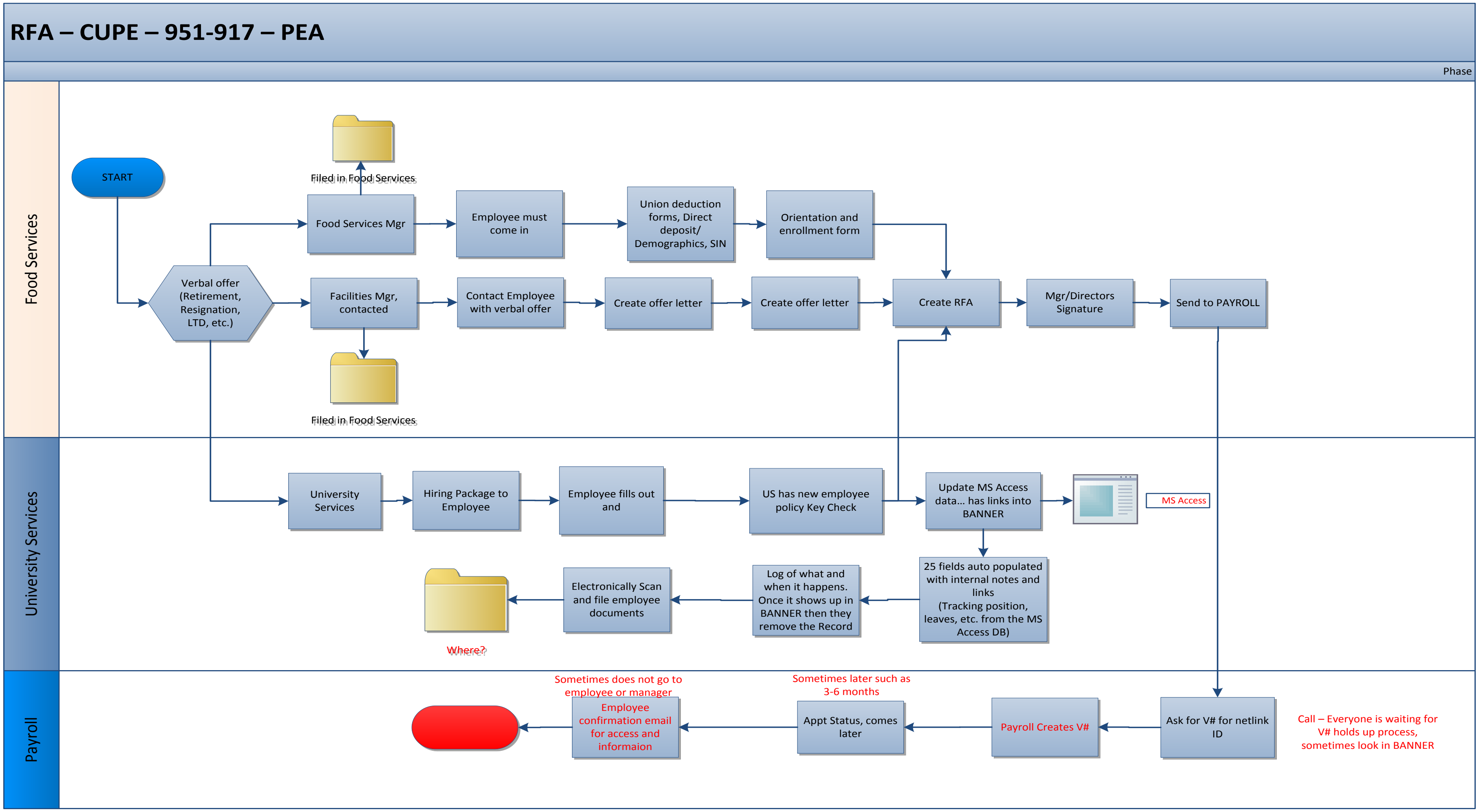


10.4. RFA – Faculty - CUPE 951/PEA

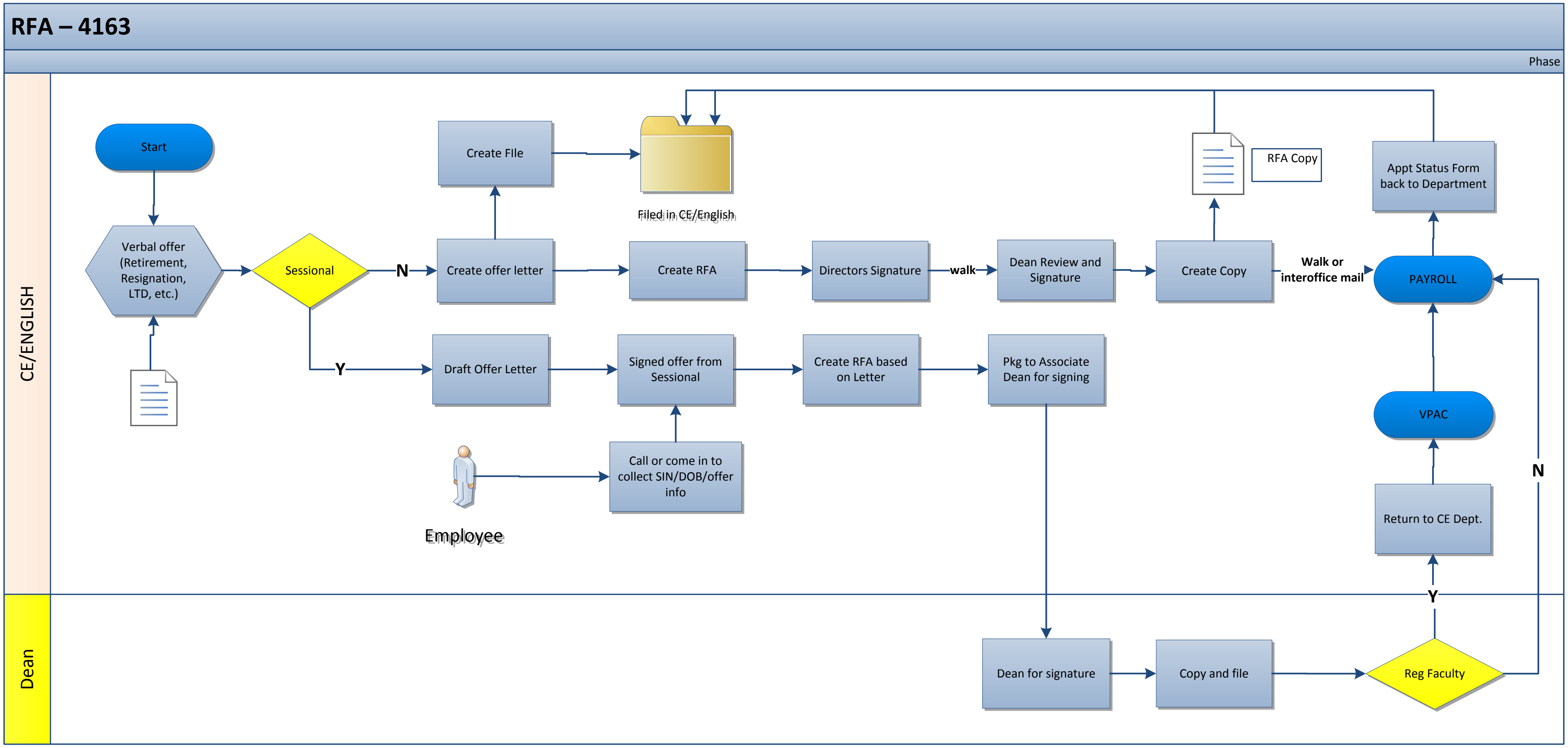




10.5. RFA – CUPE 951/917/PEA

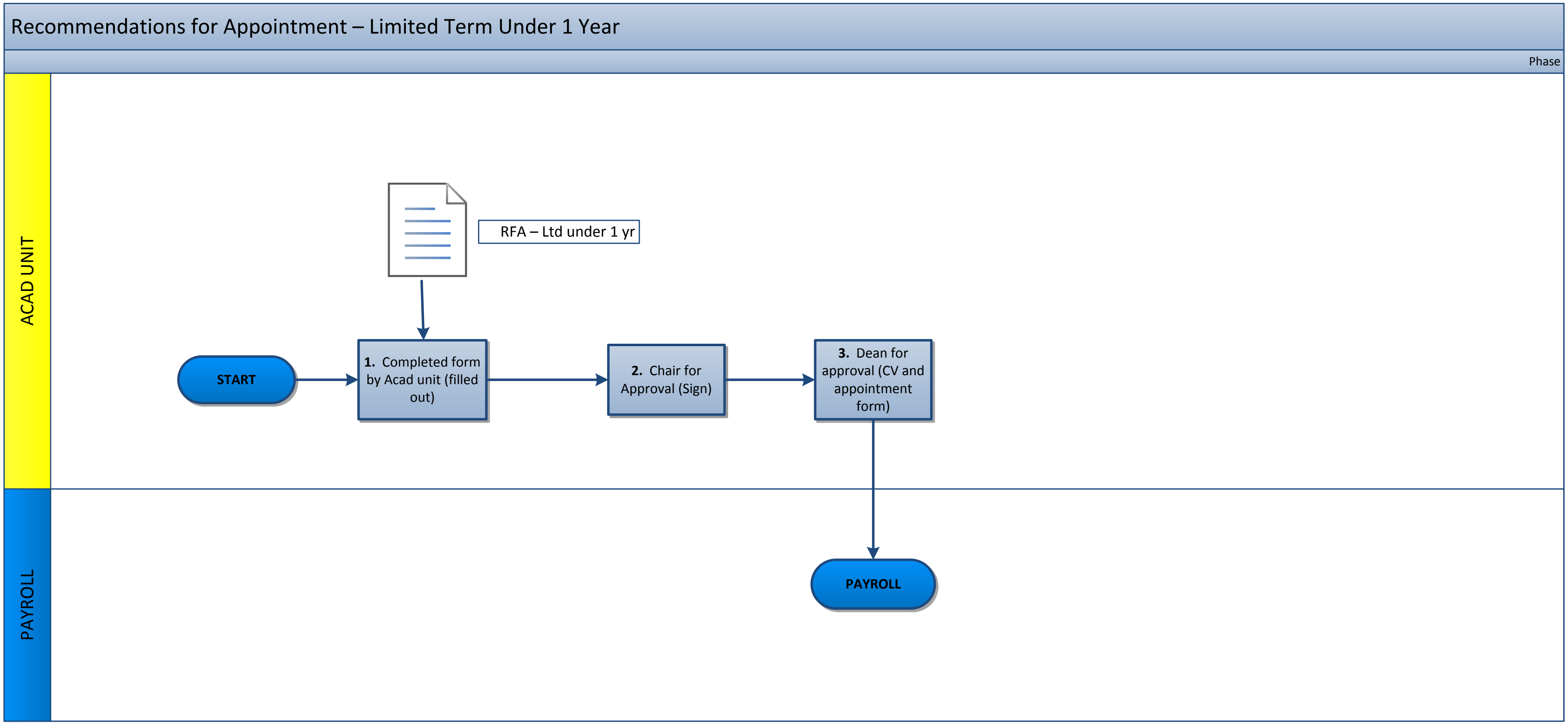


10.6. RFA – 4163

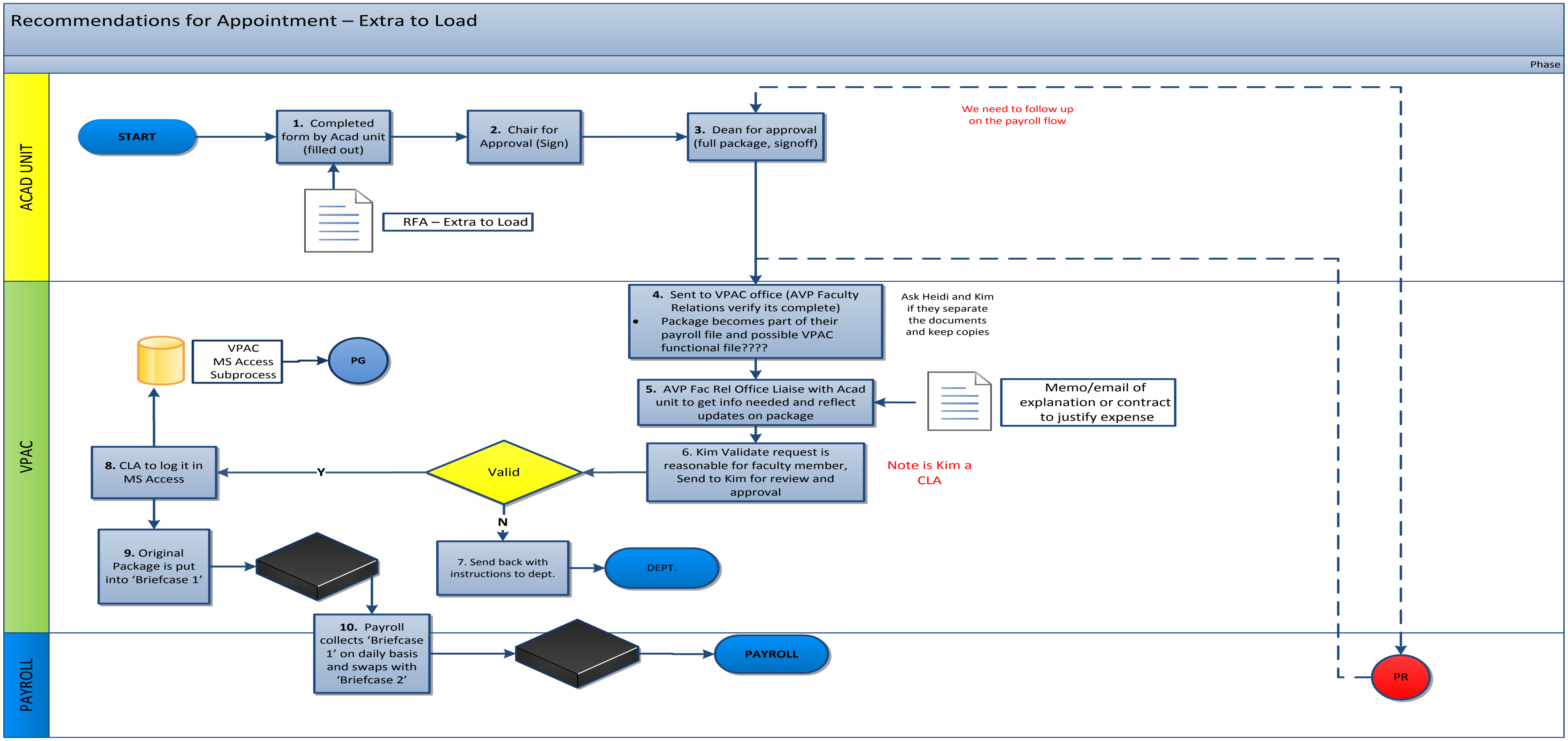


RFA – 4163
Phase
CE/ENGLISH
Dean
Start
Verbal offer (Retirement, Resignation, LTD, etc.)
Sessional
N
Y
Create File
Filed in CE/English
Create offer letter
Create RFA
Directors Signature
walk
Dean Review and Signature
Create Copy
RFA Copy
Walk or interoffice mail
PAYROLL
Appt Status Form back to Department
Draft Offer Letter
Signed offer from Sessional
Create RFA based on Letter
Pkg to Associate Dean for signing
Call or come in to collect SIN/DOB/offer info
Employee
VPAC
Return to CE Dept.
Dean for signature
Copy and file
Reg Faculty

