EXHIBIT 4
PROCESS MAPS

Map No.	*Title*
Human Resources	
Position Management	
Job Class Specifications	
1A	Create
1B	Modify
Position Control	
1C	Initial Request
1D	Reclass
1E	Maintenance
1F	Position Description (Work Copy)
1G	Supervisory Structure (Schools)
Recruitment	
2A	MERIT Positions
2B	Temporary/Hourly Positions
2C	Early Hire Positions
New Hire	
3A	County
3C	Instructional
3D	Substitute
3E	Transportation
Benefits Administration	
4A	Reconciliation/Refund
4B	COBRA Processing
4C	Retiree
4D	Open Enrollment
4E	Life Events & Mid-Year Changes
4F	Newly Eligible
4G	Vendor Payment (Standard)
4H	Vendor Payment (Self-Insured)
4I	Vendor Payment (Fully-Insured)
4J	FMLA (Schools)
4K	FMLA (County)
4L	Short Term Disability (STD)
4M	Long Term Disability (LTD)
4N	Leave Of Absence (12-Month Employee)
4O	Leave Of Absence (Less Than 12-Month Employee)
Performance Management	
5A	Training, Licensure and Certification
5B	Instructional License
5C	Performance Awards
5D	Pay For Performance
5E	Pay For Performance Appeal
5F	Evaluation (Schools)
5G	Evaluation (Uniform)
5H	Commercial Driver License (County)
5I	Commercial Driver License (Schools)
5J	Commercial Driver License Random Testing (County)
5K	Commercial Driver License Random Testing (Schools)

EXHIBIT 4
PROCESS MAPS

Map No.	*Title*
Discipline	
6A	Grievance (EEO)
6B	Grievance (Non-Police - County)
6C	Grievance (Police - County)
6D	Grievance (Instructional - Schools)
6E	Grievance (Schools Administrator - Schools)
6F	Grievance (Support - Schools)
6G	Grievance (Police Hearing Panel - County)
6H	Discipline
Personnel Action Request	
7A	Position Change
7B	Status Change
7C	Demographic Change
7D	Salary Change (Performance)
7E	Salary Change (County Regrade)
7F	Salary Change (Schools Instructional)
Personnel Services Costing	
8A	Overstaffing
8B	Position Trades
8C	De-Staffing
8D	Dual Encumbrance
Risk Management	
9A	Workers Compensation (Schools)
9B	ADA (County)
9C	ADA (Schools)
9D	Workers Compensation (County)
Retirement	
10A	DROP (FCERS)
10B	FCERS (County)
10C	FCERS (Schools)
10D	VRS/ERFC
10E	Disability
Termination	
11A	Mass Termination (Hourly Employee - Schools)
11B	Mass Termination (Contracted Employee - Schools)
11C	Voluntary Separation (Schools)
11D	Voluntary Separation (County)
11E	Transfer (Schools to County)
11F	Transfer (County to Schools)
Unemployment Insurance Management	
12A	Claims
12B	Reporting
Contract Management	
13A	Education
13B	School Executive
13C	Amended Contracts
13D	Supplemental

EXHIBIT 4
PROCESS MAPS

Map No.	*Title*
Payroll	
Time Entry	
15A	County Biweekly
15B	Create Schools Work Schedules
15C	Schools Biweekly
15D	Schools Monthly
15E	Schools ACE
15F	Schools Summer School
15G	Schools Time Record Edit
Leave Accounting	
16A	Request Leave
16B	Request Donated Leave
16C	Year End
16D	Adjustments (County)
16E	Adjustments (Schools)
16F	Leave Without Pay (Schools)
Salary Administration	
18A	Salary Scale (Schools)
18B	Salary Scale (County)
Labor Distribution	
20	Labor Distribution (Job Codes)
Tuition Reimbursements	
21A	Tuition Reimbursements – School
21B	Tuition Reimbursements – County
General Ledger and Classification Structure	
CoA Design & Maintenance	
23A	Department Initiated
23B	Finance Initiated
23C	Budget Initiated
Financial Reporting	
24A	CAFR
24B	PAFR (Schools)
24C	APA
24D	ASR (Schools)
24E	Single Audit
Period Open/Close	
25A	Year End Balance, Encumbrances, and Carryovers
25B	Audit Adjustments
25C	Accruals and Reversals (Agencies)
25D	Accruals and Reversals (Payroll)
25E	Accruals and Reversals (Revenue)
Transactions Posting Process	
26A	Batch Posting
26B	Manual Posting
26C	School Direct Posting
Movement of Funds and Expenditures	
27A	Charge Back/Internal Service Charges/Interagency Billings
27B	Budget Transfers
27C	Allocations/Cost Distributions
27D	School Clearing Fund/Sweeps (Schools)
27E	EFORMS (Schools)
27F	Recast (Schools)

EXHIBIT 4
PROCESS MAPS

Map No.	*Title*
Accounts Receivable/Revenues	
Customer File	
28A	Create
28B	Maintain
Billing	
29A	FAMIS (County)
29B	Departmental
29C	Adjustments
Collections	
30A	Cash/Check
30B	Lockbox/ACH/Wire/eCheck
30C	Credit Card/eCheck
30D	Gifts/Donations
30E	Aging (Non-Tax)
30F	Write Off (Non-Tax)
30G	Aging (Tax)
Accounts Payable	
Vendor Maintenance	
31A	Create Vendor Record
31B	Inactivate Vendor Record
31C	Create One-Time Vendor
31D	Update Vendor Record
Voucher Processing	
32A	Direct Payment
32B	Electronic Accounts Payable System (EAPS)
32C	Encumbrance Processing
Payment Processing	
33A	Checks and ACH
33B	Wire
33C	Petty Cash Management
33D	Utility Processing (Gas & Electricity)
33E	Employee Reimbursements (Non-Local Travel)
33F	On Site Payment (Manual Checks)
33G	Mass Payments
1099 Processing	
34	1099 Processing
Unclaimed Property	
35A	County
35B	Schools
Treasury Management	
Cash Management	
36A	Investments (Pooled Portfolio)
36B	Investments (Restricted Portfolio)
36C	Bank Reconciliation (BARS - County)
36D	Bank Reconciliation (Manual)
36E	Earned Interest Distribution (Pooled)
36F	Interest Distribution Received
36G	Forecasting
Debt Management	
37A	Bond Authorization (General Obligation)
37B	Bond Issuance
37C	Tracking Bond Proceeds
37D	Continuing Disclosure

EXHIBIT 4
PROCESS MAPS

Map No.	*Title*
Bank Exceptions	
38A	Postal Returns
38B	Stop Payment
Assets	
Acquisition/Tracking	
39A	Create Asset
39B	Asset Leasing
39C	Donated Assets from External Donor
39D	Donated Assets from Internal Donor
Capital Assets Accounting	
40A	Construction In Progress
40B	Depreciation
Physical Inventory/Tracking	
41A	Cycle Count
41B	Statistical Sampliing
41C	Transfers
41D	Disposals
Risk Management	
Risk Management	
42A	Claim Investigation
42B	Claim Payment
Budget	
Preparation (Position and Operating)	
43A	Position Budgeting
43B	Ratio Based Position Budget
43C	Operating Budget Requests
Preparation (Forecasting)	
44A	Revenue
44B	Expenditure
44C	Benefits
44D	Compensation Baseline
Adjustments	
45A	Mid-Year
45B	Third Quarter
45C	Year-End
Out of Cycle	
45D	Adjustments/Transfers
45E	Tradeoff
45F	Reclasses/Re-orgs
Budget Production	
46	Budget Production
Performance Measurement	
47	Performance Measurement
Grants	
Management	
48A	Application Process (New Grant)
48B	Award (New Grant)
48C	Indirect Costs
Activity Tracking	
49A	Cash Match
49B	In-Kind Match
Sponsor Reporting/Closing	
50A	Reports
50B	Internal Closeout

EXHIBIT 4
PROCESS MAPS

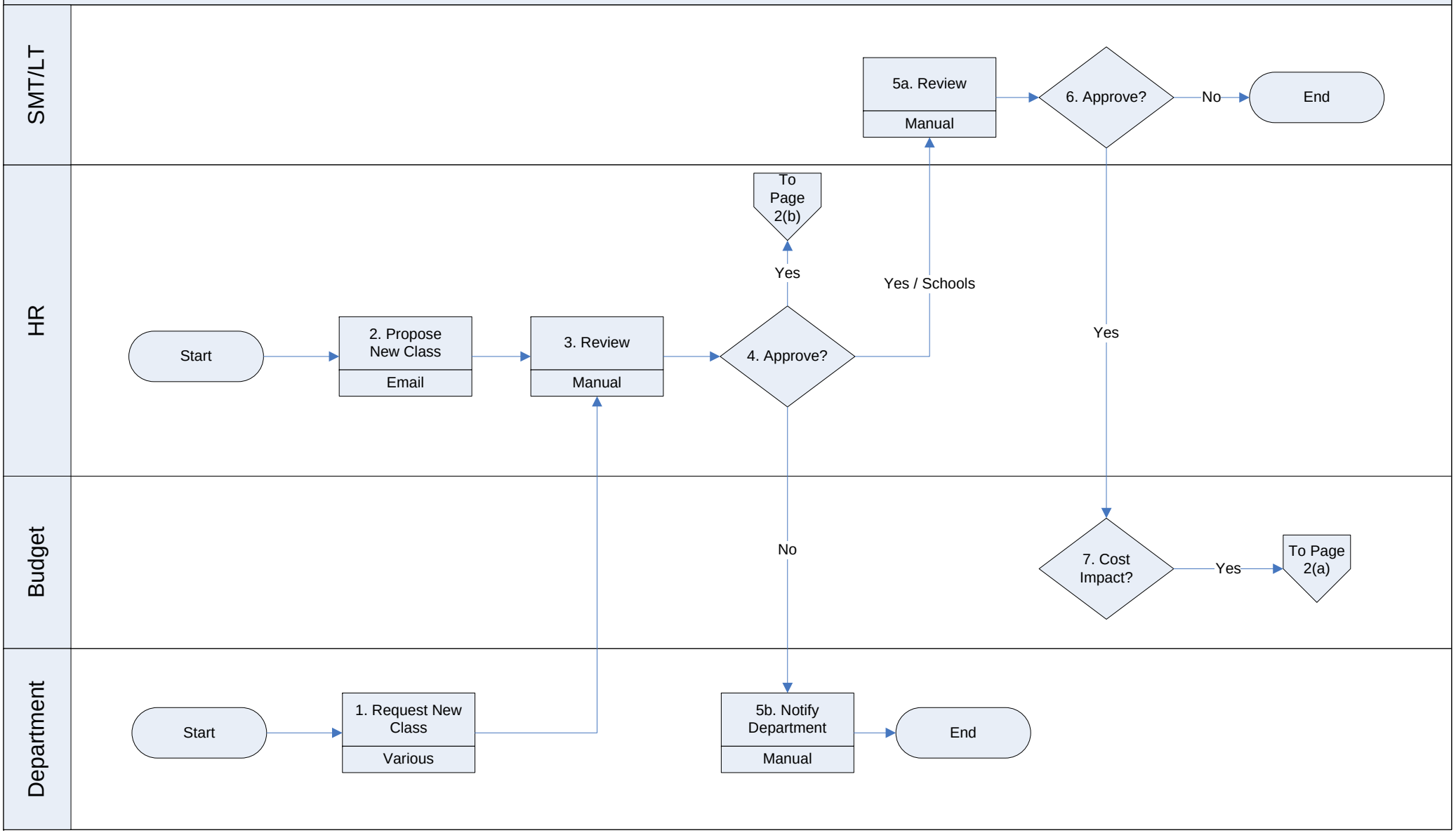
Map No.	Title
Projects	
Project Set-up	
51A	Project Creation
51B	Total Project Estimate
51C	Resource Allocation, Scheduling and Tracking
Accounting/Reporting/Closing	
52A	Retainage
52B	General Ledger CIP
52C	Negative Carryover Balances Fix
52D	Project Accrual
52E	Project Close Out
52F	Project Budget
Purchasing	
Requisition	
64A	5K Or Less
64B	5-10K
64C	10-50K/10-30K
64D	Over 50K/30K
Purchase Order	
65A	Over 10K
65B	Supplement
65C	Blanket Purchase Order
65D	Blanket Purchase Order Call
Receiving Goods & Services	
66	Receiving Goods & Services
P-Card	
67A	User Management
67B	Card Management
67C	Transaction
67D	Reconciliation
Contracting	
Contracting	
68A	Informal Solicitation
68B	Evaluation Process (Informal RFP)
68C	Evaluation Process Schools Capital Construction (Formal Bids)
68D	Evaluation Process (Formal RFP)
68E	Evaluation Process Schools Capital Construction (A&E Services Formal RFP)
68F	Evaluation Process (IFB)
68G	Formal Solicitation
68H	Formal Solicitation (Schools Capital Construction and Related Services)
Contract Management	
69A	Amendments (Administrative)
69B	Amendments (Price Change)
69C	Amendments (Changes to Items or Services)
69D	Track Vendor Performance
69E	Renewals
Inventory/Warehouse Management	
Inventory Receiving	
70A	School Cafeteria (Restaurants) Receiving
70B	Central Receiving
70C	Other

EXHIBIT 4
PROCESS MAPS

Map No.	*Title*
Inventory Purchases	
71A	Establish New Item
71B	Purchase New Stock Item
Issuance/Distribution	
72A	Counter Issues
72B	Warehouse Job Requests
72C	Inventory Requests
72D	Passive Orders
72E	Inventory Requests (Food Services)
Physical Count	
73A	Physical Cycle Counts
73B	Monthly Audit (Schools)
73C	Quarterly Audit (County)
73D	Price/Quantity Adjustments
Disposal	
74A	Dead Stock
74B	Damaged/Expired Stock
Transfers/Returns (include balance by location)	
75A	Indirect Transfers
75B	Direct Transfers
75C	Returns (Schools)
75D	Returns (County)
PPEA	
PPEA	
76A	Unsolicited Proposal
76B	Formal Solicitation

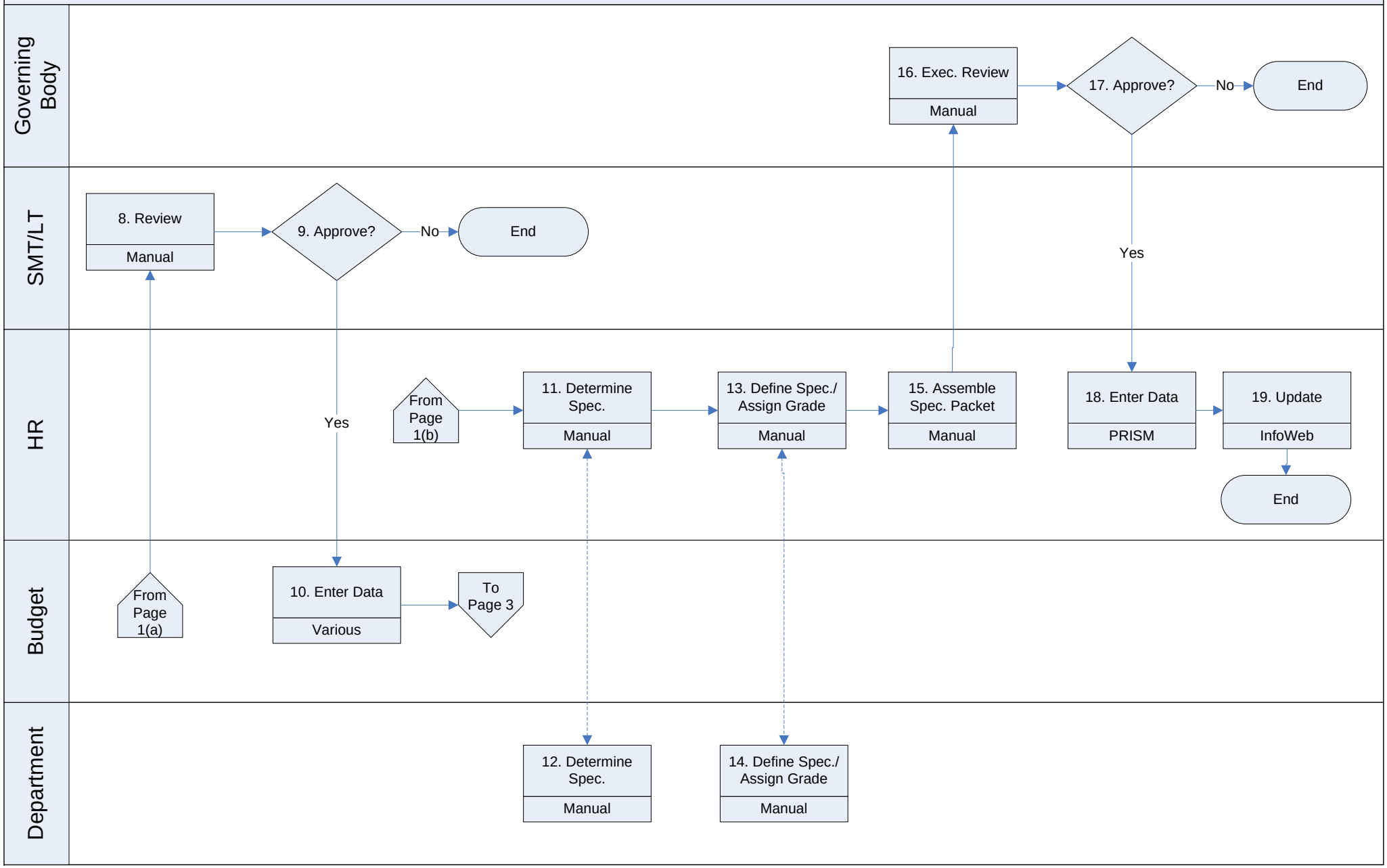
Human Resources [FINAL] Map Name: HR_POSMGT_JOBCLASS_CREATE

Sub-Process: Position Management – Job Class Specifications (Create) Map No.: 1A



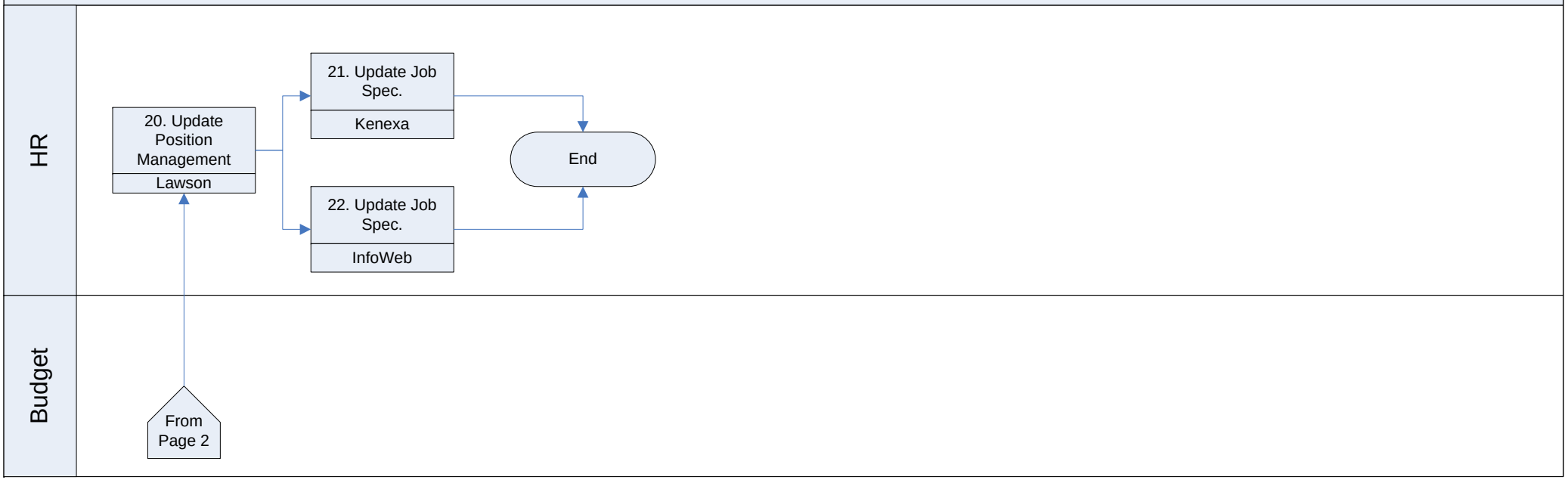
Human Resources [FINAL] Map Name: HR_POSMGT_JOBCLASS_CREATE

Sub-Process: Position Management – Job Class Specifications (Create) Map No.: 1A



Human Resources [FINAL] Map Name: HR_POSMGT_JOBCLASS_CREATE

Sub-Process: Position Management – Job Class Specifications (Create) Map No.: 1A



Process Name: Human Resources	**Process Identifier:** HR_POSMGT_JOB_CLASS_CREATE
Sub-Process Name: Position Management – Job Class Specifications (Create)	**Map Number:** 1A

Sub-Process Purpose and Objectives: Create, modify, or inactivate job class specifications

Sub-Process Description:

1. County or Schools Department or Schools HR initiates need or proposes to create a new job class, inactivate a job class, or complete a major modification via email, workforce planning, or a specific form. **[MAP SHAPE 1, 2]**
2. Schools and County HR complete a classification review/justification and research the job class in other organizations to determine the need for pay grade, etc. If HR does not approve, the department is notified and the job class stays as it is or the decision is appealed and resolved through meetings. **[MAP SHAPE 3, 4, 5b]**
3. For Schools, once HR approves a new job class, the request is sent to SMT/LT for review and approval. If not approved at SMT/LT, the process ends. If approved, the request is sent to Budget for review and calculation of cost impact. If there is no cost impact, the process ends, and the requesting department is notified. If there is a fiscal impact, the new job class request moves to SMT/LT for Deputy Superintendent review and approval. **[MAP SHAPE 5a, 6, 7, 8]**
4. Once the Deputy Superintendent approves, the Schools Budget Office enters the information into BREP/FAMIS if necessary. HR Position Management enters the position attributes into Lawson. HR updates the spec on the Schools InfoWeb and on the job posting system. **[MAP SHAPE 9, 10, 20, 21, 22]**
5. For the County, once HR approves the request, HR works with the Department to obtain agreement on the spec concept. The spec is sent to the employment division for review of employment standards. HR researches market benchmarks and determines the new job class. The spec is defined and sent to multiple Departments to obtain codes and requirements for the position to include notification to the Employee Advisory Committee. In the County the office of Equity Programs in notified to evaluate/determine the EEOC category. **[MAP SHAPE 4, 11, 12, 13, 14]**
6. A final spec packet is sent to the County Executive for review and approval. The new job class spec, codes, and information are created/updated in Prism by the HR Position Control team and on County InfoWeb by HR. Note that the County Budget Office is not involved until a position is created. **[MAP SHAPE 15, 16, 17, 18, 19]**

Triggers:

- ❑ Request/need for a new job class

Key Process Participants:

- ❑ Budget Office
- ❑ SMT/LT
- ❑ HR
- ❑ Department

Inputs:

Input	*Format*
Position data, benchmarks	Various
Cost impact data	Various

Outputs:

Output	*Format*
Job class/specs entered in systems	Electronic

IT Support:

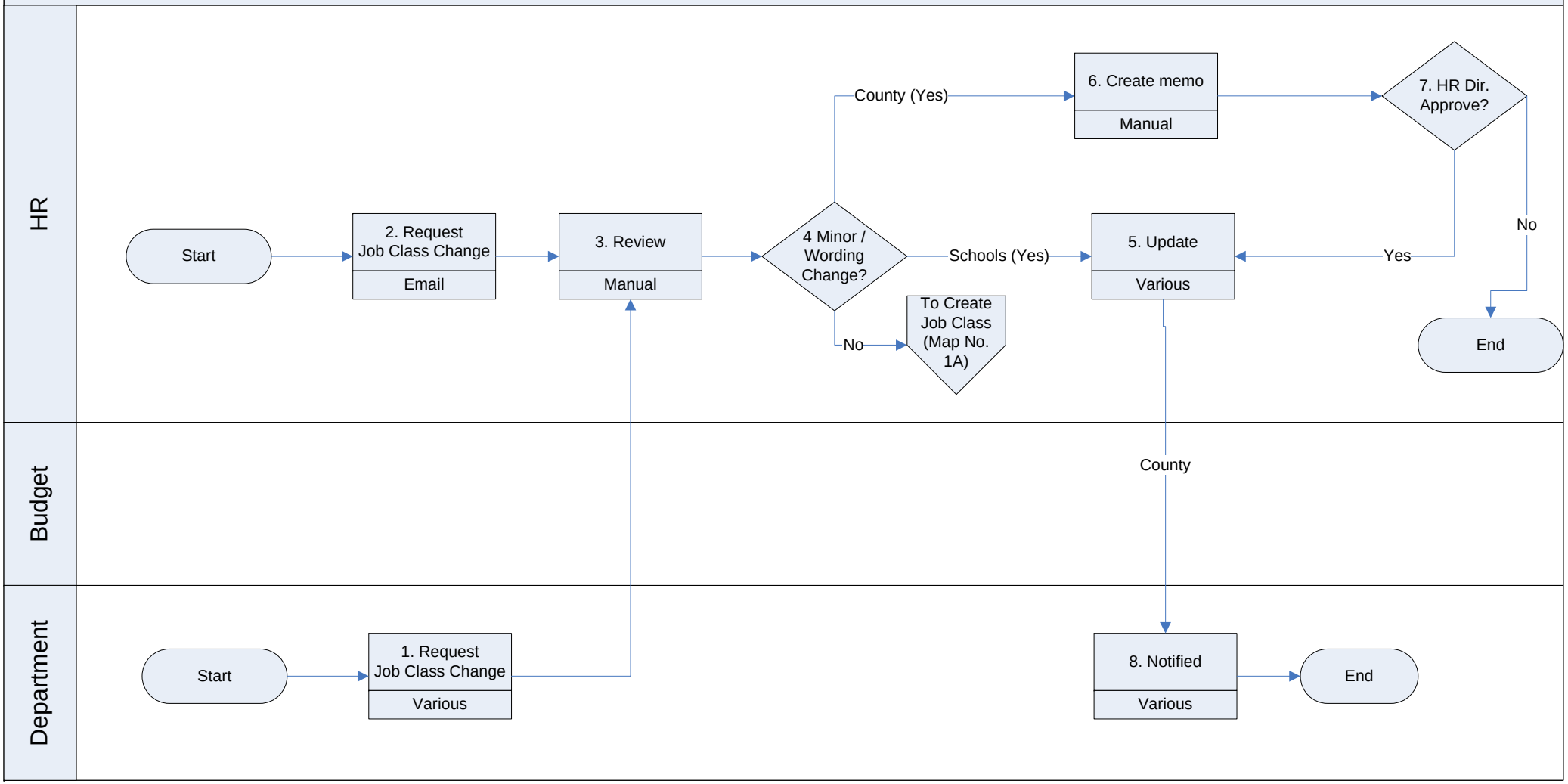
Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system
BPREP	Budget preparation system
FAMIS	Finance system
Kenexa	Schools applicant tracking system

Regulations:

- o

Human Resources [FINAL] Map Name: HR_POSMGT_JOBCLASS_MODIFY

Sub-Process: Position Management – Job Class Specifications (Modify) Map No.: 1B



Process Name: Human Resources	**Process Identifier:** HR_POSMGT_JOB_CLASS_MODIFY
Sub-Process Name: Position Management – Job Class Specifications (Modify)	**Map Number:** 1B

Sub-Process Purpose and Objectives: Modify a job class specification

Sub-Process Description:

1. County or Schools Departments or Schools HR propose to modify a job class. **[MAP SHAPE 1, 2]**
2. HR reviews the request. Minor changes (wording changes) are handled administratively with coordination between HR and the Department. Schools InfoWeb and job posting system are updated. County HR produces a formal memo of the change and obtains approval from the HR Director before County InfoWeb is updated and memos are distributed to Departments. If the HR Director does not approve, the process ends. **[MAP SHAPE 3, 4, 5, 6, 7, 8]**
3. For more major changes, the process follows the same steps as the job class creation process (Map 1 A) **[MAP SHAPE 4]**

Triggers:

- Request to modify a job class

Key Process Participants:

- Budget Office
- HR
- Department

Inputs:

Input	*Format*
Position data	Various

Outputs:

Output	*Format*
Memo of change	Word
Job class modified in systems	Electronic

IT Support:

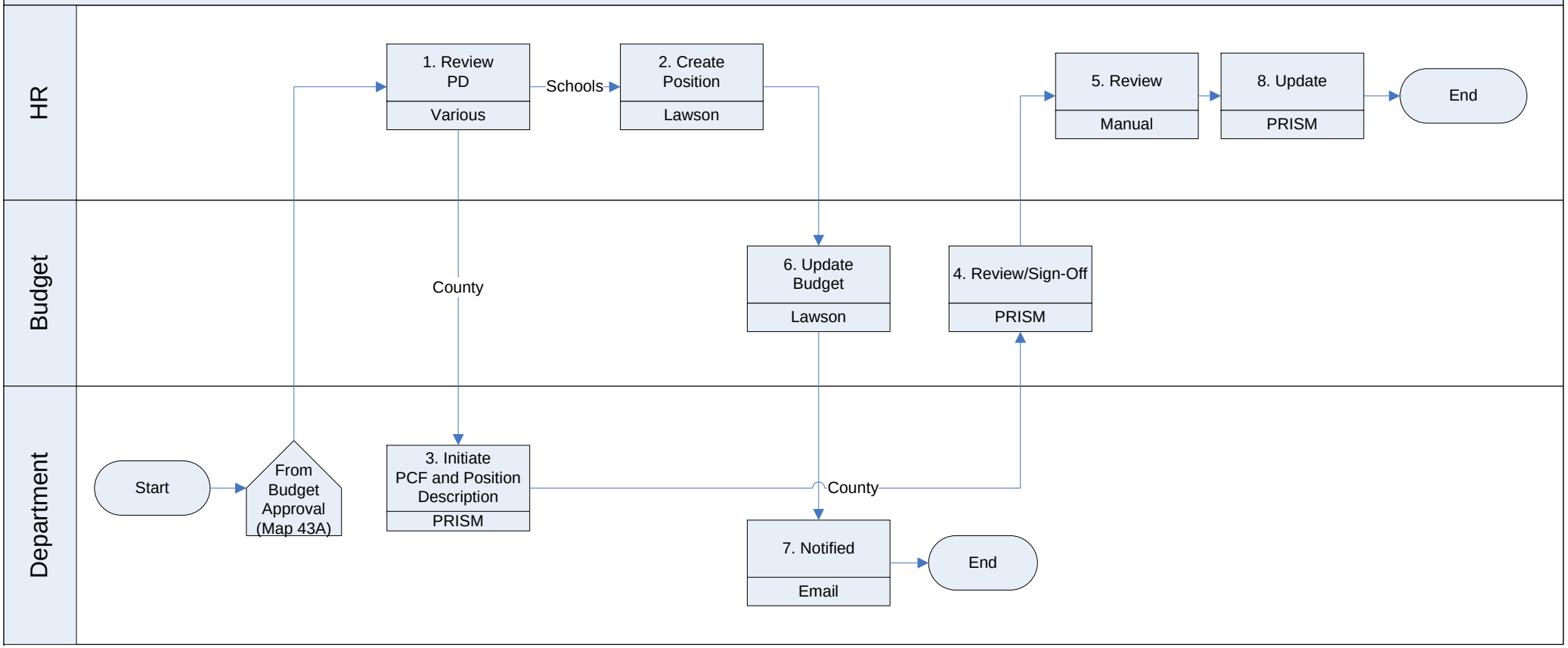
Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system
BPREP	Budget preparation system
FAMIS	Finance system
Kenexa	Schools Applicant Tracking System

Regulations:

o

Human Resources [FINAL] Map Name: HR_POSMGT_POSCTRL_INIT

Sub-Process: Position Management – Position Control (Initial Request) Map No.: 1C



Process Name: Human Resources	**Process Identifier:** HR_POSMGT_POSTRL_INIT
Sub-Process Name: Position Management – Position Control (Initial Request)	**Map Number:** 1C

Sub-Process Purpose and Objectives: Create and modify positions and attributes

Sub-Process Description:

1. County and Schools budgets have been approved.
2. HR reviews Draft Position Descriptions (PD) and/or approved positions from the County Budget Office. **[MAP SHAPE 1]**
3. County Departments initiate a Position Control Form (PCF) and Position Description in Prism which is sent to Budget. County Budget reviews, signs the PCF, and approves in Prism. Budget forwards approved documents to HR. The HR analyst then reviews and approves the PD/PCF and signs the PCF/initials PD. Both County HR and Budget update and maintain separate access database to track activity. **[MAP SHAPE 3, 4, 5, 8]**
4. Schools HR review and then create the requested position in Lawson. This includes analysis of the position and determination of all attributes of the position. **[MAP SHAPE 2]**
5. For Schools, information is sent to the Budget Office for entry into Lawson. **[MAP SHAPE 6]**
6. Schools Departments are notified by HR that the position has been created. **[MAP SHAPE 7]**

Triggers:

- ❑ Position budgets approved
- ❑ Position Control Form initiated

Key Process Participants:

- ❑ Budget Office
- ❑ HR
- ❑ Department

Inputs:

Input	*Format*
Position description	Electronic
Position attribute data	Various

Outputs:

Output	*Format*
Positions and attributes created in systems	Electronic

IT Support:

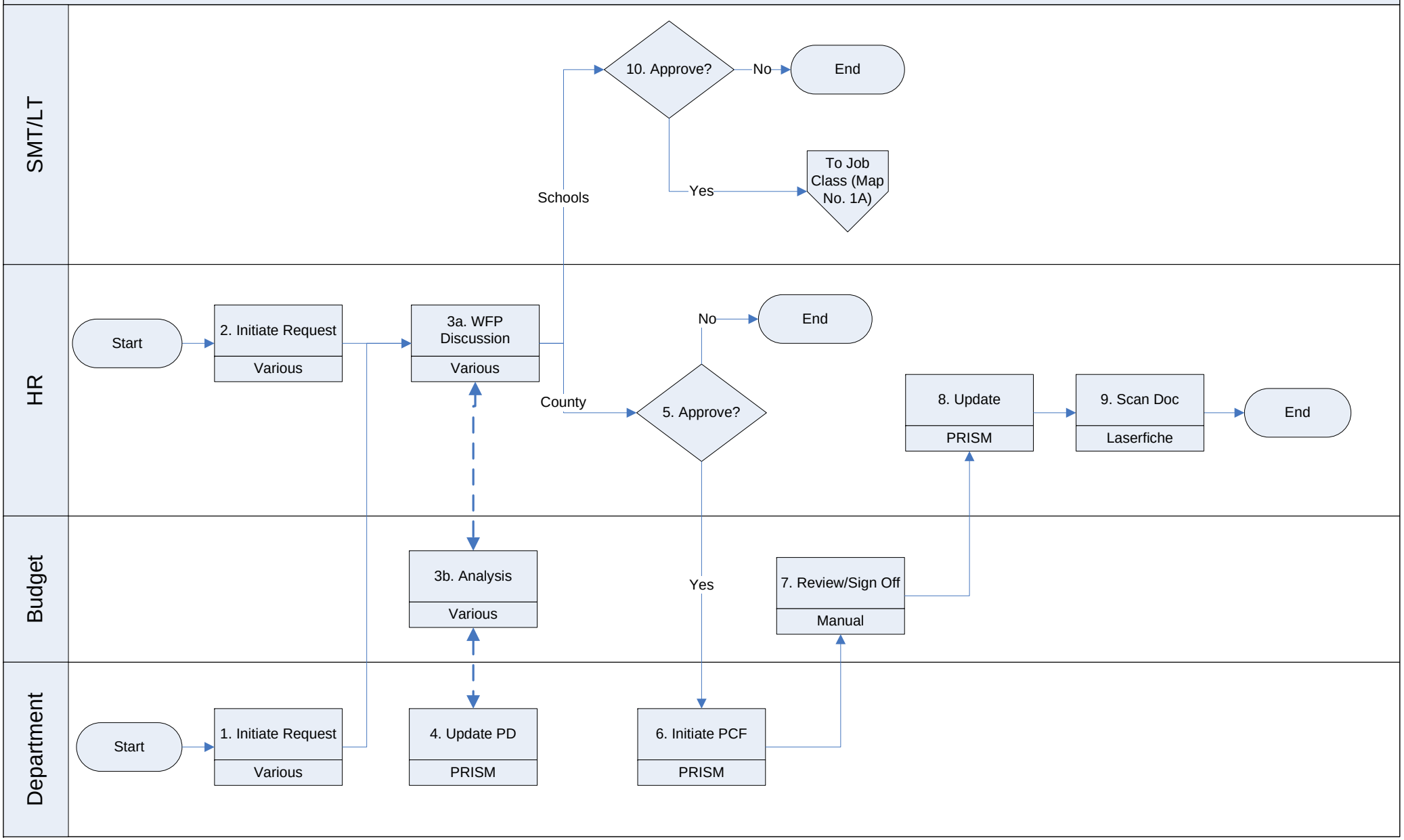
Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system
BPREP	Budget preparation system
FAMIS	Finance system

Regulations:

o

Human Resources [FINAL] Map Name: HR_POSMGT_POSCTRL_RECLASS

Sub-Process: Position Management – Position Control (Reclass) Map No.: 1D



Process Name: Human Resources	**Process Identifier:** HR_POSMGT_POSCTRL_RECLASS
Sub-Process Name: Position Management – Position Control (Reclass)	**Map Number:** 1D

Sub-Process Purpose and Objectives: Complete reclass of a position

Sub-Process Description:

1. For Schools, a memo is submitted by the Department or the Assistant Superintendent, or HR initiates a reclass based on market analysis. For the County, Departments initiate requests or HR does market research and initiates the request. **[MAP SHAPE 1, 2]**
2. For Schools, HR analyzes the request and sends it to SMT/LT for review and approval. Approved requests go through the job classification process. If not approved by SMT/LT, the process ends. **[MAP SHAPE 3,10]**
3. For the County, once a request is received, Workforce Planning, HR, Budget and Departments meet to review, discuss, and analyze the request. Departments are asked to update the Position Description (PD) in PRISM. When the new job class is approved, a memo is sent to the Department, which then initiates a Position Control Form (PCF) in PRISM. **[MAP SHAPE 3a, 3b, 4, 5, 6]**
4. The PCF is sent to Budget for review, note of budget impact, and signature. Budget then sends the PCF to HR for update of PRISM. Position Control updates its internal log in Access (including completed date and effective date) and scans documents into laser fiche. **[MAP SHAPE 7, 8, 9]**

For the County, throughout the process, the status and progress of requests are tracked by Departments and HR in side spreadsheets and databases, similar to the Access database used by HR Position Control.

Triggers:

- ❑ Need for reclass is identified; request is initiated

Key Process Participants:

- ❑ Budget
- ❑ SMT/LT
- ❑ HR
- ❑ Department

Inputs:

Input	*Format*
Position description	Electronic
Position control form	Electronic

Outputs:

Output	*Format*
Systems updated with position reclass	Electronic

IT Support:

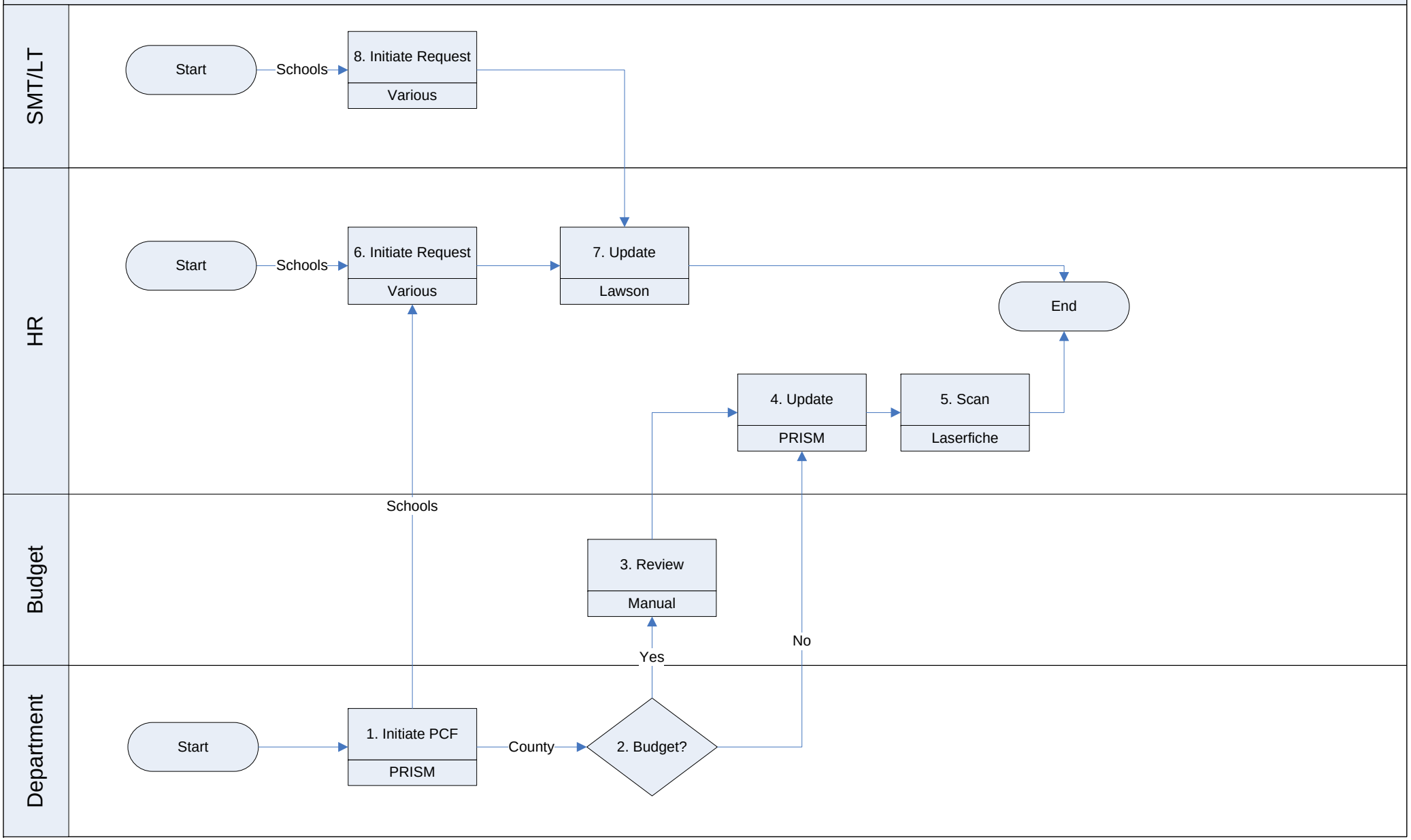
Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system
BPREP	Budget preparation system
FAMIS	Finance system

Regulations:

o

Human Resources [FINAL] Map Name: HR_POSMGT_POSCTRL_MAINT

Sub-Process: Position Management – Position Control (Maintenance) Map No.: 1E



Process Name: Human Resources	**Process Identifier:** HR_POSMGT_POSCTRL_MAINT
Sub-Process Name: Position Management – Position Control (Maintenance)	**Map Number:** 1E

Sub-Process Purpose and Objectives: Maintain and update position information and position attributes

Sub-Process Description:

1. For Schools, requests can be initiated by HR or a Department or by SMT/LT. **[MAP SHAPE 1, 6, 8]**
2. For the County, requests come only from Departments that initiate Position Control Forms (PCF) in PRISM, which in some cases are routed to Budget for review and signature. After Budget review (if necessary), the request is then sent to HR. HR updates PRISM and Position Control scans documents into laser fiche.**[MAP SHAPE 2, 3, 4, 5]**
3. For Schools, requests are routed to HR for review and update of Lawson. New attributes are assigned to affected employees via a mass change. **[MAP SHAPE 7]**

Note: maintenance and update can consist of any changes that do not affect pay grade or title of a position, such as transfers or attribute changes.

Triggers:

- ❑ Position maintenance requests initiated

Key Process Participants:

- ❑ Budget
- ❑ SMT/LT
- ❑ HR
- ❑ Department

Inputs:

Input	*Format*
Position Control Forms	PRISM

Outputs:

Output	*Format*
Positions updated in systems	Electronic – Lawson, PRISM

IT Support:

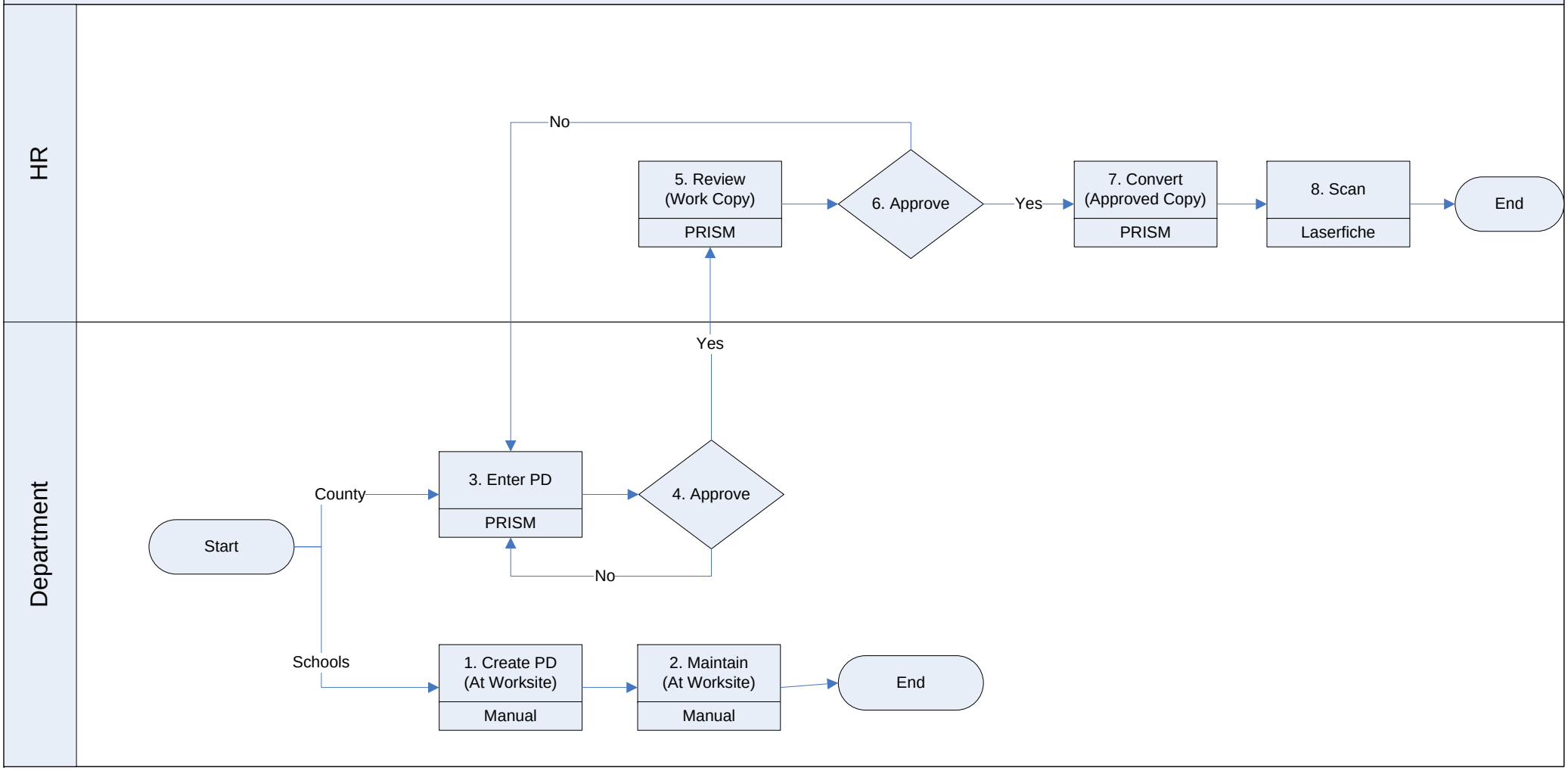
Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system
BPREP	Budget preparation system
FAMIS	Finance system

Regulations:

o

Human Resources [FINAL]
Sub-Process: Position Management – Position Control
(Position Description (Work Copy))

Map Name: HR_POSMGT_POSCTRL_PD_WC
Map No.: 1F



Process Name: Human Resources	**Process Identifier:** HR_POSMGT_POSCTRL_PD_WC
Sub-Process Name: Position Management – Position Control (Position Description (Work Copy))	**Map Number:** 1F

Sub-Process Purpose and Objectives: Create working copy of position description

Sub-Process Description:

1. The working PD is reviewed and approved in an internal process. County Departments enter a Position Description (PD) in PRISM. **[MAP SHAPE 3, 4]**
2. The working PD is then reviewed by HR Workforce Planning. PDs are coded appropriately to be designated as approved in PRISM. Approved PDs are printed and scanned into laser fiche to track position history. If the HR analyst does not approve, the working PD returns to the Department for revision. . If elements of the PD change in the future, the Department can generate a new working PD for DHR review.**[MAP SHAPE 5, 6, 7, 8]**
3. For Schools, worksite managers (schools or Departments) create and maintain PD documents outside of Lawson. The PD is based on the job specification and attributes. **[MAP SHAPE 1, 2]**

Notes:
If multiple positions are created, the PD can be copied, tweaked, and entered for each position within PRISM.
For Schools, several employees can be under one PD
For the County, each employee/position has its own PD

Triggers:
- ❑ Position Description entered in PRISM

Key Process Participants:
- ❑ HR
- ❑ Department

Inputs:

Input	***Format***
Position information and attributes	Various

Outputs:

Output	***Format***
Approved PD	Electronic or manual

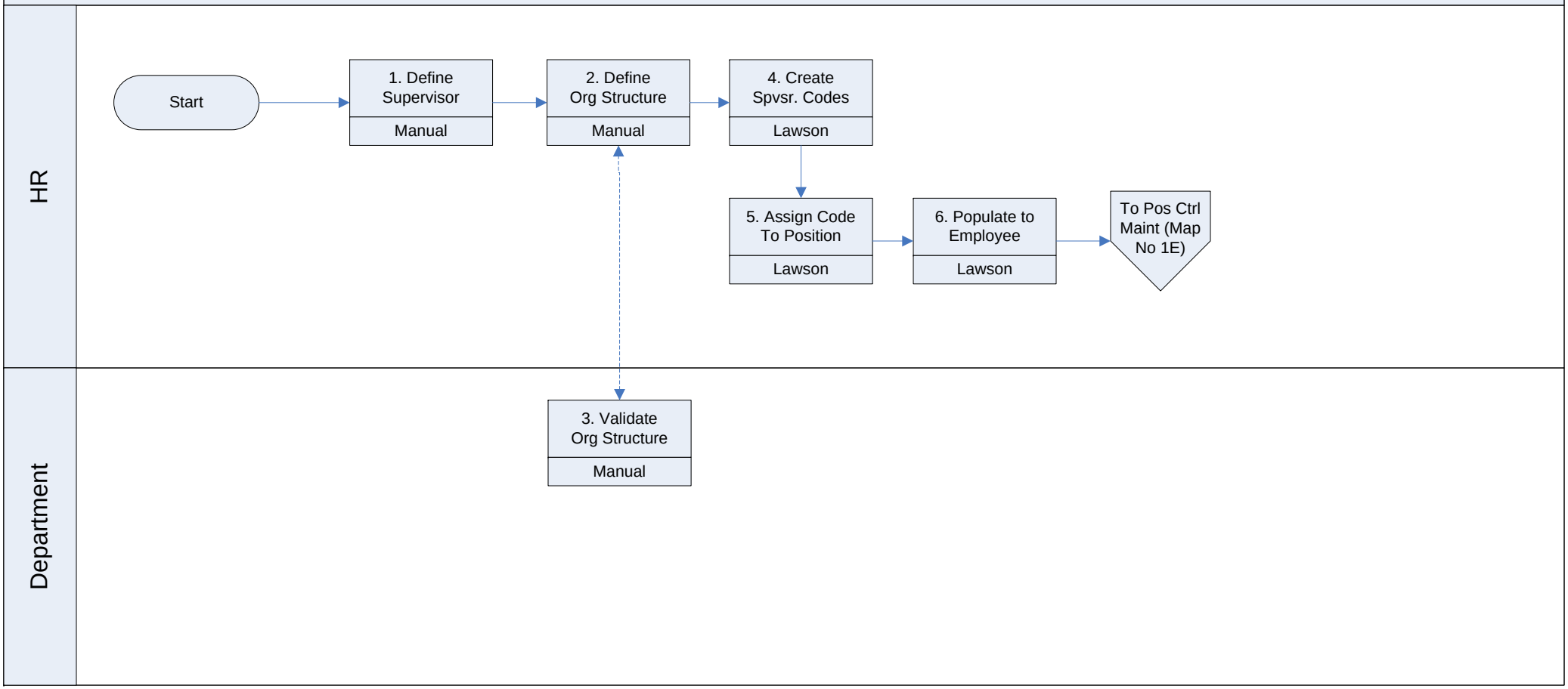
IT Support:

Application/System Name	***Technology Description***
PRISM	County human resource system
Lawson	Schools human resource system
BPREP	Budget preparation system
FAMIS	Finance system

Regulations:
- o

Human Resources [FINAL] Map Name: HR_POSMGT_POSCTRL_SUPER

Sub-Process: Position Management – Position Control (Supervisory Structure (Schools)) Map No.: 1G



Process Name: Human Resources	**Process Identifier:** HR_POSMGT_POSCTRL_SUPER
Sub-Process Name: Position Management – Position Control (Supervisory Structure (Schools))	**Map Number:** 1G

Sub-Process Purpose and Objectives: Create position supervisory structure in system

Sub-Process Description:

1. HR defines the supervisors and organizational structure and verifies/validates with Departments and schools. **[MAP SHAPE 1, 2, 3]**
2. HR creates supervisor codes in Lawson. **[MAP SHAPE 4]**
3. HR assigns codes to positions in Lawson. The codes are populated to employee records automatically by Lawson. **[MAP SHAPE 5, 6]**
4. Maintenance of the supervisory structure is a part of the position control process.

Note that for the County, supervisor information is included on Position Control Forms. Supervisor tracking is done through the pay for performance and/or time keeping/approval process

Triggers:

- New position requires supervisory structure

Key Process Participants:

- HR
- Department/School

Inputs:

Input	*Format*
Organizational structure	Manual

Outputs:

Output	*Format*
Supervisory structure assigned to positions	Electronic

IT Support:

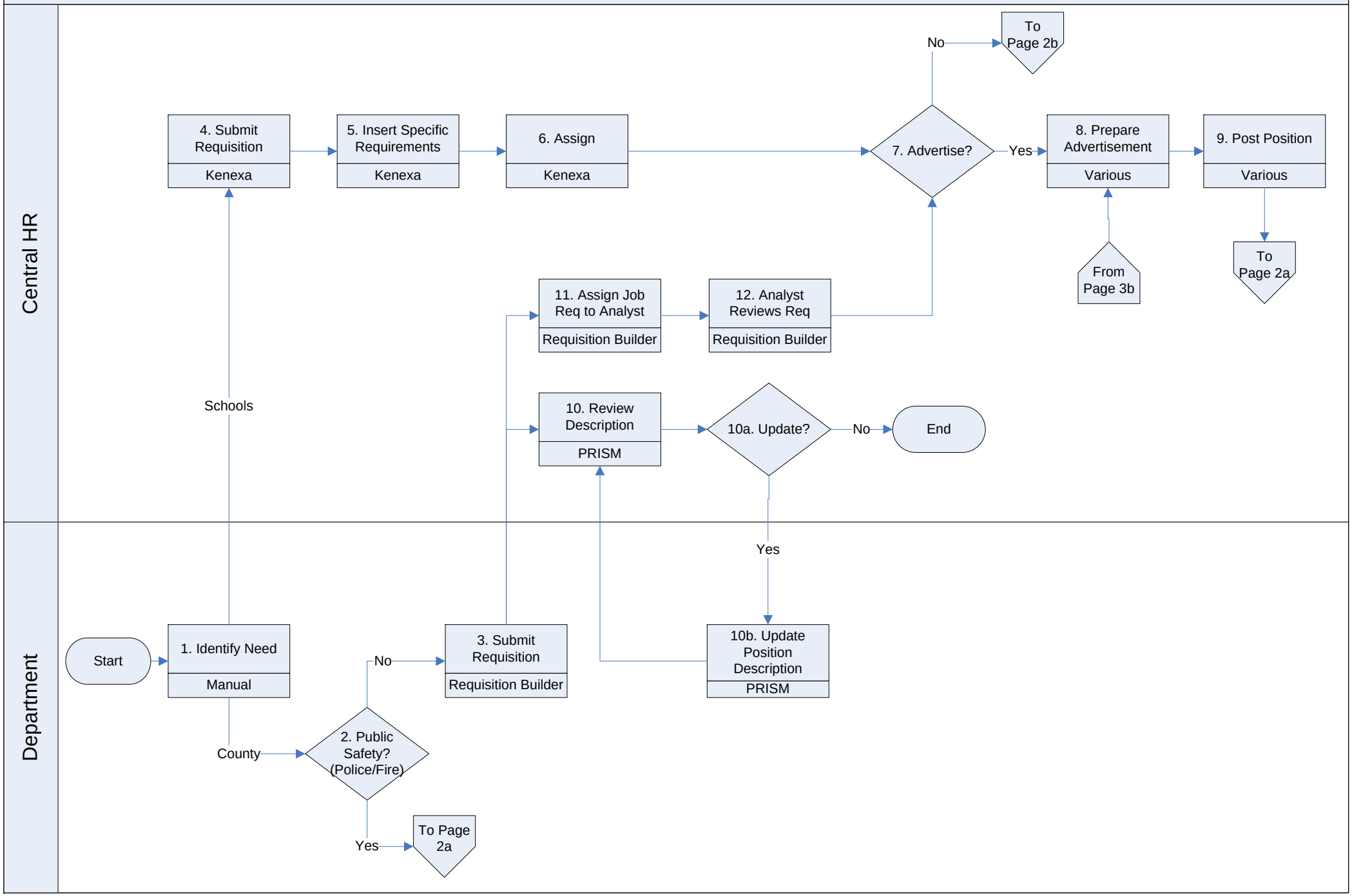
Application/System Name	*Technology Description*
Lawson	Schools human resource system

Regulations:

o

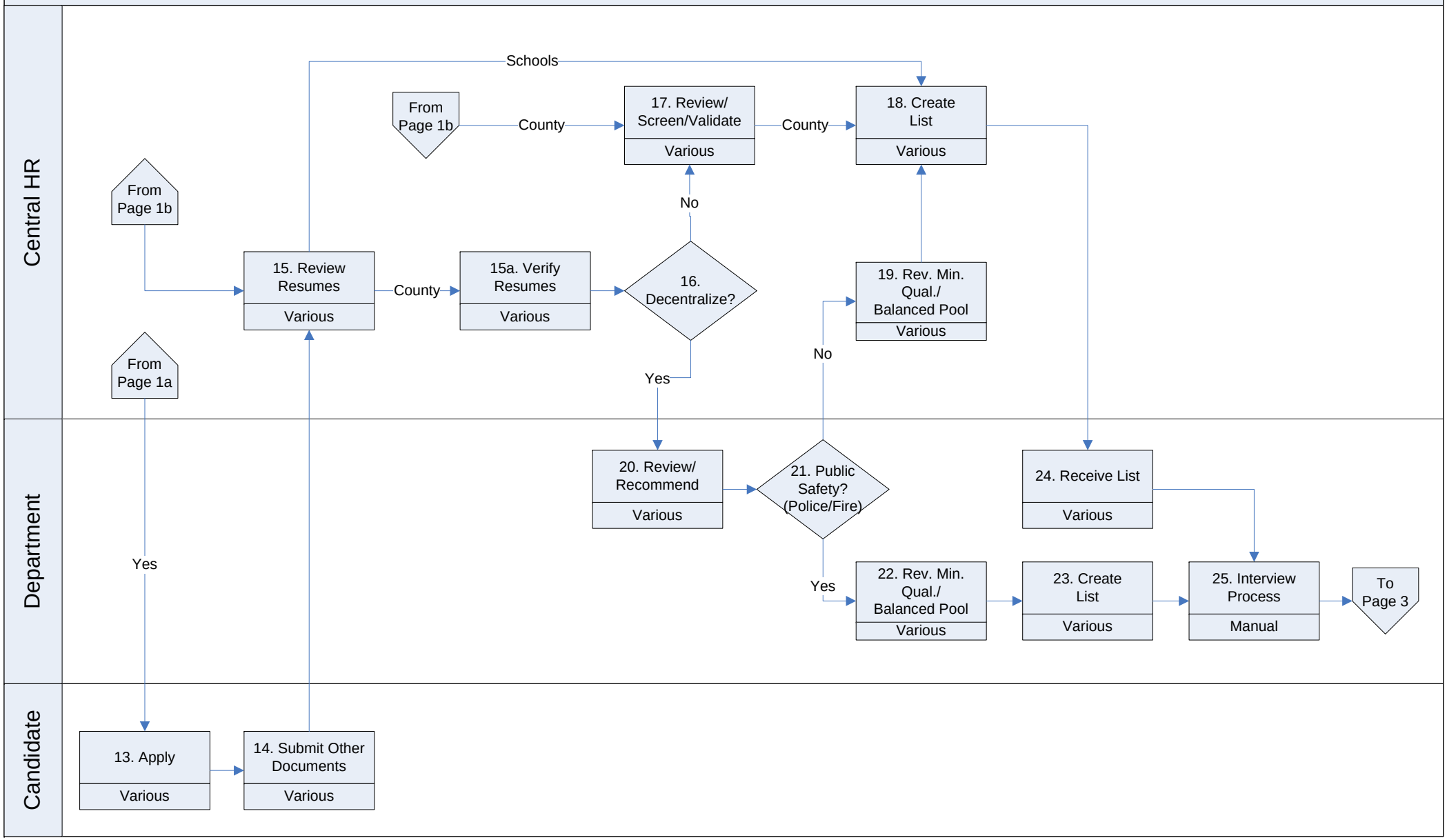
Human Resources [FINAL]
Sub-Process: Recruitment – MERIT Positions

Map Name: HR_RECRUIT_MERIT
Map No.: 2A



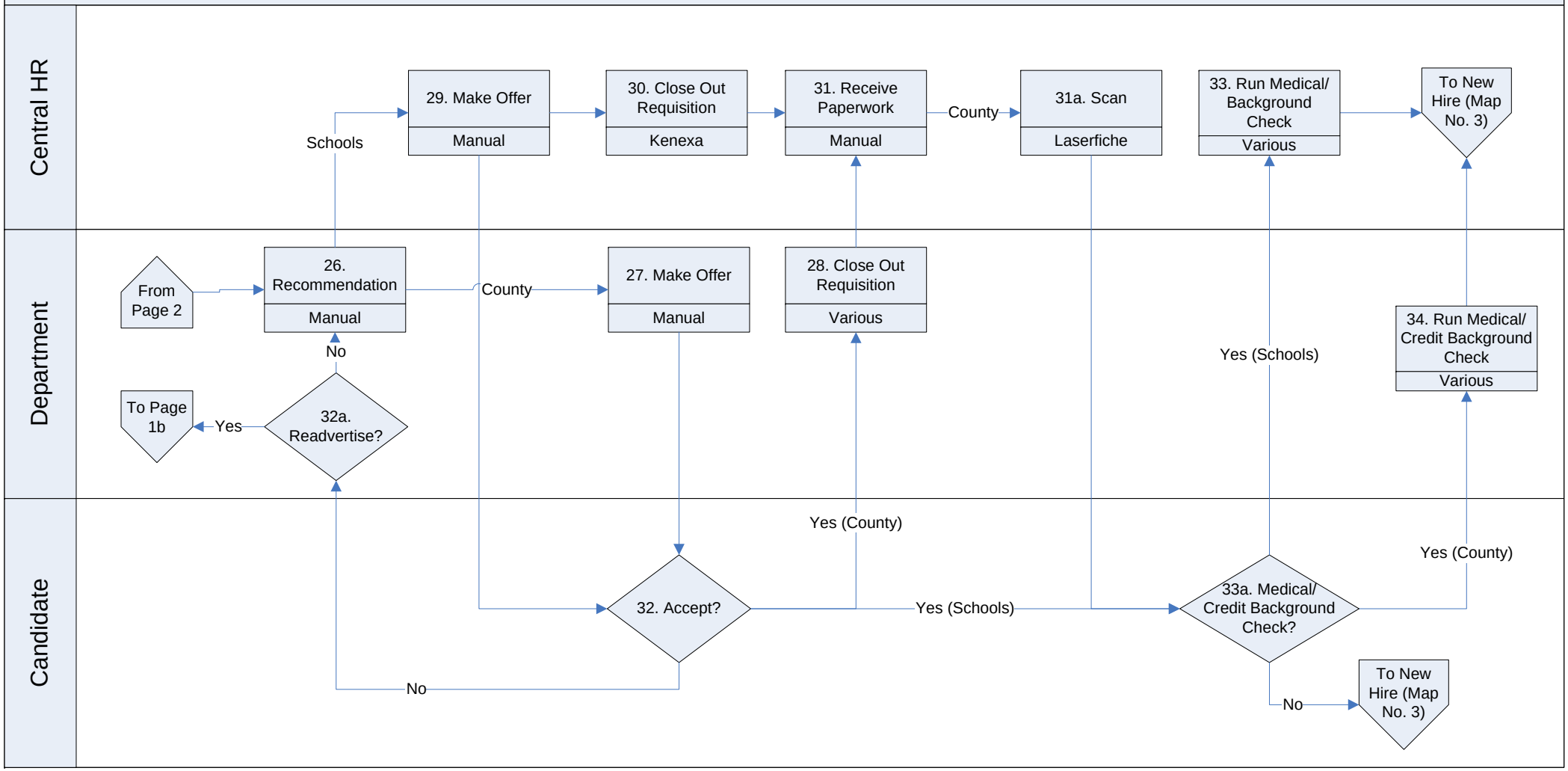
Human Resources [FINAL]
Sub-Process: Recruitment – MERIT Positions

Map Name: HR_RECRUIT_MERIT
Map No.: 2A



Human Resources [FINAL]
Sub-Process: Recruitment – MERIT Positions

Map Name: HR_RECRUIT_MERIT
Map No.: 2A



Process Name: Human Resources	**Process Identifier:** HR_RECURIT_MERIT
Sub-Process Name: Recruitment – MERIT Positions	**Map Number:** 2A

Sub-Process Purpose and Objectives: Request and recruit merit position applicants

Sub-Process Description:

1. A Department identifies a personnel need. **[MAP SHAPE 1]**
2. If the need is from a School Department the requisition is entered into the School's requisition system, Kenexa. **[MAP SHAPE 4]**
3. The requisition is reviewed by Central HR and certain other specific requirements may be added to the requisition. **[MAP SHAPE 5]**
4. The requisition is then assigned to an analyst who may develop an advertisement for the requisitioned position. **[MAP SHAPE 6]**
5. If the need is from the County and is within a Public Safety Department, the position is advertised and candidates apply directly with the specific Public Safety Department. The candidate submits the necessary application and various other required or requested documents. **[MAP SHAPE 2, 13, 14]**
6. The documents are reviewed in Central HR and then a candidate list is prepared for the Other Agencies. **[MAP SHAPE 15, 18]**
7. If the County and Department is not Public Safety, the Requisition is entered into the Requisition Builder System by the Department. **[MAP SHAPE 2, 3]**
8. The Requisition is forwarded to Central HR (Comp/Workforce) to review the Position Description to ensure consistency; update PRISM accordingly. **[MAP SHAPE 10]**
9. If an update is required, the Position Description is returned to the Department to update and resubmit. If no update is required, that process ends (Compensation/Workforce may notify Employment). **[MAP SHAPE 10a, 10b, 10]**
10. At the same time the Position Description is being reviewed, Central HR (Employment) assigns the requisition to an analyst and the analyst reviews the requisition in Requisition Builder. **[MAP SHAPE 11, 12]**
11. If the analyst has determined that an advertisement for the position is not required, Central HR reviews the resumes. **[MAP SHAPE 7, 15]**
12. If the analyst determines that an advertisement is necessary for the position, the advertisement is prepared and then posted. Jobs are posted to the County/School Web sites and additional advertising venues may also be used. **[MAP SHAPE 7, 8, 9]**
13. If a requisition comes to Schools Central HR that is not advertised, it is reviewed and a candidate list is prepared for the School Department. **[MAP SHAPE 15, 18]**
14. For the County, Central HR verifies all resumes before they are forwarded to the department or screened by Central HR. **[MAP SHAPE 15a]**
15. If a requisition comes to Central HR from the County (all Departments) and is not following the decentralized process, all resumes are reviewed, screened, validated and a candidate list is prepared for the County Department (including Public Safety). **[MAP SHAPE 16, 17, 18]**
16. If a requisition comes to Central HR from a County Department that is following the decentralized process, resumes are forwarded to the specific County Department where they are reviewed and a recommendation is made at the Department level for applicants to be certified. **[MAP SHAPE 16, 20]**
17. If the Department is Public Safety, the review for the minimum requirements and a balanced pool of candidates is done at the Department level. A balanced pool of candidates is developed for the manager to select from. (see additional notes on public safety hires; Nonie/Evelyn) **[MAP SHAPE 21, 22, 23]**
18. For all other County Departments, the recommendations are sent back to Central HR where they are reviewed for the minimum requirements and a balanced pool of candidates is developed for the Department to select from. **[MAP SHAPE 21, 19, 18]**
19. Once balanced candidate list is developed by the Department or Central HR, it is sent to the request originator to begin the interview process. **[MAP SHAPE 24, 25]**
20. After the interviews have been conducted and a candidate has been selected, the Department makes their recommendation to hire. **[MAP SHAPE 26]**
21. If the Department is within the County, the candidate recommended for hire is made an offer by the Department. If the Department is in the Schools, the recommendation to hire is sent to Central HR who makes the offer to the recommended candidate. **[MAP SHAPE 27, 29]**
22. Once the offer has been made to the recommended candidate, the requisition is closed out in the Kenexa system by the Schools. **[MAP SHAPE 30, 31]**
23. If the recommended candidate declines the offer, a County department might choose candidate number 2, re-advertise, or the process ends. **[MAP SHAPE 32, 32a, 26]**
24. If the recommended candidate accepts the offer in the County, the Department closes out the requisition and sends the paperwork to Central HR, where it is scanned. **[MAP SHAPE 28, 31, 31a]**
25. It is determined whether medical/credit background checks are required. If no checks are required, the process proceeds to the New Hire process. **[MAP SHAPE 33a]**
26. If medical/credit background checks are required, they are performed by the Department in the County and by Central HR in the Schools. If the background checks are clean, the process goes to the New Hire process. **[MAP SHAPE 33a, 33, 34]**

Note: See attachment for more details on Public Safety recruitment processes.

Triggers:
- ❑ Vacancy exist
- ❑ Requisition built County/School
- ❑ Applicant applies
- ❑ Application reviewed/validated
- ❑ Balanced candidate list
- ❑ Background checks

Key Process Participants:
- ❑ Central HR
- ❑ Department
- ❑ Candidate

Inputs:

Input	*Format*
School Personnel Requisition	Electronic
County Personnel Requisition	Electronic

Outputs:

Output	*Format*
Candidate list	Electronic/Paper
Candidate list	Electronic/Paper

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
PRISM	County human resource system
Kenexa	Schools personnel requisition system
Requisition Builder	County personnel requisition system

Regulations:
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Attachment: Steps involved in filling a vacancy in the Public Safety agencies

Filling a uniform position via a promotion

1) Employees either retires, or resigns their position, or is promoted to another position.

2) The agency makes a selection from an existing eligible list.

3) The agency completes a requisition online and submits it to DHR- Employment Division

4) DHR – Employment Division completes a one line certification.

5) Agency's HR section completes a Personnel Action Request (PAR) and sends the PAR and the certification to DHR – Payroll Division

Filling an entry level uniform position – Police Department

1. Applicants fill out an application form and submit the form (typed or handwritten) to the Fairfax County Police Department's Personnel Resources Division. Alternatively, applicants may submit a resume through AIMS and later complete an application form when reporting for the entry-level written examination.

2. The next step in the process is for the applicants to take a written multiple choice entry-level examination. The same day that the applicant takes the written exam they also go through an initial applicant screening interview. During the interview the applicant is asked questions about their prior drug use, criminal arrests and criminal activity even if not arrested, military service and any military disciplinary actions, prior law enforcement experience and any internal investigations, moving vehicle violations and any serious credit issues. Based on their answers to these questions the candidates receive an initial classification.

3. Applicants who pass the written exam and make no disqualifying admissions or background disclosures receive an initial classification of "highly qualified" and subsequently receive a personal history statement to be completed consistent with the conditional job offer and information release forms included in the packet.

4. The next step is for the candidate to report for a polygraph examination conducted by a licensed polygraph examiner.

5. Applicants who make no admissions or disclosures during the polygraph examination process that disqualify them for further processing in accordance with the Department's employment standards retain their "highly qualified" classification as determined by the Polygraph Section Supervisor. These "highly qualified" applicants are reported out of the Polygraph Section for assignment within the Applicant Section to a background investigation detective for further processing. Applicant Section detectives then schedule the applicants for a physical abilities exam, a medical exam, and a psychological exam.

6. Once applicants have completed successfully the physical abilities exam, the medical exam, and the psychological exam their assigned background investigation detective conducts a two hour background interview and subsequently undertakes a complete background investigation. The background investigation takes between 8 and 12 weeks to complete inclusive of employer and school visitations, neighborhood checks, reference consultations, and interviews with family members and

significant others. The assigned background detective prepares a written summary of their investigative findings and conclusions which culminate in a recommendation to hire or not to hire the applicant. The case file is reviewed by the Assistant Commander and Commander of the Personnel Resources Division, either of whom may accept or reject the report. The Commander of Personnel Resources Division performs an individual interview with each applicant who progresses to the point of being recommended for hire, and during this interview the actual appointment decision is made and salary determined.

7. Police – HR section identifies the person to be appointed

8. Police – HR completes an on line requisition and submits it to DHR- Employment Division.

9. DHR- Employment completes a one line certification

10. DHR – Employment completes a resume summary entry into AIMS, if needed.

11. Police – HR section completes a PAR and forwards the PAR and the certification to DHR – Payroll.

Filling an entry level uniform position – Fire and Rescue

1. Applicants fill out an application form which includes a number of prescreen questions (questions on drugs and driving violations, etc.) and submit the forms (typed or handwritten) to the Fairfax County Fire and Rescue Department's Recruitment Section.

2. If the applicant answers the prescreen questions appropriately and they meet the minimum qualifications for the position, then they have passed the prescreen hurdle. The next step in the process is for the applicants to take a written multiple choice exam.

3. A background investigation is started once the applicant passes the written exam. The results of the background investigation are typically available in eight weeks. Applicants who pass the written exam are then scheduled for a physical abilities exam (C-PAT).

4. When the applicants report to take the C-PAT exam, an individual meets with them to ensure that they have submitted all of the documents necessary (a personal history statement, a copy of their DMV record, their social security card). An interview is conducted with each applicant prior to their taking the CPAT exam and they are asked questions about the information submitted on their personal history statement. If they answer these questions appropriately they receive a conditional offer of employment. Most applicants receive their results of their background investigation prior to reporting to take the C-PAT exam. If they do not have the results by the time they are scheduled for the C-PAT exam, applicants are still allowed to go ahead and take the C-PAT exam.

5. If the applicant passes the C-PAT exam the next step is for the applicant to take a polygraph exam.

6. Once they pass the polygraph exam the candidate is then scheduled for a medical exam.

7. If they pass the medical exam the next step is for the applicant to take the psychological exam.

8. If they pass the psychological exam their application is then considered along with the other candidates who passed all of the previous steps for selection. The application is considered for a period of two years, at which time they would have to re-apply for further consideration.

9. F&R – HR identifies the person to be appointed to the next Academy recruit school .

10. F&R – HR completes an online requisition and submits it to DHR – Employment.

11. DHR – Employment completes a one line certification

12. DHR – Employment completes a resume summary entry into AIMS.

13. F&R– HR section completes a PAR and forwards the PAR and the certification to DHR – Payroll.

Filling an entry level uniform position – Sheriff Department

1. Applicants are instructed to follow the two step process. Step one, applicants apply to the position of Deputy Sheriff I by accessing the internet and using an online application system called AIMS. The applicant creates an account in the AIMS system and either creates a resume using the resume builder or submits an existing resume using the cut and paste option available on the AIMS system. The resumes that are received are then reviewed by an analyst in the Department of Human Resources, and the resumes that meet the minimum qualifications for the position are put on a certification list and forwarded to the Office of the Sheriff.

2. Step two, applicants for the position of Deputy Sheriff must complete a Personal History Statement. The form is available in a "fill-able" format online. Applicants fill out the forms, save them and print them. Next, applicants sign the forms, have them notarized (where applicable), and mail them to the Sheriff's Office. Upon request a Personal History Statement will be mailed to applicants.

3. Their personal history packet is then reviewed by the Office of the Sheriff's personnel section. At this point the background investigation starts and each applicant is interviewed over the phone by a background investigator. Based on the answers that the investigator receives or based on the results of a review of the applicant's criminal history, credit history, and traffic violations, applicants can be disqualified at this point in the process. The background investigation continues from this point and may take up to 3-6 months to complete.

4. Applicants who pass the review of the personal history packet, the criminal history check, a credit history check , a check for traffic violations, and the phone interview; are then scheduled for a polygraph exam.

5. If they pass the polygraph, the next step is for the applicant to meet with a background investigator for a personal interview.

6. Once they pass the personal interview the next step in the process is for the applicant to be scheduled for a medical exam and a psychological exam. If these two exams are passed then employer and personal references are mailed and reviewed.

7. Once they have completed and passed all of the above steps, applicants are then considered for appointment.

8. Sheriff – HR identifies the person to be appointed.

9. Sheriff – HR completes an online requisition and submits it to DHR – Employment.

10. DHR – Employment completes a one line certification

11. Sheriff – HR section completes a PAR and forwards the PAR and the certification to DHR – Payroll.

Process Name: Human Resources	**Process Identifier:** HR_RECRUIT_TEMP
Sub-Process Name: Recruitment – Temporary/Hourly Positions	**Map Number:** 2B

Sub-Process Purpose and Objectives: Hire a temporary Employee

Sub-Process Description:

1. A need for a temporary worker is identified at the Department level. **[MAP SHAPE 1]**
2. A decision is made if the job is to be posted or not and if so, by whom. In the Schools if the job is not posted, the Department makes a selection from the list of pool candidates. **[MAP SHAPE 2, 6]**
3. If the job is to be posted in the Schools, Central HR will do the posting. **[MAP SHAPE 3]**
4. Central HR sends the candidate list of candidates to the Department for review and recommendations. **[MAP SHAPE 4]**
5. The Departments make its selection from among the list of candidates and send the recommendation the Central HR. The process now follows the New Hire process. **[MAP SHAPE 5]**
6. At the County, the selection process is conducted entirely at the Department level.
7. If the job is not posted, the Department selects interview candidates from the pool of applicants and conducts the interview process. **[MAP SHAPE 6, 8]**
8. If the job is posted, the Department selects interview candidates from both the pool of candidates and the new candidates from the posting process and conducts the interview process. **[MAP SHAPE 6, 7, 7a, 8]**
9. The Department manager makes the selection and hires the candidate. The process now follows the New Hire process. **[MAP SHAPE 8a]**

Triggers:

- A need for temporary personnel is identified

Key Process Participants:

- Central HR
- Departments
- Candidates

Inputs:

Input	*Format*
Need identification	Manual
Posting	Manual

Outputs:

Output	*Format*
New Hire	Manual

IT Support:

Application/System Name	*Technology Description*

Regulations:

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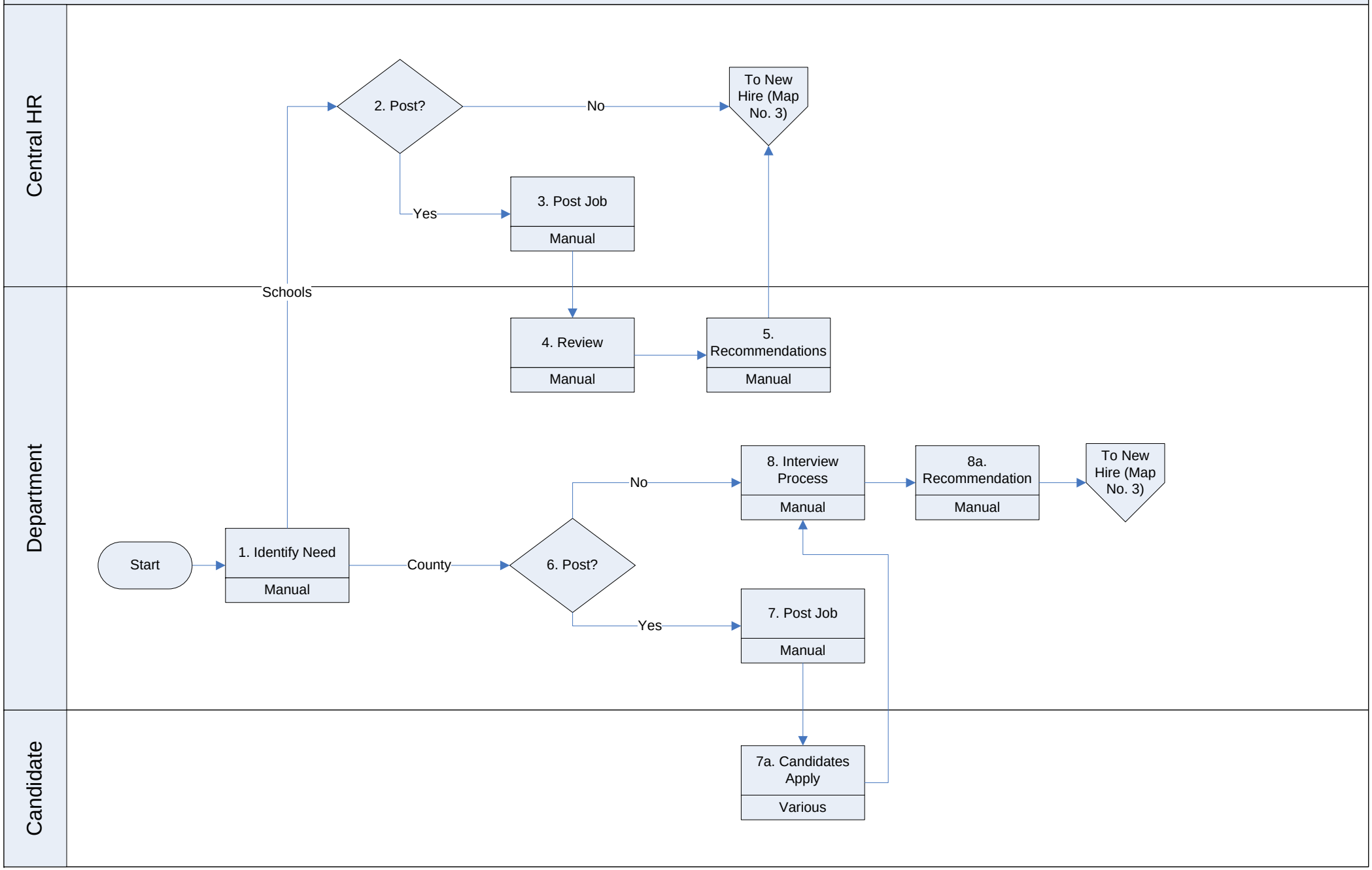
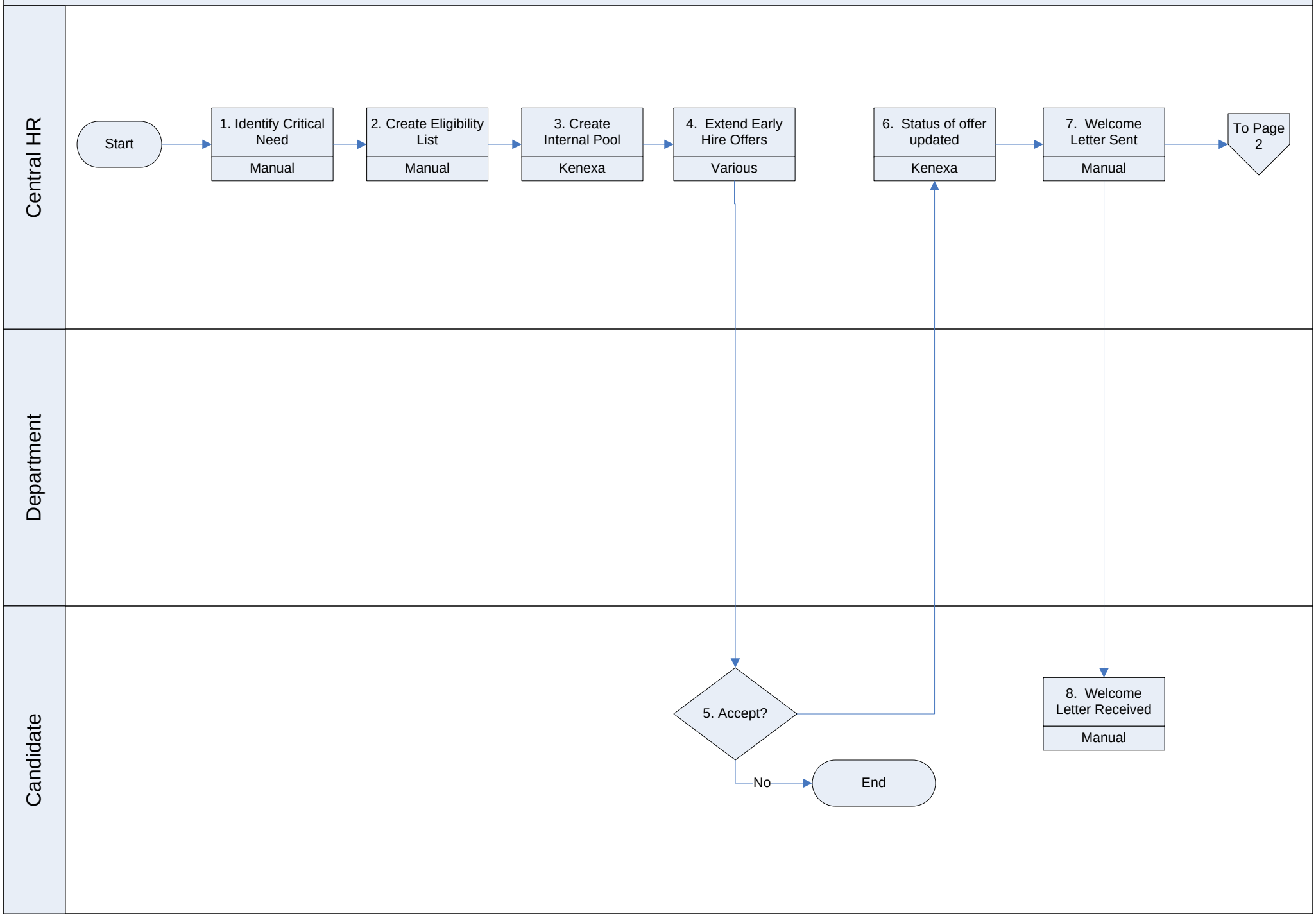
Human Resources [FINAL]
Sub-Process: Recruitment – Temporary/Hourly Positions

Map Name: HR_RECRUIT_TEMP
Map No.: 2B



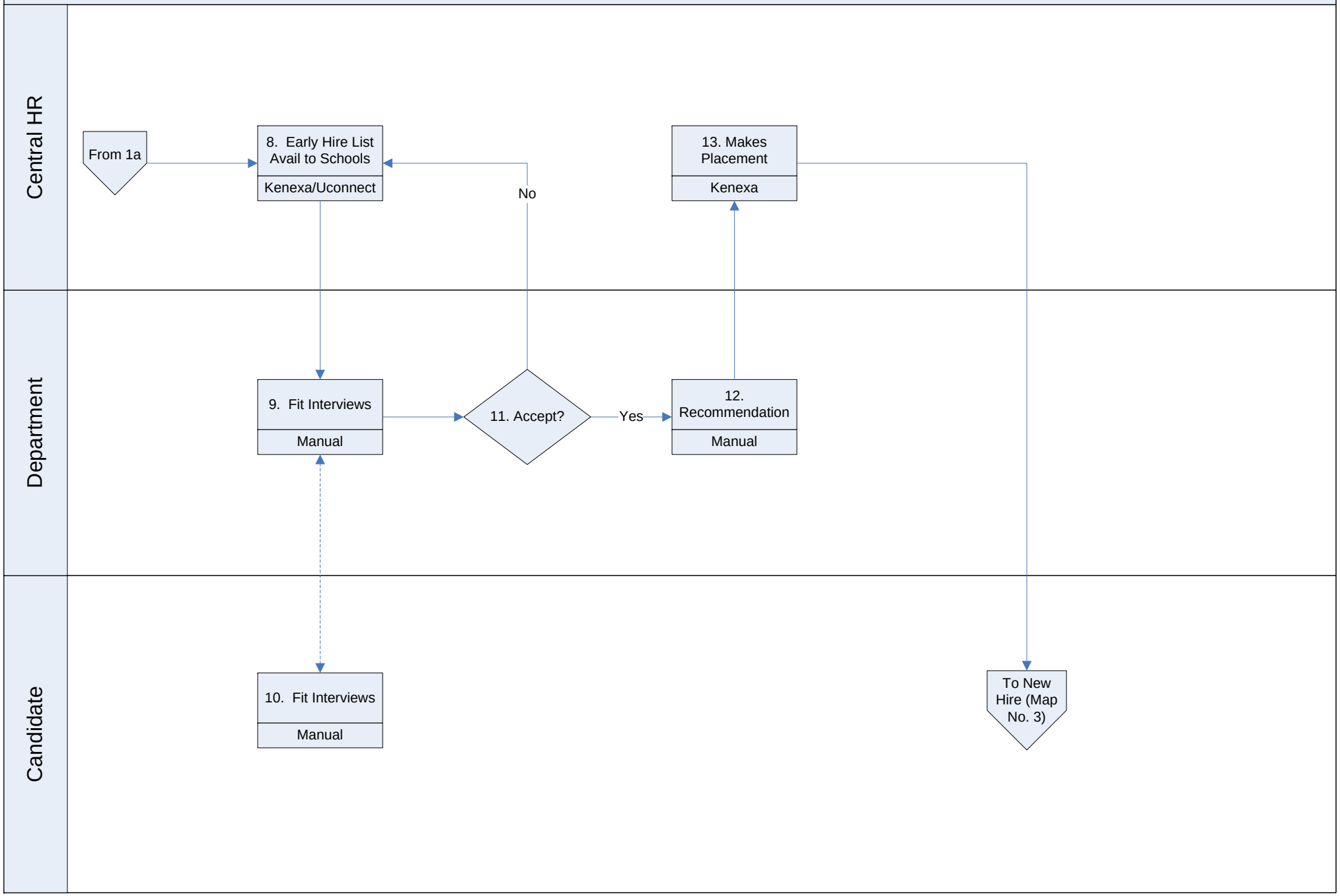
Human Resources [FINAL]
Sub-Process: Recruitment – Early Hire

Map Name: HR_RECRUIT_EARLY
Map No.: 2C



Human Resources [FINAL]
Sub-Process: Recruitment – Early Hire

Map Name: HR_RECRUIT_EARLY
Map No.: 2C



Process Name: Human Resource	**Process Identifier:** HR_RECRUIT_EARLY
Sub-Process Name: Recruitment – Early Hire Positions	**Map Number:** 2C

Sub-Process Purpose and Objectives: Early hire of an Employee

Sub-Process Description:

1. A Department identifies a need. The process then follows the Recruitment and New Hire processes. **[MAP SHAPE 1]**
2. School Central HR estimates their need for the next school year and begins development of an early hire list for critical fields as determined by the VDOE. **[MAP SHAPE 2]**
3. Central HR creates an eligibility list for these positions and the process proceeds to the New Hire process. **[MAP SHAPE 3]**
4. For other than critical needs, Central HR creates an internal pool of candidates in Kenexa. This process is not for specific positions, but is for a pool of eligible candidates. **[MAP SHAPE 4]**
5. A list of qualified early hire candidates is sent to the principals to select interview candidates from and fit interviews are conducted by the principals. **[MAP SHAPE 5]**
6. If the principle decides that a candidate is fit, a recommendation is sent to Central HR. If the principle decides that a candidate is not a fit the candidate remains in the pool. **[MAP SHAPE 6, 7, 4]**
7. A Hiring specialist contacts the recommended candidates and they are made a conditional offer of employment. **[MAP SHAPE 8]**

Triggers:

- Need, Critical need identified by Central HR of a Department

Key Process Participants:

- Central HR
- Departments

Inputs:

Input	*Format*
Critical Needs List	Manual

Outputs:

Output	*Format*
Candidate List	Various

IT Support:

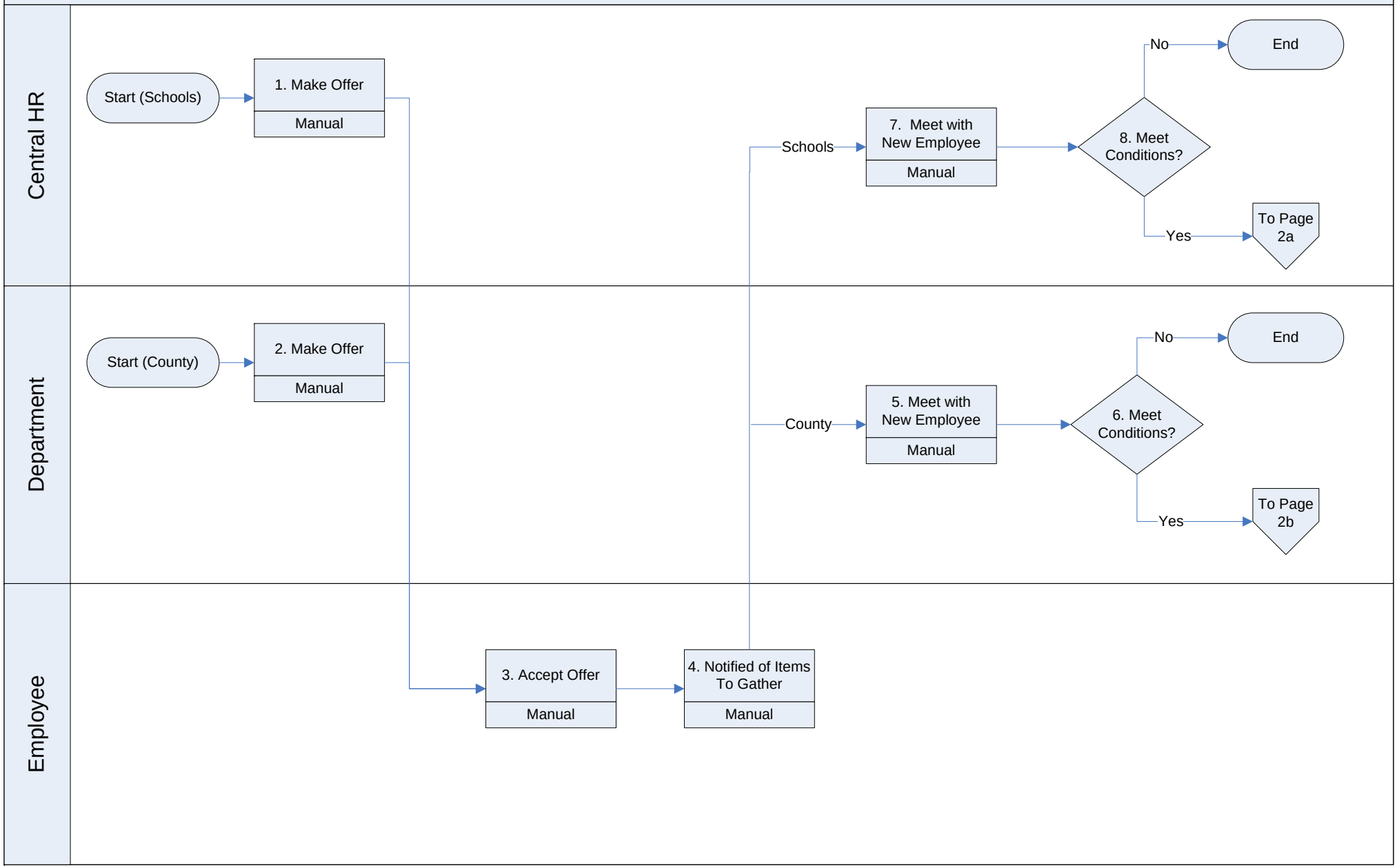
Application/System Name	*Technology Description*
Kenexa	Schools personnel requisition system

Regulations:

- Virginia Department of Education

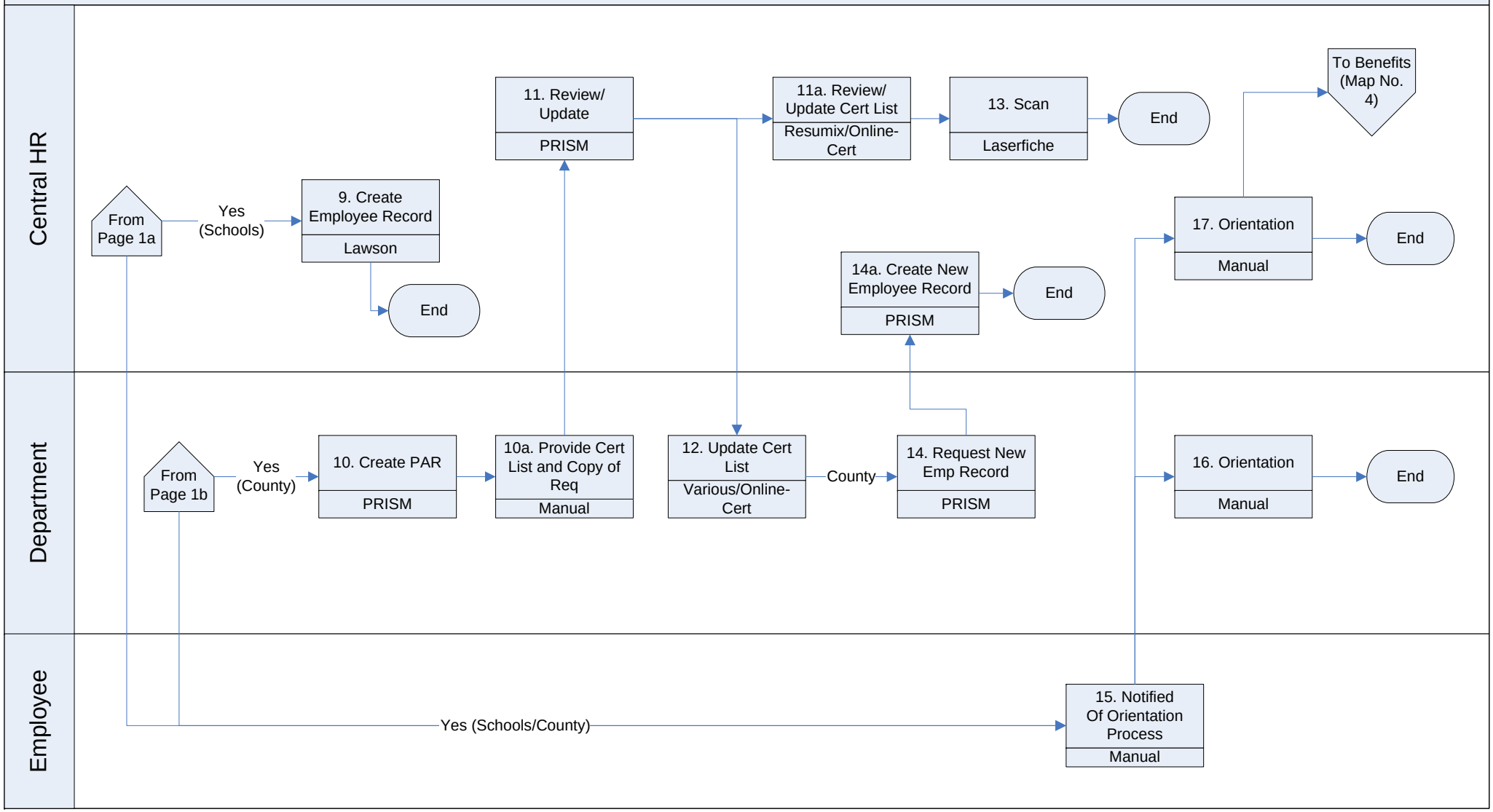
Human Resources [Final]
Sub-Process: New Hire – County/Schools

Map Name: HR_NEWHIRE_CO
Map No.: 3A



Human Resources [Final]
Sub-Process: New Hire – County/Schools

Map Name: HR_NEWHIRE_CO
Map No.: 3A



Process Name: Human Resources	**Process Identifier:** HR_NEWHIRE_CO
Sub-Process Name: New Hire – County	**Map Number:** 3A

Sub-Process Purpose and Objectives: Hire new employee, conduct background check and orientations as necessary

Sub-Process Description:

1. A job offer is made by either a County Department Hiring Manager or Schools Central HR. The employee accepts the offer. If it is a conditional offer, a number of tests (physical, drug, etc.) and background checks will be completed before the final offer is given (i.e. for public safety, bus drivers). **[MAP SHAPE 1, 2, 3, 4]**
2. For Schools, during the hiring offer call, Central HR explains documentation and contingency requirements needed in order to complete the hire. The employee gathers the documentation and brings it to Schools HR. The employee completes paperwork, is fingerprinted, receives employee badge, and signs contract if necessary. The employee can start work after all of these things are complete. If employees later fail the background check/fingerprinting (for contingent hire), they are terminated. **[MAP SHAPE 4, 7, 8]**
3. For Schools, once paperwork is complete, HR creates an employee record and enters applicant data in Lawson (salary, employee data). Employee data is sent to IT for set up of network access, email set up, user IDs, etc. **[MAP SHAPE 9]**
4. For the County, the new employee calls to make an appointment with Department HR to complete paperwork and provide documentation. The new employee meets with the appropriate Department HR payroll contact. The payroll contact does basic orientation, and the employee submits documents and completes paperwork. Fingerprinting/background check data is completed. Employee data is sent to IT for set up of network access, email, user IDs, etc. **[MAP SHAPE 4, 5, 6]**
5. County Department-level HR enters a Personnel Action Request (PAR) in PRISM. Department HR requests new employee record/EIN in Prism for the new employee. Signed PARs and supporting documents are sent to County Central HR for review and creation/update of the employee record in PRISM. Central HR updates Resumix. Agency HR updates online certification and return certification packages to Central HR. Central HR scans all employee documents into laser fiche. **[MAP SHAPE 10, 10a, 11, 11a, 12, 13, 14, 14a]**
6. For Schools, new employees are notified of orientation requirements. The employee resisters for and attends the official Schools orientation coordinated by central HR. Different groups/types of employees attend different orientations. Employees also attend department-level orientations. Timing/sequence of attendance of orientations differs. **[MAP SHAPE 15, 17]**
7. For County employees, new employees are notified of orientation requirements. Employees register for and attend required "global" County orientations coordinated by central HR as well as job-specific orientations/training. New County employees must complete County-wide core competency training within their first year of employment. Timing/sequence of attendance of orientations differs. **[MAP SHAPE 15, 16]**

NOTES:
For a contingent job offer, if an employee does not pass fingerprinting/background check, the job offer can be revoked. This can occur even after the employee has started work, but the employee must be fingerprinted before they begin work. However, new employees for the Department of Public Works, Public Safety, and bus drivers can not begin work until they have passed the background check. For Public Safety employees conditional employment offer exist until successful completion of a polygraph, physical and psychological examination.

For non-merit employees (also known as hourly or at will), new employees do not go through benefits or retirement orientations. For the County, these hiring offers are made by the hiring manager rather than in Department HR.

Triggers:
- ❑ Job offer is made
- ❑ Documents and background check submitted

Key Process Participants:
- ❑ Employee
- ❑ HR
- ❑ Department

Inputs:

Input	***Format***
Employee documentation and forms	Paper
Background check information	Various

Output

Output	***Format***
Employee begins work	Manual
Training/orientation attendance	Manual

IT Support:

Application/System Name	***Technology Description***
Prism	County human resource system
Lawson	Schools human resource system

Regulations:
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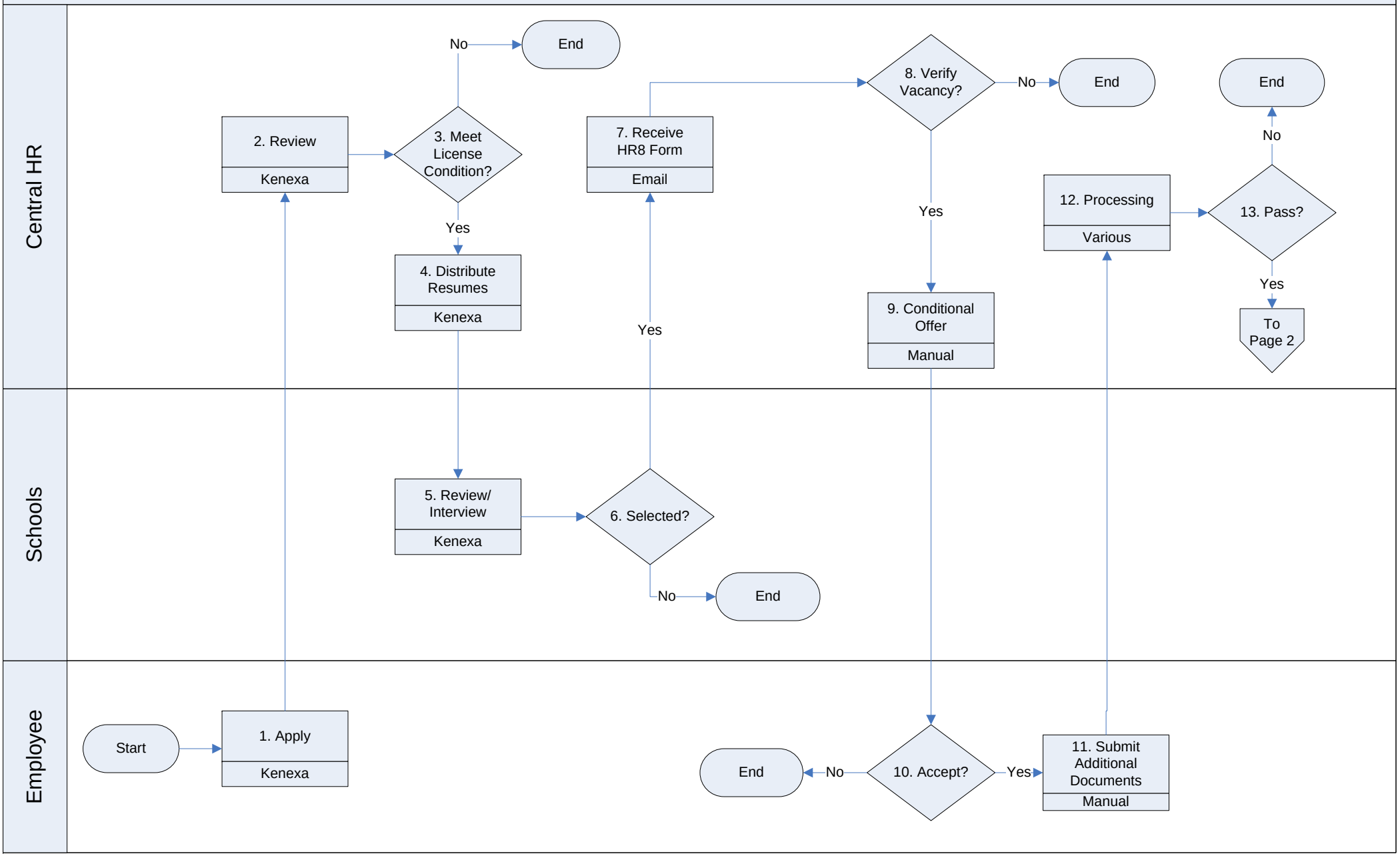
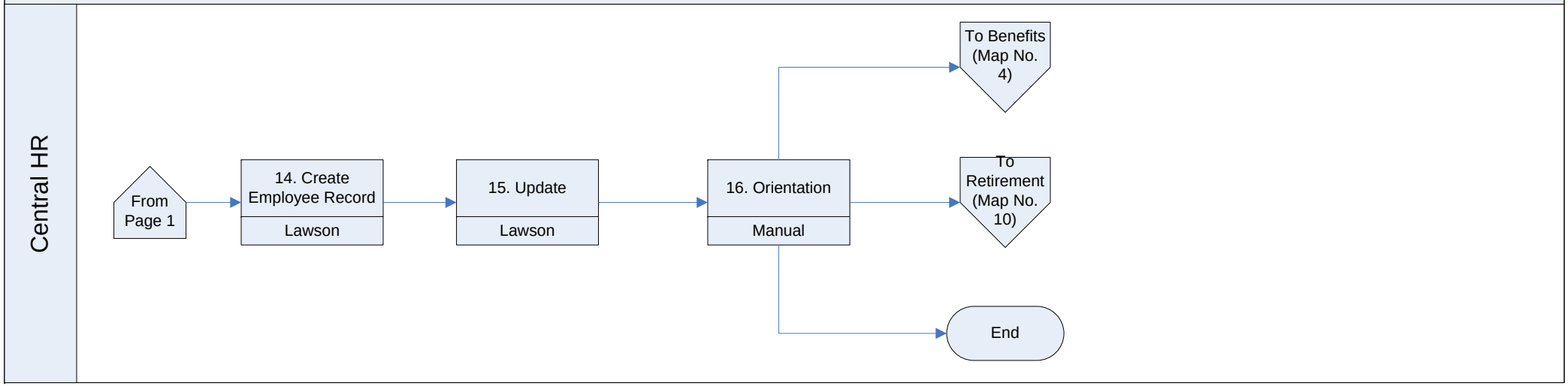
Human Resources [FINAL]
Sub-Process: New Hire – Instructional

Map Name: HR_NEWHIRE_INSTR
Map No.: 3C



Human Resources [FINAL]
Sub-Process: New Hire – Instructional

Map Name: HR_NEWHIRE_INSTR
Map No.: 3C



Process Name: Human Resources	**Process Identifier:** HR_NEWHIRE_INSTR
Sub-Process Name: New Hire – Instructional	**Map Number:** 3C

Sub-Process Purpose and Objectives: Hire new employee, conduct background check and orientations as necessary

Sub-Process Description:

1. An Applicant completes the online application with CareerQuest (Kenexa) for an Instructional Personnel position (Instructional Personnel can interview with Principal prior to beginning the "official" hiring process this is not recommended but does occur). **[MAP SHAPE 1]**
2. Central HR reviews license eligibility and their Teacher Insight scores. **[MAP SHAPE 2]**
3. The Applicant could be partially qualified and meet partial license conditions at which point they will be considered for the area they do meet qualifications. **[MAP SHAPE 3]**
4. Qualified applicant resumes are distributed to Principals through Kenexa. Principals then select top candidate and sends a request to hire form (HR-8 Request to Hire/Transfer) via email to Central HR. **[MAP SHAPE 4, 5, 6, 7]**
5. Central HR validates vacancy information to determine if a vacant position is available. Conversations with principal would end the process if a vacancy does not exist. If a vacancy is available, then the applicant's licensure information is reviewed again to confirm eligibility requirements. There are times there are complex licensure eligibility questions. The information is turned over to the Licensure office in Employment to confirm eligibility requirements exist. **[MAP SHAPE 8]**
6. A contingent offer is extended based on completion of required documentation. **[MAP SHAPE 9]**
7. If the Applicant accepts the offer, they are told to come to Central HR to complete Fingerprinting, background, TB test, and required documentation as well as register for Orientation. The Applicant can attend Orientation without having successfully completed documentation processing. **[MAP SHAPE 10, 11, 12]**
8. If Applicant does not have a successful background investigation or fingerprinting the process with end, if the applicant has been entered into Lawson the applicant will be terminated. **[MAP SHAPE 13]**
9. Once the paperwork is completed the Employee's record will be added to Lawson. The record is then reviewed and updated by Salary Services. **[MAP SHAPE 14, 15, 16]**

NOTE: The Applicant will receive Benefits information during Orientation and complete all paperwork for Benefits Enrollment.

Triggers:

- ❑ Job offer is made
- ❑ Documents and background check submitted

Key Process Participants:

- ❑ Employee
- ❑ Central HR
- ❑ Schools

Inputs:

Input	*Format*
Employee documentation and forms	Paper
Background check information	Various

Output

Output	*Format*
Employee begins work	Manual
Training/orientation attendance	Manual

IT Support:

Application/System Name	*Technology Description*
Kenexa	Online job application system
Lawson	Schools human resource system

Regulations:

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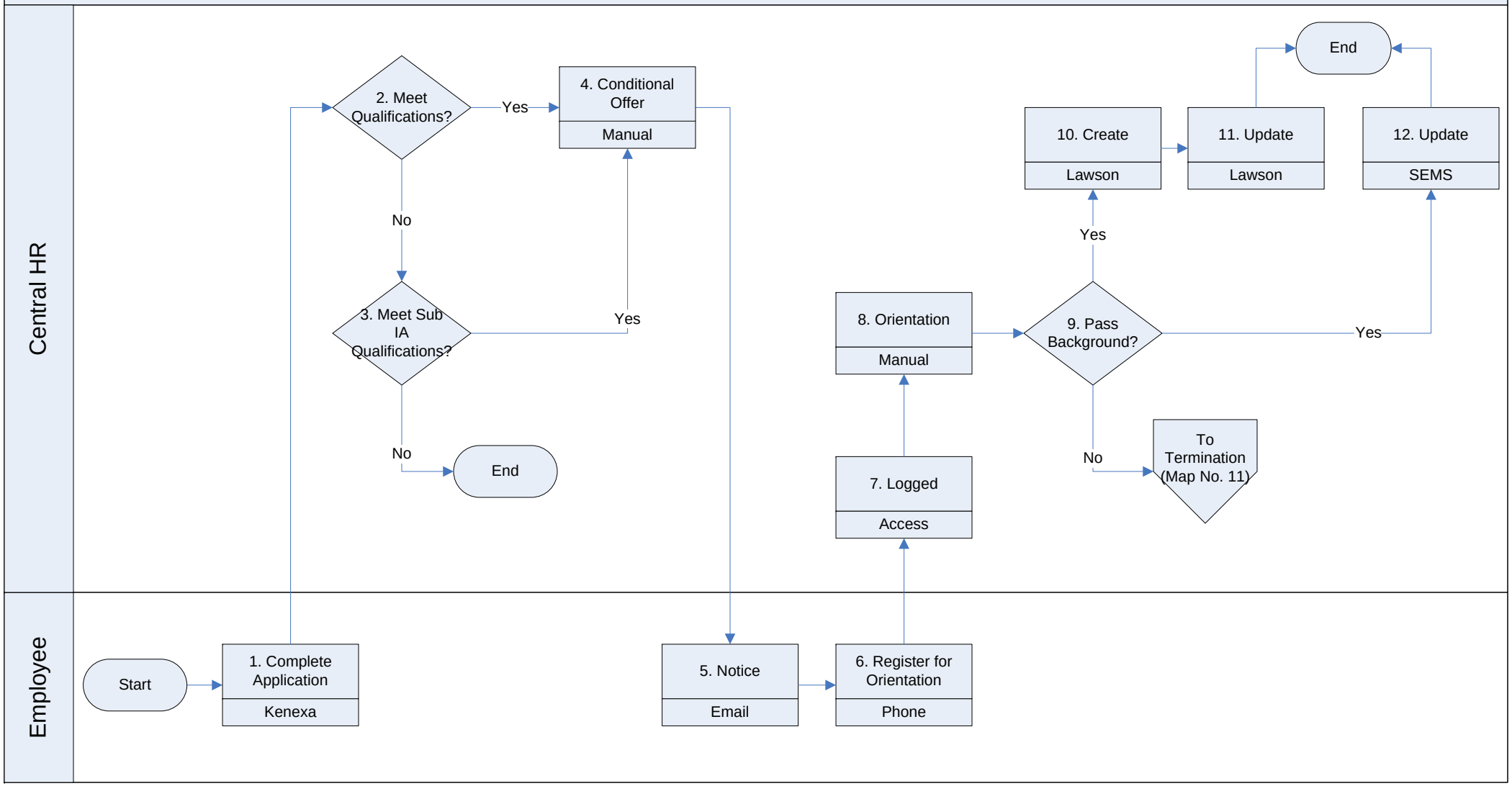
Human Resources [Final]
Sub-Process: New Hire – Substitute

Map Name: HR_NEWHIRE_SUB
Map No.: 3D



Process Name: Human Resources	**Process Identifier:** HR_NEWHIRE_SUB
Sub-Process Name: New Hire – Substitute	**Map Number:** 3D

Sub-Process Purpose and Objectives: Hire new employee, conduct background check and orientations as necessary

Sub-Process Description:

1. An Applicant completes the online application with CareerQuest (Kenexa). Part of the online application is Teacher Insight test. **[MAP SHAPE 1]**
2. If the Applicant meets the qualifications to teach but their Insight score is low, they are given a conditional offer for a position to be a Substitute IA. NOTE: After 10 working days you are reevaluated and depending on results offered a position to teach or remain in an IA position. **[MAP SHAPE 2, 3, 4]**
3. An email is sent to the Applicant to register for Orientation by calling Central HR based on results from Teacher Insight. Registration tracking is maintained in an Access database. **[MAP SHAPE 5, 6, 7]**
4. The Applicant attends Orientation where they complete all documentations (Background, Fingerprinting, references, TB Tests, as well as information on Virginia Code, Policies and Procedures, etc). **[MAP SHAPE 8]**
5. If the Applicant fails the background check, they are terminated. **[MAP SHAPE 9]**
6. If the Applicant passes the background check, their personnel record is added to Lawson and SmartFind Express. Lawson record is then reviewed and updated by Salary Services. **[MAP SHAPE 10, 11, 12]**

Triggers:

- ❑ Job offer is made
- ❑ Documents and background check submitted

Key Process Participants:

- ❑ Employee
- ❑ HR
- ❑ Department

Inputs:

Input	*Format*
Employee documentation and forms	Paper
Background check information	Various

Output

Output	*Format*
Employee begins work	Manual
Training/orientation attendance	Manual

IT Support:

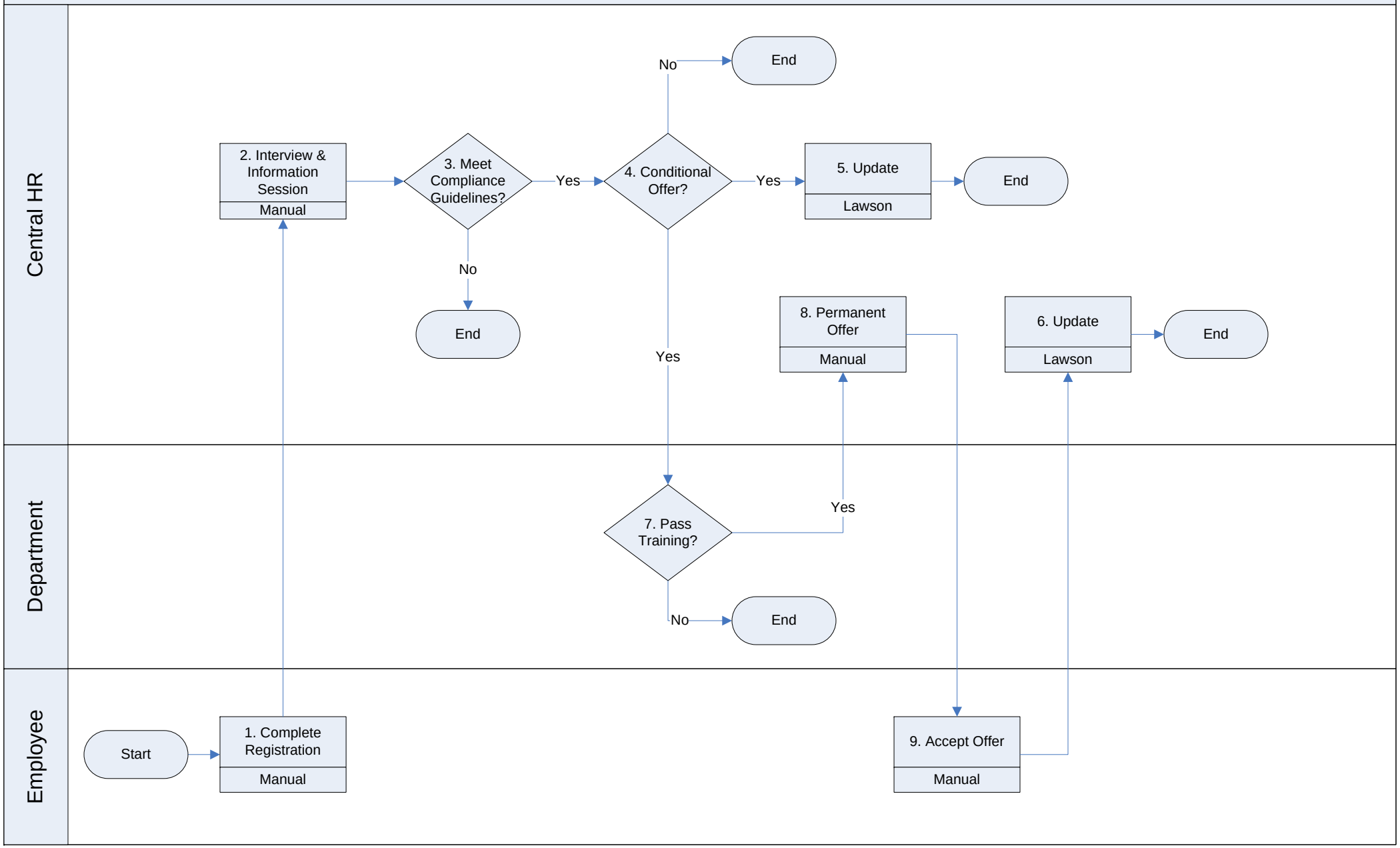
Application/System Name	*Technology Description*
Kenexa	Online job application system
Access	Database
Lawson	Schools human resource system
SmartFind Express	

Regulations:

- o

Human Resources [FINAL]
Sub-Process: New Hire – Transportation

Map Name: HR_NEWHIRE_TRANSPORT
Map No.: 3E



Process Name: Human Resources	**Process Identifier:** HR_NEWHIRE_TRANSPORT
Sub-Process Name: New Hire – Transportation	**Map Number:** 3E

Sub-Process Purpose and Objectives: Hire new employee, conduct background check and orientations as necessary

Sub-Process Description:

1. An Applicant completes the registration form and contacts Central HR to register for the Information Session. **[MAP SHAPE 1]**
2. The Applicant attends the Interview/Information Session which contains job requirements, compliance guidelines, group interview, and documentation completion. **[MAP SHAPE 2]**
3. The Applicant is then required to provide proof of compliance guidelines. If the Applicant meets the guidelines, they are given paperwork for Background, Fingerprinting, Physical Exam, and CDL Driver Permit Test. **[MAP SHAPE 3]**
4. The Applicant is given a conditional offer contingent upon successful completion of Driver Training Orientation provided by the Transportation Department. Central HR sends representative to provide Benefits Orientation during this time as well. **[MAP SHAPE 4]**
5. Central HR creates a personnel record in Lawson to record the Applicant as an hourly employee in a temporary position; it is then reviewed and updated by Salary Services. **[MAP SHAPE 5]**
6. If the Applicant passes the training, they are given a permanent job offer. If they accept the offer, their personnel record in Lawson is updated as updated to a contracted position. **[MAP SHAPE 7, 8, 9, 6]**
7. If the Applicant is not successful in the driver training, they are terminated. **[MAP SHAPE 7]**

Triggers:

- ❑ Job offer is made
- ❑ Documents and background check submitted

Key Process Participants:

- ❑ Employee
- ❑ HR
- ❑ Department

Inputs:

Input	*Format*
Employee documentation and forms	Paper
Background check information	Various

Output

Output	*Format*
Employee begins work	Manual
Training/orientation attendance	Manual

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system

Regulations:

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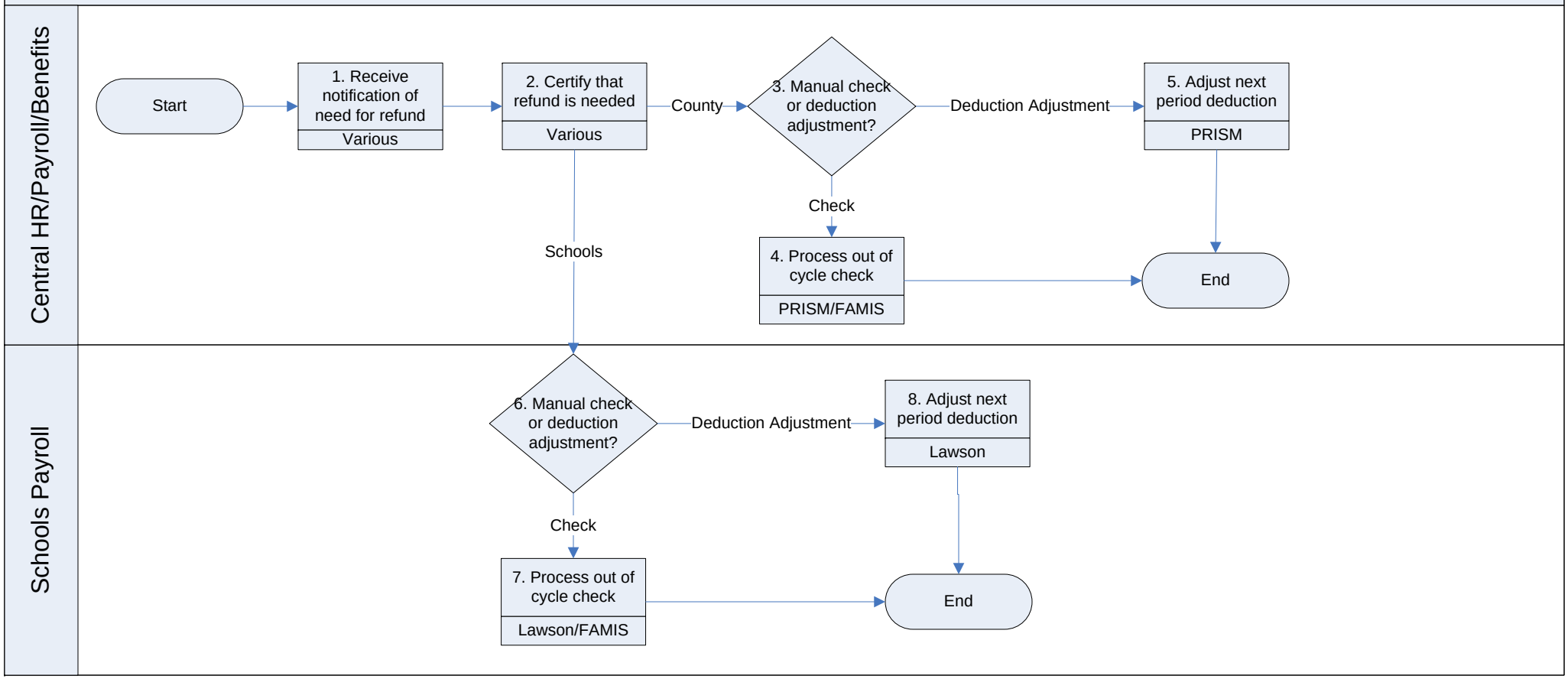
Human Resources [Final]
Sub-Process: Benefits Administration – Reconciliation/Refund

Map Name: HR_BA_RECON
Map No.: 4A



Process Name: Human Resources	**Process Identifier:** HR_BA_RECON
Sub-Process Name: Benefits Administration – Reconciliation/Refund	**Map Number: 4A**

Sub-Process Purpose and Objectives: Issue an employee refund

Sub-Process Description:

1. Payroll is notified of the need for a refund by an employee or from other sources. **[MAP SHAPE 1]**
2. Payroll reviews the refund request to verify that a refund is needed. **[MAP SHAPE 2]**
3. In the Schools, School Payroll determines if the refund should be in the form of a deduction adjustment or a manual check. **[MAP SHAPE 6]**
4. If the refund is to be in the form of a check it is produced as an out of cycle check and Lawson and Schools FAMIS are updated. **[MAP SHAPE 6, 7]**
5. If the refund is to be in the form of a deduction adjustment, the adjustment is made in the next deduction cycle and Lawson is updated. **[MAP SHAPE 6, 8]**
6. In the County, County Payroll determines if the refund should be in the form of a deduction adjustment or a manual check. **[MAP SHAPE 3]**
7. If the refund is to be in the form of a check it is produced as out of cycle check and PRISM and County FAMIS are updated. **[MAP SHAPE 3, 4]**
8. If the refund is to be in the form of a deduction adjustment the adjustment is made in the next deduction cycle and PRISM is adjusted. **[MAP SHAPE 3, 5]**

Triggers:

- There is a need for a deduction refund.

Key Process Participants:

- Central HR/Payroll/Benefits
- School Payroll

Inputs:

Input	*Format*
Deduction refund request	Various

Outputs:

Output	*Format*
Refund is made	Manual check/Deduction adjustment

IT Support:

Application/System Name	*Technology Description*
Lawson	School human resource system
PRISM	County human resource system
FAMIS	Financial system

Regulations:

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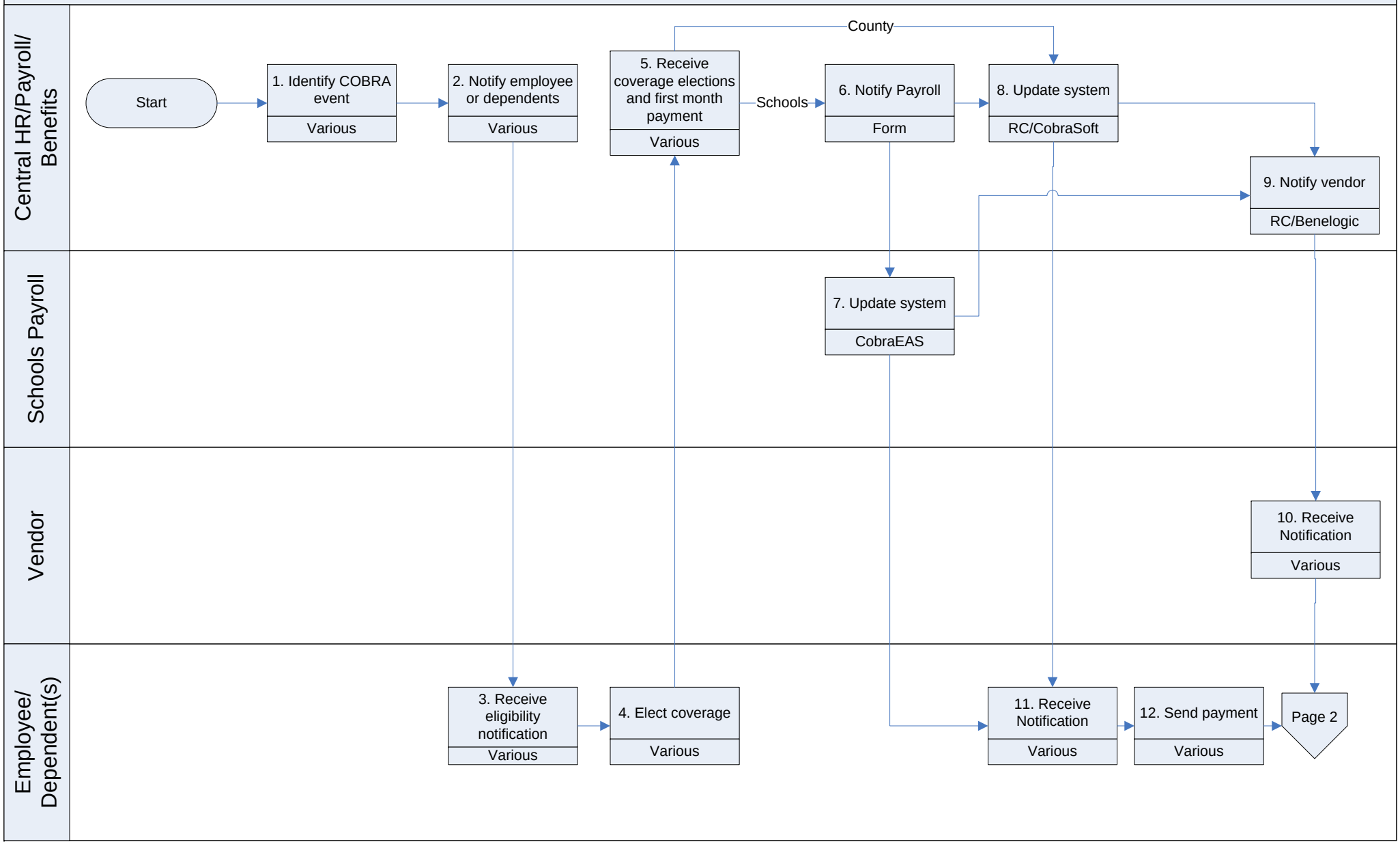
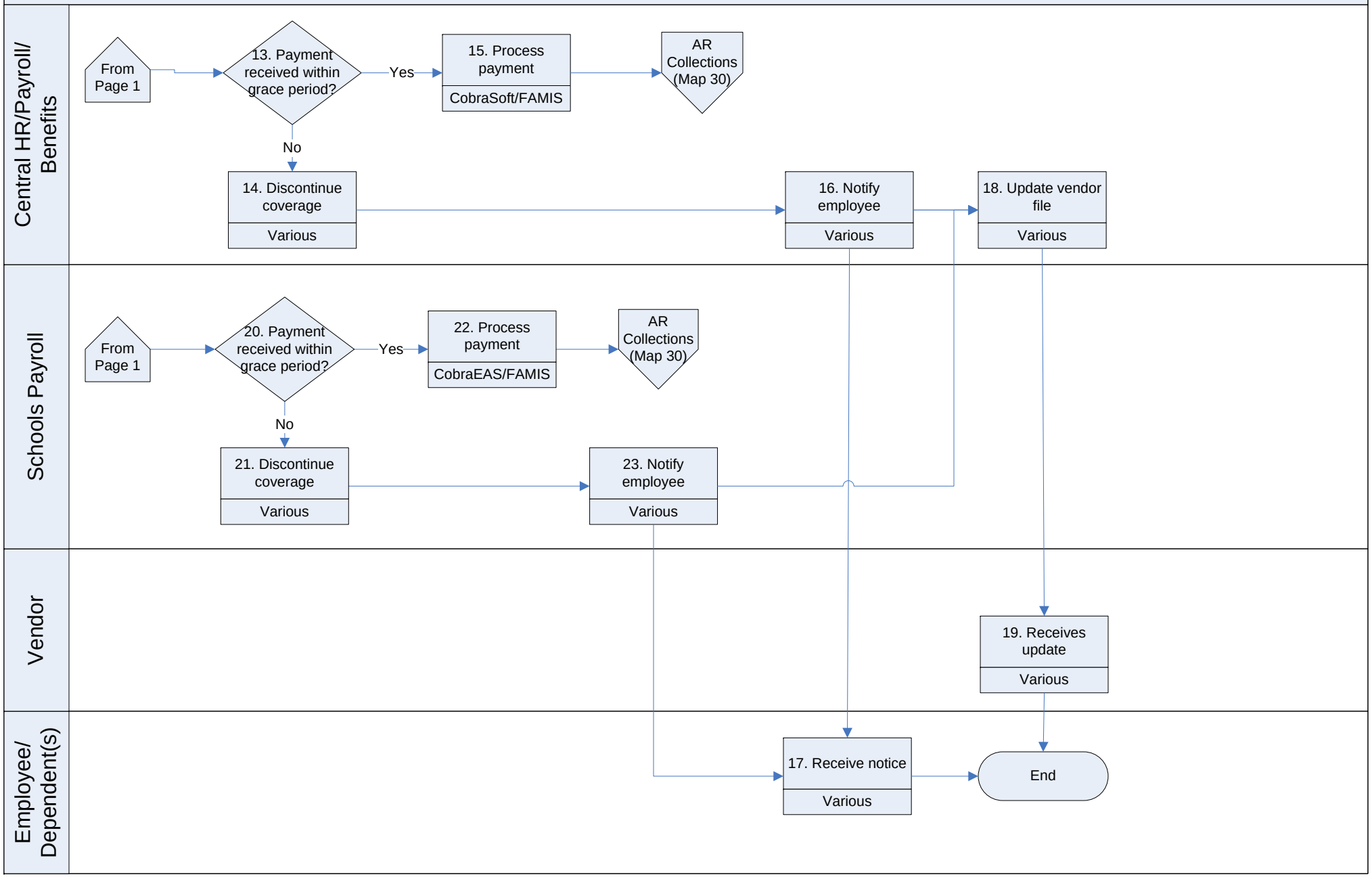
Human Resources [Final]
Sub-Process: Benefits Administration – COBRA Processing

Map Name: HR_BA_COBRA
Map No.: 4B



Human Resources [Final]
Sub-Process: Benefits Administration – COBRA Processing

Map Name: HR_BA_COBR
Map No.: 4B



Process Name: Human Resources	**Process Identifier:** HR_BA_COBRA
Sub-Process Name: Benefits Administration – COBRA Processing	**Map Number: 4B**

Sub-Process Purpose and Objectives: Employee goes into COBRA program and is monitored

Sub-Process Description:

1. A qualifying COBRA event is identified. **[MAP SHAPE 1]**
2. Benefits send the appropriate notice to the employee and/or dependent. **[MAP SHAPE 2, 3]**
3. Employee and/or dependent determine if they want to elect COBRA coverage. **[MAP SHAPE 4]**
4. Employee/dependent notifies Benefits of the coverage elections they have made, selects a payment method and sends this information, along with the first month's coverage payment to Benefits. **[MAP SHAPE 4, 5]**
5. In the County the RC/CobraSoft system is updated. **[MAP SHAPE 5, 8]**
6. In the Schools Benefits notifies Payroll who updates CobraEAS. **[MAP SHAPE 5, 6, 7]**
7. The employee/dependent is notified that they have been enrolled in COBRA. Coupons are sent to the employee/dependent for future monthly payments. **[MAP SHAPE 7, 8, 11]**
8. Benefits notify the COBRA coverage vendor of the employee/dependent's elections. The Schools used RC to notify vendor and County notify through Benelogic. **[MAP SHAPE 7, 8, 9, 10]**
9. Employee/dependent continues to pays premium monthly. **[MAP SHAPE 12]**
10. In the County if the employee/dependent continues to make payments within the grace period coverage continues throughout the eligibility period. And Benefits processes the monthly payment in CobraSoft and FAMIS. **[MAP SHAPE 12, 13, 15]**
11. If employee/dependent does not continue to make monthly premium payments as required a series of delinquency notices are sent to them, and if payment is still not forthcoming coverage is dropped. The employee/dependent is notified that coverage has been dropped and a notice is sent to the COBRA vendor and the vendor's records are updated. The employee/dependent's delinquent account is sent for collection. **[MAP SHAPE 14, 16, 17, 18, 19]**
12. In the Schools if the employee/dependent continues to make payments within the grace period coverage continues throughout the eligibility period. And Payroll processes the monthly payment in CobraEAS and FAMIS. **[MAP SHAPE 12, 20, 22]**
13. If employee/dependent does not continue to make monthly premium payments as required a series of delinquency notices are sent to them, and if payment is still not forthcoming coverage is dropped. The employee/dependent is notified that coverage has been dropped and a notice is sent to the COBRA vendor and the vendor's records are updated. The employee/dependent's delinquent account is sent for collection. **[MAP SHAPE 21, 23, 17, 18, 19]**

Triggers:

- ❑ COBRA event takes place

Key Process Participants:

- ❑ Central HR/Payroll/Benefits
- ❑ School Payroll
- ❑ Vendor
- ❑ Employee/Dependent

Inputs:

Input	***Format***
Employee notifies Benefits of COBRA event	Various
Employee/Dependent makes payments	Various

Outputs:

Output	***Format***
COBRA packet sent to employee/dependent	Manual
Coverage continues	Manual

Payments not paid	Various	Coverage terminated	Manual

IT Support:

Application/System Name	***Technology Description***
RC/CobraSoft	County COBRA tracking system
RC/Benelogic	County COBRA benefits system
CobraEAS	Schools COBRA benefits system
FAMIS	Financial System

Regulations:

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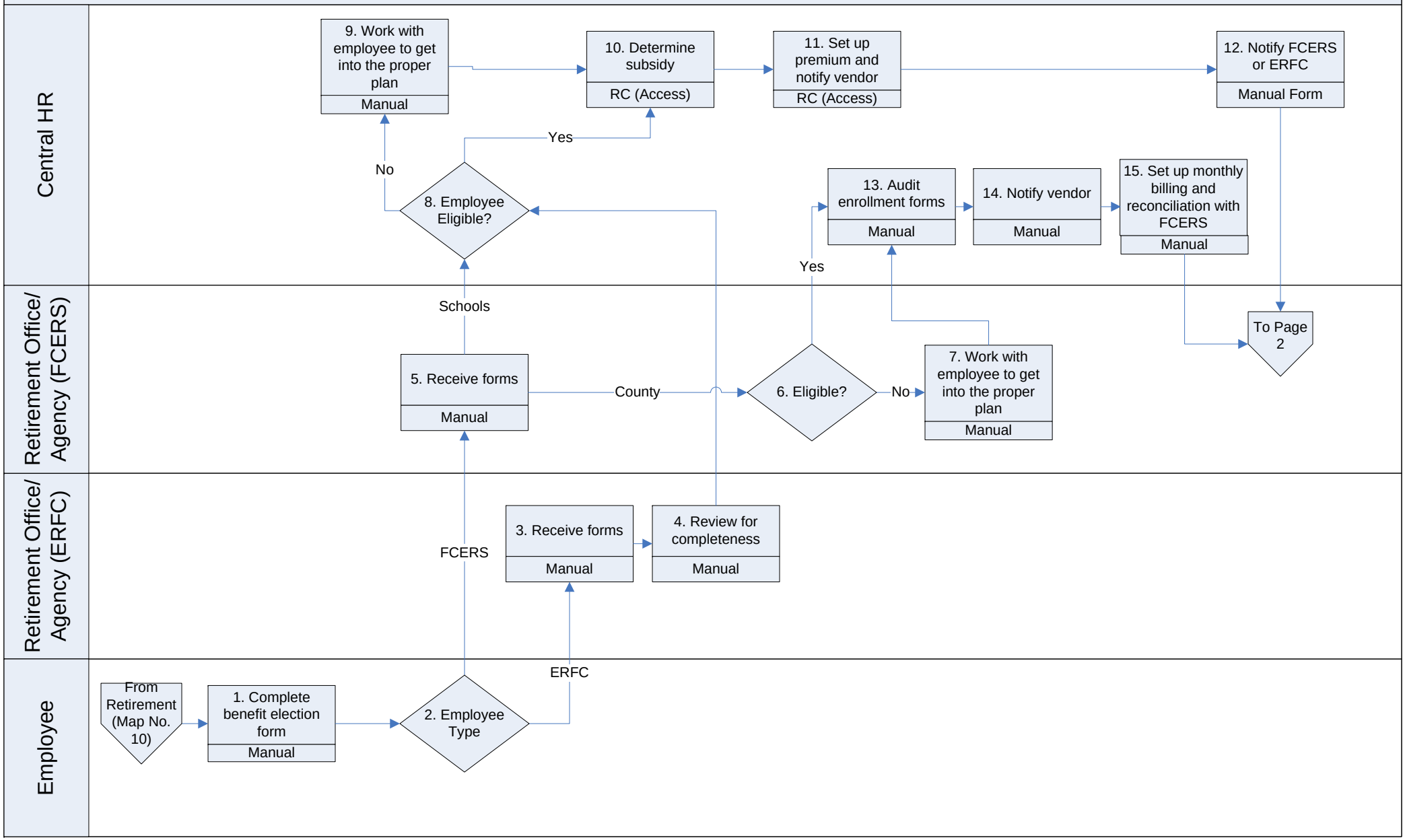
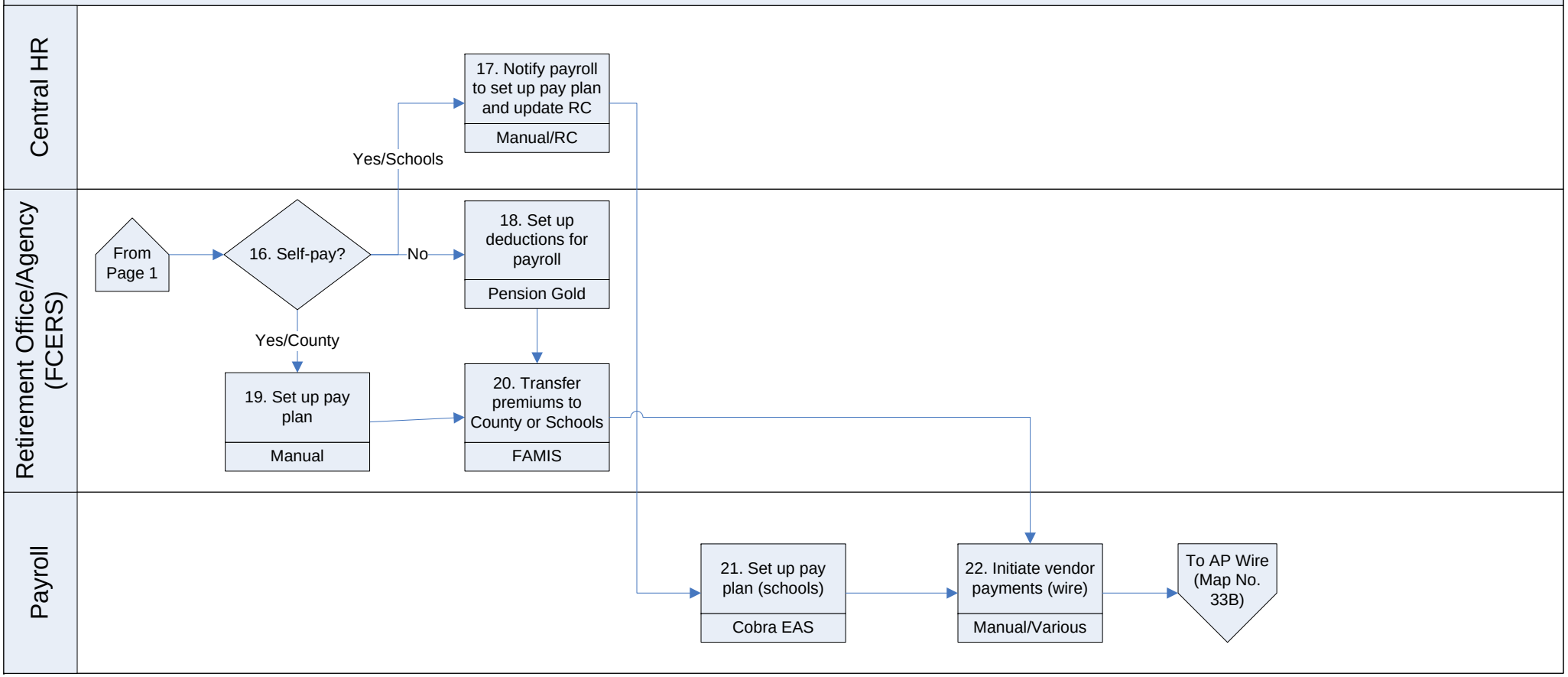
Human Resources [Final]
Sub-Process: Benefits Administration - Retiree

Map Name: HR_BA_RETIREE
Map No.: 4C



Human Resources [Final]
Sub-Process: Benefits Administration - Retiree

Map Name: HR_BA_RETIREE
Map No.: 4C



Process Name: Human Resources	**Process Identifier:** HR_BA_RETIREE
Sub-Process Name: Benefits Administration - Retiree	**Map Number: 4C**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Employee completes retirement benefits election forms (HR2) and sends them to ERFC or to the FCERS (Schools may have employees in either retirement systems). **[MAP SHAPE 1, 2, 3, 5]**
2. The ERFC Retirement Office receives the forms from the employee and reviews them for completeness and forwards them to Central HR to determine eligibility. **[MAP SHAPE 3, 4, 8]**
3. The FCERS Retirement Office receives the forms from the employee. If the forms are from a School employee forms are sent to Central HR to determine eligibility. **[MAP SHAPE 5, 8]**
4. If the School employee is an eligible FCERS employee Central HR will determine the employee's subsidy in RC. **[MAP SHAPE 8, 10]**
5. If the School employee is not an eligible FCERS employee Central HR will work with the employee to get them into a suitable benefits plan. **[MAP SHAPE 8, 9]**
6. The employee's premium is determined and setup in RC and the vendor is notified. Central HR also notifies the ERFC or FCERS retirement boards. **[MAP SHAPE 11,12]**
7. If the form received by the FCERS Retirement Office is form a County employee the FCERS Retirement Office determines if the employee is eligible. If the employee is eligible the forms are sent to Central HR for review and auditing. **[MAP SHAPE 5, 6, 13]**
8. If the form received by the FCERS Retirement Office is form a County employee who is not eligible for retirement the FCERS Retirement Office will work with the employee to get them into a suitable benefit plan. **[MAP SHAPE 5, 6, 7, 13]**
9. Central HR notifies the benefits vendor that the employee is an eligible retiree. Central HR sets up the monthly premium billing for the employee and the reconciliation with FCERS. **[MAP SHAPE 14, 15]**
10. If the employee is not going to self pay their benefits premiums the Retirement Office sets up the employee for payroll benefit deductions in PensionGold. Deducted benefit premiums are transferred to the County or to the Schools. **[MAP SHAPE 18, 20]**
11. If the employee is a County employee who is a self pay the employee is billed for their benefit premiums and the funds collected by the Retirement Office are transferred to the County and updated in FAMIS. **[MAP SHAPE 16, 19, 20]**
12. County Payroll initiates a funds transfer to the benefits vendors to pay monthly premiums. **[MAP SHAPE 20, 22]**
13. If the employee is a School employee who is a self pay Central HR notifies School Payroll to set up a payment plan for the employee and updates the CobraEAS system. Central HR updates the RC system. **[MAP SHAPE 16, 17, 21]**

Triggers:
- An employee files for retirement.

Key Process Participants:
- Central HR
- Retirement Office/Agency/ERFC
- Retirement Office/Agency/FCERS
- Payroll
- Employee

Inputs:

Input	*Format*
Employee files HR2 form	Manual
Employee completes benefit election forms	Manual
Premium payment method selected	Manual

Outputs:

Output	*Format*
Eligibility determined	Manual
Employee enrolled	Manual
Premium payment method established	Manual

IT Support:

Application/System Name	*Technology Description*
RC	Schools Benefit Tracking System
CobraEAS	Schools COBRA Tracking System
PensionGold	FCERS Retirement Tracking System
FAMIS	Financial System

Regulations:
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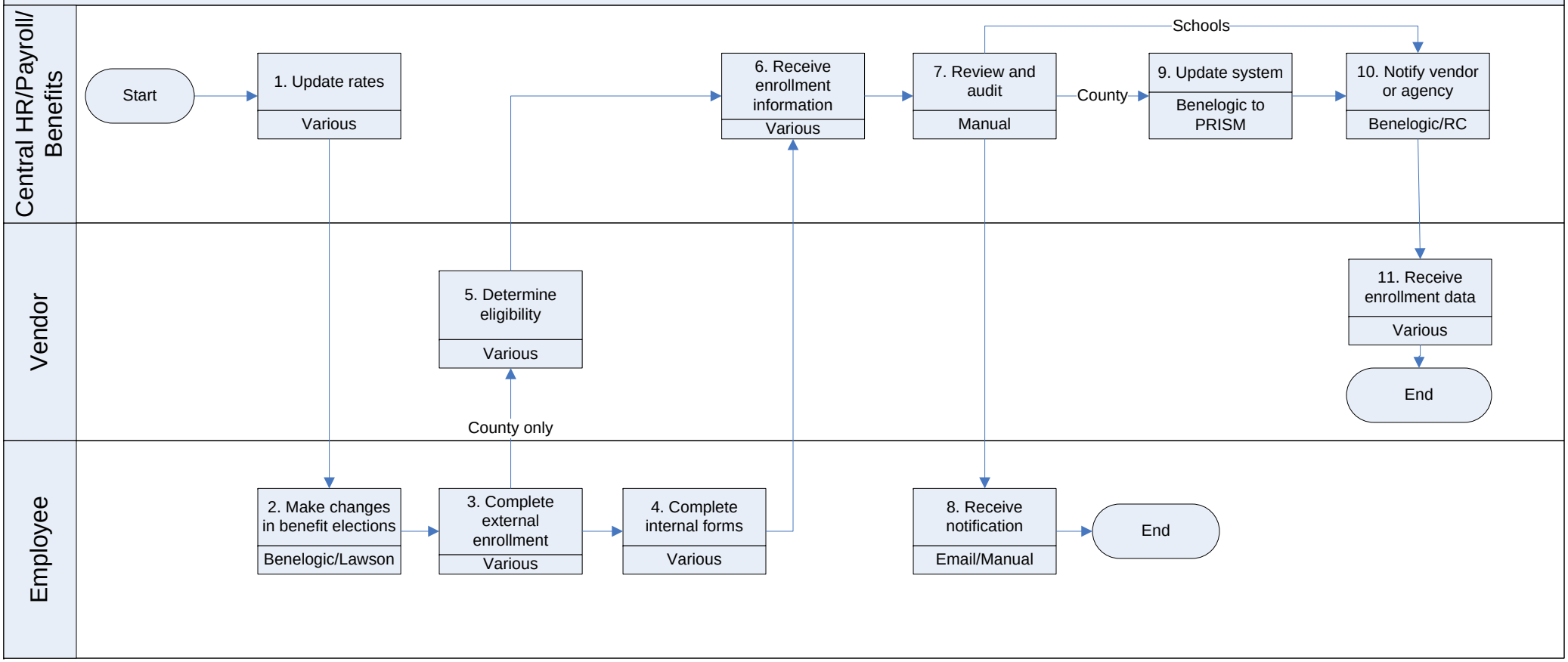
Human Resources [Final]
Sub-Process: Benefits Administration – Open Enrollment

Map Name: HR_BA_OPEN
Map No.: 4D



Process Name: Human Resources	**Process Identifier:** HR_BA_OPEN
Sub-Process Name: Benefits Administration – Open Enrollment	**Map Number: 4D**

Sub-Process Purpose and Objectives: Open enrollment period for employees

Sub-Process Description:

1. The Benefits department updates the various benefit rates and moves them into Lawson/Benelogic which updates the self service site. Open enrollment is announced. **[MAP SHAPE 1]**
2. Employee initiates changes in benefit elections using the self-service process or completing the various external/internal enrollment forms. **[MAP SHAPE 2, 3, 4]**
3. County has enrollment with external vendors for life insurance only. The vendor reviews the request and either approve or deny the employee request. **[MAP SHAPE 5]**
4. Benefits receive the enrollment forms. **[MAP SHAPE 5, 4, 6]**
5. Benefits reviews and audits the enrollment forms and when the enrollment is validated the employee is notified through and email or letter. **[MAP SHAPE 7, 8]**
6. In the Schools after enrollment is validated the appropriate vendor or agency is notified through RC and the vendor receives the enrollment data. **[MAP SHAPE 7, 8, 10, 11]**
7. In the County after the enrollment is validated in Benelogic PRISM is updated and the appropriate vendor or agency is notified through Benelogic and the vendor receives the enrollment data. **[MAP SHAPE 7, 8, 9, 10, 11]**

Triggers:

- Open enrollment period is held.

Key Process Participants:

- Central HR/Payroll/Benefits
- Vendor
- Employee

Inputs:

Input	*Format*
Employee fills out external enrollment forms.	Various
Employee fills out internal enrollment forms.	Various

Outputs:

Output	*Format*
Employee is enrolled in selected benefit.	Various
Employee is enrolled in selected benefit.	Various

IT Support:

Application/System Name	*Technology Description*
Benelogic	County Benefit Tracking System
RC	Schools Benefit Tracking System
PRISM	County human resource system
Lawson	Schools human resource system

Regulations:

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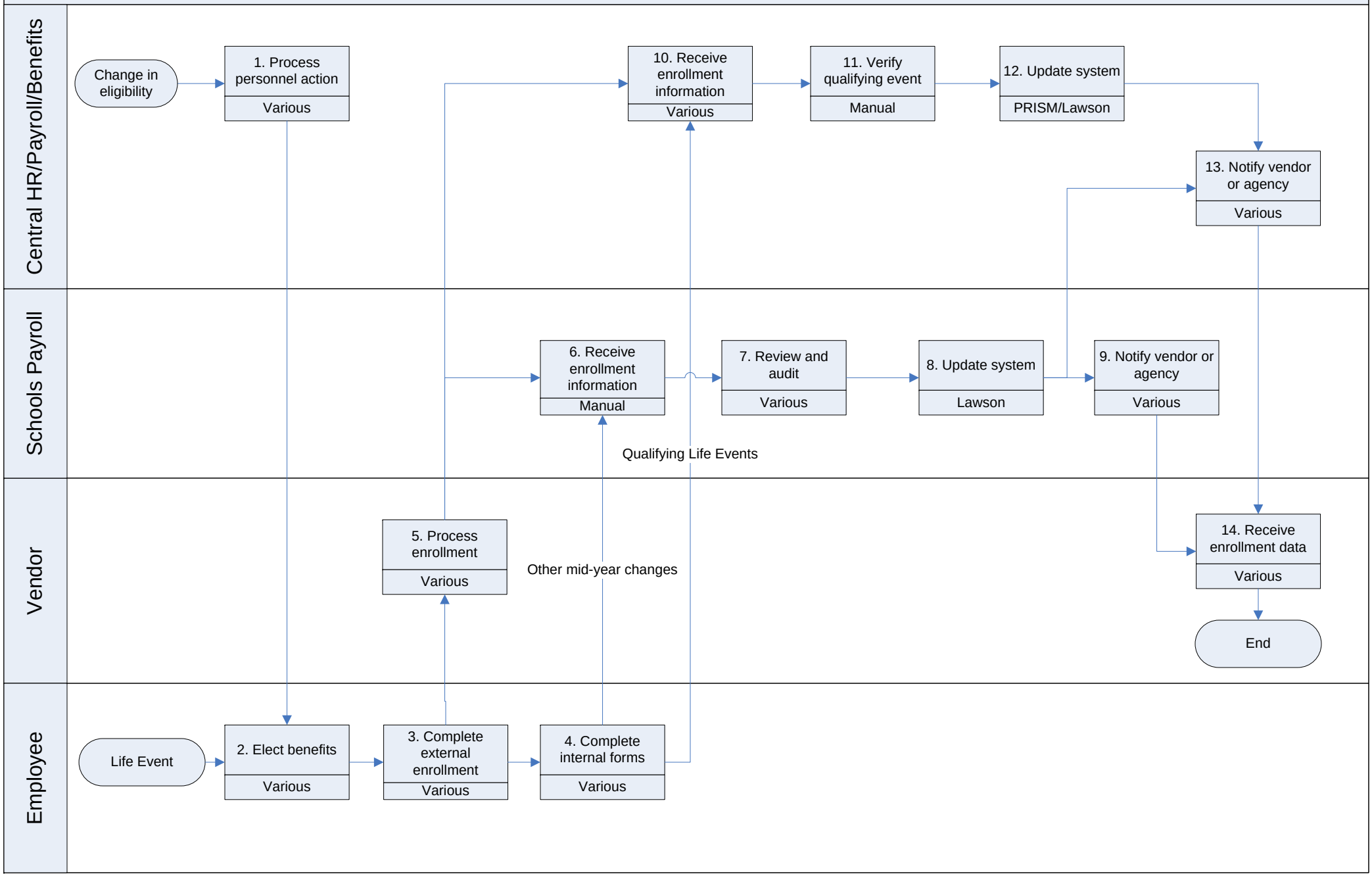
Human Resources [Final]
Sub-Process: Benefits Administration – Life Events and Mid-Year Changes

Map Name: HR_BA_LIFE
Map No.: 4E



Process Name: Human Resources	**Process Identifier:** HR_BA_LIFE
Sub-Process Name: Benefits Administration – Life Events and Mid-Year Changes	**Map Number: 4E**

Sub-Process Purpose and Objectives: Employee changes benefits because of a qualifying life event or makes mid year benefit changes

Sub-Process Description:

1. An employee has a qualifying life event which results in a change in eligibility and notifies Benefits. **[MAP SHAPE 2]**
2. A PAR is completed and the employee is authorized to select new or change their benefits. **[MAP SHAPE 1, 2]**
3. The employee completes the external enrollment forms and forwards them to the benefit provider who processes the employee's enrollment. Additionally, the employee completes any necessary internal enrollment form for mid-year changes or qualifying life event changes and sends the documents to Schools Payroll or to County Benefits. **[MAP SHAPE 3, 5, 4, 6, 10]**
4. The benefit provider notifies Schools Payroll or County Benefits of the employee's enrollment. **[MAP SHAPE 5, 6, 10]**
5. School Payroll reviews and audits the documents received from the employee and the benefits provider and updates Lawson. **[MAP SHAPE 6, 7, 8]**
6. County Benefits review and audits the documents to verify that the event is a qualifying event and updates PRISM. **[MAP SHAPE 10, 11, 12]**
7. School Payroll or County Benefits send notifies the vendors or agencies of the employee's enrollment and send the processed form back to the benefit service provider. **[MAP SHAPE 9, 13, 14]**

Triggers:

- ❑ A qualifying life event or a mid-year benefit change

Key Process Participants:

- ❑ Central HR/Payroll/Benefits
- ❑ School Payroll
- ❑ Vendor
- ❑ Employee

Inputs:

Input	*Format*
Benefit application	Various

Outputs:

Output	*Format*
Application approve/denied	Various

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
PRISM	County human resource system

Regulations:

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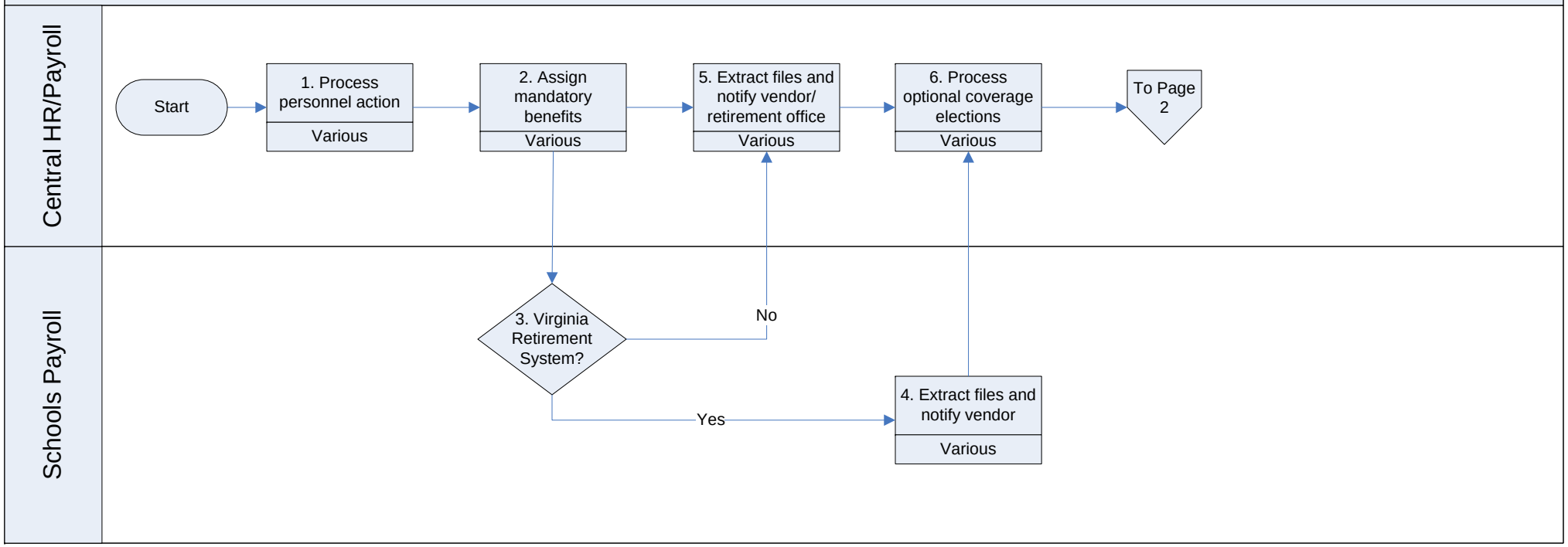
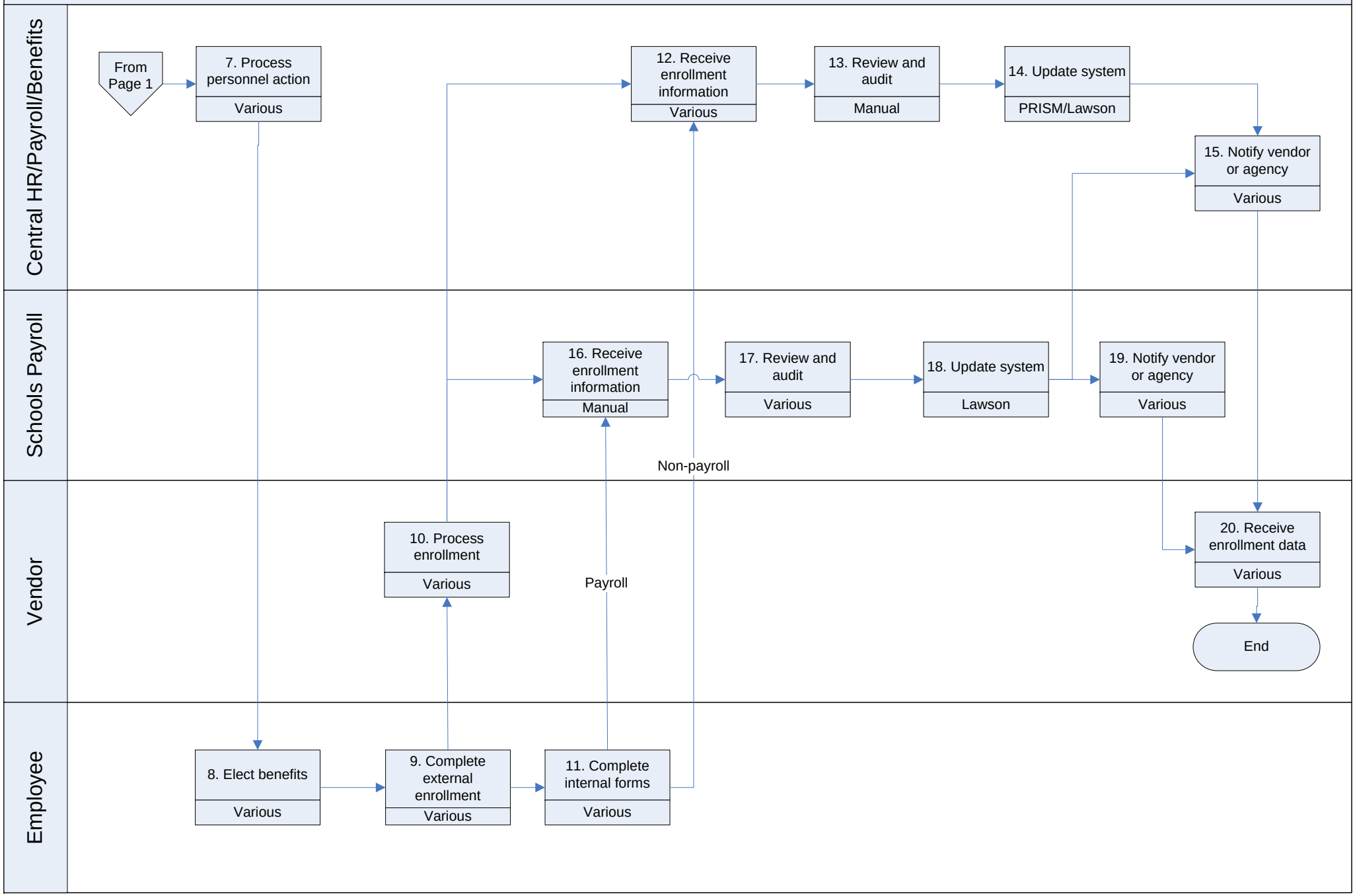
Human Resources [Final]
Sub-Process: Benefits Administration – Newly Eligible

Map Name: HR_BA_NEW
Map No.: 4F



Human Resources [Final]
Sub-Process: Benefits Administration – Newly Eligible

Map Name: HR_BA_NEW
Map No.: 4F



Process Name: Human Resources	**Process Identifier:** HR_BA_NEW
Sub-Process Name: Benefits Administration – Newly Eligible	**Map Number: 4F**
Sub-Process Purpose and Objectives: Enroll a newly hired employee	

Sub-Process Description:

Mandatory Benefit Coverage

1. A Personnel Action Report (PAR) is processed in Central HR when a new employee is hired. **[MAP SHAPE 1]**
2. Mandatory benefits are automatically assigned to the employee based on their position in the Schools. Personnel action happens in either Lawson or PRISM. In the Schools rules are setup in Lawson based on positions. In the County, Life and Retirement, benefits are assigned at the lowest level of election. For Schools, the employee has 30 days from hire/eligibility date to change the plan (FCERS ONLY) assigned to them. The assignment does not notify the vendors of the employee's enrollment. **[MAP SHAPE 2]**
3. School Payroll determines if the employee is to be assigned to the Virginia Retirement System (VRS). **[MAP SHAPE 3]**
4. If the new employee is assigned to the VRS, School Payroll runs an extraction program in Lawson and sends the extracted records to the various benefits vendors and to Central HR to process the optional coverage elections. **[MAP SHAPE 3, 4, 6]**
5. If the employee is not to be assigned to the VRS, Central HR does the file extract and notifies the various benefit providers and the appropriated retirement system and process the employee's optional coverage elections. **[MAP SHAPE 3, 5, 6]**

Optional Benefit Coverage

1. A PAR is processed in Central HR for a newly hired employee. The PAR assign's the employee to a group based on position. Central HR sends the employee optional benefit election form appropriate for the group the employee is assigned to. **[MAP SHAPE 7, 8]**
2. The employee completes enrollment forms for the various external plans selected and sends the enrollment forms to various vendors. **[MAP SHAPE 8, 9]**
3. The vendor enrolls the employee in the selected plans and sends the enrollment forms to School Payroll and County Benefits. Some plans allow employees to enroll online with the vendor. **[MAP SHAPE 10, 16, 12]**
4. The employee also fills out enrollment form for various internal benefits and forwards them to either School Payroll or County Benefits. **[MAP SHAPE 11, 16, 12]**
5. School Payroll receives the benefit enrollment forms from the external vendors and from the employee and performs a review and audit of the forms. The validated forms are entered into Lawson. **[MAP SHAPE 16, 17, 18]**
6. County Benefits receives the benefit enrollment forms form the employees and performs a review and audit of the forms. The validated forms are entered into Lawson/PRISM/Benelogic as appropriate. **[MAP SHAPE 12, 13 ,14]**
7. School Payroll and County Benefits notify the appropriated Departments and benefit providers. **[MAP SHAPE 15, 19, 20]**

Triggers:

- New employee assigned mandatory benefits and chooses optional benefits.

Key Process Participants:

- Central HR/Payroll/Benefits
- School/Payroll
- Vendor
- Employee

Inputs:

Input	*Format*
Employee fills out external enrollment forms.	Various
Employee fills out internal enrollment forms.	Various

Outputs:

Output	*Format*
Employee is enrolled in selected benefit.	Various
Employee is enrolled in selected benefit.	Various

IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system

Regulations:

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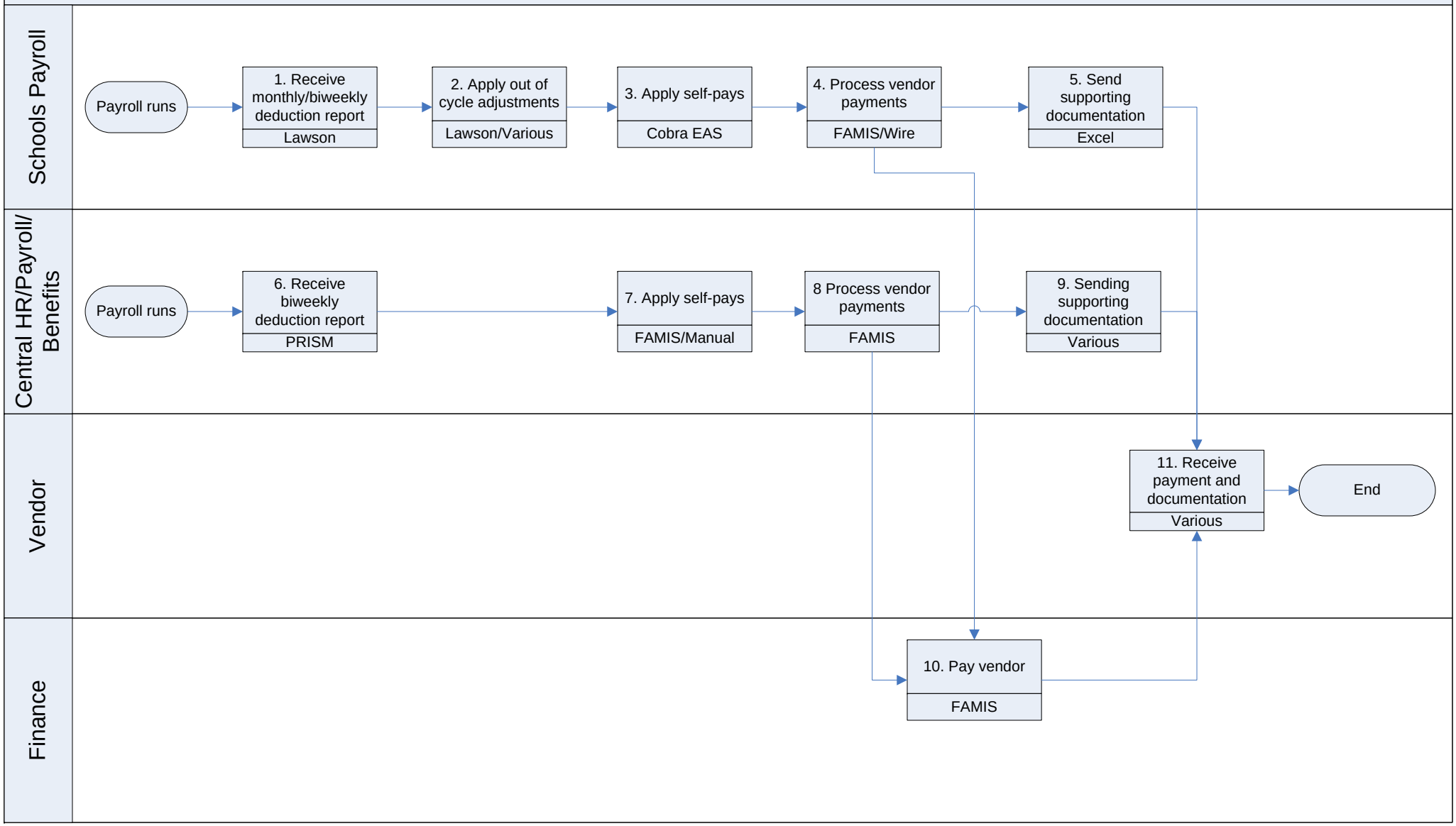
Human Resources [Final]
Sub-Process: Benefits Administration – Vendor Payment (Standard)

Map Name: HR_BA_PAY_STANDARD
Map No.: 4G



Process Name: Human Resources	**Process Identifier:** HR_BA_PAY_STANDARD
Sub-Process Name: Benefits Administration – Vendor Payment (Standard)	**Map Number: 4G**

Sub-Process Purpose and Objectives: Describe the process for making standard benefits payments to vendors

Sub-Process Description:

1. School Payroll runs the biweekly and monthly payrolls and receives benefits deduction reports from each payroll run. School Payroll receives monthly enrollment reports from School Benefits which are taken form Lawson and used to determine administrative fees to be paid to vendors. **[MAP SHAPE 1]**
2. School Payroll applies the out of cycle adjustments to the regular biweekly and monthly payroll deduction amounts from Lawson to determine the total amount or deductions to be remitted to the vendor. **[MAP SHAPE 2]**
3. School Payroll then applies any self pays from the CobraEAS system. **[MAP SHAPE 3]**
4. The amounts are accumulated and a wire request is processed in Schools FAMIS to County Finance and the benefit vendors are paid. **[MAP SHAPE 4, 10, 11]**
5. Schools Benefit sends weekly enrollment files to the vendors and School Payroll sends an Excel spreadsheet to the vendor for backup with payment. **[MAP SHAPE 5, 11]**
6. County Payroll runs the biweekly payroll and County Benefits receive the biweekly deduction report from PRISM. **[MAP SHAPE 6]**
7. County Payroll adds the self-pay payment amounts from County FAMIS to the biweekly deductions report and the total amount is entered into County FAMIS and a wire request is made to County Finance and the benefit vendors are paid. **[MAP SHAPE 7, 8, 10]**
8. County Benefits send the supporting documentation to the benefit vendors. **[MAP SHAPE 9, 11]**

Triggers:

- ❑ County and Schools need to make monthly benefits premium payments

Key Process Participants:

- ❑ Schools Payroll
- ❑ Central HR/Payroll/Benefits
- ❑ Finance
- ❑ Vendor

Inputs:

Input	*Format*
Benefit enrollment information	Various

Outputs:

Output	*Format*
Verified enrollment information	Various

IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system
FAMIS	County and School Financial Systems (each has its own instance)
Benelogic	County Benefits Tracking System
RC	Schools Benefits Tracking System

Regulations:

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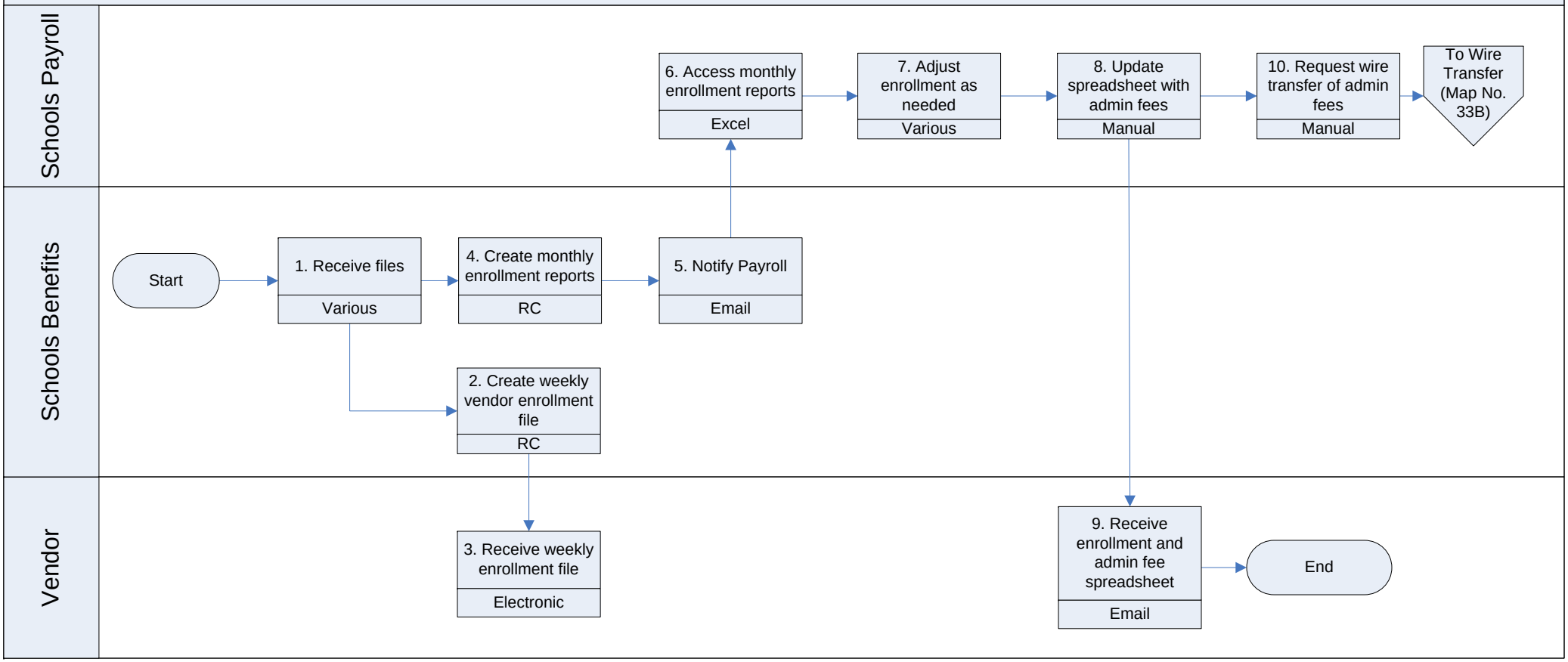
Human Resources [Final]
Sub-Process: Benefits Administration – Vendor Payments (Self-Insured)

Map Name: HR_BA_PAY_SELF
Map No.: 4H



Process Name: Human Resources	**Process Identifier:** HR_BA_PAY_SELF
Sub-Process Name: Benefits Administration – Vendor Payment (Self-Insured)	**Map Number: 4H**

Sub-Process Purpose and Objectives: Describe the process for making vendor payments for self-insured employees

Sub-Process Description:

1. Schools Payrolls run the biweekly and monthly payrolls and Schools Benefits receives reports of benefits enrollments. **[MAP SHAPE 1]**
2. From these files Schools Benefits creates a weekly vendor enrollment file in RC that is sent electronically to the various vendors. **[MAP SHAPE 2, 3]**
3. Form these files Schools Benefits also creates a monthly benefits enrollment file in RC that is emailed to Schools Payroll. **[MAP SHAPE 4, 5]**
4. Schools Payroll creates an Excel enrollment spreadsheet from the files received from Schools Benefits. This enrollment spreadsheet is adjusted as needed by Schools Payroll and the administrative fees are added to the enrollment spreadsheet and the combined information is sent to the various benefit vendors. **[MAP SHAPE 6, 7, 8, 9]**
5. Schools Payroll then request a wire transfer from County Finance to pay the various benefit vendors. **[MAP SHAPE 10]**

Triggers:

- County and Schools need to make monthly benefits premium payments

Key Process Participants:

- Schools Payroll
- Schools Benefits
- Vendor

Inputs:

Input	*Format*
Benefit enrollment information	Various

Outputs:

Output	*Format*
Verified enrollment information	Various

IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
Excel	Spreadsheet software
RC	Schools Benefits Tracking System

Regulations:

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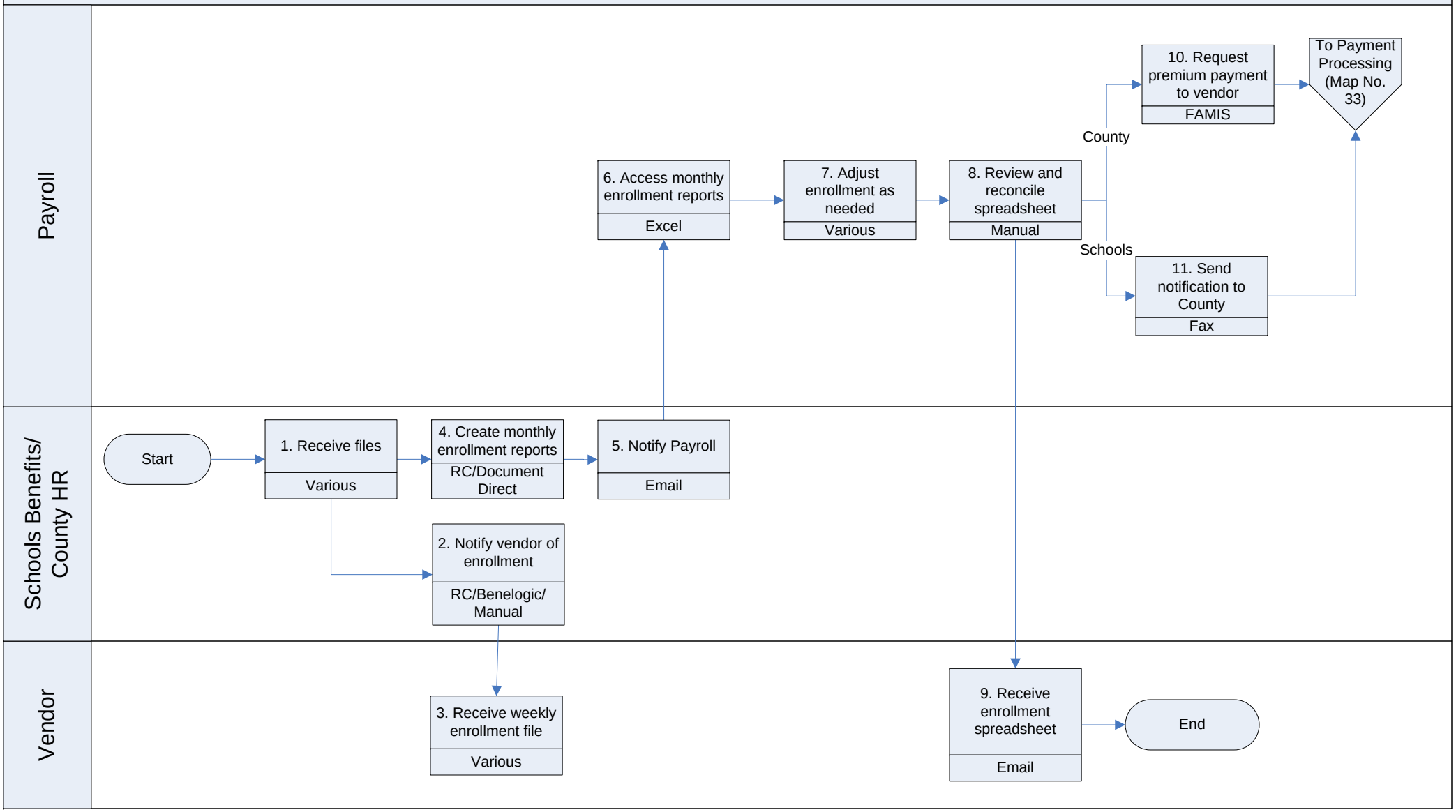
Human Resources [Final]
Sub-Process: Benefits Administration – Vendor Payments (Fully insured)

Map Name: HR_BA_PAY_FULL
Map No.: 4I



Process Name: Human Resources	**Process Identifier:** HR_BA_PAY_FULL
Sub-Process Name: Benefits Administration – Vendor Payment (Fully-Insured)	**Map Number: 4I**

Sub-Process Purpose and Objectives: Process for making vendor payments for fully insured employees

Sub-Process Description:

1. County and Schools payrolls are run. County HR and Schools Benefits receive various reports from the County biweekly and Schools biweekly and monthly payrolls. **[MAP SHAPE 1]**
2. The various Payrolls are run and deductions are taken and vendor remittances are made monthly. County receives a biweekly deduction report from PRISM and Schools receive biweekly and monthly deduction reports from Lawson. Out of cycle check deductions are added to the monthly deduction amount for Schools. The County does not make out of cycle payment unless there is a massive under payment. Missed deductions in the County are made in the next biweekly cycle. Enrollment information is maintained in Benelogic for the County. For Schools enrollment for active employees is maintained in Lawson. Retirees, LOA, surviving dependents, and COBRA enrollment is maintained in RC for the Schools. Weekly the various benefit vendors are sent files of enrollment information. **[MAP SHAPE 2, 3]**
3. Monthly enrollment information is maintained in Benelogic and RC that is sent to Payroll. **[MAP SHAPE 4, 5]**
4. Payroll creates an enrollment spreadsheet from the files received from Benelogic and RC. Adjustments to the enrollment spreadsheets are made as needed. The spreadsheet is reviewed and reconciled. **[MAP SHAPE 6, 7, 8]**
5. The reconciled spreadsheet is sent to the various benefit vendors. **[MAP SHAPE 8, 9]**
6. County Payroll creates a payment request in County FAMIS for the premium payments. Schools Payroll sends a wire request to County Finance for the premium payments. **[MAP SHAPE 10, 11]**

Triggers:

- County and Schools need to make monthly benefits premium payments

Key Process Participants:

- Payroll
- Schools Benefits/County HR
- Vendor

Inputs:

Input	*Format*
Benefit enrollment information	Various

Outputs:

Output	*Format*
Verified enrollment information	Various

IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system
Lawson	Schools human resource system
FAMIS	Financial system
Benelogic	County Benefits Tracking System
RC	Schools Retiree/Cobra Tracking System

Regulations:

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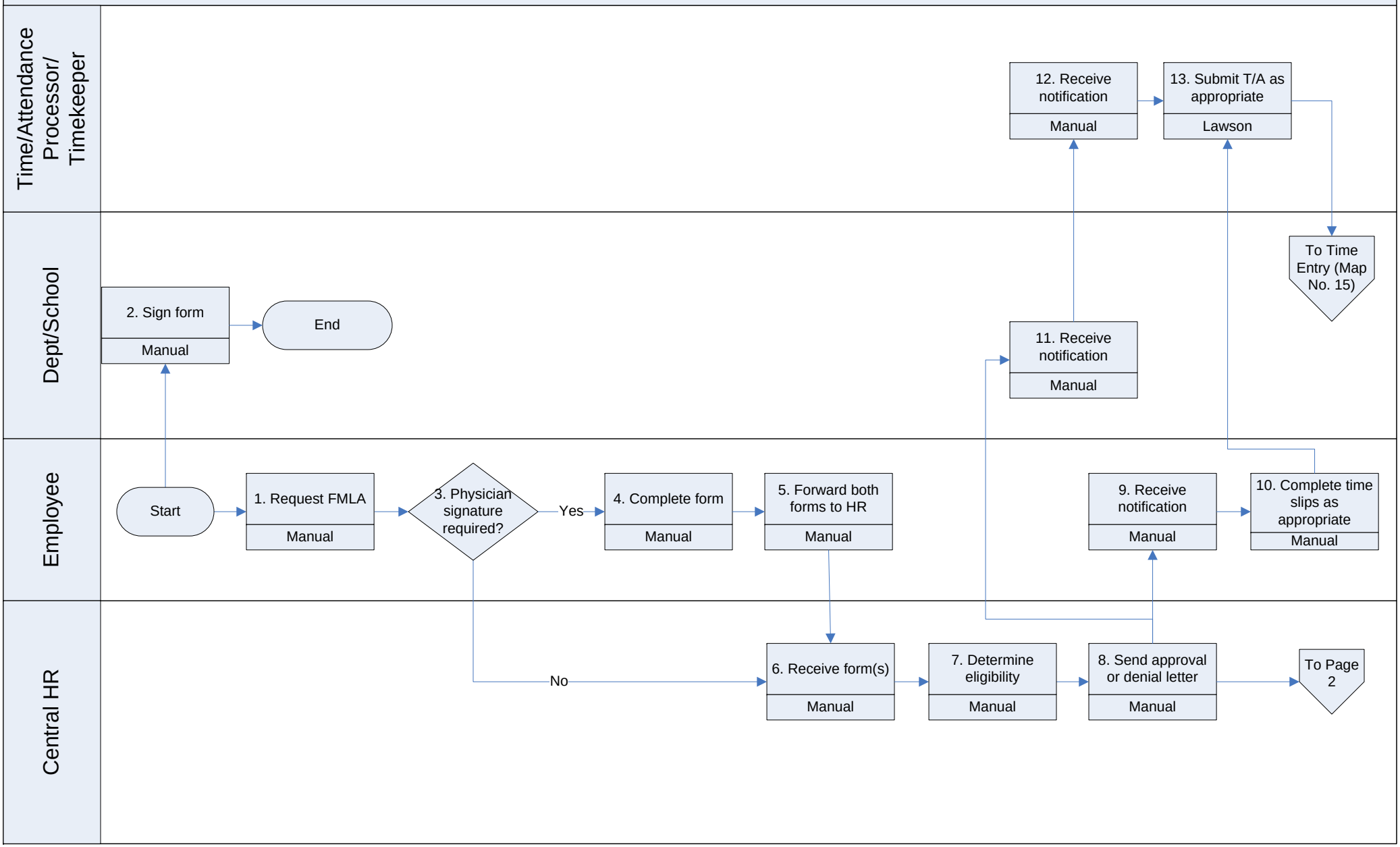
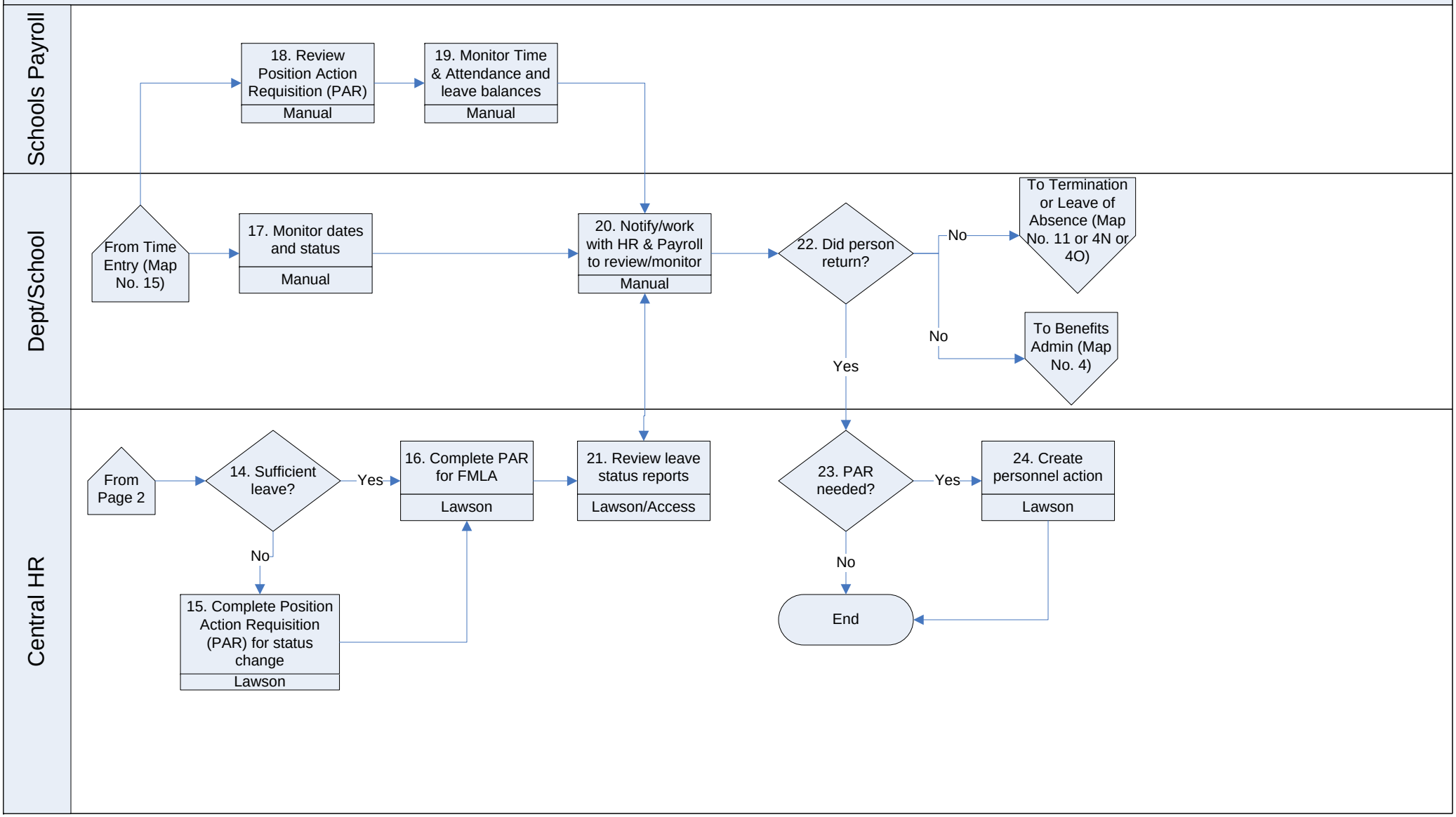
Human Resources [Final]
Sub-Process: Benefits Administration - FMLA (Schools)

Map Name: HR_BA_FMLA_SCH
Map No.: 4J



Human Resources [Final]
Sub-Process: Benefits Administration - FMLA (Schools)

Map Name: HR_BA_FMLA_SCH
Map No.: 4J



Process Name: Human Resources	**Process Identifier:** HR_BA_ FMLA_SCH
Sub-Process Name: Benefits Administration – FMLA (Schools)	**Map Number: 4J**

Sub-Process Purpose and Objectives: An employee goes on FMLA and is monitored (Schools)

Sub-Process Description:

1. An employee requests FMLA leave. **[MAP SHAPE 1]**
2. The employee can get the FMLA form online but needs to fill it out and physically turned in to their School/Department. The FMLA form needs to be signed by the School/Department as an acknowledgement that they have been notified. **[MAP SHAPE 2]**
3. The form has two parts, a request portion and a medical portion, the Form D portion. The Form D portion needs to be completed by a physician. The Form D portion should not be given to the Department. If the FMLA leave type requires a physician's signature the completed two parts of the form should be sent to Central HR. **[MAP SHAPE 3, 4, 5, 6]**
4. Central HR reviews the form for eligibility of the employee for the FMLA type requested and to determine if the event qualifies under FMLA. Central HR then sends a letter of approval or denial to the employee, their School/Department and to the T/A Processor/Timekeeper. **[MAP SHAPE 7, 8, 9, 11, 12]**
5. When the employee is notified that they have been approved for FMLA by Central HR they also receive time slips. The employee fills out the time slips appropriately and forwards them to the T/A Processor/Timekeeper. **[MAP SHAPE 9, 10, 13]**
6. Central HR reviews the employee's records to determine if they have sufficient leave to cover the FMLA period. Central HR completes a PAR in Lawson to record the employees status change and then completes another PAR in Lawson to record the employees FMLA status. (In the Schools the employee's employment status does not change except if an employee goes on to a leave without pay status. **[MAP SHAPE 14, 15, 16]**
7. The School/Department monitors the employee's leave dates and leave status while on FMLA. **[MAP SHAPE 17]**
8. School Payroll reviews the PAR related to the employee's FMLA status and monitors their T/A and leave balances. **[MAP SHAPE 18, 19]**
9. The School/Department works with both School Payroll and Central HR to monitor the employee while on FMLA. **[MAP SHAPE 19, 20, 21]**
10. At the end of the period designated for FMLA the employee should return to work. If the employee did not return to work they may be subject to termination or be required to go on a Leave of Absence, or they my have to use some other kind of benefits to cover the continued absence. **[MAP SHAPE 22]**
11. If the employee does return to work at the end of the FMLA period the School/Department notifies Central HR. **[MAP SHAPE 22, 23]**
12. Central must determine if a PAR is required. If a PAR is required Central HR creates it in Lawson and the process ends. If no PAR is required the process ends. **[MAP SHAPE 23, 24]**

Triggers:	**Key Process Participants:**
❑ Employee applies for FMLA	❑ Central HR ❑ Employee ❑ Department/School ❑ T/A Processor/Timekeeper ❑ School Payroll

Inputs:

Input	*Format*
FMLA Application	Manual
Time slips received	Manual
Employee returned to work/not returned	

Outputs:

Output	*Format*
FMLA approve/denied	Manual
Time slips submitted to T/A Processor/Timekeeper	Manual
PAR/LOA/Term	Various

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system

Regulations:

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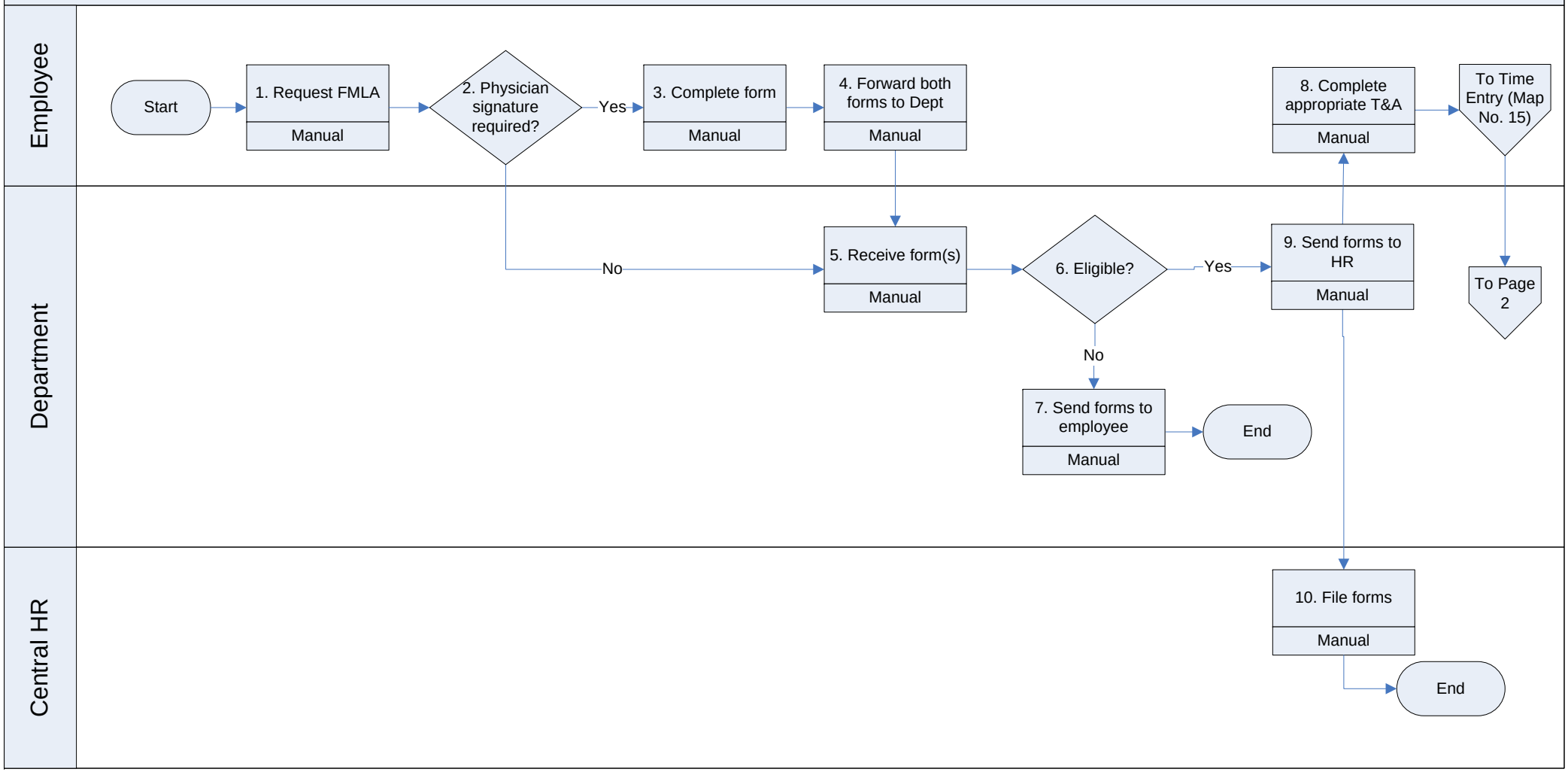
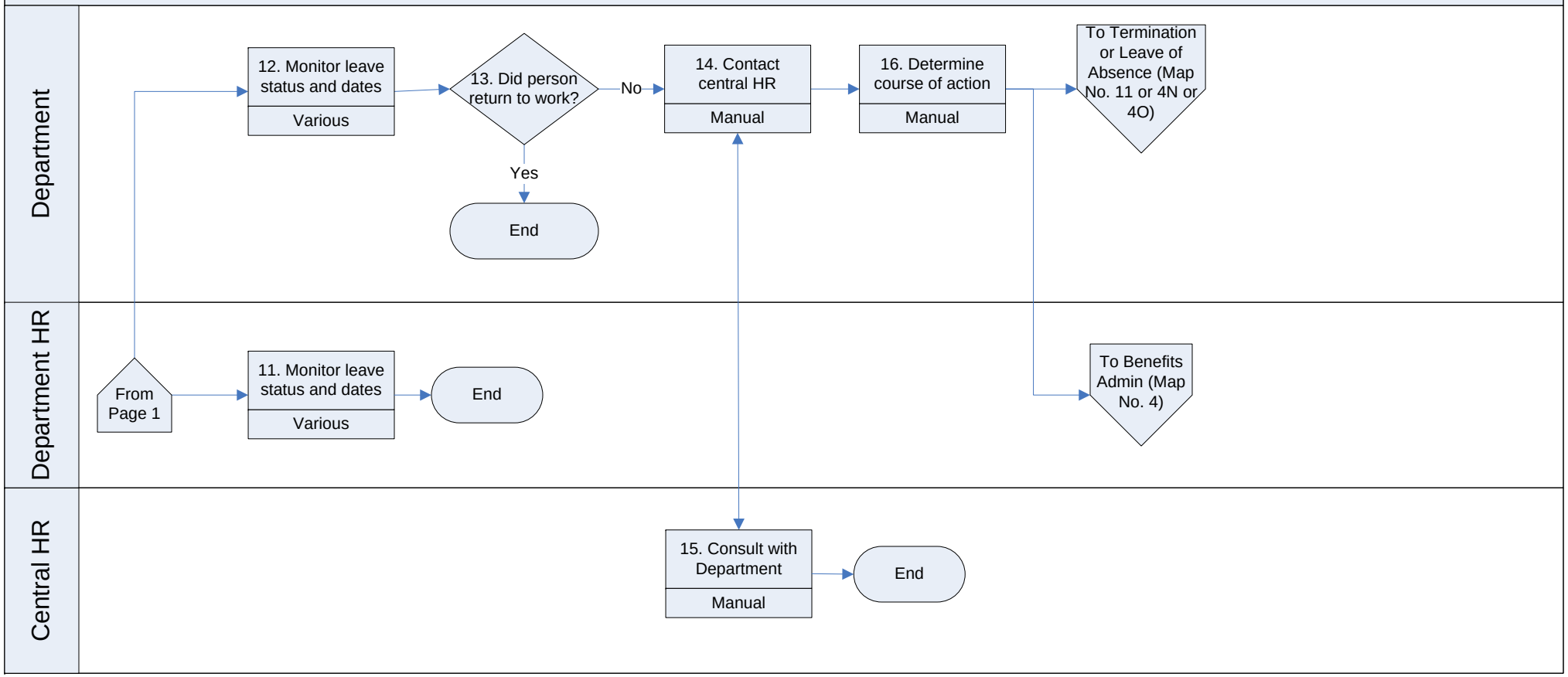
Human Resources [Final]
Sub-Process: Benefits Administration - FMLA (County)

Map Name: HR_BA_FMLA_CO
Map No.: 4K



Human Resources [Final]
Sub-Process: Benefits Administration - FMLA (County)

Map Name: HR_BA_FMLA_CO
Map No.: 4K



Process Name: Human Resources	**Process Identifier:** HR_BA_ FMLA_CO
Sub-Process Name: Benefits Administration – FMLA (County)	**Map Number: 4K**

Sub-Process Purpose and Objectives: An employee goes on FMLA and is monitored (County)

Sub-Process Description:

1. A County employee request FMLA leave. **[MAP SHAPE 1]**
2. The employee fills out the FMLA leave request form and has it signed by a physician if the FMLA type requires a physician's signature. **[MAP SHAPE 2]**
3. The completed FMLA request forms are given to the Department Supervisor. In the County the Supervisor gets the request form and the Form D from the physician. **[MAP SHAPE 3, 4, 5]**
4. The Department Supervisor reviews the FMLA request and the physician's report to determine eligibility. If the Supervisor determines that the employee is not eligible, the request is denied and returned is to the employee and the process ends. **[MAP SHAPE 5, 6, 7]**
5. If the FMLA request is approve the Supervisor forwards the form to Central HR and to the employee, with the appropriate time sheets. **[5, 6, 9, 10, 8]**
6. Department HR monitors the employees leave status and dates while the employee is on FMLA. The Department is also monitoring the leave status and dates. **[MAP SHAPE 11, 12]**
7. When the FMLA period is over the Department determines if the employee has returned to work. If the employee has returned to work the process ends. If the employee has not returned to work the Department consults with Central HR to determine a course of action for dealing with the employee. **[MAP SHAPE 13, 14, 15]**
8. The disposition could include termination, a leave of absence or some other type of leave benefit to cover the continued absence. **[MAP SHAPE 16]**

Triggers:

- ❑ Employee applies for FMLA

Key Process Participants:

- ❑ Central HR
- ❑ Department HR
- ❑ Employee
- ❑ Department

Inputs:

Input	*Format*
FMLA Application	Manual
Time slips received	Manual
Employee returned to work/not returned	

Outputs:

Output	*Format*
FMLA approve/denied	Manual
Time slips submitted to T/A Processor/Timekeeper	Manual
PAR/LOA/Term	Various

IT Support:

Application/System Name	*Technology Description*

Regulations:

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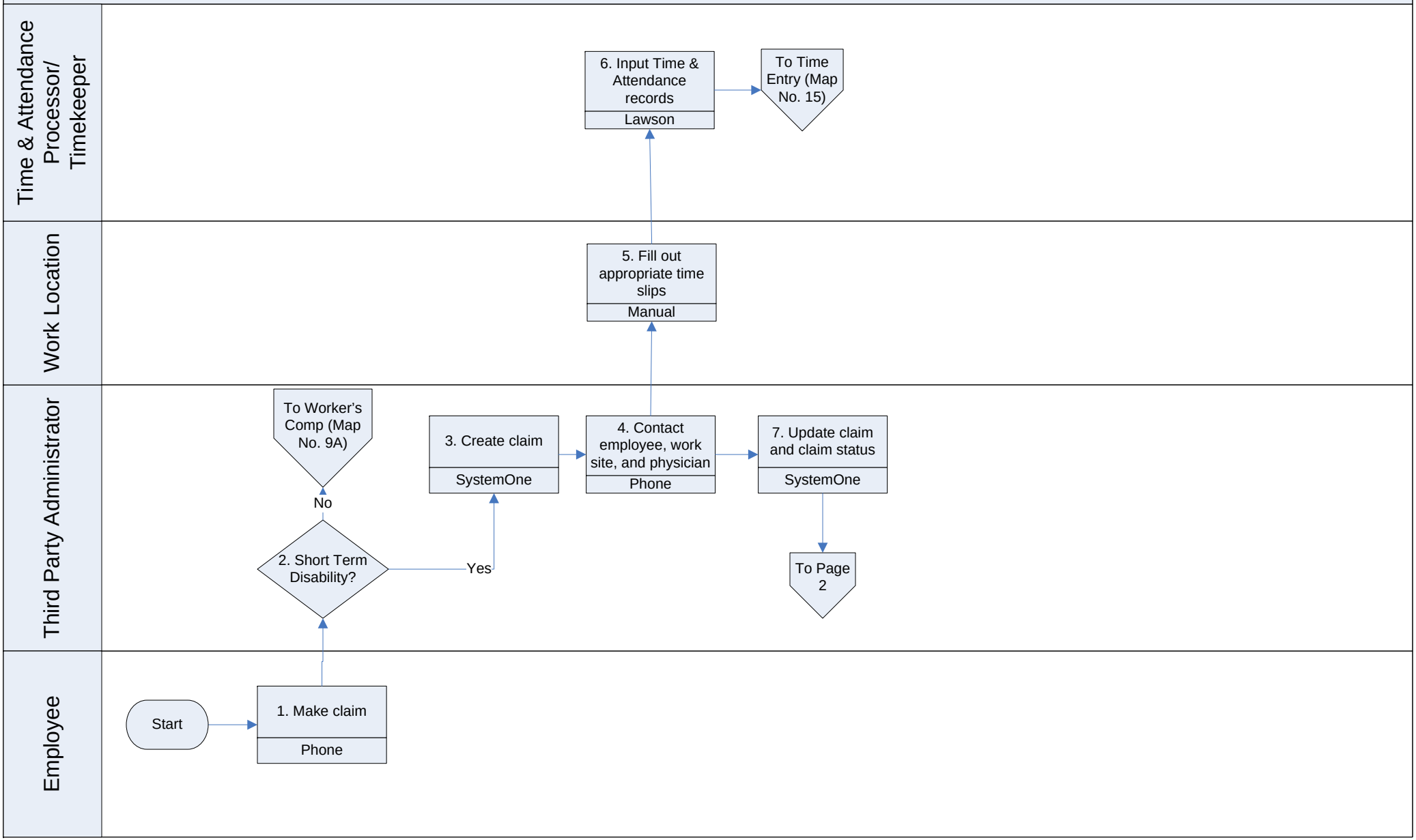
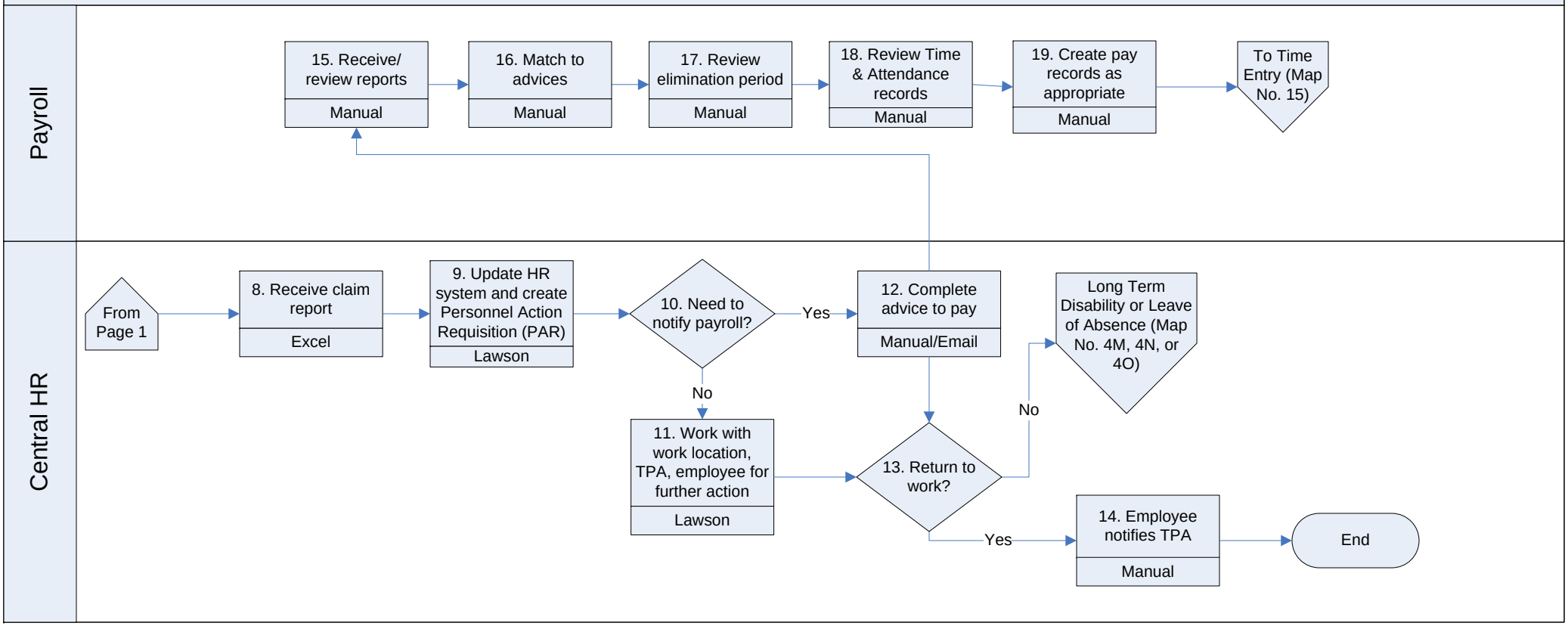
Human Resources [FINAL]
Sub-Process: Benefits Administration – Short Term Disability (STD)

Map Name: HR_BA_STD
Map No.: 4L



Human Resources [DRAFT]
Sub-Process: Benefits Administration – Short Term Disability (STD)

Map Name: HR_BA_STD
Map No.: 4L



Process Name: Human Resources	**Process Identifier:** HR_BA_STD
Sub-Process Name: Benefits Administration – Short Term Disability (STD)	**Map Number: 4L**
Sub-Process Purpose and Objectives: Enroll and employee in Short Term Disability	

Sub-Process Description:

1. An employee makes a claim for STD by calling the TAP's toll free number. **[MAP SHAPE 1]**
2. TPA fills out forms and makes a determination if the injury qualifies as a STD or Worker's Compensation claim. If the TPA determines that the claim is not a STD but rather a Worker's Compensation claim the process follows that track. **[MAP SHAPE 2]**
3. If it is TPA determines that the claim does qualify as a STD claim the TPA will generate a claim number and setup the claim in SystemOne. **[MAP SHAPE 3]**
4. The TPA Claims manager calls the employee, worksite, treating physician and updates the claim in SystemOne. **[MAP SHAPE 4, 7]**
5. The Work Location should fill out the appropriate time slips and the T/A Processor/Timekeeper should be recording the employee's lost time in Lawson. **[MAP SHAPE 5, 6]**
6. Central HR receives an Excel report from SystemOne which records all information related to the claim. **[MAP SHAPE 8]**
7. Information from the Excel report from SystemOne is keyed into Lawson and a PAR is created to change the employee's status. First a PAR is created to record the employee's status as STD pending. After the employee is approved for STD a second PAR is created to change the employee status to STD. **[MAP SHAPE 9]**
8. Central HR needs to determine if Payroll should be notified. **[MAP SHAPE 10]**
9. If Payroll does not need to be notified Central HR works with the employee, the Work Location and the TPA to determine the next course of action. **[MAP SHAPE 11]**
10. Central HR determines if the employee can return to work. **[MAP SHAPE 13]**
11. If the employee can return to work the TPA is notified by the employee. The employee notifies the TPA through medical documentation that they have been cleared to return to work. If employee returns to work but Payroll is not notified they will not get paid, therefore, Payroll will follow up with the Work Location to determine the employee's status. If the employee returns to work Central HR will change to employee status back to active. If the employee cannot return to work they may have to go onto another benefit program. **[MAP SHAPE 13, 14]**
12. If payroll needs to be notified, Central HR prepares an advice to pay which is sent to Payroll. The advice to pay reflects all of the information contained in the TPA report. **[MAP SHAPE 12]**
13. Payroll reviews the reports from the TPA to make sure the elimination period has been completed but will not pay the employee until they have the advice to pay from Central HR. If they don't have the advice to pay by the end of the elimination period they will call Central HR for the form. Also, Payroll will not pay the employee until they have reviewed the T/A Processor records. **[MAP SHAPE 15, 16, 17, 18]**
14. Payroll then creates the appropriate pay records for the employee. **[MAP SHAPE 19]**

Triggers:
- Employee applies for Short Term Disability

Key Process Participants:
- T/A Processor/Timekeeper
- Payroll
- Work Location
- TPA
- Employee
- Central HR

Inputs:

Input	*Format*
Employee's STD claim	Phone
Employee's ability to return to work	Various

Outputs:

Output	*Format*
TPA's eligibility determination	Various
HR's eligibility determination	Various

IT Support:

Application/System Name	*Technology Description*
SystemOne	TPA's Claims Tracking System
Lawson	School human resource system
Excel	Spreadsheet software

Regulations:
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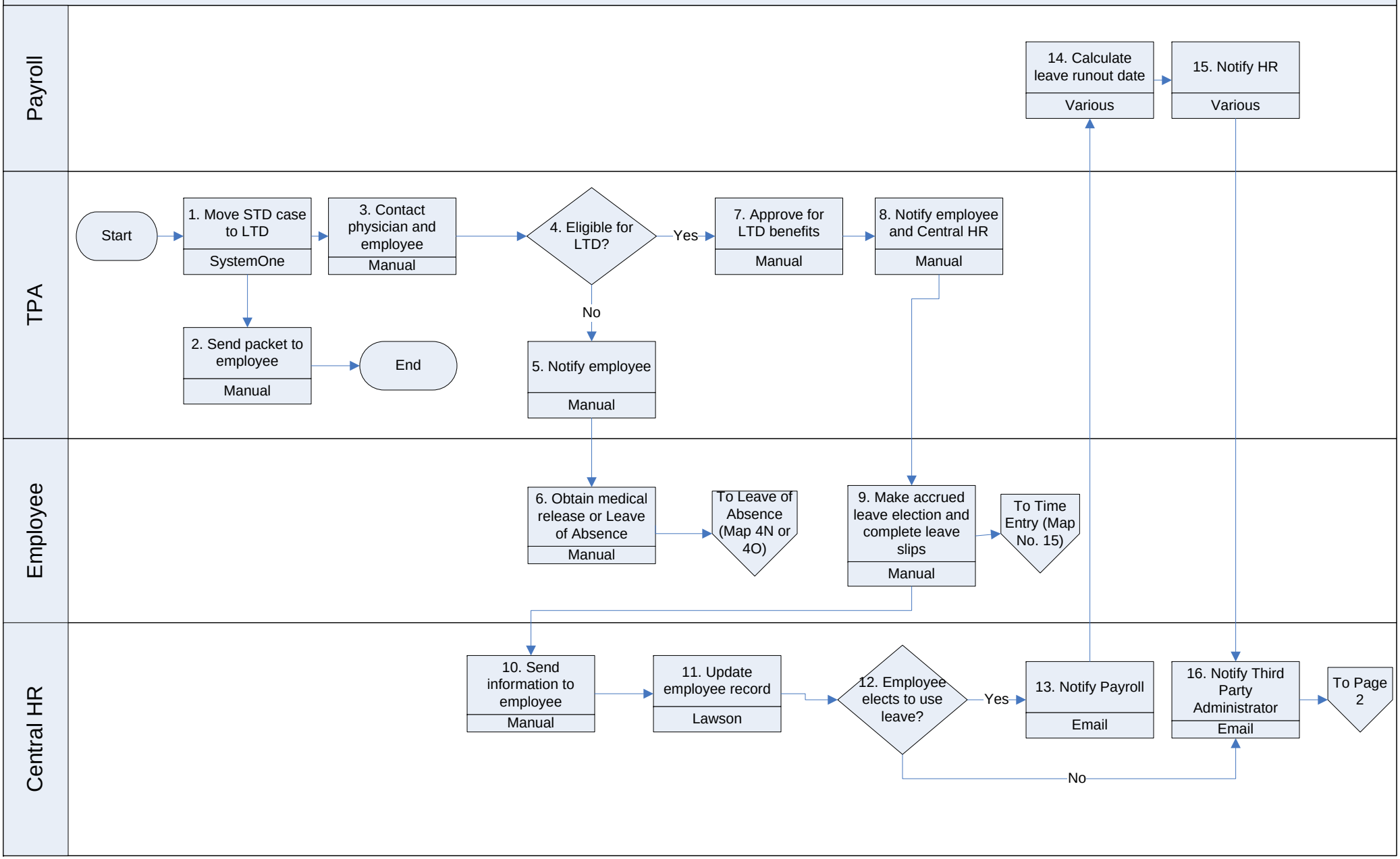
Human Resources [Final]
Sub-Process: Benefits Administration – Long Term Disability (LTD)

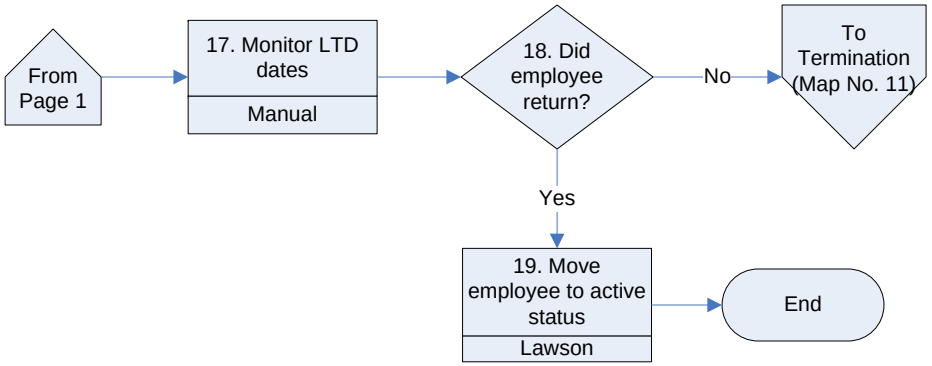
Map Name: HR_BA_LTD
Map No.: 4M



Human Resources [Final]
Sub-Process: Benefits Administration – Long Term Disability (LTD)

Map Name: HR_BA_LTD
Map No.: 4M

Central HR



Process Name: Human Resources	**Process Identifier:** HR_BA_ LTD
Sub-Process Name: Benefits Administration – Long Term Disability (LTD)	**Map Number: 4M**

Sub-Process Purpose and Objectives: Process for moving an employee from STD to LTD

Sub-Process Description:

1. After an employee has been on STD for four months the TPA will make a determination as to whether the employee is going to be moved to the LTD program in SystemOne. **[MAP SHAPE 1]**
2. The TPA sends the employee a packet of information about the LTD benefits. **[MAP SHAPE 2]**
3. The TPA contacts the employee and the employee's physician in preparation for determining the employee's status. **[MAP SHAPE 3]**
4. The TPA reviews claim and the information gathered from the employee and the employee's physician to determine the employee's eligibility for LTD. **[MAP SHAPE 4]**
5. If the employee is not approved for LTD the TPA send a letter to the employee telling them they have been denied. **[MAP SHAPE 5]**
6. If denied for LTD the employee will need to provide a release from their physician before they can return to work or they will have to take a leave of absence or resign. The TPA will work with the employee to achieve one of these alternatives. **[MAP SHAPE 4, 5, 6]**
7. If the TPA determines that the employee is eligible for LTD the TPA will notify the employee and Central HR of the employee's eligibility. **[MAP SHAPE 4, 7, 8]**
8. If the employee has usable leave time they are allowed to use all of that time before going on to LTD. Central HR will send package to employee which includes time sheets. If the employee makes the election to use leave time before going on to LTD they complete the appropriate leave slips. **[MAP SHAPE 9, 10]**
9. Central HR updates the employee record in Lawson with the appropriate status. **[MAP SHAPE 11]**
10. If the employee elects to use leave before going on LTD Central HR notifies Payroll and Payroll calculates the employee's leave run-out date. **[MAP SHAPE 12, 13, 14]**
11. Payroll calculates the amount of leave the employee can use and notifies Central HR and the TPA. When the employee's leave runs out the TPA is notified to start paying employee. **[MAP SHAPE 14, 15, 16]**
12. If the employee does not elect to use leave before going on LTD Central HR notifies the TPA to start making payments to the employee. **[MAP SHAPE 12, 16]**
13. After an employee has been on LTD for 24 months, if the employee cannot return to work the Schools terminate the employee's employment record. **[MAP SHAPE 17, 18, 19]**

Triggers:

- ❑ Employee is moved to LTD

Key Process Participants:

- ❑ Payroll
- ❑ TPA
- ❑ Employee
- ❑ Central HR

Inputs:

Input	*Format*
TPA evaluates employee	Various

Outputs:

Output	*Format*
LTD approved/denied	Various

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
SystemOne	TPA LTD monitoring System

Regulations:

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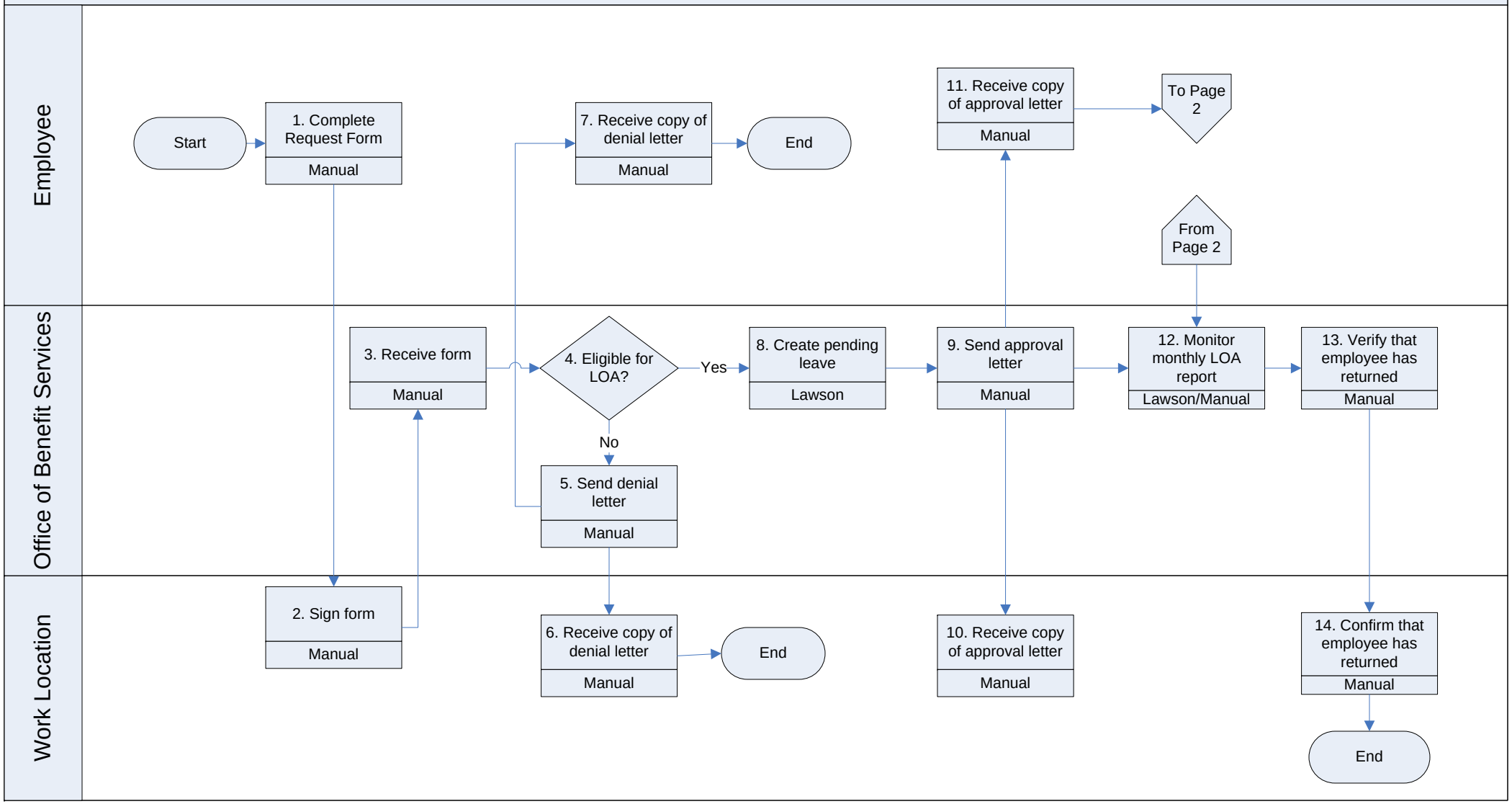
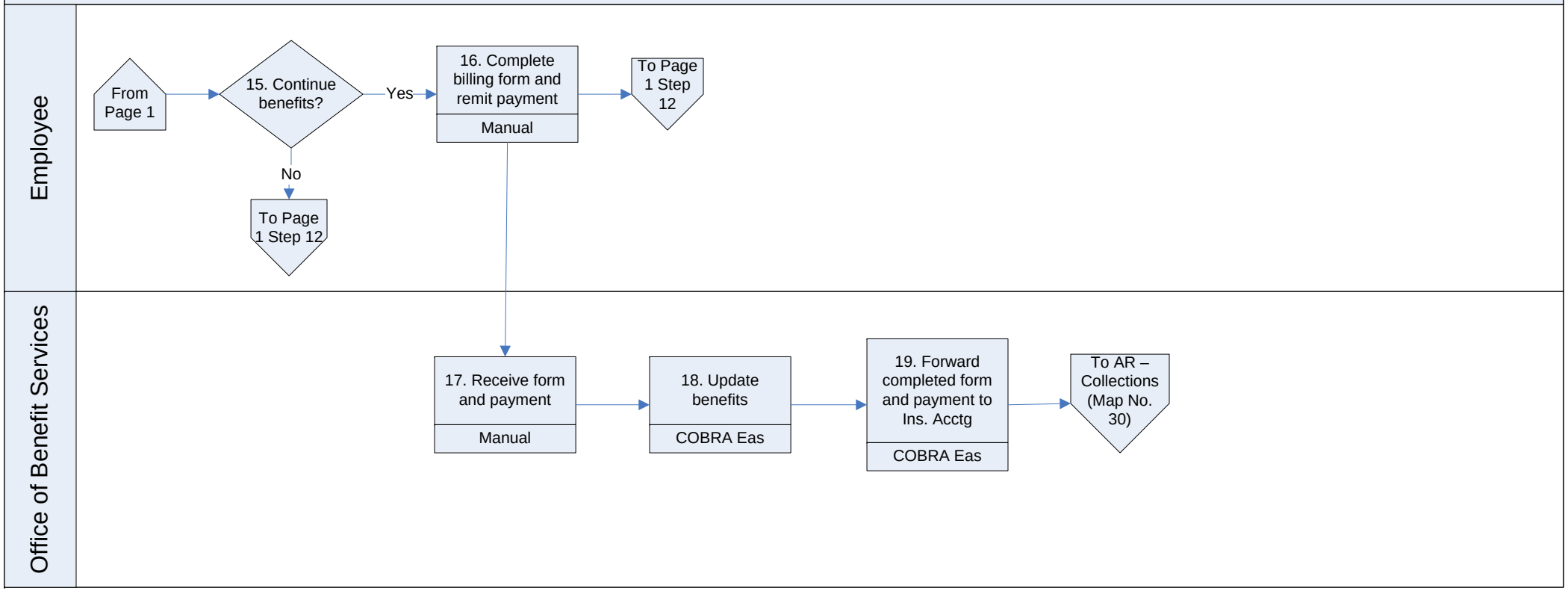
Human Resources [Final] Map Name: HR_BA_LOA_12MONTH

Sub-Process: Benefits Administration – Leave Of Absence (12-Month Employee) Map No.: 4N



Human Resources [Final] Map Name: HR_BA_LOA_12MONTH

Sub-Process: Benefits Administration – Leave Of Absence (12-Month Employee) Map No.: 4N



Process Name: Human Resources	**Process Identifier:** HR_BA_LOA_12MONTH
Sub-Process Name: Benefits Administration – Leave of Absence (12 Month Employee)	**Map Number: 4N**

Sub-Process Purpose and Objectives: Describe the process for a 12 Month Employee to apply for a LOA.