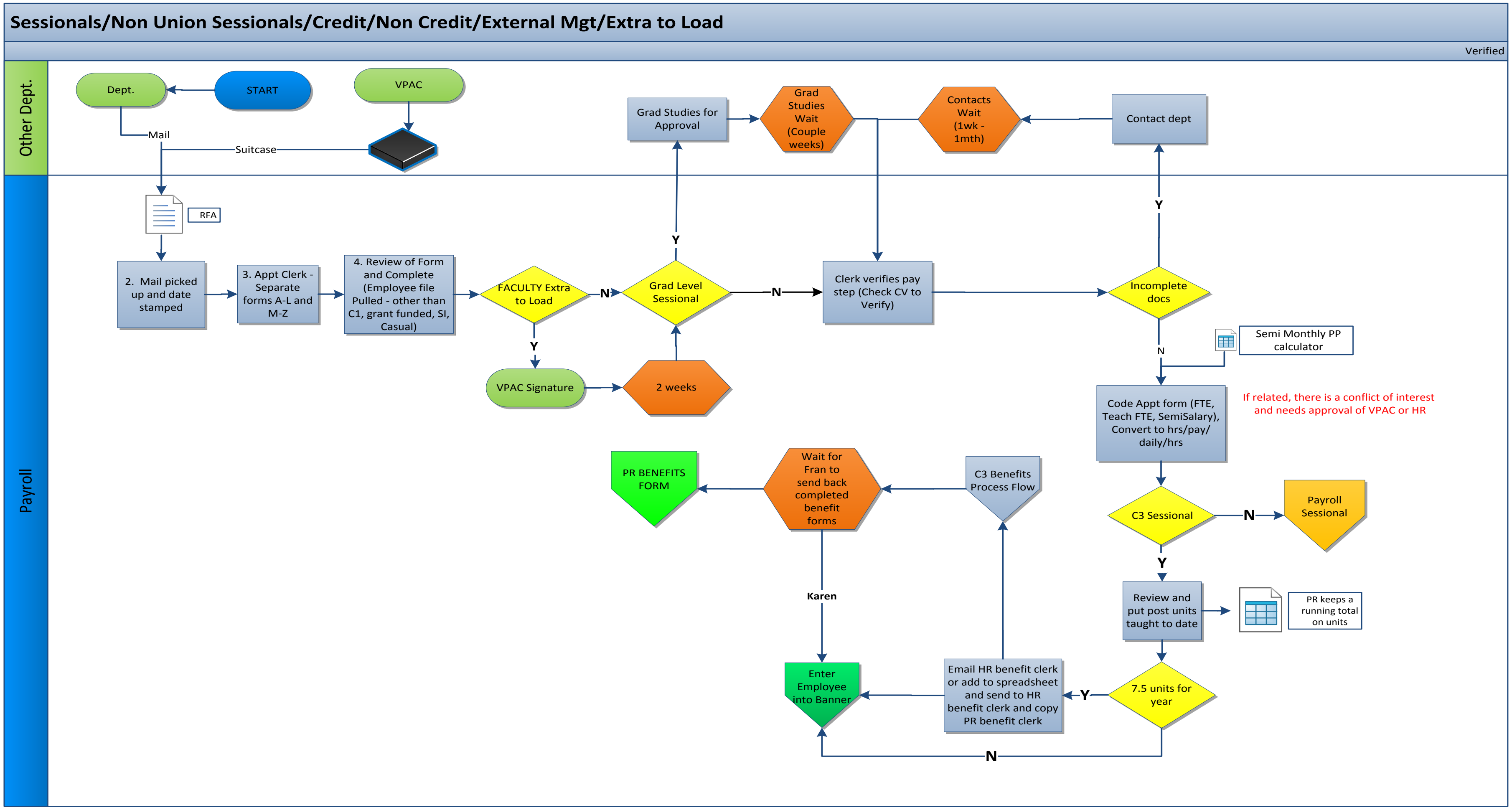
10.7. RFA – Limited Term (Under 1 year)