Sub-Process Description:

1. An employee fills out the necessary forms for requesting a leave of absence. **[MAP SHAPE 1]**
2. The employee sends the completed forms to their work location. **[MAP SHAPE 1, 2]**
3. The employee's work location signs the request form and forwards it to the Office of Benefit Services. **[MAP SHAPE 2, 3]**
4. The Office of Benefit Services reviews the employee's eligibility for a leave of absence. **[MAP SHAPE 4]**
5. If the Office of Benefit Services determines that the employee is not eligible for a leave of absence they send a denial letter to the employee with a copy to the employee's work location. **[MAP SHAPE 4, 5, 6, 7]**
6. If the Office of Benefit Services determines that the employee qualifies for a leave of absence they create a pending leave PAR in Lawson. **[MAP SHAPE 8]**
7. The Office of Benefit Services then sends an approval letter to the employee with a copy going to the employee's work location. **[MAP SHAPE 9, 10, 11]**
8. Subsequently, the Office of Benefit Services will monitor the monthly LOA report created from Lawson. **[MAP SHAPE 12]**
9. When the employee goes on the leave of absence they must determine if they wish to continue getting benefits. **[MAP SHAPE 15]**
10. If the employee decides that they do not want to continue benefits the benefits will cease until the employee returns to work. **[MAP SHAPE 15, 12]**
11. If the employee decides to continue benefits while on the leave of absence they complete the benefits billing forms and sends the forms and the first month's premium payment to the Disability and Leaves Unit. **[MAP SHAPE 15, 16, 17]**
12. The Disability and Leaves Unit receives the employee's payment and updates the CobraEAS system and forwards the completed forms and the payment to Insurance Accounting. If the employee fails to continue making the monthly premium payments their account is sent to collections **[MAP SHAPE 17, 18, 19]**
13. The Office of Benefit Services continues to monitor the LOA report from Lawson until the employee shows as having returned to work. The Office of Benefit Services confirms that the employee has returned to work by contacting to employee's work location. **[MAP SHAPE 12, 13, 14]**

Triggers:

- A 12 month employee requests a leave of absence.

Key Process Participants:

- Employee
- Office of Benefit Services
- Work Location

Inputs:

Input	*Format*
Employee fills out LOA request forms	Manual

Outputs:

Output	*Format*
Eligibility determination	Manual

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
CobraEAS	Schools COBRA Tracking System

Regulations:

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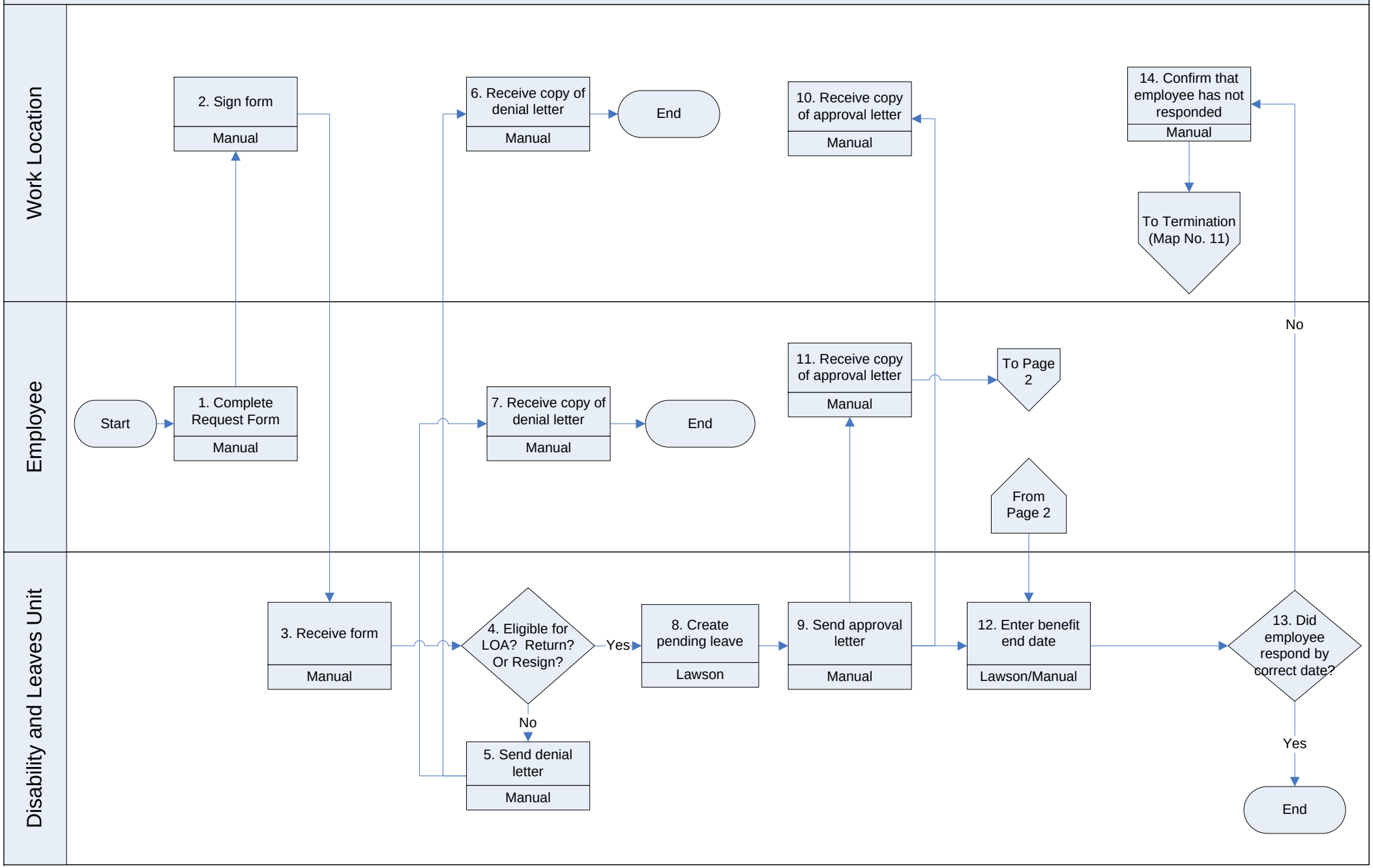
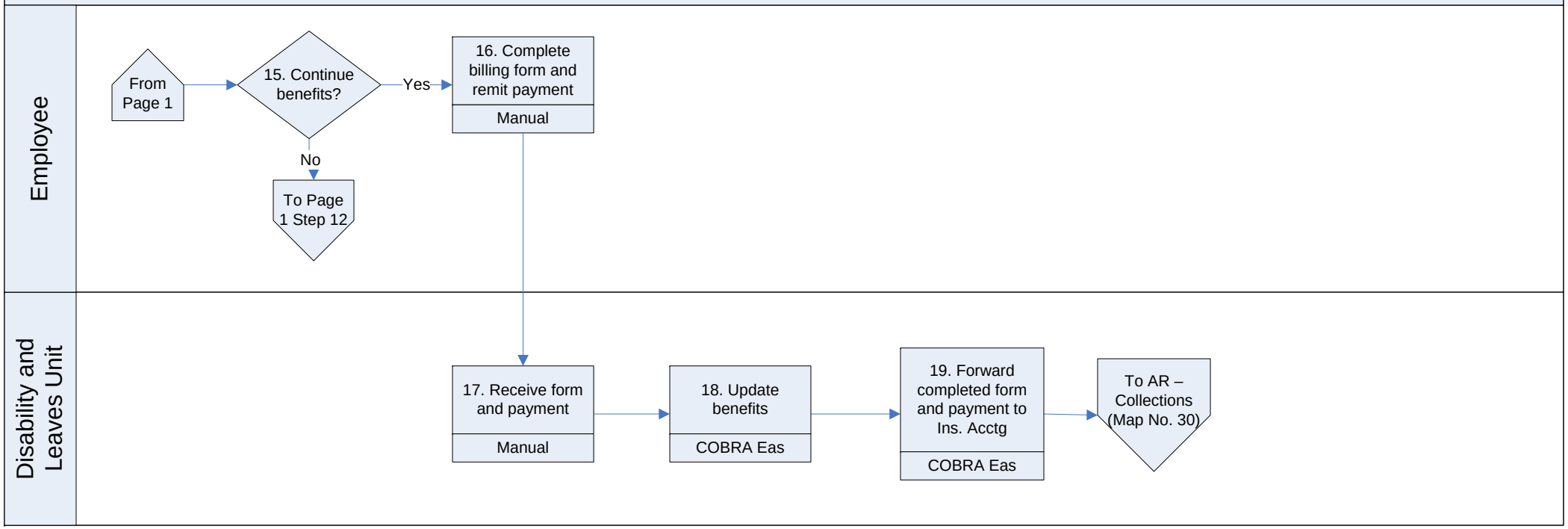
Human Resources [Final] Map Name: HR_BA_LOA_LESS_12MONTH

Sub-Process: Benefits Administration – Leave Of Absence (Less Than 12-Month Employee) Map No.: 4O



Human Resources [Final] Map Name: HR_BA_LOA_LESS_12MONTH

Sub-Process: Benefits Administration – Leave Of Absence (Less Than 12-Month Employee) Map No.: 4O



Process Name: Human Resources	**Process Identifier:** HR_BA_LOA_LESS_12MONTH
Sub-Process Name: Benefits Administration – Leave Of Absence (Less Than 12-Month Employee)	**Map Number: 4O**

Sub-Process Purpose and Objectives: Process for a less than 12 Month Employee applying for a LOA

Sub-Process Description:

1. A less than 12 month employee fills out the necessary forms for requesting a leave of absence. **[MAP SHAPE 1]**
2. The employee sends the completed forms to their work location. **[MAP SHAPE 1, 2]**
3. The employee's work location signs the request form and forwards it to the Disability and Leaves Unit. **[MAP SHAPE 2, 3]**
4. The Disability and Leaves Unit reviews the employee's eligibility for a leave of absence, to resign or return to work. **[MAP SHAPE 4]**
5. If the Disability and Leaves Unit determines that the employee is not eligible for a leave of absence they send a denial letter to the employee with a copy to the employee's work location. **[MAP SHAPE 4, 5, 6, 7]**
6. If the Disability and Leaves Unit determines that the employee qualifies for a leave of absence they create a pending leave PAR in Lawson. **[MAP SHAPE 8]**
7. The Disability and Leaves Unit then sends an approval letter to the employee with a copy going to the employee's work location. **[MAP SHAPE 9, 10, 11]**
8. The Disability and Leaves Unit then enters the benefit end date into Lawson. **[MAP SHAPE 12]**
9. When the employee goes on the leave of absence they must determine if they wish to continue getting benefits. **[MAP SHAPE 15]**
10. If the employee decides that they do not want to continue benefits the benefits will cease until the employee returns to work. **[MAP SHAPE 15, 12]**
11. If the employee decides to continue benefits while on the leave of absence they complete the benefits billing forms and sends the forms and the first month's premium payment to the Disability and Leaves Unit. **[MAP SHAPE 15, 16, 17]**
12. The Disability and Leaves Unit receives the employee's payment and updates CobraEAS system and forwards the completed forms and the payment to Insurance Accounting. If the employee fails to continue making the monthly premium payments within the grace period they are referred to collections. **[MAP SHAPE 17, 18, 19]**
13. The Disability and Leaves Unit monitors the LOA report from Lawson to see if the employee has responded by 3/31. If the employee did the process ends.
14. If the employee did not respond by 3/31 the Disability and Leaves Unit contacts the employees work location to confirm that the employee has not responded by returning to work. **[MAP SHAPE 12, 13, 14]**

Triggers:

- ❑ A 12 month employee requests a leave of absence

Key Process Participants:

- ❑ Employee
- ❑ Work Location
- ❑ Disability and Leaves Unit

Inputs:

Input	*Format*
Employee fills out LOA request forms	Manual

Outputs:

Output	*Format*
Eligibility determination	Manual

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
CobraEAS	Schools COBRA Tracking System

Regulations:

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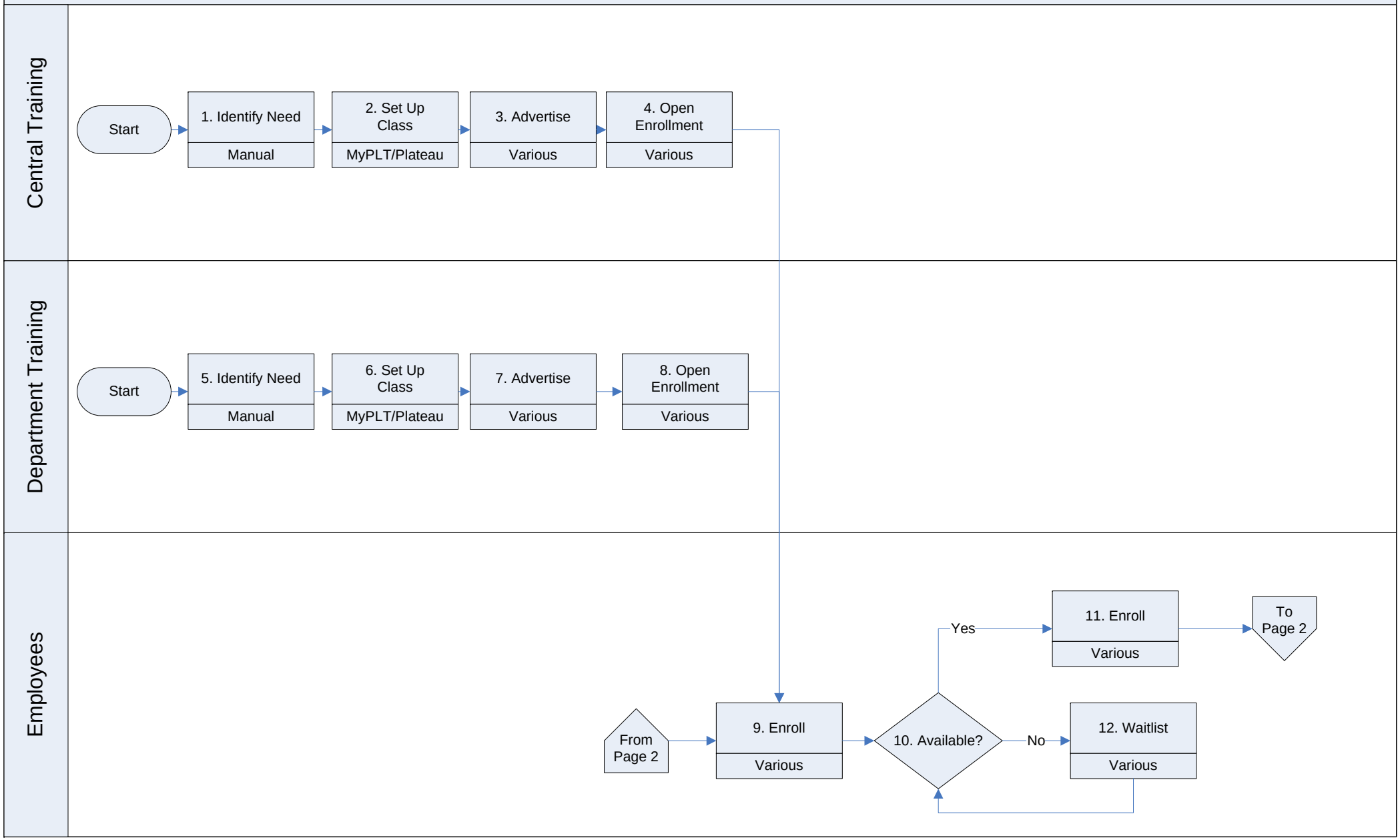
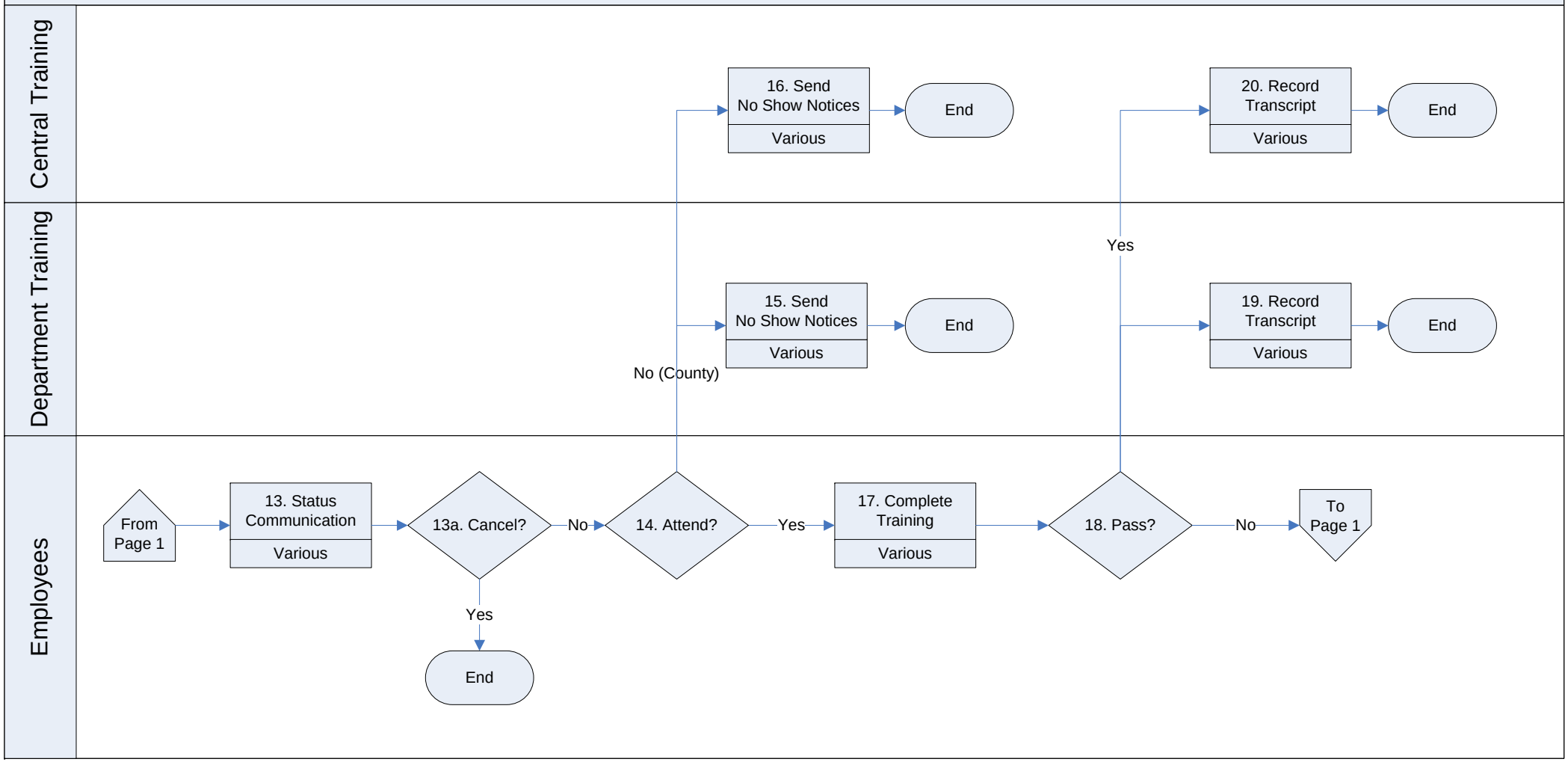
Human Resources [FINAL]
Sub-Process: Performance Management – Training, Licensure and Certification

Map Name: HR_PERFMGT_TRAIN
Map No.: 5A



Human Resources [FINAL]
Sub-Process: Performance Management – Training, Licensure and Certification

Map Name: HR_PERFMGT_TRAIN
Map No.: 5A



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_TRAIN
Sub-Process Name: Performance Management – Training	**Map Number:** 5A

Sub-Process Purpose and Objectives: Employee training

Sub-Process Description:

1. Central HR or a Department within the County or Schools determines a need for training. **[MAP SHAPE 1, 5]**
2. Training classes are setup in either MyPLT or Plateau. **[MAP SHAPE 2, 6]**
3. The training classes are then advertised through various venues. **[MAP SHAPE 3, 7]**
4. Classes are then opened for enrollment to the Employees. **[MAP SHAPE 4, 8]**
5. Interested Employees can begin to enroll in desired courses; however, courses are filled on a first-come, first-serve basis. If the course is open the Employee can enroll via self service. In the County, training coordinators can enroll employees into the course desired. Once the course is full, a waiting list is accumulated in MyPLT or Plateau. **[MAP SHAPE 9, 10, 11, 12]**
6. A confirmation is sent to the enrollee confirming their enrollment. The employee can cancel registration or send a replacement assuming they're not waitlisted prior to 24 hours before the start date of the course. **[MAP SHAPE 13a, 13]**
7. At the County, non-attendance notices are sent to the enrollee's Supervisor and the training coordinator by the sponsoring units. The Schools do not follow this process. **[MAP SHAPE 14, 15, 16]**
8. The Employee attends the training and completes the course. **[MAP SHAPE 14, 17]**
9. If the Employee does not complete, pass or certify the training they may be required to re-enroll. . **[MAP SHAPE 18, 9]**
10. In the County if the Employee completes or certifies the training course their training record is updated by the sponsoring unit. In the Schools the training record is updated automatically once the employee passes or completes the training course. **[MAP SHAPE 18, 19, 20]**

Triggers:

- ❑ Training need identified
- ❑ Training classes established
- ❑ Employee enrollment
- ❑ Employee passes or fails the training

Key Process Participants:

- ❑ Department Training
- ❑ Central Training
- ❑ Employee

Inputs:

Input	*Format*
Enrollment	Manual

Outputs:

Output	*Format*
Training certificate	Various

IT Support:

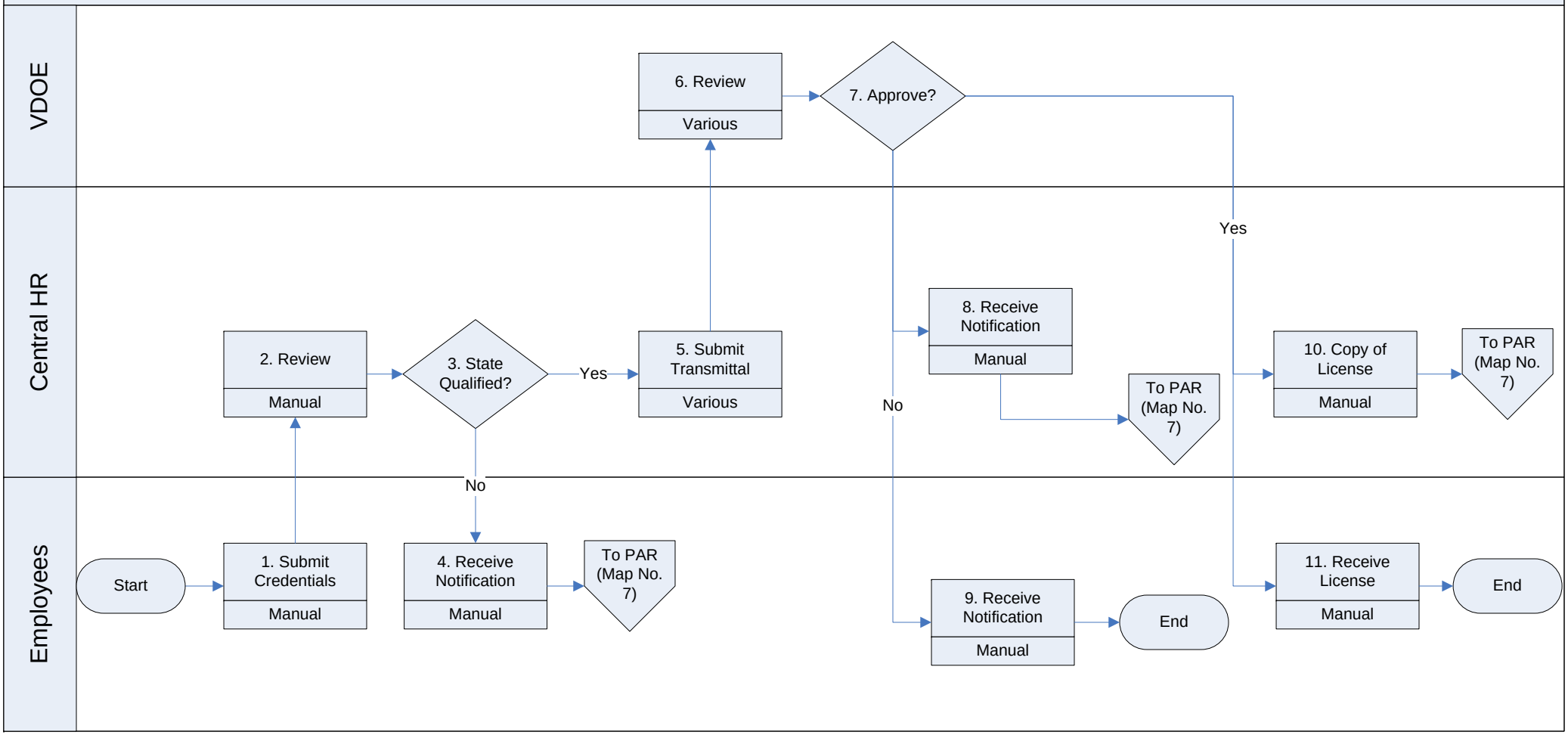
Application/System Name	*Technology Description*
MyPLT	Schools learning management system
Plateau	County learning management system

Regulations:

o

Human Resources [Final]
Sub-Process: Performance Management – Instructional License

Map Name: HR_PERFMGT_LICENSE
Map No.: 5B



Process Name: Human Resources Performance Management	**Process Identifier:** HR_PERFMGT_LICENSE
Sub-Process Name: Instructional License	**Map Number:** 5B

Sub-Process Purpose and Objectives: Gain an instructional license

Sub-Process Description:

1. An Employee initiates the process by providing Central HR Licensing Department with documents to support license eligibility. **[MAP SHAPE 1]**
2. Central HR Licensing reviews the Employee's documents to determine if it meets State licensing requirements. If Central HR does not think it meets State requirements, the request is rejected and the Employee is notified of the decision and is subject to FCPS Non-Renewal Process. **[MAP SHAPE 2, 3, 4]**
3. If the request is approved by Central HR Licensing, they then it is submitted via transmittal to the Virginia Department of Education (VDOE) with the Employee's documents. **[MAP SHAPE 5]**
4. If the VDOE's review determines that the Employee does not meet State licensing eligibility requirements, they notify both the Employee and the Central HR Licensing Office. The Central HR Licensure office subjects the employee declined licensure to non-renewal/dismissal process. **[MAP SHAPE 6, 7, 8, 9]**
5. If the VDOE's review of the Employee's licensing credentials determines that they meet State licensing requirements, a State license is awarded to the Employee and the Central HR Licensure office is notified (Schools also receive a copy of the license). Employee's contract is renewed by HR for the next school year.**[MAP SHAPE 6, 7, 10, 11]**

Triggers:

- ❑ Employee submits licensing credentials

Key Process Participants:

- ❑ Central HR
- ❑ Employee
- ❑ VDOE

Inputs:

Input	*Format*
Employee license credentials	Manual (paper)
Central HR transmittal to State	Various
State response	Manual

Outputs:

Output	*Format*
State license review	Manual
State License	Manual (paper)

IT Support:

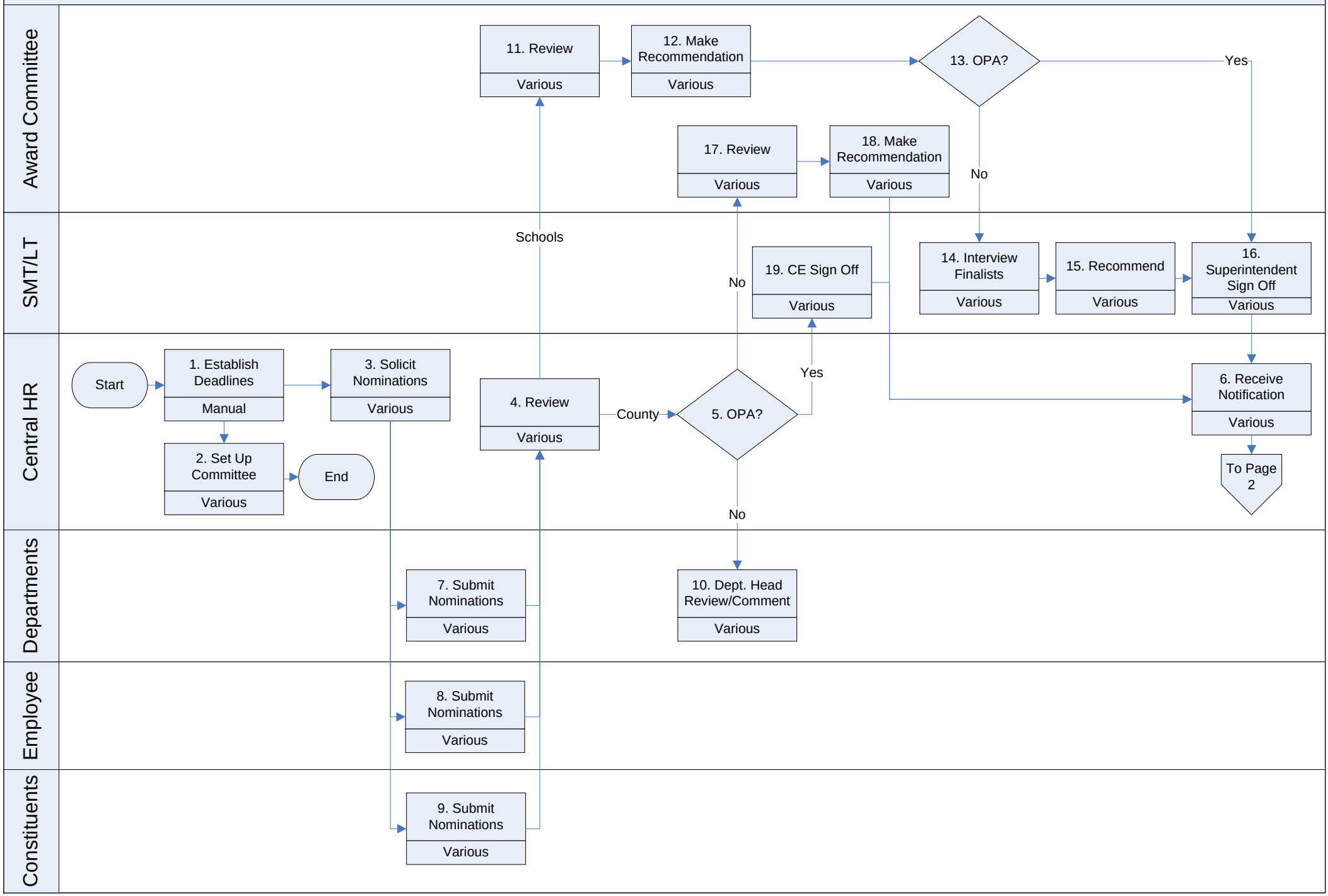
Application/System Name	*Technology Description*

Regulations:

- o Virginia Department of Education

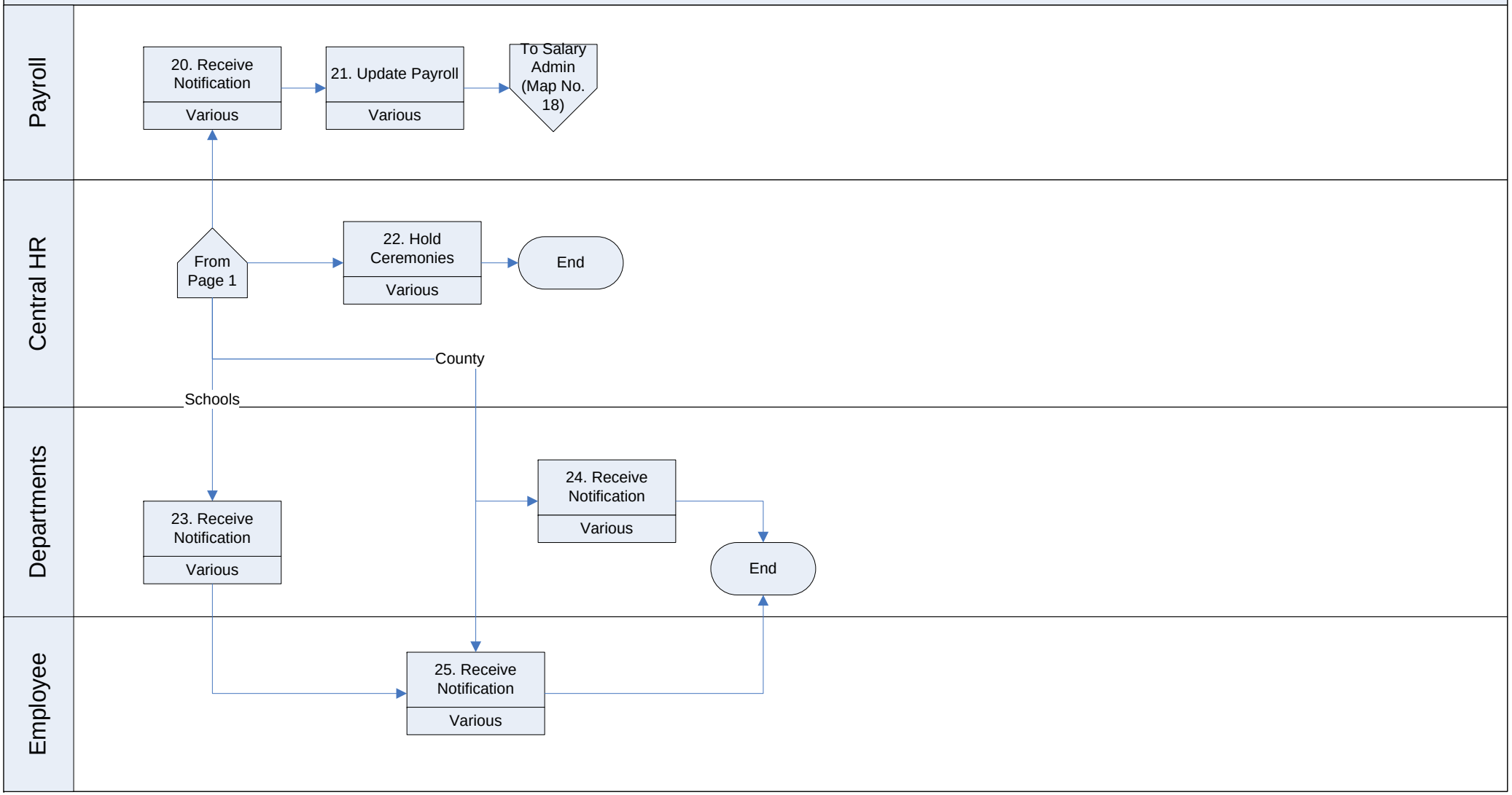
Human Resources [Final]
Sub-Process: Performance Management – Performance Awards

Map Name: HR_PERFMGT_AWARD
Map No.: 5C



Human Resources [Final]
Sub-Process: Performance Management – Performance Awards

Map Name: HR_PERFMGT_AWARD
Map No.: 5C



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_AWARD
Sub-Process Name: Performance Management – Performance Awards	**Map Number:** 5C
Sub-Process Purpose and Objectives: Present performance awards to deserving employees	

Sub-Process Description:

1. Early in the year, dates are established for Employee nominations request and awards ceremonies. HR creates the award committee nominations and the Board creates others; this process takes place during the winter in preparation for the Board meeting. **[MAP SHAPE 1, 2]**
2. Award candidate names are solicited from Departments, Employees, or County constituents. Nomination submissions can come through the Web sites, email, or letters. The submissions are sent to Central HR for review. **[MAP SHAPE 3,7,8,9]**
3. At the County, Central HR reviews the nomination and forwards the Outstanding Performance Awards (OPA) to the County Executive office for the County Executive signature. **[MAP SHAPE 4, 5, 19]**
4. All other types of awards are sent to the Department heads for review and the various Award Committees for review and recommendation (the County does not conduct interviews). Department heads may also add their own comments to the nomination. Departments add comments for On Thank awards and all other awards are sent to the committee for review and approval. **[MAP SHAPE 5, 10, 17, 18]**
5. At the Schools, Central HR reviews the nomination and forwards all nominees to the various Award Committees. The committees review the nominations and make their recommendations to the Leadership Team. **[MAP SHAPE 4, 11, 12]**
6. If the award is an OPA it is sent directly to the Superintendent by the Award Committee for final approval. **[MAP SHAPE 13, 16]**
7. The Leadership Team interviews all other finalist and makes their recommendations which are then sent to the Superintendent for final approval. **[MAP SHAPE 13, 14,15,16]**
8. The County Executive office notifies Central HR of the winning nominees. Awards coordinator sends out notification and prepares certificate. **[MAP SHAPE 6]**
9. Central HR notifies payroll with a PAR for the award payment for the employee and payroll processes the PAR. On Thank awards process through FAMIS for School Employees. **[MAP SHAPE 20, 21]**
10. Central HR at the Schools notifies the Departments of the selected winners. The Departments then notify the various Employees that the have received a performance award. **[MAP SHAPE 23, 25]**
11. Central HR at the County notifies the winning Employee and the Department head simultaneously of the award. **[MAP SHAPE 24, 25]**
12. A ceremony is planned and conducted by Central HR for the award presentations. **[MAP SHAPE 22]**

Notes – On Thank Awards
Board of Supervisors nominates committee of citizens to evaluate submissions for On Thank Awards.
Committee decides the winners of On Thank awards.
Committee notifies the Board, nominees and winners.

Triggers:
- ❑ Outstanding Performance Awards
- ❑ Other performance awards

Key Process Participants:
- ❑ Department
- ❑ Award Committees
- ❑ Central HR
- ❑ Employee
- ❑ SML/LT
- ❑ Payroll
- ❑ Finance

Inputs:

Input	***Format***
Employee nomination	Various

Outputs:

Output	***Format***
Employee awards	Various

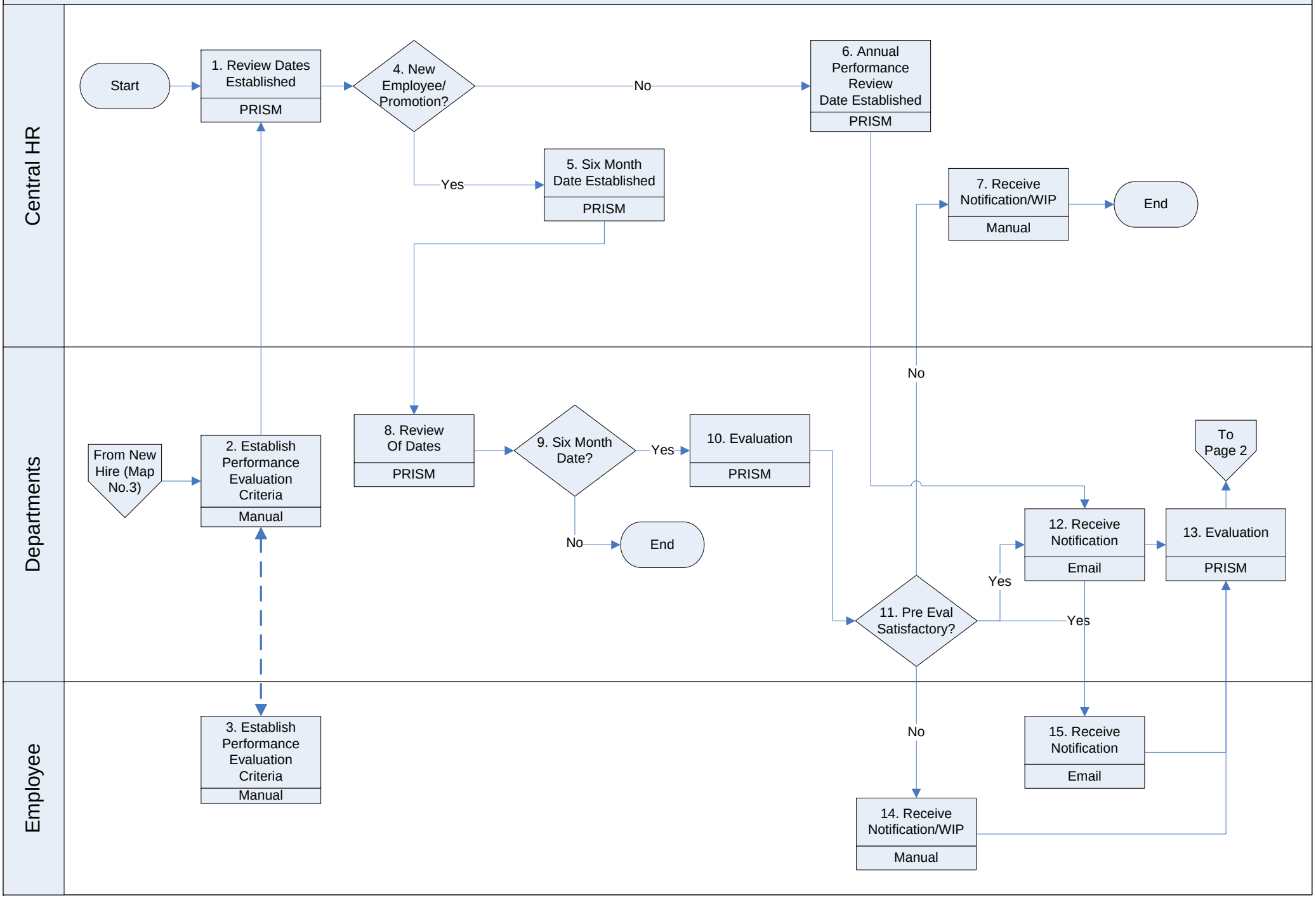
IT Support:

Application/System Name	***Technology Description***
PRISM	County human resource system
Lawson	Schools human resources system

Regulations:
- o

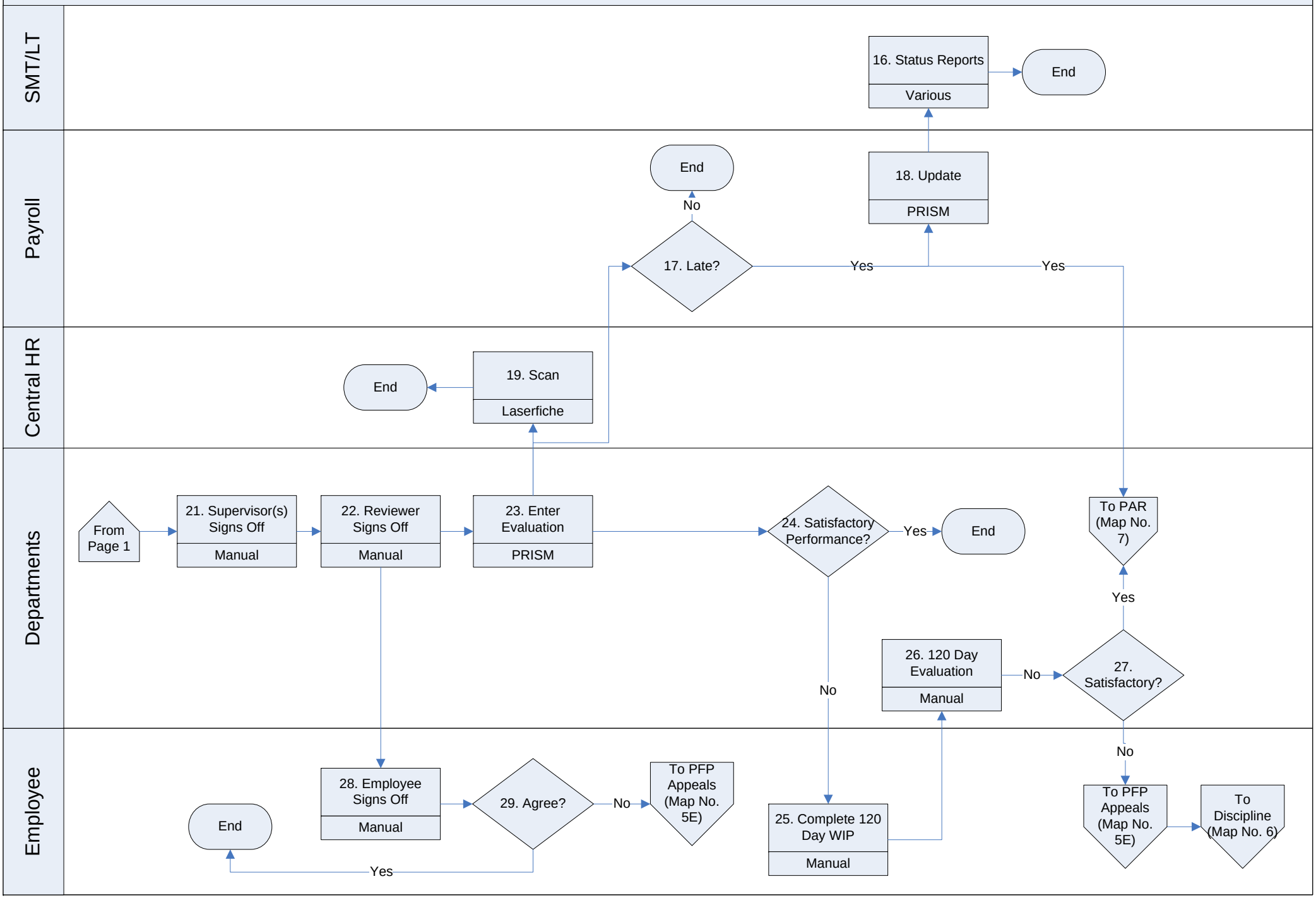
Human Resources [FINAL]
Sub-Process: Performance Management – Pay For Performance

Map Name: HR_PERFMGT_PFP
Map No.: 5D



Human Resources [FINAL]
Sub-Process: Performance Management – Pay For Performance

Map Name: HR_PERFMGT_PFP
Map No.: 5D



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_PFP
Sub-Process Name: Performance Management – Pay for Performance	**Map Number:** 5D
Sub-Process Purpose and Objectives: Conduct the pay for performance process	

Sub-Process Description:

1. Central HR establishes review date for Employees. **[MAP SHAPE 1]**
2. Planning sessions are held between the Employee and Supervisor to establish performance evaluation criteria. **[MAP SHAPE 2, 3]**
3. If the review date is being established for a new Employee or a recently promoted Employee a six month review date is established. **[MAP SHAPE 4, 5]**
4. If the review date being established is for a continuing Employee it is set for an annual review. **[MAP SHAPE 4, 6]**
5. If review is a six-month probationary review the Department monitors the review date through PRISM. **[MAP SHAPE 8]**
6. If the review is a six month probationary review the Department performs the review and enters the results into PRISM. **[MAP SHAPE 9, 10]**
7. If the review is an annual review, the Department Supervisor and the Employee are notified by email. **[MAP SHAPE 12, 15]**
8. If an Employee's performance maybe unsatisfactory, 10 weeks before the review Supervisor notifies the Employee and Central HR that they must complete a Work Improvement Plan (WIP). **[MAP SHAPE 7, 11, 14]**
9. The Employee and the Department Supervisor meet and the annual review is conducted and the results are entered into PRISM. **[MAP SHAPE 13]**
10. The Employee's Supervisor signs off on the review document and sends it to their Supervisor for review and sign off. **[MAP SHAPE 21, 22]**
11. The pre-evaluation document is then sent to the Employee for their signature. **[MAP SHAPE 28]**
12. Employee is presented with an opportunity to sign the appraisal document; they sign the document and send it back to the Department.
13. If the Employee does not agree with the appraisal they can appeal the review via the Pay For Performance Appeals process. **[MAP SHAPE 29]**
14. The review results are entered into PRISM. **[MAP SHAPE 23]**
15. The completed and signed review forms are returned to Central HR where they are scanned into Laserfiche. **[MAP SHAPE 19]**
16. If the performance review was late, the Department initiates a Personnel Action Request (PAR) for the late action and a retroactive pay worksheet. **[MAP SHAPE 17]**
17. If the review was timely the results are updated in PRISM. **[MAP SHAPE 23]**
18. A status report is issued for all evaluations including late evaluations as reflected in PRISM are sent to the SMT/LT. **[MAP SHAPE 16]**
19. If the Employee's performance was not satisfactory during the period they are placed into a Work Improvement Plan (WIP). **[MAP SHAPE 24, 25]**
20. The Employee has 120 days to complete the WIP and then is reevaluated by the Department Supervisor. **[MAP SHAPE 26]**
21. If the reevaluation is satisfactory the Department initiates a PAR for the Employee's pay increase. **[MAP SHAPE 27]**
22. If the reevaluation is unsatisfactory the Department notifies the Employee who has the right to appeal the decision. Some type of disciplinary action may also be taken toward the Employee. **[MAP SHAPE 27]**

Triggers:
- Employee review dates are established in PRISM
- Reviews are completed by the Departments
- WIP's are initiated
- PAR are initiated

Key Process Participants:
- SMT/LT
- Payroll
- Central HR
- Departments
- Employee

Inputs:

Input	*Format*
Review forms	PRISM
Work Improvement Plan	Paper

Outputs:

Output	*Format*
Completed review	Paper
WIP evaluated	Manual

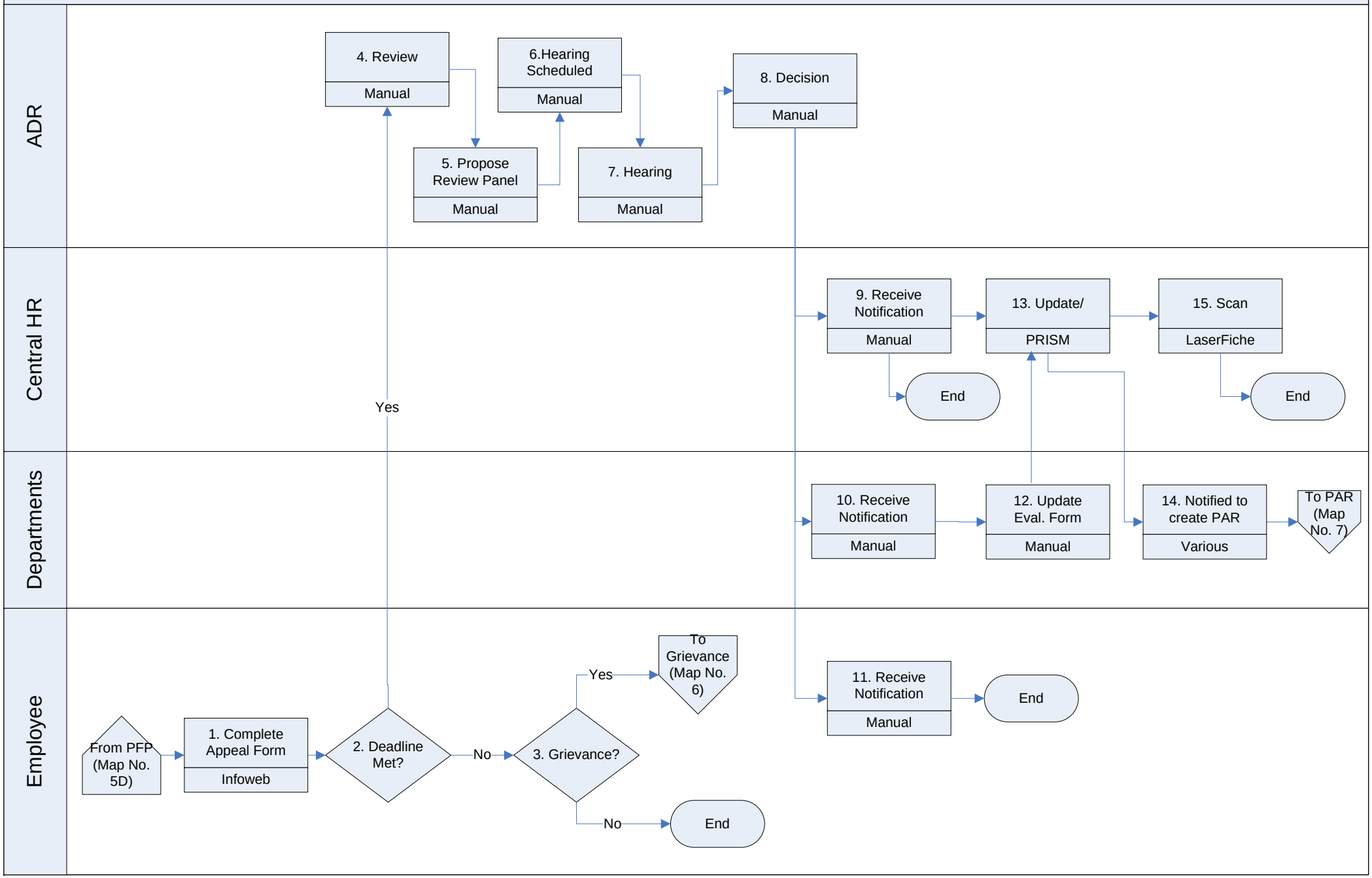
IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system

Regulations:
- o

Human Resources [FINAL] Map Name: HR_PERFMGT_PFP_APPEAL

Sub-Process: Performance Management – Pay For Performance Appeal Map No.: 5E



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_PFP_APPEAL
Sub-Process Name: Performance Management – Pay For Performance Appeal	**Map Number:** 5E

Sub-Process Purpose and Objectives: Employee files appeal for performance review score

Sub-Process Description:

1. After an Employee receives an evaluation they have 10 days to file an appeal naming the specific criteria by which they felt they were aggrieved. **[MAP SHAPE 1]**
2. If the appeal has not been filed timely the appeal process ends, however, the Employee has the right to file a grievance within 20 days from the date that they were told they couldn't do an appeal. If the Employee does not file a grievance the process ends. If the Employee wishes to file a grievance, the grievance process is initiated. **[MAP SHAPE 2, 3]**
3. If the Employee's appeal has been filed timely the ADR (Alternative Dispute Resolution Office) is notified and reviews the documents to ensure that all appropriate documents are available. ADR has the ability to see the Employee's review. **[MAP SHAPE 2, 4]**
4. The ADR sends a list of proposed review panel members to the Supervisor and Employee for their recommendation for a panel member. **[MAP SHAPE 5]**
5. The ADR schedules a hearing, the hearing is conducted and a decision is made regarding the merits of the Employee's appeal. **[MAP SHAPE 6, 7, 8]**
6. The ADR notifies the Department Head, Employee, the Supervisor and Central HR of the panel's decision. Central HR notifies the Department to initiate the PAR process.**[MAP SHAPE 9, 10, 11]**
7. Based on the information the Department receives from the ADR, the Department marks up a new evaluation form and sends the updated form to Central HR who updates PRISM. **[MAP SHAPE 12, 13]**
8. Central HR notifies the Department to initiate the Personnel Action Request (PAR) process. **[MAP SHAPE 14]**

Triggers:

- ❑ Employee files an appeal
- ❑ Review panel personnel proposed
- ❑ Hearing results
- ❑ Grievance

Key Process Participants:

- ❑ ADR
- ❑ Central HR
- ❑ Department
- ❑ Employee

Inputs:

Input	*Format*
Employee review	InfoWeb

Outputs:

Output	*Format*
Employee review	InfoWeb

IT Support:

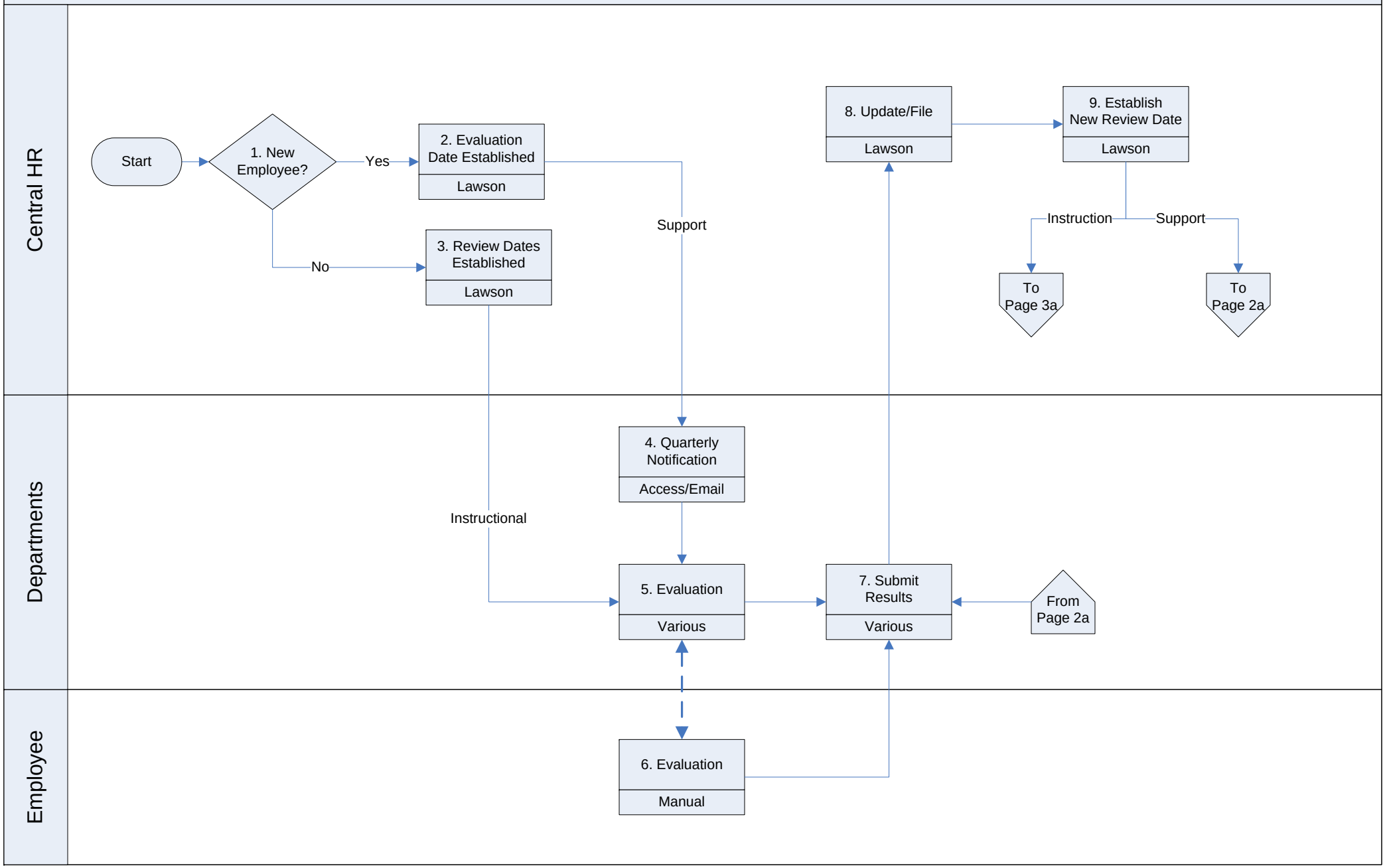
Application/System Name	*Technology Description*
InfoWeb	County intranet site
PRISM	County human resource system

Regulations:

o

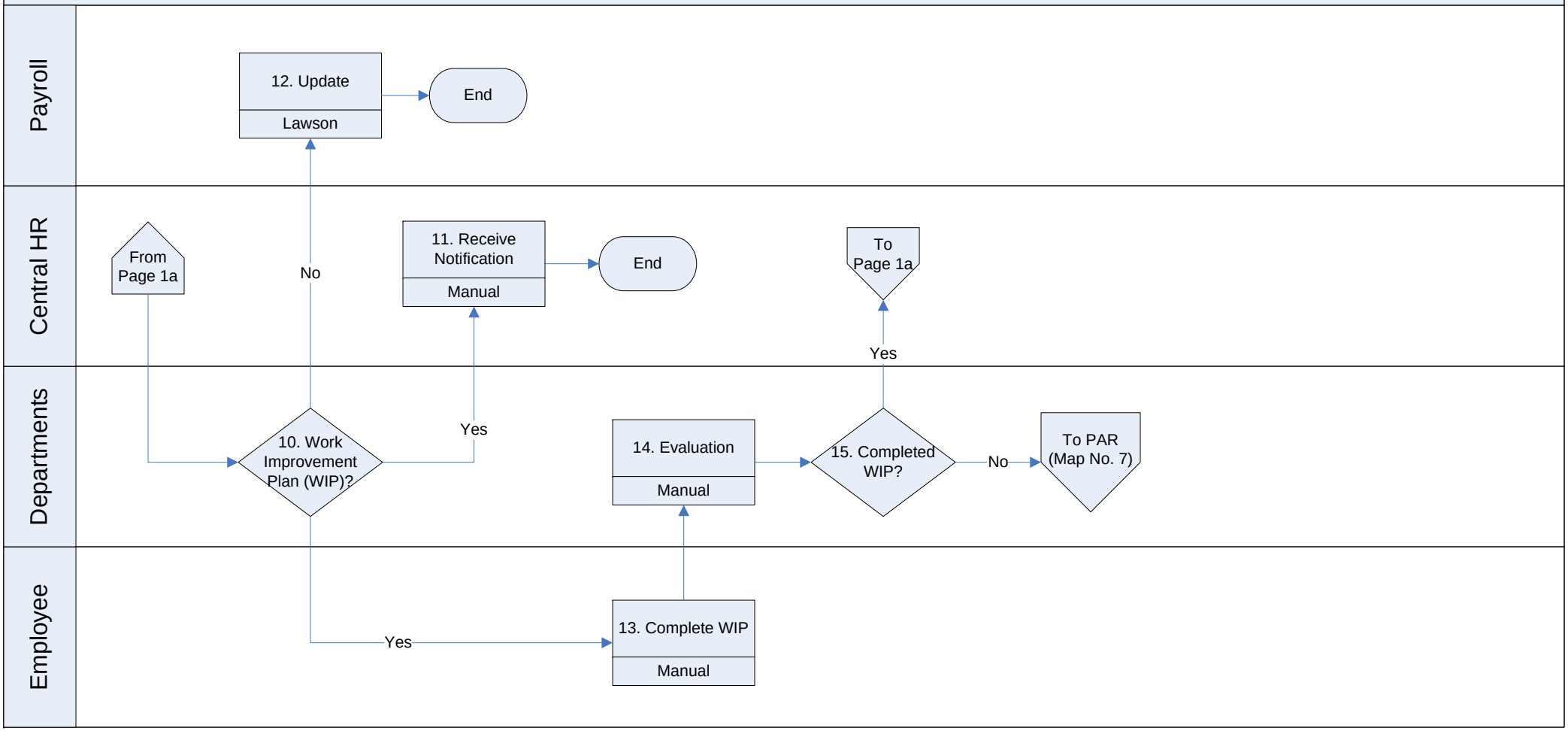
Human Resources [Final]
Sub-Process: Performance Management – Evaluation (Schools)

Map Name: HR_PERFMGT_EVAL_SCH
Map No.: 5F



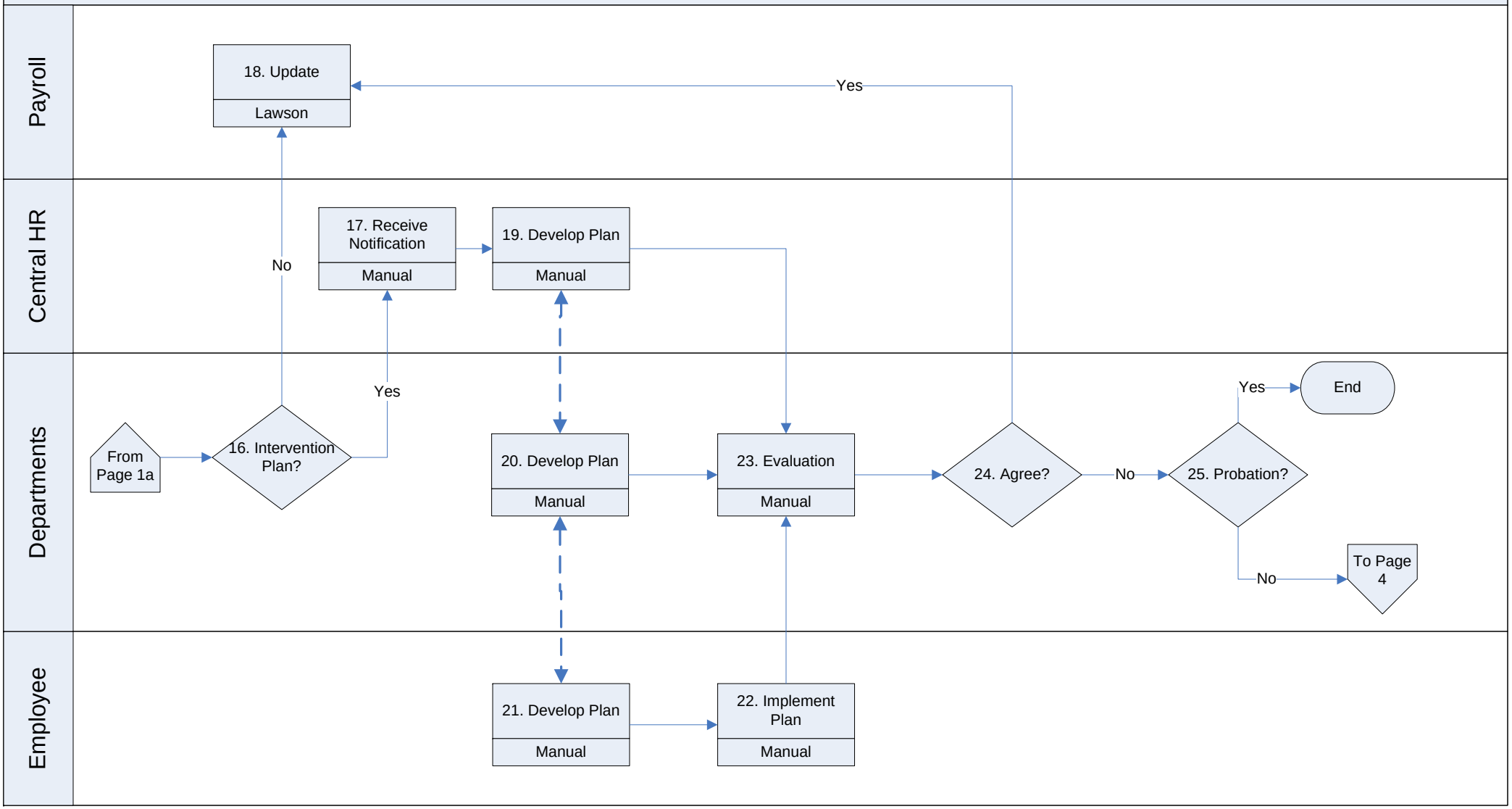
Human Resources [Final]
Sub-Process: Performance Management – Evaluation (Schools)

Map Name: HR_PERFMGT_EVAL_SCH
Map No.: 5F



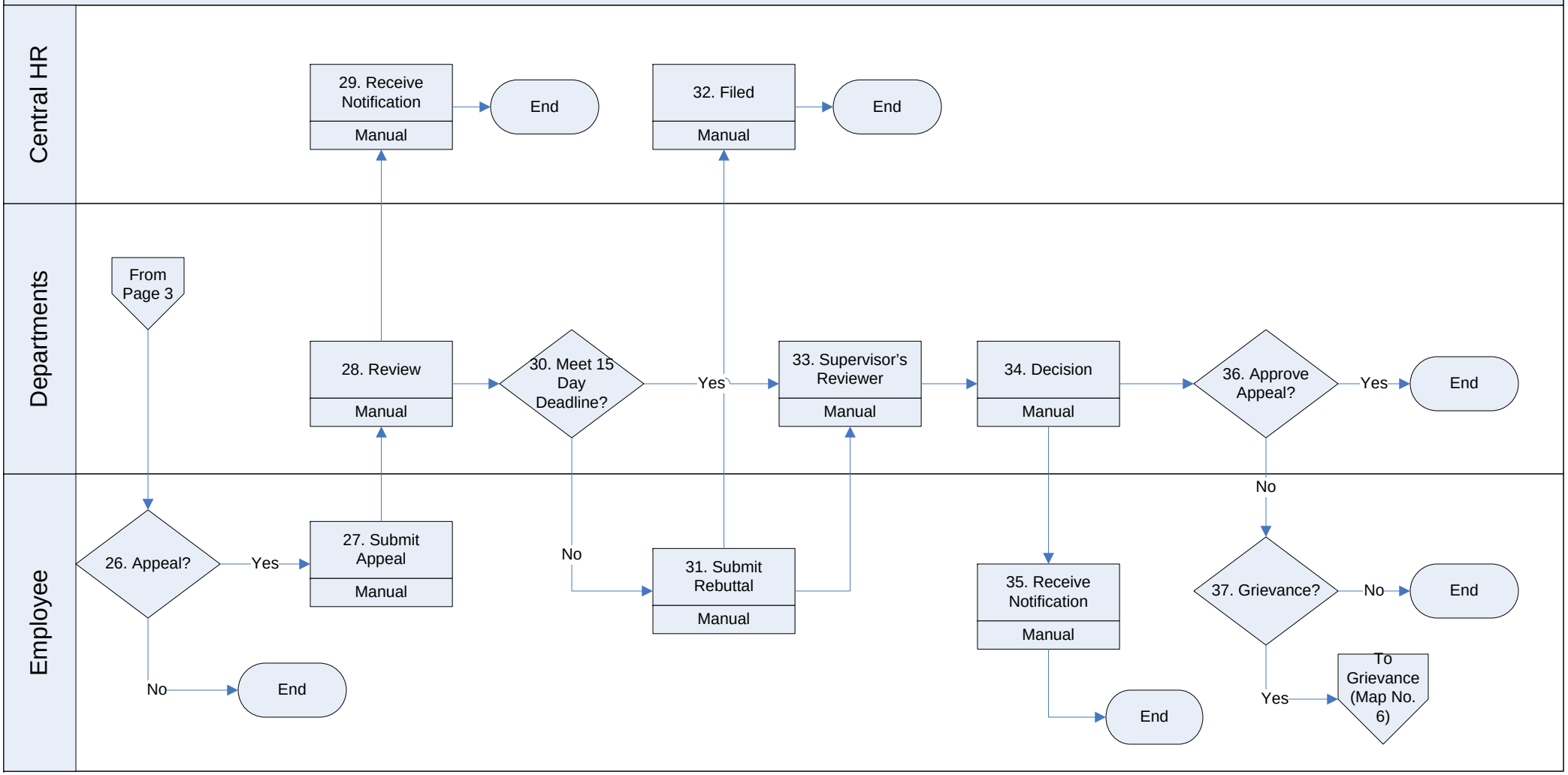
Human Resources [Final]
Sub-Process: Performance Management – Evaluation (Schools)

Map Name: HR_PERFMGT_EVAL_SCH
Map No.: 5F



Human Resources [Final]
Sub-Process: Performance Management – Evaluation (Schools)

Map Name: HR_PERFMGT_EVAL_SCH
Map No.: 5F



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_EVAL_SCH
Sub-Process Name: Performance Management – Evaluation (Schools)	**Map Number:** 5F
Sub-Process Purpose and Objectives: School's evaluation process	

Sub-Process Description:

1. An Employee's evaluation date is set in Lawson. This date is established at time of initial employment or when an existing Employee is newly promoted. **[MAP SHAPE 1, 2, 3]**
2. Central HR notifies the Supervisors of support Employees quarterly, in advance of the Employee's evaluation date. **[MAP SHAPE 2, 4]**
3. The instructional staff evaluation is an online process that is submitted annually (based on contract type) and must be completed by June 30. **[MAP SHAPE 3, 5]**
4. Supervisor meets with Employee and the evaluation is conducted. **[MAP SHAPE 5, 6]**
5. Supervisor and Employee each must sign the evaluation which is then submitted back to Central HR where Lawson is manually updated for support employees and only those instructional staff that were not completed via the online evaluation system. A new review date is established. **[MAP SHAPE 7, 8, 9]**

Page 2: Support Staff

6. A Department may determine that a Work Improvement Plan (WIP) needs to be initiated for the Employee as a result of their evaluation and Central HR is notified in writing and the Employee undertakes and completes the WIP. Salary Services is notified via writing to freeze the employee's step increase. **[MAP SHAPE 10, 11, 13]**
7. At the completion of the WIP the Employee must be re-evaluated. **[MAP SHAPE 14]**
8. If the Employee successfully completes the WIP they re-enter the evaluation process. **[MAP SHAPE 15, 7]**
9. If the Employee does not satisfactorily complete the WIP, a Personnel Action Request (PAR) may be initiated by the department. **[MAP SHAPE 15]**
10. If no WIP is required, a salary increase is initiated in a batch process and Payroll is updated with the step increase. **[MAP SHAPE 10, 12]**

Page 3: Instructional Staff

11. If it is determined that a teacher is not performing satisfactorily against their performance expectations, a Conditional reappointment is given and an Intervention Work Plan may be implemented for the teacher. If the teacher is probationary (Annual Contract 1st 3 years) the teacher could be recommended for non-renewal. **[MAP SHAPE 16]**
12. If an Intervention Work Plan is not required the Employee's Supervisor completes the evaluation in the online system and the mass increment process is run to update the teacher's step increase. **[MAP SHAPE 16, 18]**
13. If an Intervention Plan is required for the teacher the department notifies Central HR. **[MAP SHAPE 17]**
14. Central HR notifies the Department of personnel available for the Intervention Team. Central HR, the School, the Curriculum Specialist, and the employee develop and agree on an Intervention Work Plan. **[MAP SHAPE 19, 20, 21, 23]**
15. The teacher implements the Intervention Work Plan. **[MAP SHAPE 22]**
16. The teacher along with the Intervention Team carry out the Intervention Work Plan. At the completion of the plan the employee is evaluated by the evaluating administrator. **[MAP SHAPE 22, 23]** (NOTE: If the teacher is to be terminated they are notified in February)
17. If the evaluator agrees that the Employee has successfully completed the Intervention Work Plan, Central HR is notified and the teacher's record is updated for the step increase. **[MAP SHAPE 24, 18]**
18. If the instructional Employee is placed on probation this process ends until the next evaluation period.

19. If the Employee is not placed on probation but recommended for demotion or termination the instructional Employee can appeal. **[MAP SHAPE 26]**
20. If the Employee does not wish to appeal this process ends. **[MAP SHAPE 26]**
21. If the Employee does wish to appeal they can file an appeal with their Supervisor within 15 days. The Supervisor reviews the appeal and notifies Central HR of the appeal. **[MAP SHAPE 26, 27, 28, 29]**
22. If the Supervisor determines that the appeal was not filed timely they notify the Employee. **[MAP SHAPE 30, 31]**
23. The Employee's only recourse at this point is to rebut the Supervisor's finding and file a rebuttal statement with their Supervisor's Reviewer and with Central HR. **[MAP SHAPE 31, 32, 33]**
24. If the Employee's Supervisor agrees that the appeal was made in a timely manner it is forwarded to the next supervisory level. The Supervisor's Reviewer reads the appeal letter, makes a decision, and notifies the Employee. **[MAP SHAPE 30, 33, 34, 35]**
25. If the Supervisor's Reviewer approves the Employee's appeal, the evaluation is modified and the employee is notified. A Teacher can appeal for a conditional reappointment. **[MAP SHAPE 36]**
26. If the Supervisor's Reviewer upholds the Supervisor's decision the teacher is dismissed or non-renewed. However, the teacher has the option to file a grievance for a negative evaluation rating or recommendation, or the process ends. **[MAP SHAPE 36, 37]**

Triggers:

- Newly hired Employee's evaluation date established
- Newly promoted Employee's evaluation date adjusted
- Quarterly evaluation notifications
- Evaluation processes
- Work Improvement Plan
- Intervention Work Plan
- Appeal
- Grievance

Key Process Participants:

- Central HR
- Departments
- Employee

Inputs:

Input	*Format*
Employee Record	Electronic
Evaluation date notification	Email
Evaluation form	Electronic/Manual
Work Improvement Plan	Manual
Intervention Work Plan	Manual

Outputs:

Output	*Format*
Personnel Action	Electronic
Personnel Action	Electronic

IT Support:

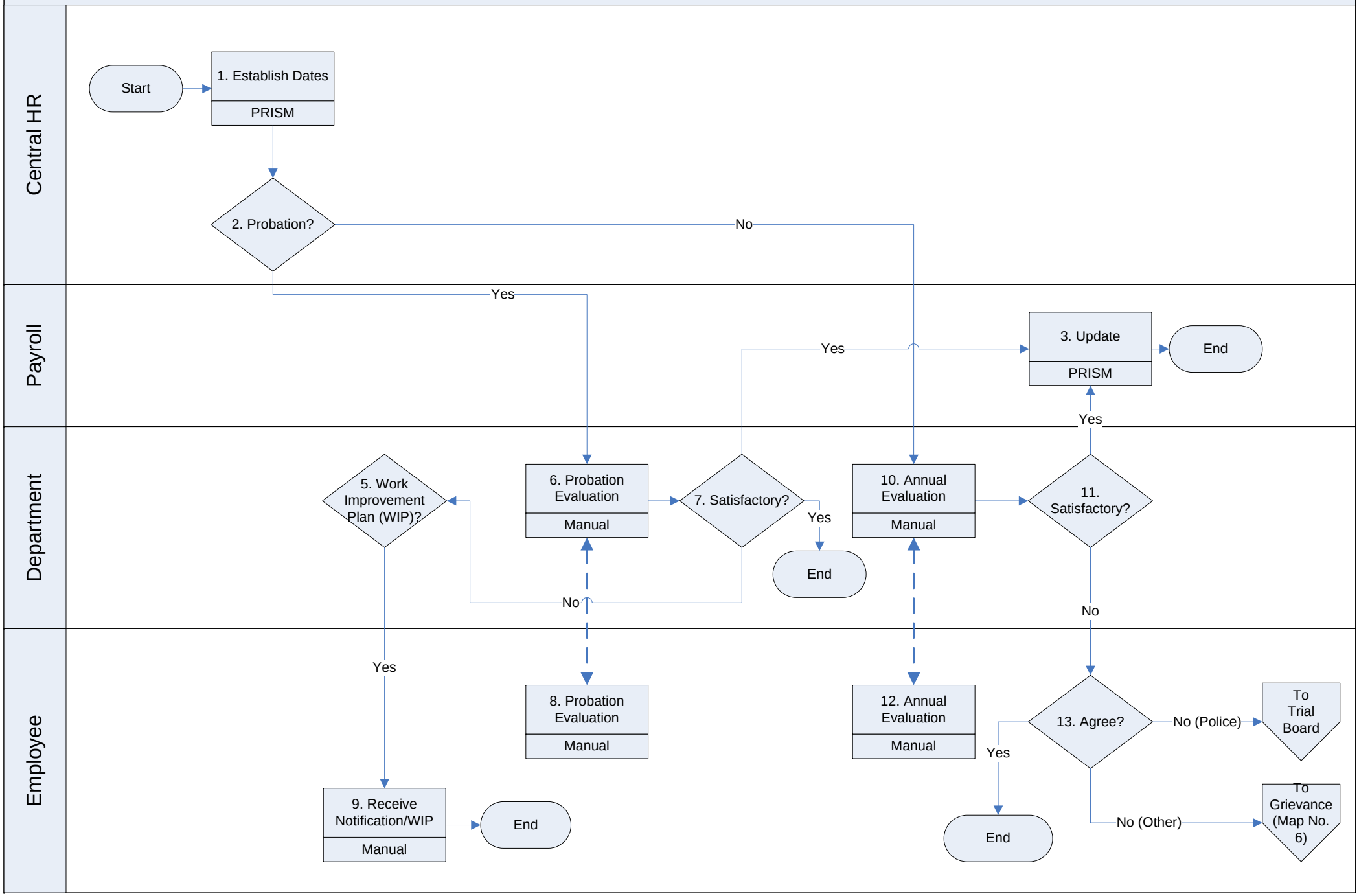
Application/System Name	*Technology Description*
Lawson	Schools human resource system
Access	Database

Regulations:

o

Human Resources [FINAL]
Sub-Process: Performance Management – Evaluation (Uniform)

Map Name: HR_PERFMGT_EVAL_UNF
Map No.: 5G



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_EVAL_UNF
Sub-Process Name: Performance Management – Evaluation (Uniform)	**Map Number:** 5G

Sub-Process Purpose and Objectives: Employee performance evaluation

Sub-Process Description:

1. The six month probationary and annual evaluation dates are established by PRISM when the Employee is hired. **[MAP SHAPE 1]**
2. Department determines in advance unsatisfactory performance, develops a work improvement plan 10 weeks in advance. Annual reviews follow this process; probationary reviews occur at time of evaluation. **[MAP SHAPE 5, 4, 9]**
3. If a WIP is not required the Department performs the Employee evaluation with the Employee. **[MAP SHAPE 6, 8]**
4. If the evaluation is satisfactory, the results are communicated to the Department's Payroll section and the Employee's record is updated in PRISM with the evaluation rating. **[MAP SHAPE 7, 3]**
5. If the Employee evaluation is not a probationary evaluation, Department sends the annual evaluation form to the Employee's Supervisor. **[MAP SHAPE 2, 10]**
6. The Department performs the evaluation with the Employee. **[MAP SHAPE 10, 12]**
7. If the evaluation is satisfactory, the results are communicated to Department Payroll section and the Employee's record is updated in PRISM with the evaluation rating. **[MAP SHAPE 11, 3]**
8. If the evaluation is not satisfactory, the Employee has the option to file a grievance within 20 days (NOTE: Police officers must file a grievance with the Trial Board). **[MAP SHAPE 13]**

Triggers:

- ❑ Probationary review
- ❑ Annual review
- ❑ WIP

Key Process Participants:

- ❑ Payroll
- ❑ Central HR
- ❑ Departments
- ❑ Employee

Inputs:

Input	*Format*
Probationary evaluation form	Paper
Annual evaluation form	Paper

Outputs:

Output	*Format*
Completed probationary evaluation form	Paper
Completed annual evaluation form	Paper

IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system

Regulations:

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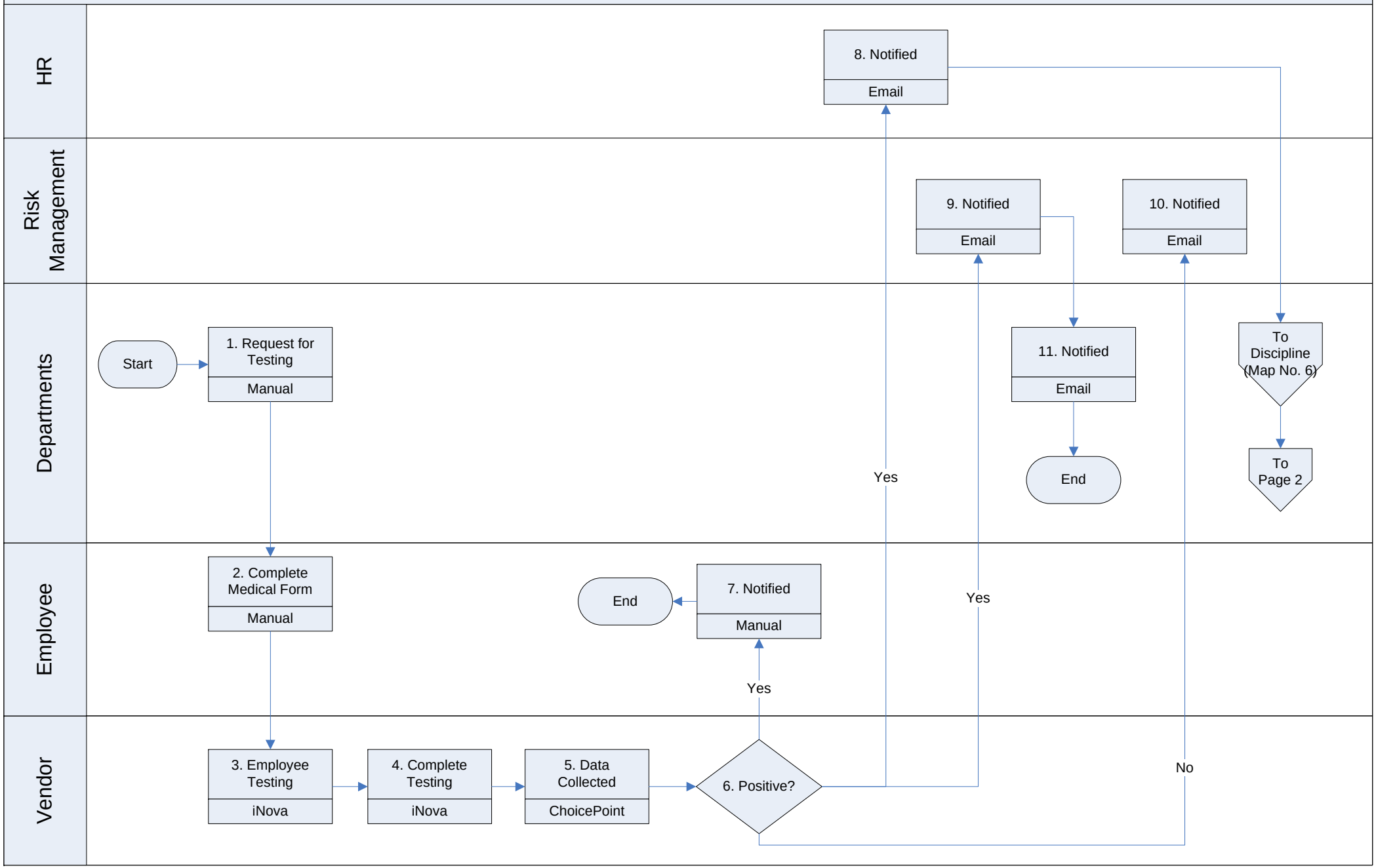
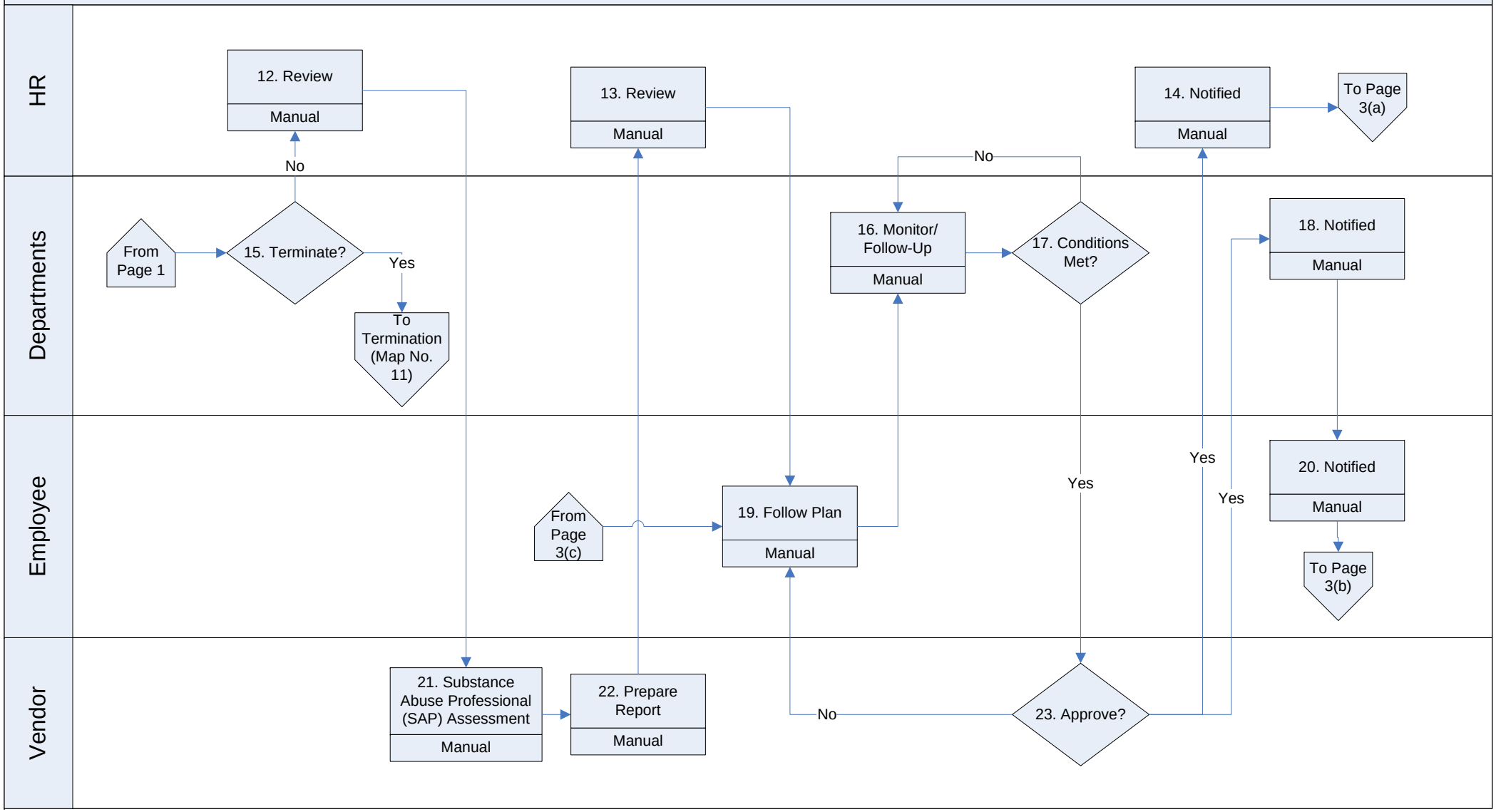
Human Resources [Final] Map Name: HR_PERFMGT_CDL_CO