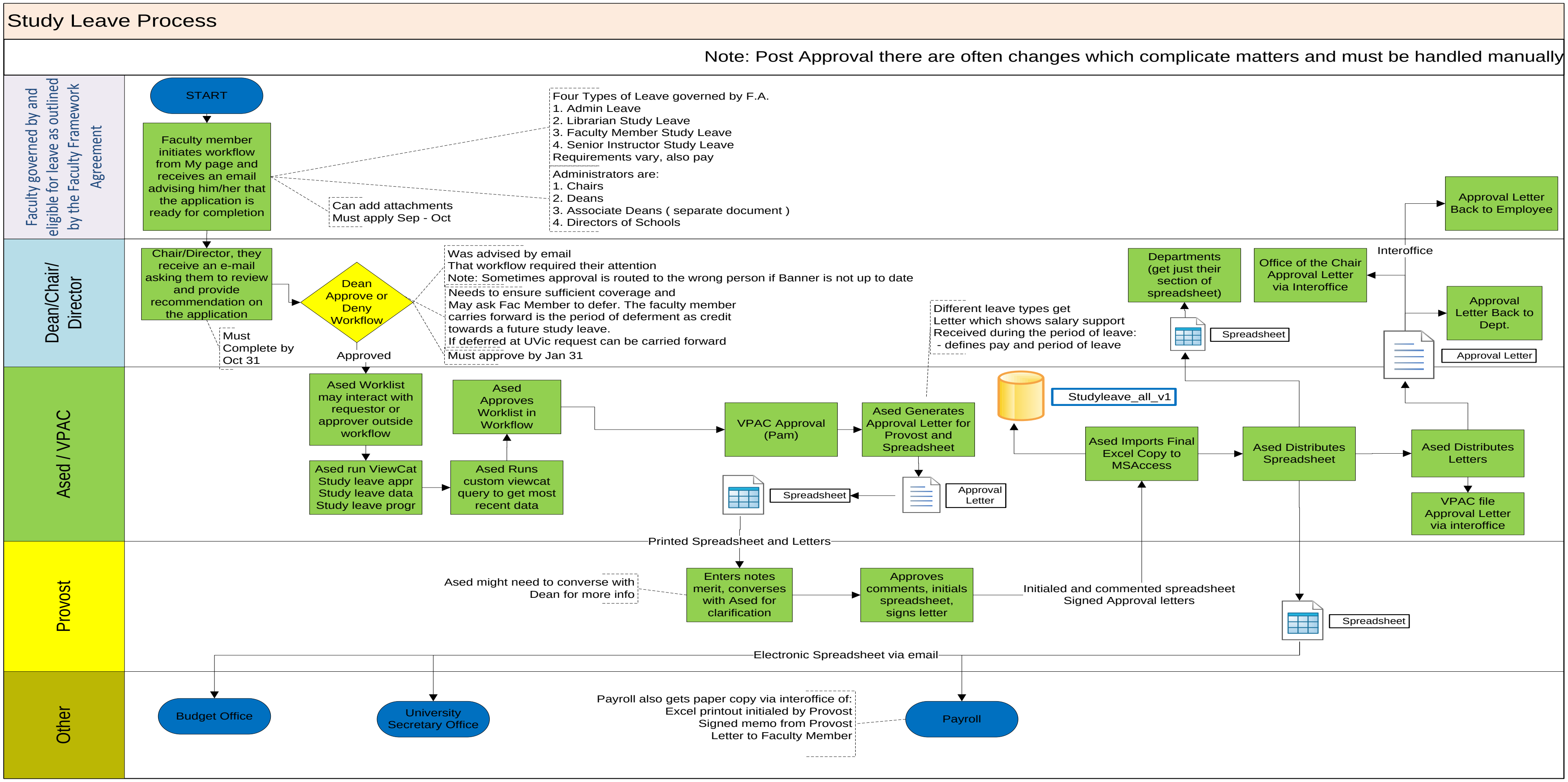
10.8. RFA – Extra to Load



11. Sessional

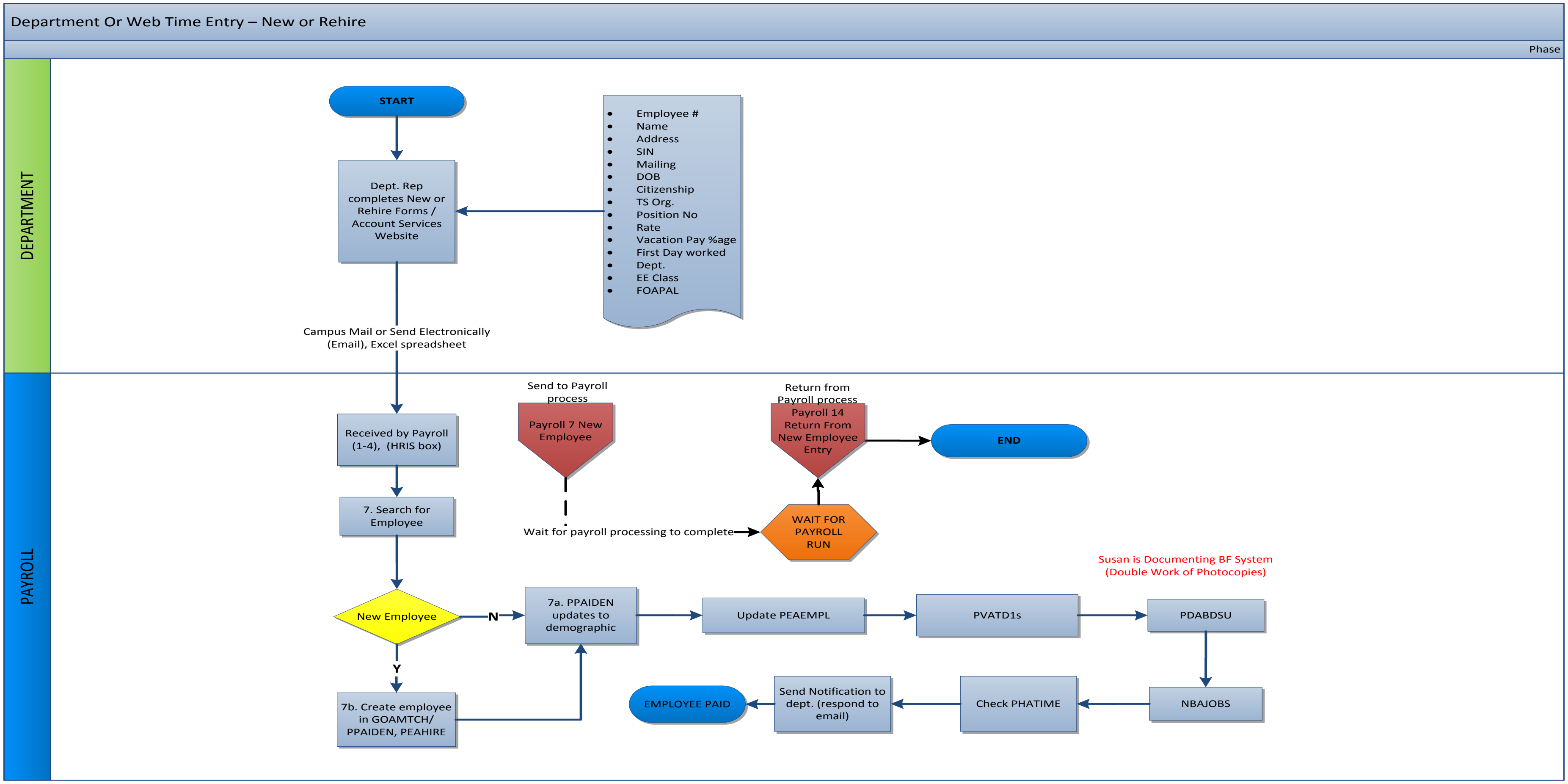


12. Study Leave

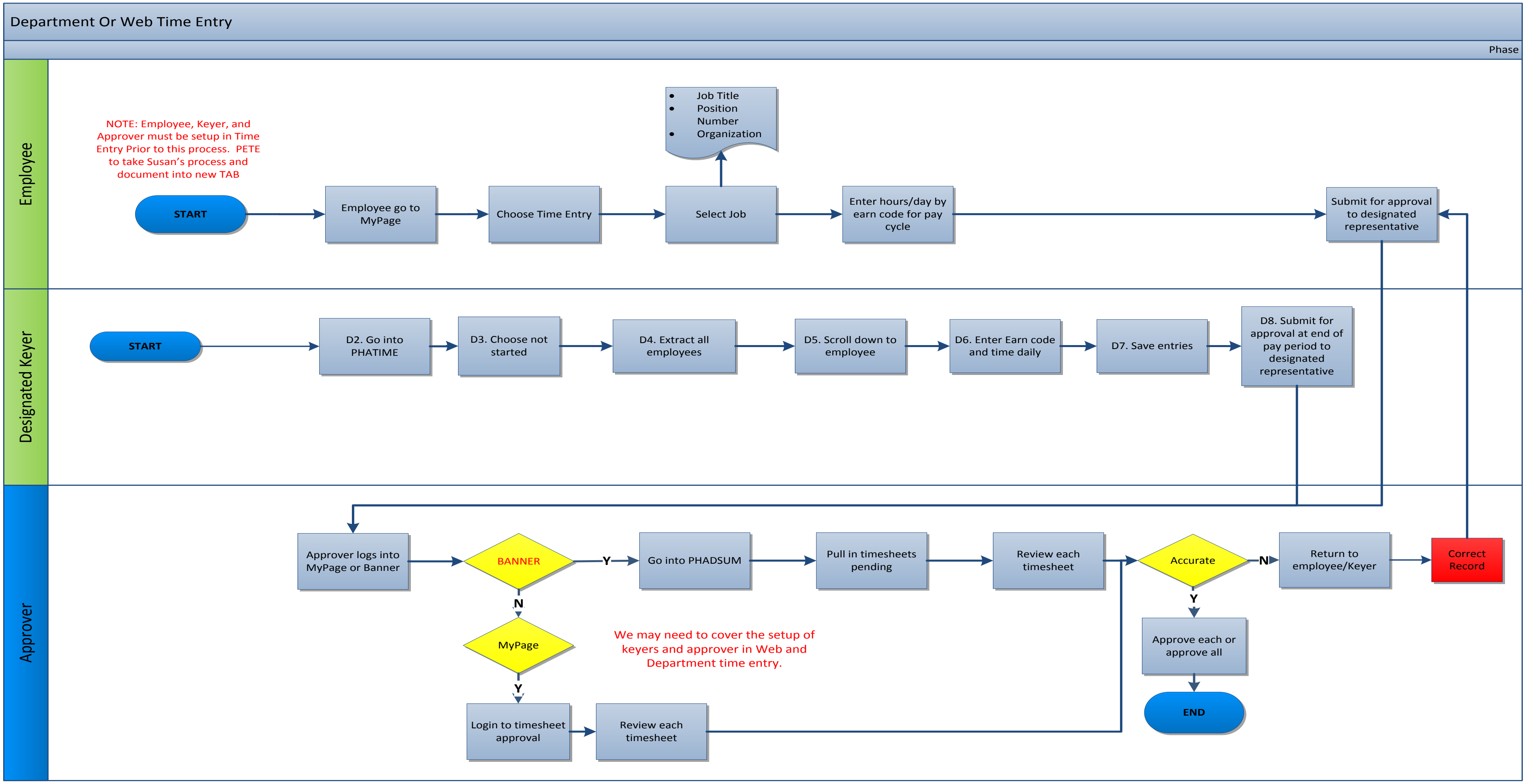


13. Time Entry

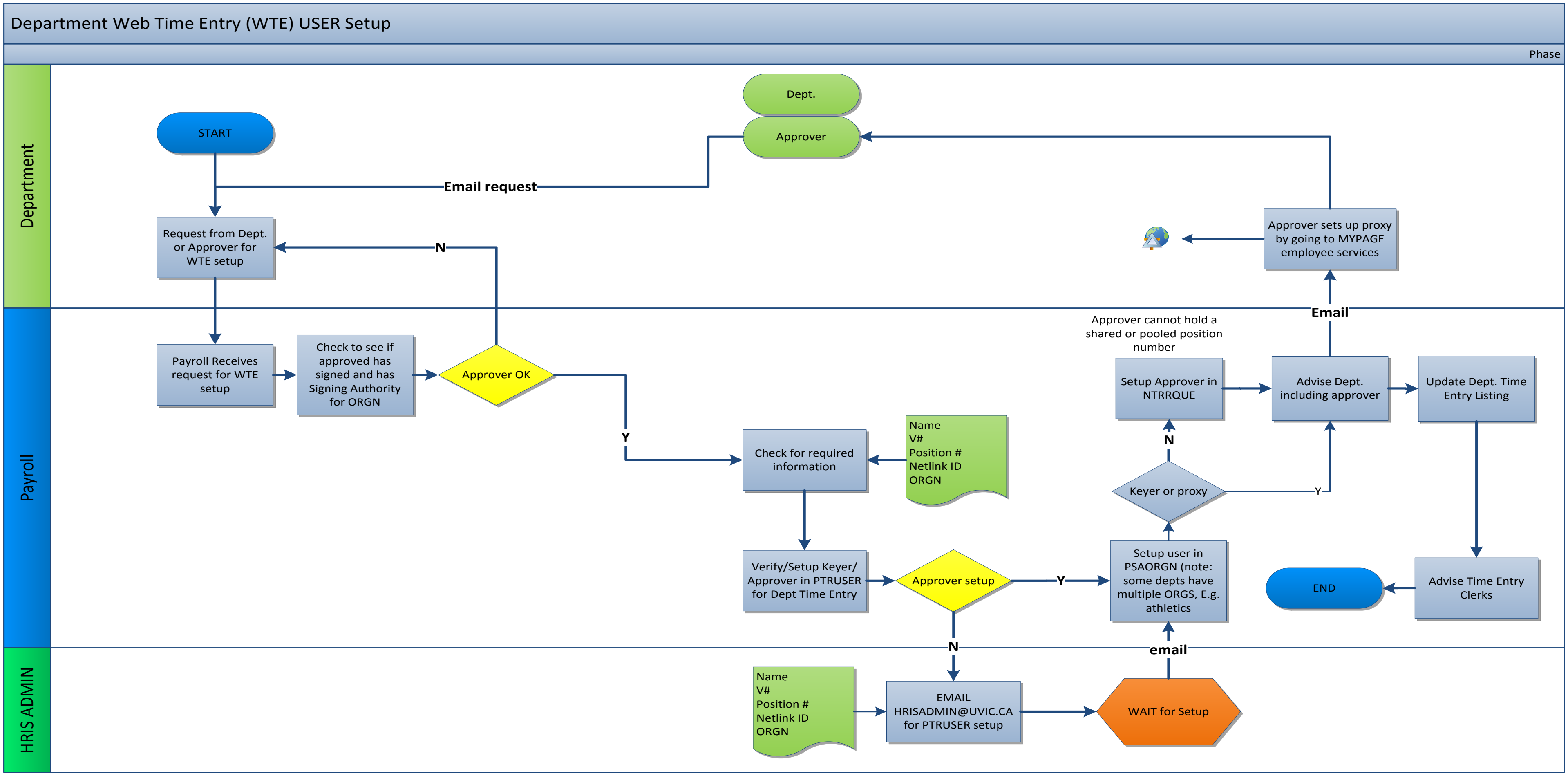
13.1. Departmental (New or Rehire)



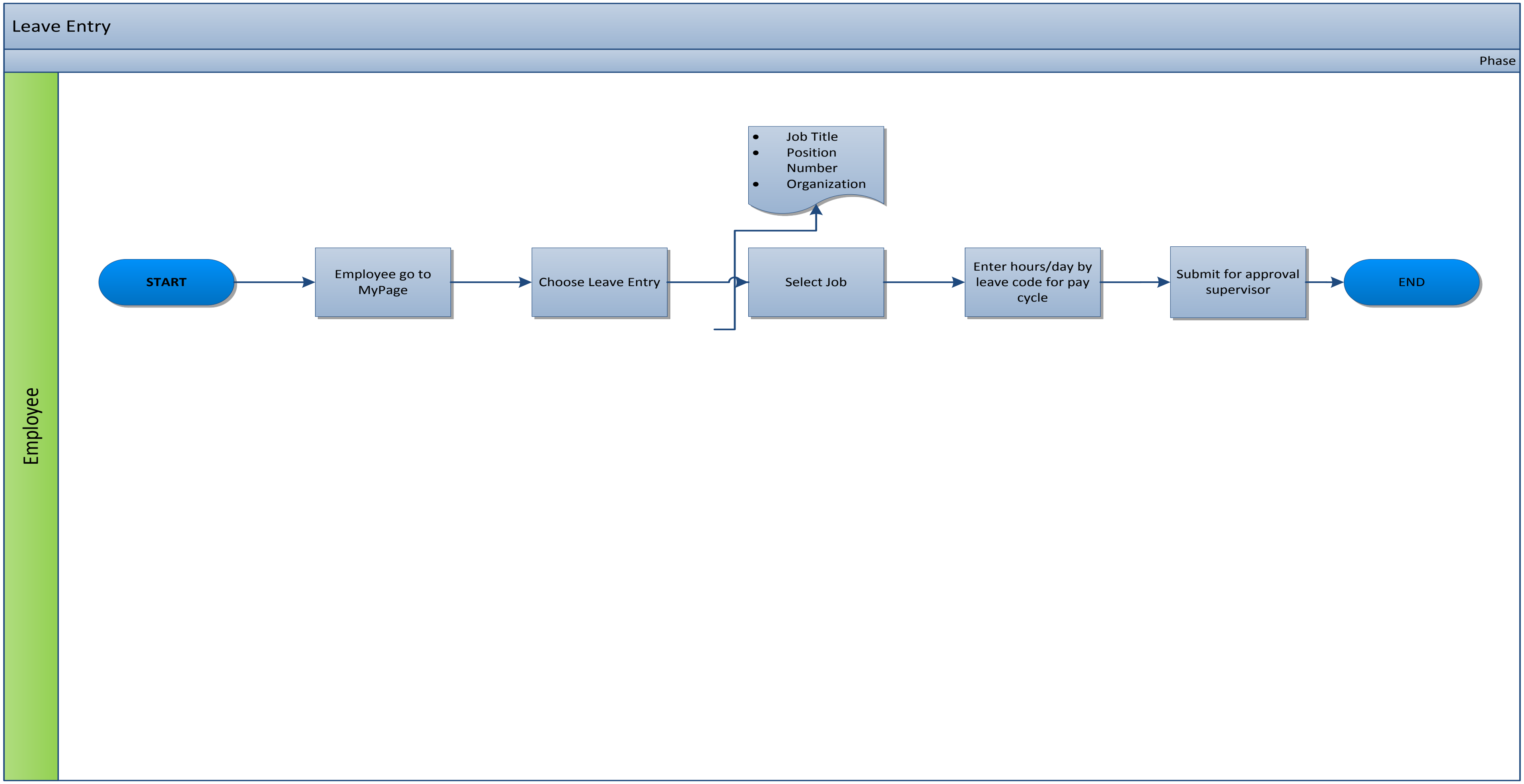
13.2. Departmental or Web Time Entry



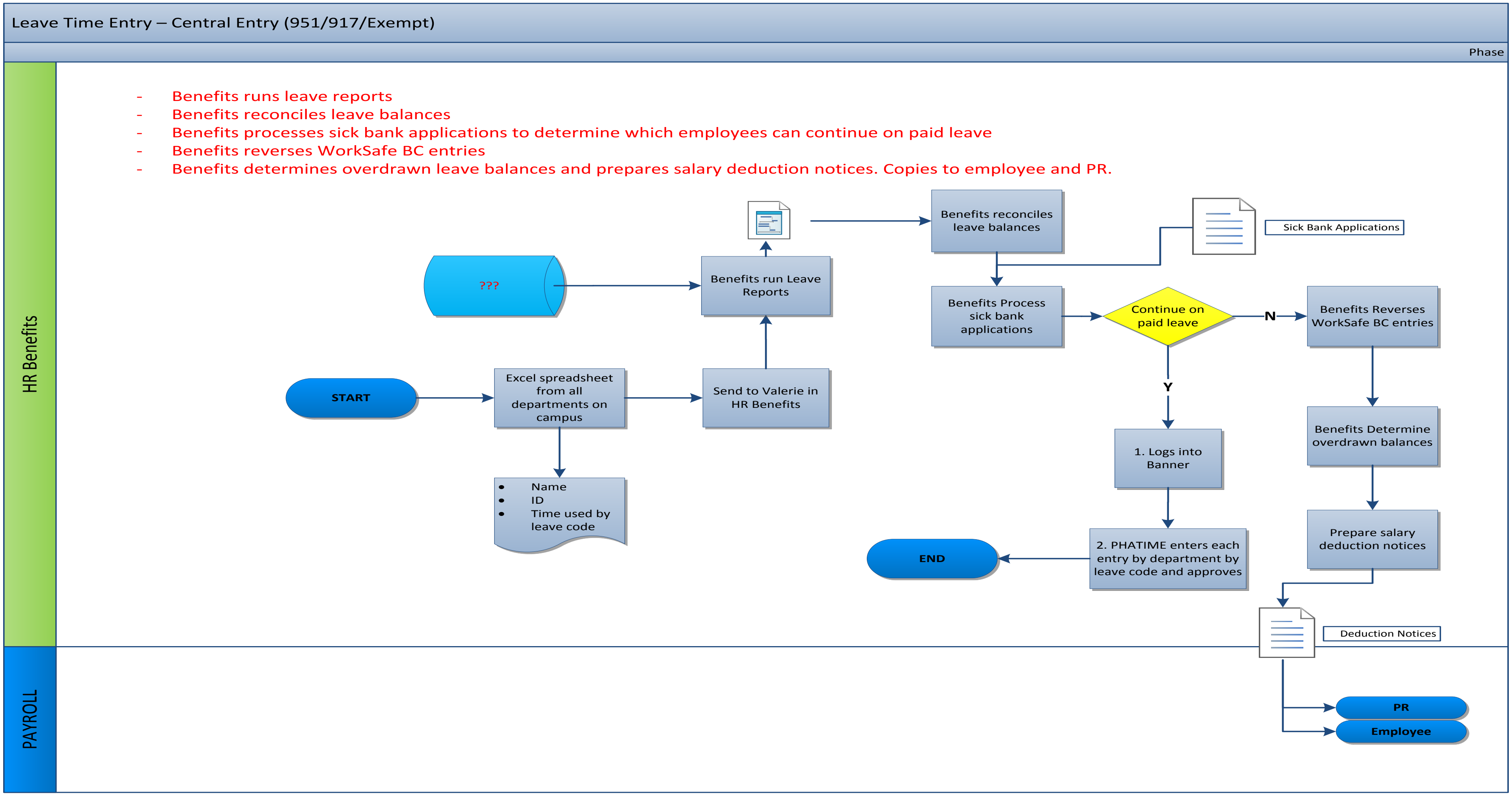
13.3. Web Time Entry – User Setup



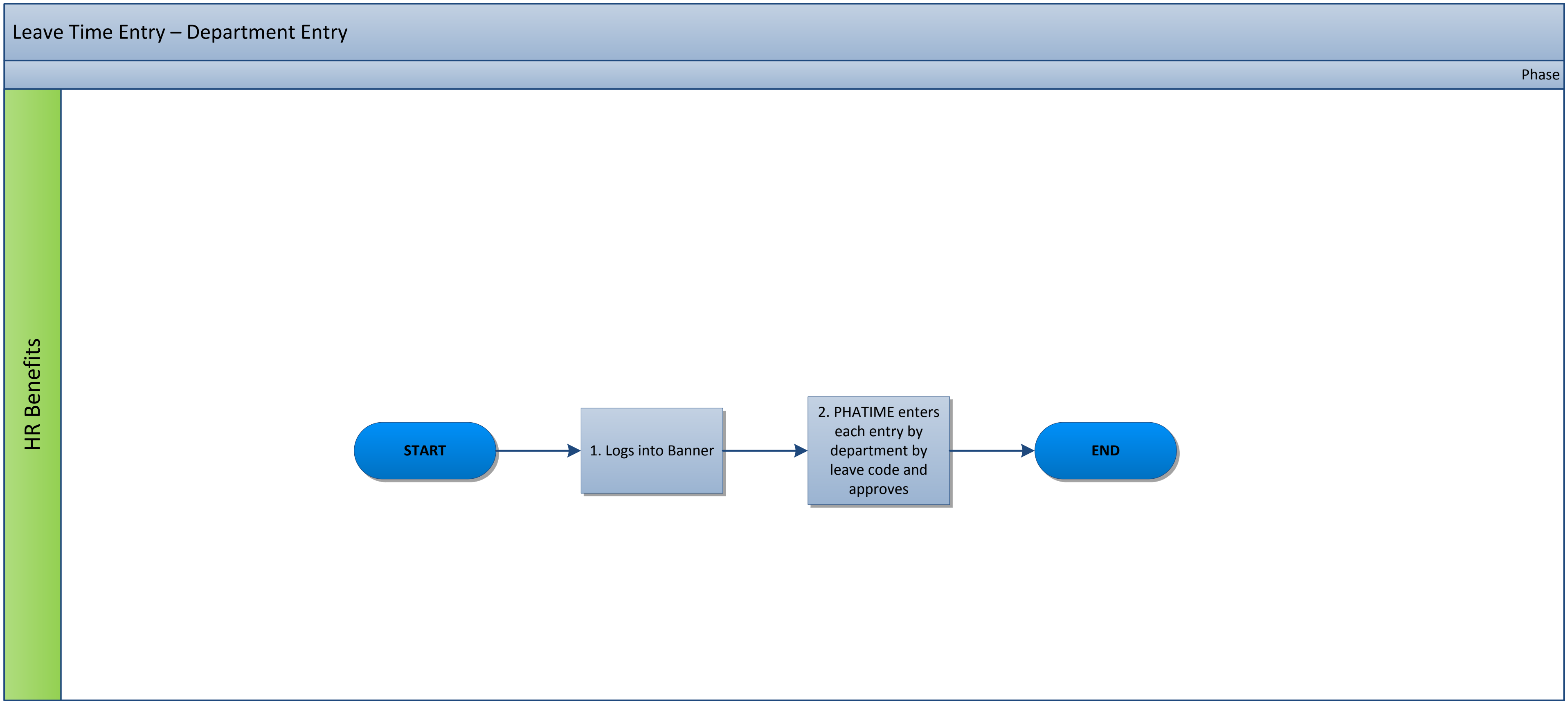
13.4. Leave Entry



13.5. Leave Time Entry – Central 951/917/Except

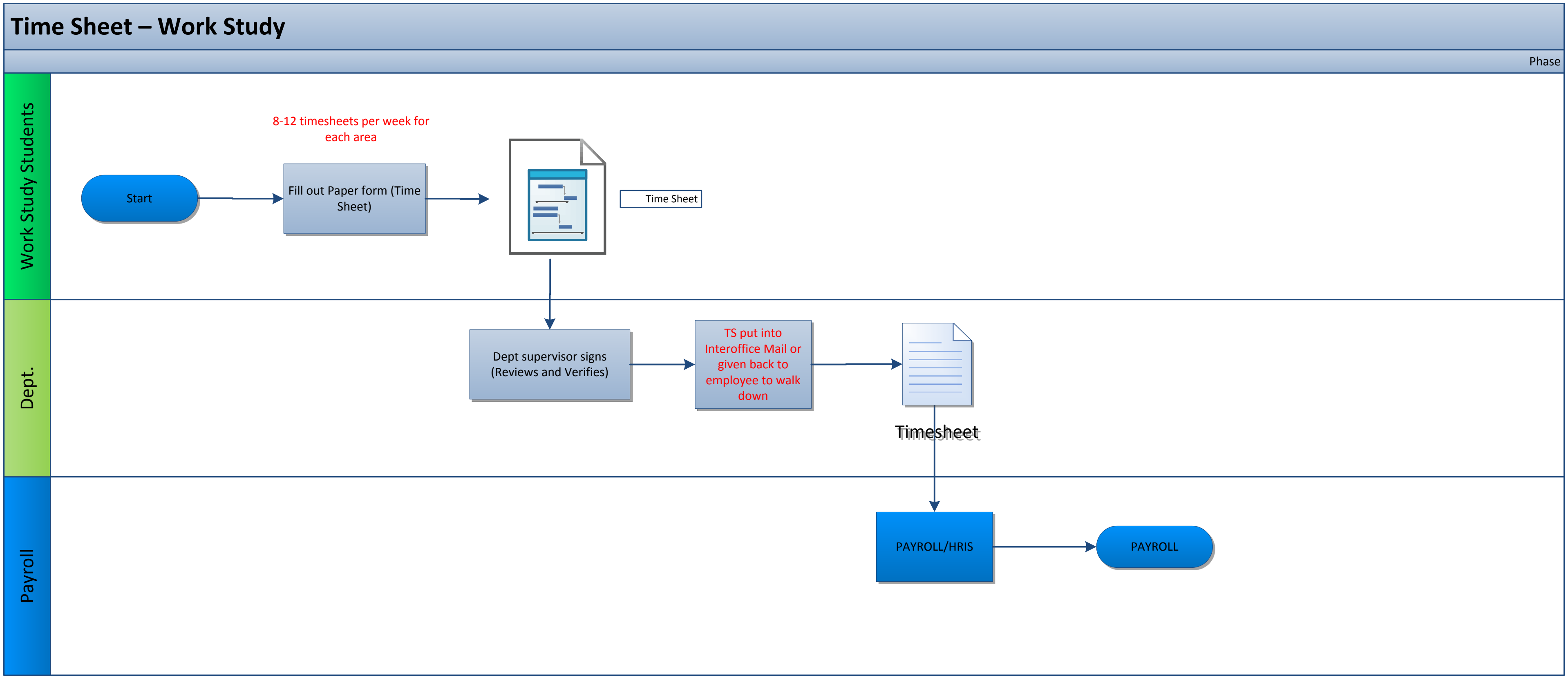


13.6. Leave Time Entry – Departmental Entry

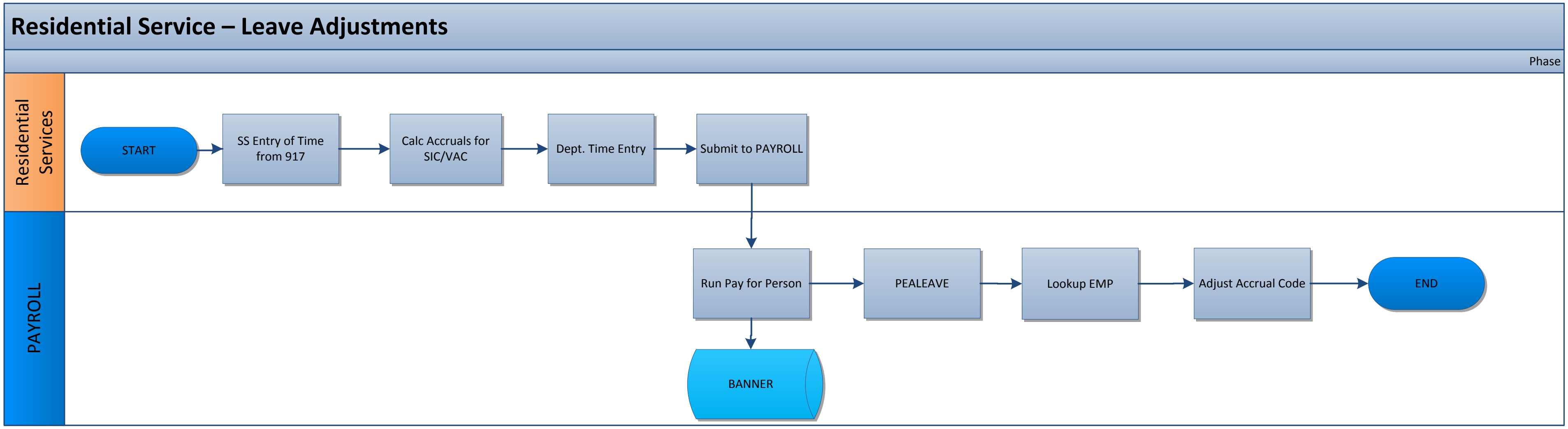


14. Time Sheets

14.1. Faculty Time Sheets

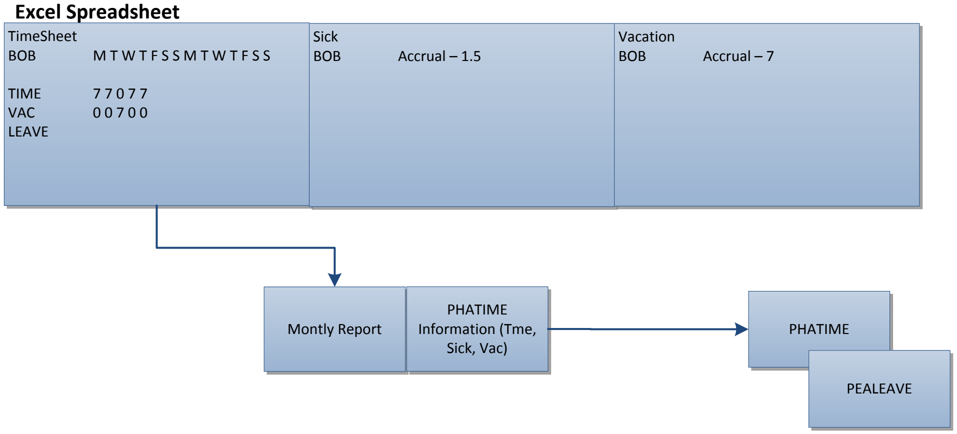


14.2. Residential Services Time Sheets

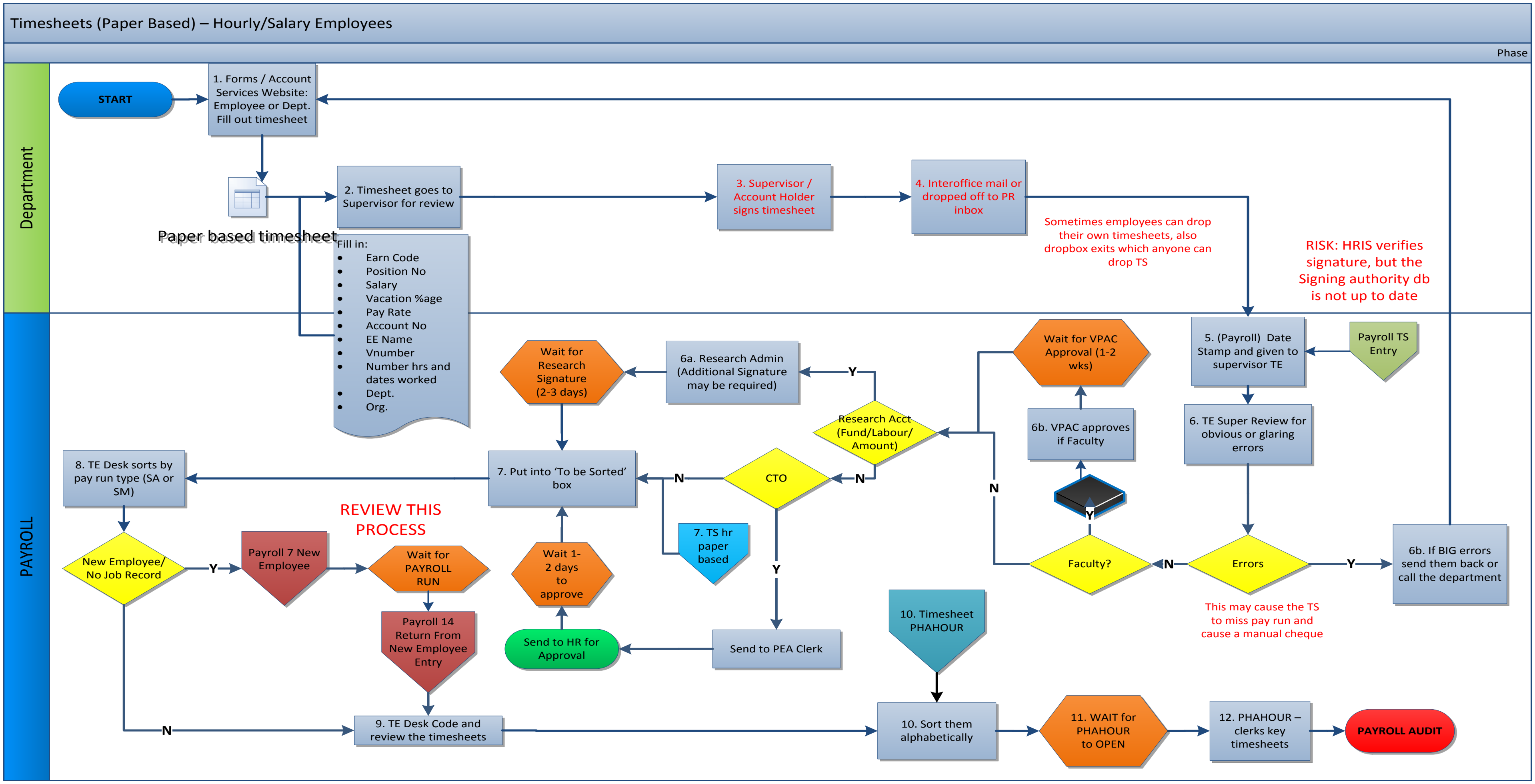


Food Services

Excel Spreadsheet



14.3. Timesheets (Paper Based) - Hourly/Salary



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Appendix F – Document Revision Summary

Version	Revision Date	Summary of Changes	Changes Made
1.0	May 15, 2013	Initial Template	Lynda Pattie
1.1	June 2, 2013	Revisions based on meeting with JJ	Lynda Pattie
1.2	June 8, 2013	Addition of Recommendation Details	Lynda Pattie
1.3	June 22, 2013	Addition of Recommendation Details	Lynda Pattie
1.4	June 25, 2013	Recommendation/Roadmap	Lynda Pattie
1.5	June 27, 2013	Recommendation/Roadmap	Lynda Pattie
1.6	July 1, 2013	Final Edits and Linked Files	Lynda Pattie
1.7	July 7, 2013	Feedback and edits from meetings	Lynda Pattie
1.8	August 14, 2013	Addition of Roadmap	Lynda Pattie
1.9	Sept 5, 2013	Insert Revised Roadmap	Lynda Pattie
1.10	Sept 2014	Inserted all process maps	Pete Siermacheski