Sub-Process: Performance Management – Commercial Driver License (County) Map No.: 5H



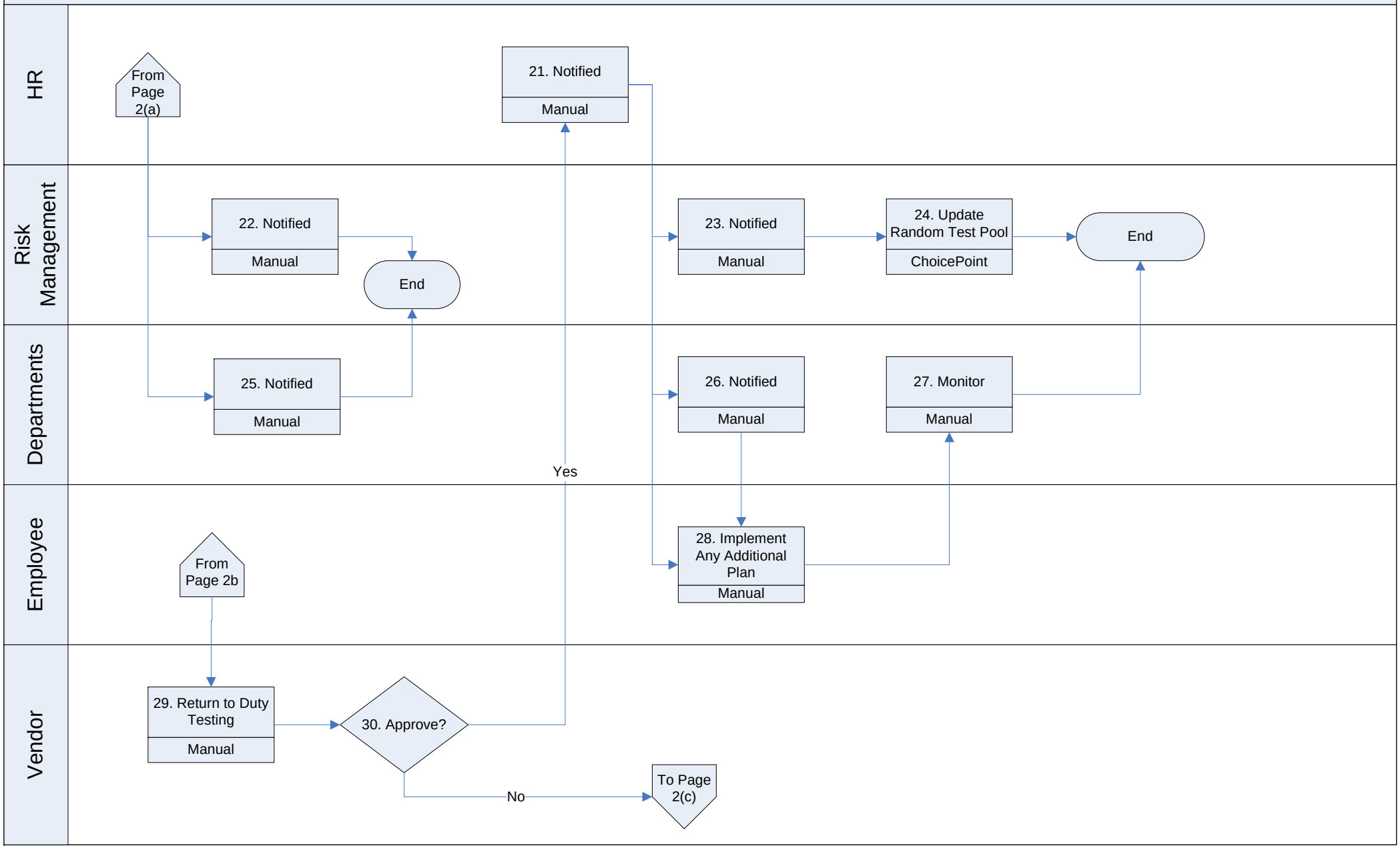
Human Resources [Final] Map Name: HR_PERFMGT_CDL_CO

Sub-Process: Performance Management – Commercial Driver License (County) Map No.: 5H



Human Resources [Final] Map Name: HR_PERFMGT_CDL_CO

Sub-Process: Performance Management – Commercial Driver License (County) Map No.: 5H



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_CDL_CO
Sub-Process Name: Performance Management – Commercial Driver License (County)	**Map Number: 5H**

Sub-Process Purpose and Objectives: Drug testing procedures related to Commercial Drivers License holders in the County

Sub-Process Description:

1. Process begins with the department requesting a drug test for an employee. The offer made to any new employees is a conditional offer until the employee receives an official offer after successful completion of the drug test. Post accident drug test may also be performed on active employees, and active employees are subject to drug test for reasonable suspicion of drug use. If the test is a pre-employment test the Department faxes employee's demographic information to iNova. **[MAP SHAPE 1]**
2. The employee fills out a medical form in preparation for the appointment with the test service provider, iNova. **[MAP SHAPE 2]**
3. The employee reports for their medical appointment. The employee must bring the medical appointment form plus some form of identification to the service provider. **[MAP SHAPE 3]**
4. The test is performed by iNova. **[MAP SHAPE 4]**
5. The data collected during the testing is forwarded to ChoicePoint. ChoicePoint is the data collection service provider contracted by the County and maintains the records for iNova. **[MAP SHAPE 5]**
6. If the tests are negative, ChoicePoint notifies Risk Management. **[MAP SHAPE 6, 10]**
7. If the employee test positive the employee, Risk Management and HR are notified and Risk Management notifies the Department by email unless the test was a random test in which case the Department is not notified. The employee is given an opportunity to explain the positive test results. **[MAP SHAPE 6. 7, 8, 9, 11]**
8. Human Resources may recommend disciplinary action to the department for any employee testing positive. [**MAP SHAPE 8] to Discipline (Map No. 6)**
9. When the Department receives notice that an employee has tested positive they must determine a course of action. This course of action my include termination of the employee. **[MAP SHAPE 15] to TERMINATION (MAP No. 11.)**
10. If the Department decides not to terminate the employee they notify HR. HR reviews data from ChoicePoint and may refer the employee to a SAP (Substance Abuse Professional). **[MAP SHAPE 12, 21]**
11. The SAP evaluates the employee and prepares a report detailing the treatment suggested and the duration, which is sent to HR. **[MAP SHAPE 22, 13]**
12. HR reviews the report received from the SAP and informs the employee that they must complete the program established by the SAP. **[MAP SHAPE 13, 19]**
13. The employee begins the plan which is monitored by the Department who performs the follow up actions required under the terms of the plan. **[MAP SHAPE 19, 16]**
14. The department evaluates how well the employee is meeting the conditions of the plan. If the employee is not meeting the conditions of the plans additional follow up is required. **[MAP SHAPE 17, 16]**
15. If the employee completes the conditions of the plan the results are forwarded to the SAP. **[MAP SHAPE 17, 23]**
16. The SAP evaluates the information received from the department and determines if they will certify that the employee successfully completed the plan as established. **[MAP SHAPE 23]**
17. If the SAP does not certify that they employee fulfilled the conditions of the plan, the employee must go through the process again. **[MAP SHAPE 23, 19, 16, 17, 23]**
18. If the SAP certifies that the employee has completed the conditions of the plan the Department and HR are notified. **[MAP SHAPE 23, 14, 18]**
19. The Department then notifies the employee that they have successfully completed the plan. **[MAP SHAPE 18, 20]**
20. HR also notifies the department and Risk Management. **[MAP SHAPE 22, 25]**
21. The employee is notified that they have completed the plan but that they must go to the testing service provider for a back to work test. **[MAP SHAPE 29]**
22. If the test is positive the employee must begin a new plan established by the SAP. **[MAP SHAPE 30, 19]**
23. If the test is negative the SAP send a notices is sent to HR. **[MAP SHAPE 30, 21]**

24. HR notifies Risk Management, the Department, and the employee. They also notify the employee of any additional conditions for continued employment. **[MAP SHAPE 21, 23, 26, 28]**
25. If additional conditions were a part of the employee's return to work the Department continues to monitor the employee's adherence to those conditions. **[MAP SHAPE 28, 27]**
26. Risk management notifies ChoicePoint to puts the employee back into the random pool making them subject to random testing at anytime. **[MAP SHAPE 23, 24]**

Triggers:
- ❑ Employee requires a drug test.
- ❑ Test results
- ❑ SAP assessment
- ❑ Employee completes SAP plan
- ❑ SAP plan completion evaluation
- ❑ Employee's disposition

Key Process Participants:
- ❑ HR
- ❑ Risk Management
- ❑ Department
- ❑ Employee
- ❑ Vendor

Inputs:

Input	***Format***
Drug test	Medical
SAP evaluation report	Medical/Psychological

Outputs:

Output	***Format***
Test results	Various
SAP plan	Various

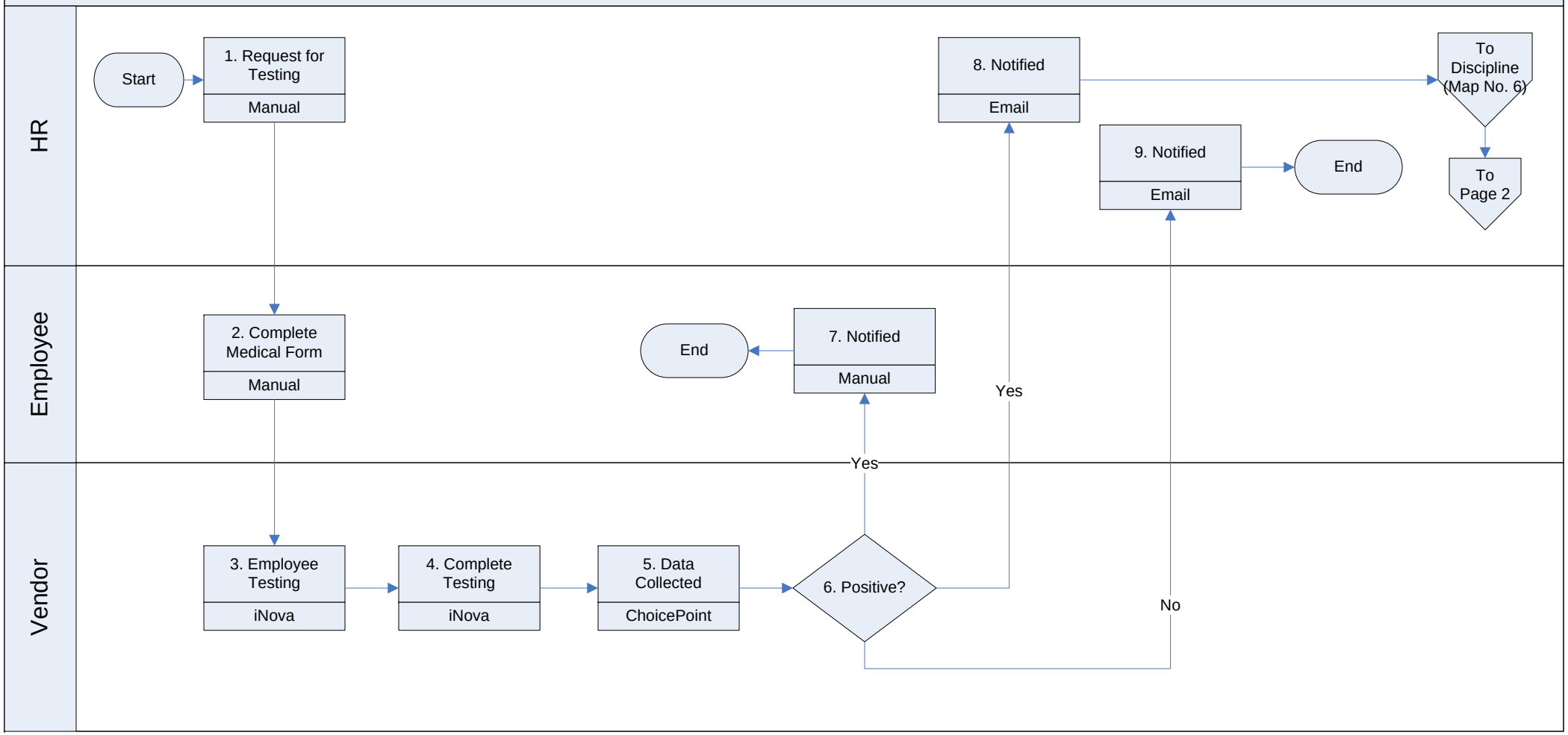
IT Support:

Application/System Name	***Technology Description***
iNova	
ChoicePoint	

Regulations:
- o

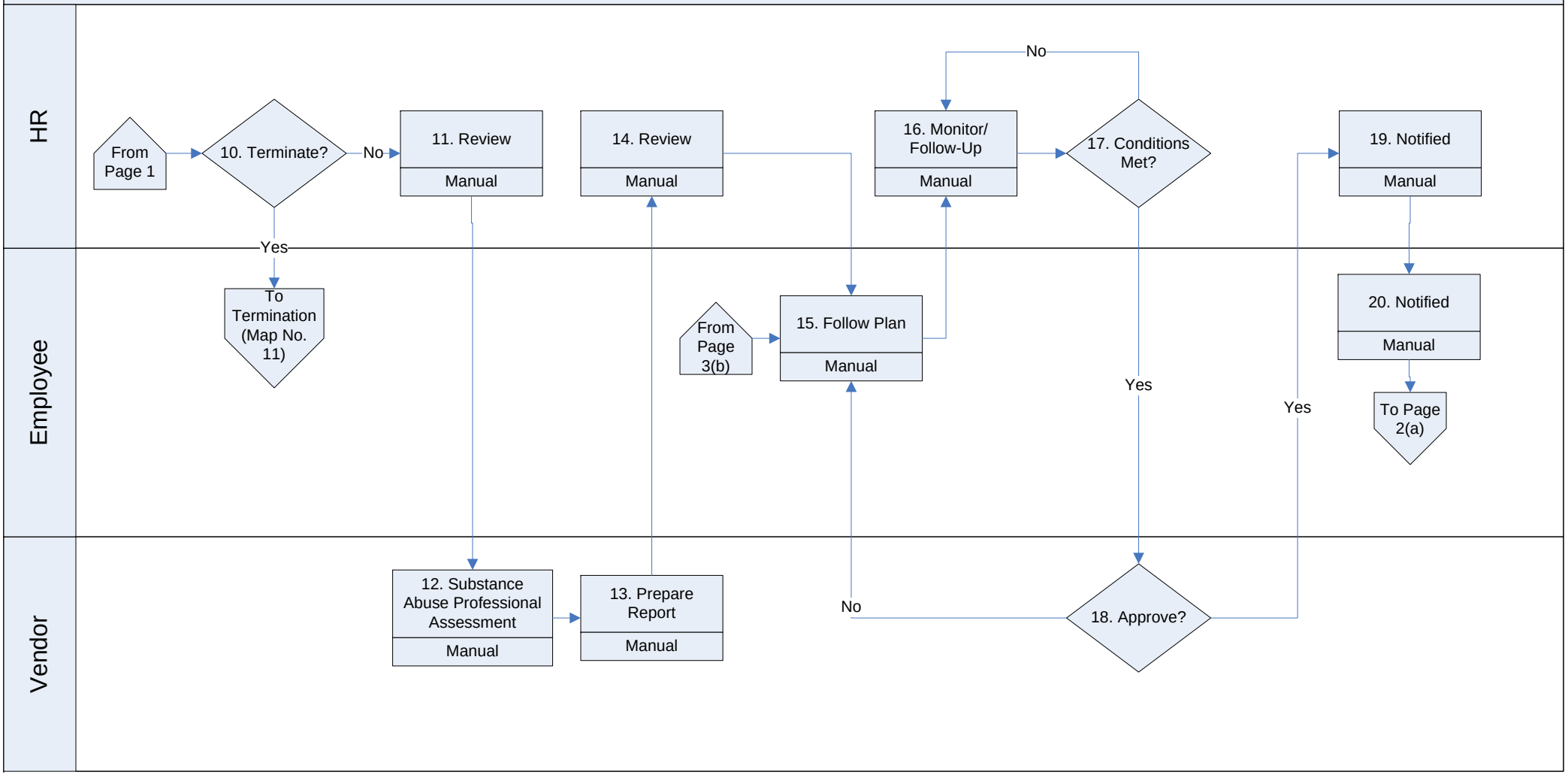
Human Resources [FINAL] Map Name: HR_PERFMGT_CDL_SCH

Sub-Process: Performance Management – Commercial Driver License (Schools) Map No.: 5I



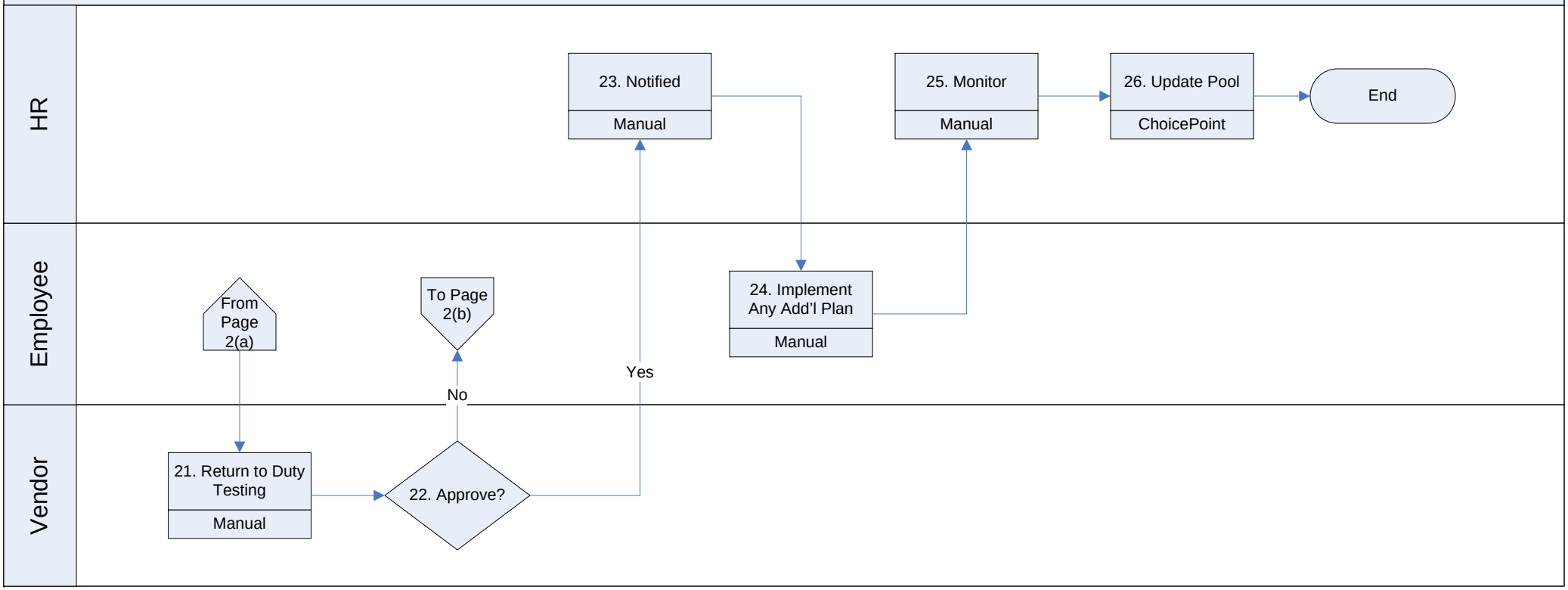
Human Resources [FINAL] Map Name: HR_PERFMGT_CDL_SCH

Sub-Process: Performance Management – Commercial Driver License (Schools) Map No.: 5I



Human Resources [FINAL] Map Name: HR_PERFMGT_CDL_SCH

Sub-Process: Performance Management – Commercial Driver License (Schools) Map No.: 5I



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_CDL_SCH
Sub-Process Name: Performance Management – Commercial Driver License (Schools)	**Map Number: 5I**

Sub-Process Purpose and Objectives: Drug testing procedures related to Commercial Drivers License holders in the Schools

Sub-Process Description:

1. Process begins with Schools HR requesting a drug test for an employee. The offer made to any new employees is a conditional offer until the employee receives an official offer after successful completion of the drug test. Post accident drug test may also be performed on active employees, and active employees are subject to drug test for reasonable suspicion of drug use. If the test is a pre-employment test Schools HR faxes employee's demographic information to iNova. **[MAP SHAPE 1]**
2. The employee fills out a medical form in preparation for the appointment with the service provider, iNova. **[MAP SHAPE 2]**
3. The employee reports for their medical appointment. The employee must bring the medical appointment form plus some form of identification to the service provider. **[MAP SHAPE 3]**
4. The test is performed by iNova. **[MAP SHAPE 4]**
5. The data collected during the testing is forwarded to ChoicePoint. ChoicePoint is the data collection service provider contracted by the Schools and maintains the records for iNova. **[MAP SHAPE 5]**
6. If the tests are negative, ChoicePoint notifies Schools HR by email. **[MAP SHAPE 6, 10]**
7. If the employee tests positive the employee is notified and Schools HR id notified by email. The employee is given an opportunity to explain the positive test results. Schools have a zero tolerance for drug use and can terminate any employee who has tested positive. **[MAP SHAPE 6. 7, 8]**
8. Schools HR may recommend disciplinary action for the employee. **[MAP SHAPE 8]**
9. When Schools HR receives notice that an employee tested positive they must determine a course of action. **[MAP SHAPE 8, 15]**
10. If Schools HR decides to terminate the employee they process follows the termination process. **[MAP SHAPE 10]**
11. If Schools HR decides not to terminate the employee they review data from ChoicePoint and may refer the employee to a SAP (Substance Abuse Professional). **[MAP SHAPE 10, 11, 12]**
12. The SAP evaluates the employee and prepares a report detailing the treatment suggested and the duration, which is sent to Schools HR. **[MAP SHAPE 13, 14]**
13. Schools HR reviews the report received from the SAP and informs the employee that they must complete the program established by the SAP. **[MAP SHAPE 14, 15]**
14. The employee begins the plan and is monitored by the Central HR who performs the follow up actions required under the terms of the plan. **[MAP SHAPE 15, 16]**
15. The Central HR evaluates how well the employee is meeting the conditions of the plan. If the employee is not meeting the conditions of the plans additional follow up is required. **[MAP SHAPE 17, 16]**
16. If the employee completes the conditions of the plan the results are forwarded to the SAP. **[MAP SHAPE 17, 18]**
17. The SAP determines if they will certify that the employee completed the plan as established. **[MAP SHAPE 18]**
18. If the SAP does not certify that they employee fulfilled the conditions of the plan, the employee must go through the process again. **[MAP SHAPE 18, 15, 16, 17, 18]**
19. If the SAP certifies that the employee did complete the conditions of the plan Central HR is notified. **[MAP SHAPE 18, 19]**
20. Central HR then notifies the employee that they have successfully completed the plan. **[MAP SHAPE 19, 20]**
21. The employee is notified that they have completed the plan but that they must go to the testing service provider for a back to work test. **[MAP SHAPE 19, 20, 21]**
22. If the test is positive the employee must begin a new plan established by the SAP. **[MAP SHAPE 22, 15]**
23. If the test is negative the SAP send a notices is sent to Schools HR. **[MAP SHAPE 22, 23]**
24. Schools HR notify the employee of any additional conditions for continued employment. **[MAP SHAPE 23, 24]**
25. If additional conditions were a part of the employees return to work Central HR continues to monitor the employee's adherence to those conditions. **[MAP SHAPE 24,**

25]

26. Central HR notifies ChoicePoint to puts the employee back into the random pool making them subject to random testing at anytime. **[MAP SHAPE 26]**

Triggers:

- Employee requires a drug test.
- Test results
- SAP assessment
- Employee completes SAP plan
- SAP plan completion evaluation
- Employee's disposition

Key Process Participants:

- HR
- Employee
- Vendor

Inputs:

Input	***Format***
Drug test	Medical
SAP evaluation report	Medical/Psychological

Outputs:

Output	***Format***
Test results	Various
SAP plan	Various

IT Support:

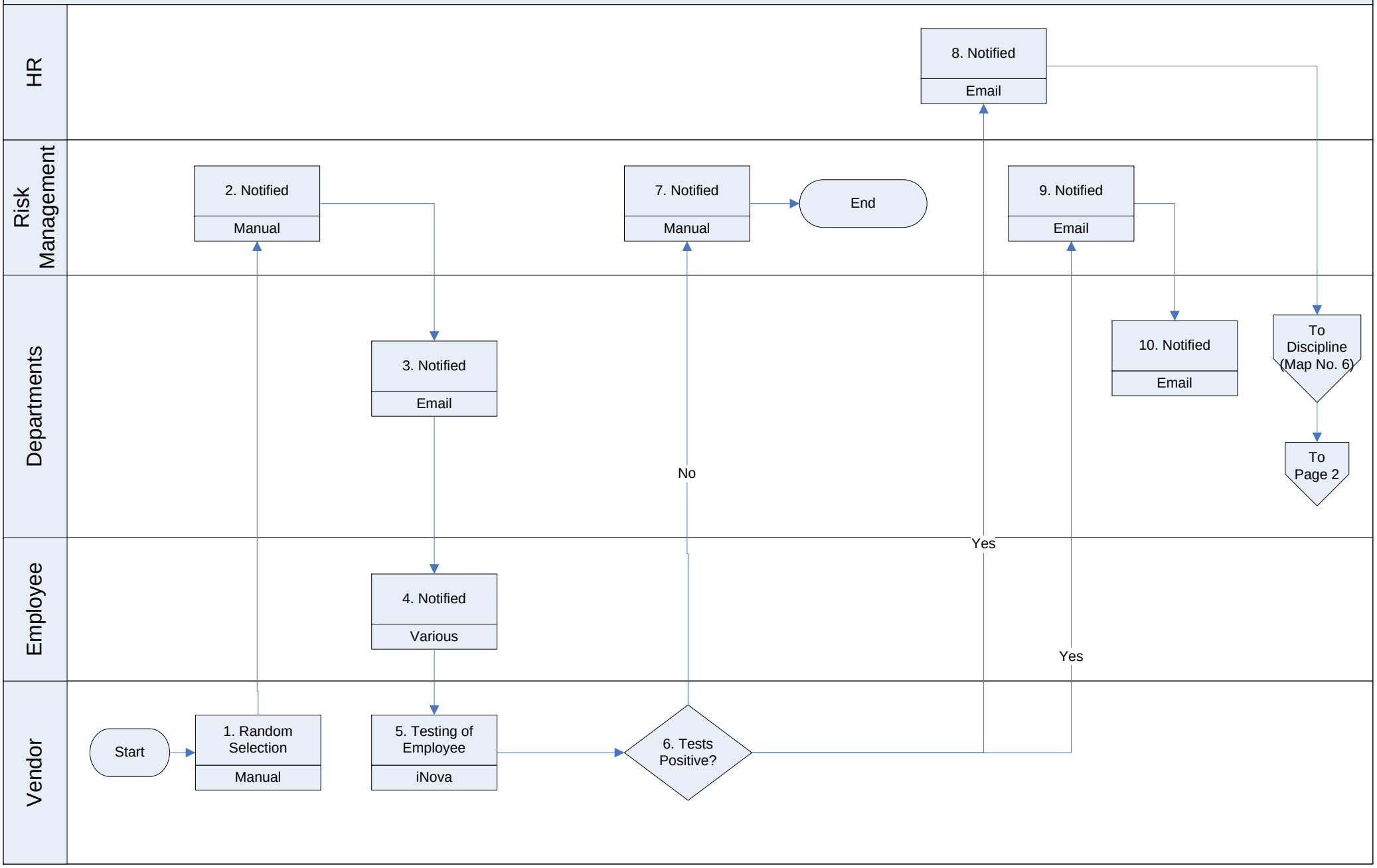
Application/System Name	***Technology Description***
iNova	
ChoicePoint	

Regulations:

o

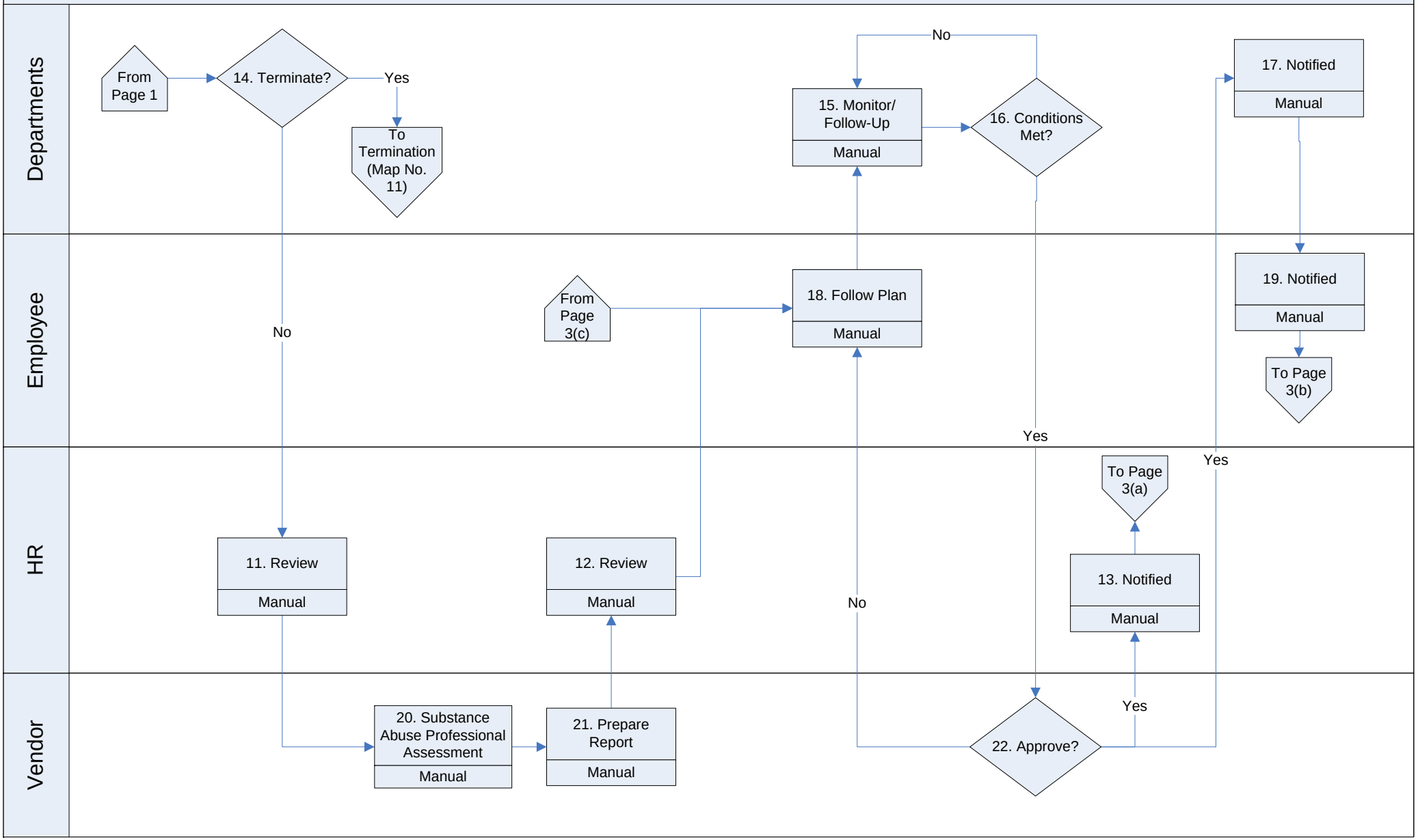
Human Resources [Final]
Sub-Process: Performance Management – Commercial Driver License Random Testing (County)

Map Name: HR_PERFMGT_CDL_RTEST_CO
Map No.: 5J



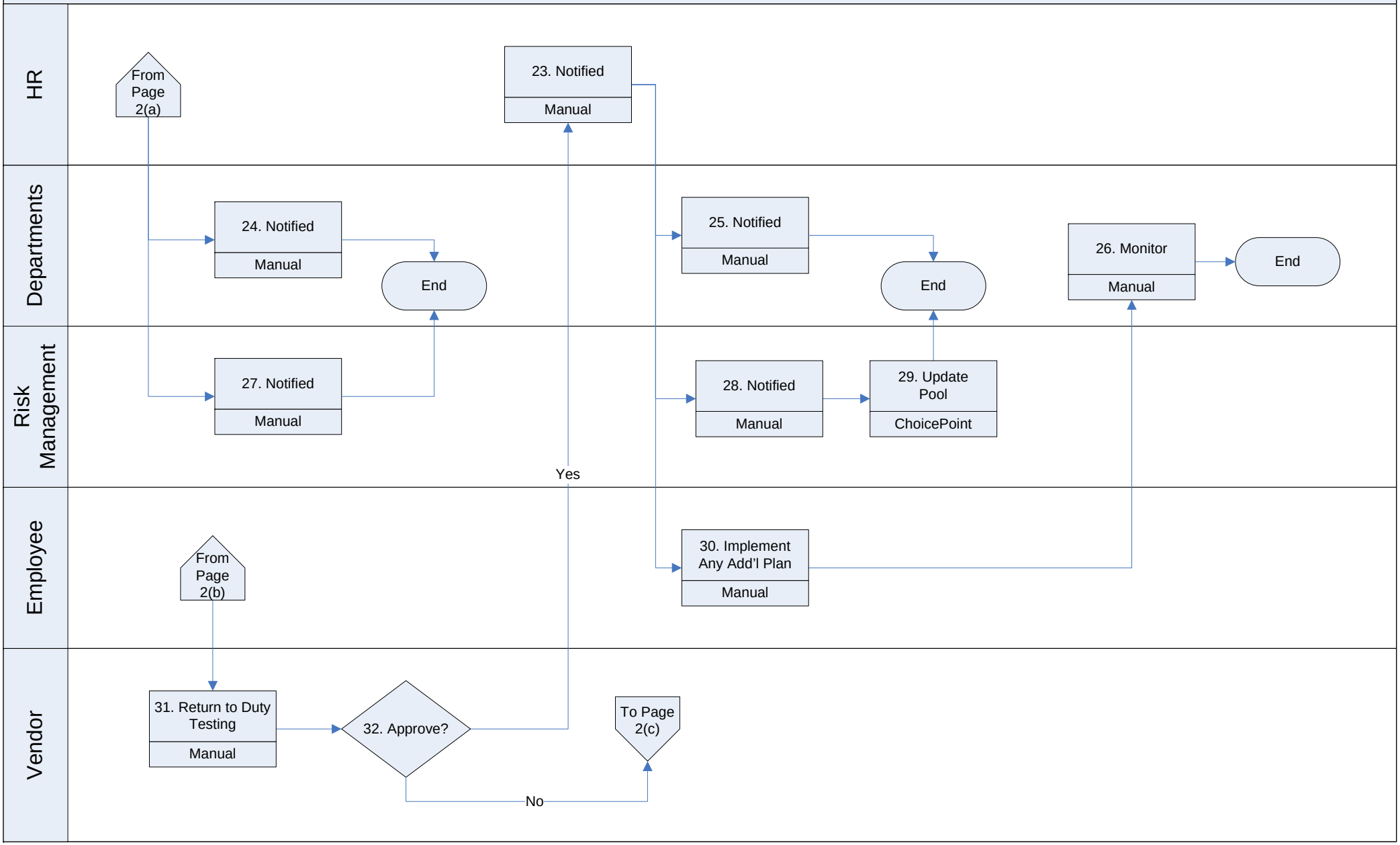
Human Resources [Final]
Sub-Process: Performance Management – Commercial Driver License Random Testing (County)

Map Name: HR_PERFMGT_CDL_RTEST_CO
Map No.: 5J



Human Resources [Final]
Sub-Process: Performance Management – Commercial Driver License Random Testing (County)

Map Name: HR_PERFMGT_CDL_RTEST_CO
Map No.: 5J



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_CDL_RTEST_CO
Sub-Process Name: Performance Management – Commercial Driver License Random Testing (County)	**Map Number: 5J**
Sub-Process Purpose and Objectives: Commercial Drivers Licensing random drug testing at the County	

Sub-Process Description:

1. Process begins with the County's vendor ChoicePoint selecting individuals for random drug testing. **[MAP SHAPE 1]**
2. The vendor sends a list of employees for random testing to Risk Management. **[MAP SHAPE 1, 2]**
3. Risk Management notifies the departments of the employees selected and the Departments notify the employees they are to report for drug testing. **[MAP SHAPE 2, 3, 4]**
4. The employee must bring appropriate identification and report to the service provider for random testing. **[MAP SHAPE 4, 5]**
5. The test is performed by iNova. **[MAP SHAPE 5]**
6. iNova performs the test and if the results are negative Risk Management is notified and the process ends. **[MAP SHAPE 7, 6]**
7. If the employee tests positive the vendor notifies Risk Management and HR. Risk Management notifies the Department by email. **[MAP SHAPE 6, 8, 9, 10]**
8. Human Resources may recommend disciplinary action to the Department for the employee. **[MAP SHAPE 8]**
9. When the Department receives notice that an employee tested positive they must determine a course of action. If the Department decides to terminate the employee the process follows the termination process. **[MAP SHAPE 14]**
10. If the Department decides not to terminate the employee they notify HR. HR reviews data from vendor and may refer the employee to a SAP (Substance Abuse Professional). **[MAP SHAPE 14, 11, 20]**
11. The SAP evaluates the employee and prepares a report detailing the treatment suggested and the duration which is sent to HR. **[MAP SHAPE 21, 12]**
12. HR reviews the report received from the SAP and informs the employee that they must complete the program established by the SAP. **[MAP SHAPE 12, 18]**
13. The employee begins the plan and is monitored by the Department who performs the follow up actions required under the terms of the plan. **[MAP SHAPE 18, 15]**
14. The department evaluates how well the employee is meeting the conditions of the plan. If the employee is not meeting the conditions of the plans additional follow up is required. **[MAP SHAPE 16, 15]**
15. If the employee completes the conditions of the plan the results are forwarded to the SAP. **[MAP SHAPE 16, 22]**
16. The SAP determines if they will certify the plan as established, was successfully completed by the employee. **[MAP SHAPE 22]**
17. If the SAP does not certify that they employee fulfilled the conditions of the plan, the employee must go through the process again. **[MAP SHAPE 22, 18, 15, 16, 22]**
18. If the SAP certifies that the employee completed the conditions of the plan the Department and HR are notified. **[MAP SHAPE 22, 13, 17]**
19. The Department then notifies the employee that they have successfully completed the plan. **[MAP SHAPE 17, 19]**
20. HR also notifies the Department and Risk Management. **[MAP SHAPE 24, 27]**
21. The employee is notified that they have completed the plan but that they must go to the testing service provider for a back to work test. **[MAP SHAPE 31]**
22. If the test is positive the employee must begin a new plan established by the SAP. **[MAP SHAPE 32, 18]**
23. If the test is negative the SAP send a notices is sent to HR. **[MAP SHAPE 32, 23]**
24. HR notifies Risk Management, the Department, and the employee. They also notify the employee of any additional conditions for continued employment. **[MAP SHAPE 23, 25, 28, 30]**
25. If additional conditions were a part of the employees return to work the Department continues to monitor the employee's adherence to those conditions. **[MAP SHAPE 30, 26]**

26. Risk management notifies ChoicePoint to puts the employee back into the random pool making them subject to random testing at anytime. **[MAP SHAPE 28, 29]**

Triggers:
- ❑ Employee requires a drug test.
- ❑ Test results
- ❑ SAP assessment
- ❑ Employee completes SAP plan
- ❑ SAP plan completion evaluation
- ❑ Employee's disposition

Key Process Participants:
- ❑ HR
- ❑ Risk Management
- ❑ Department
- ❑ Employee
- ❑ Vendor

Inputs:

Input	***Format***
Drug test	Medical
SAP evaluation report	Medical/Psychological

Outputs:

Output	***Format***
Test results	Various
SAP plan	Various

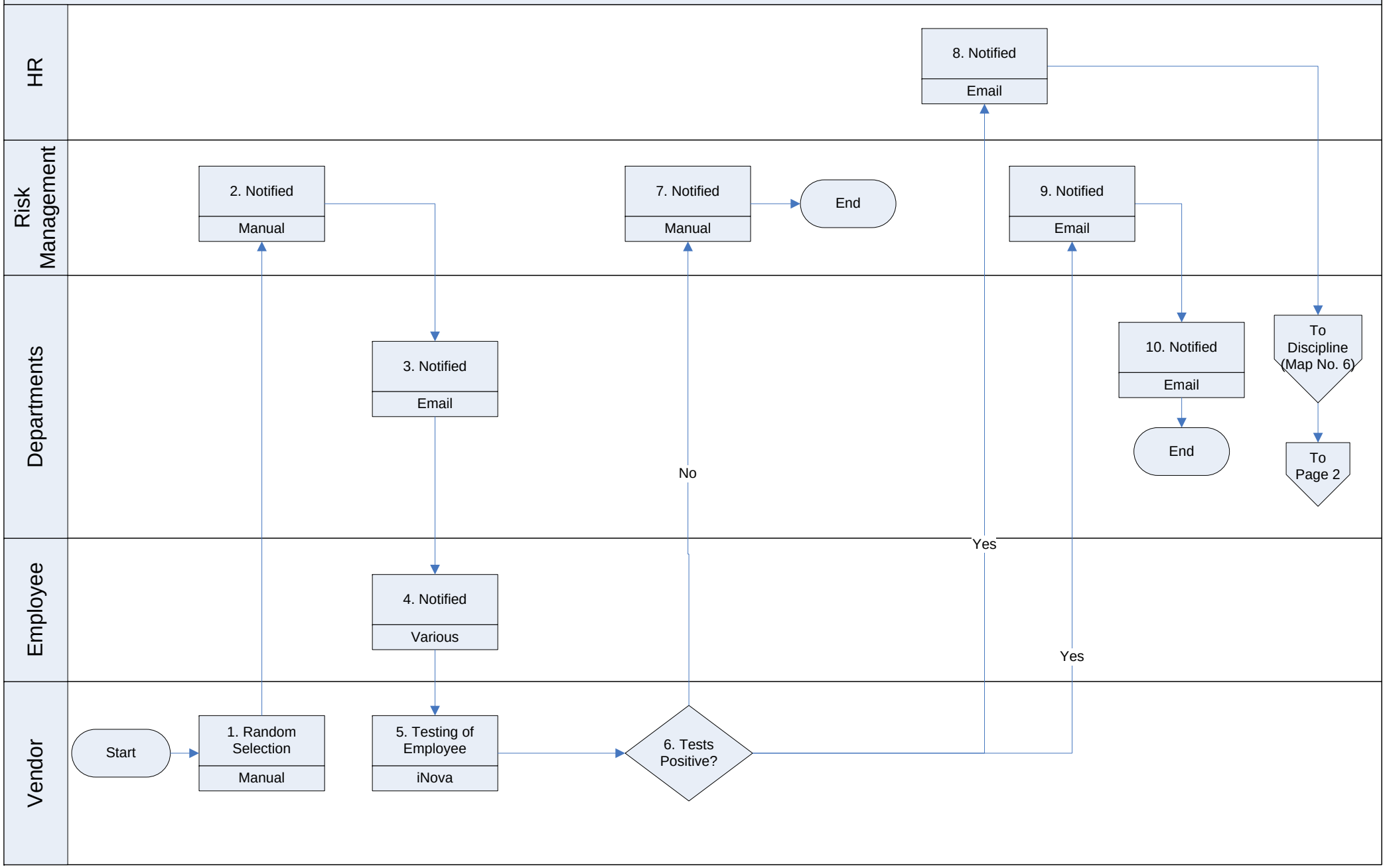
IT Support:

Application/System Name	***Technology Description***
iNova	
ChoicePoint	

Regulations:
- o

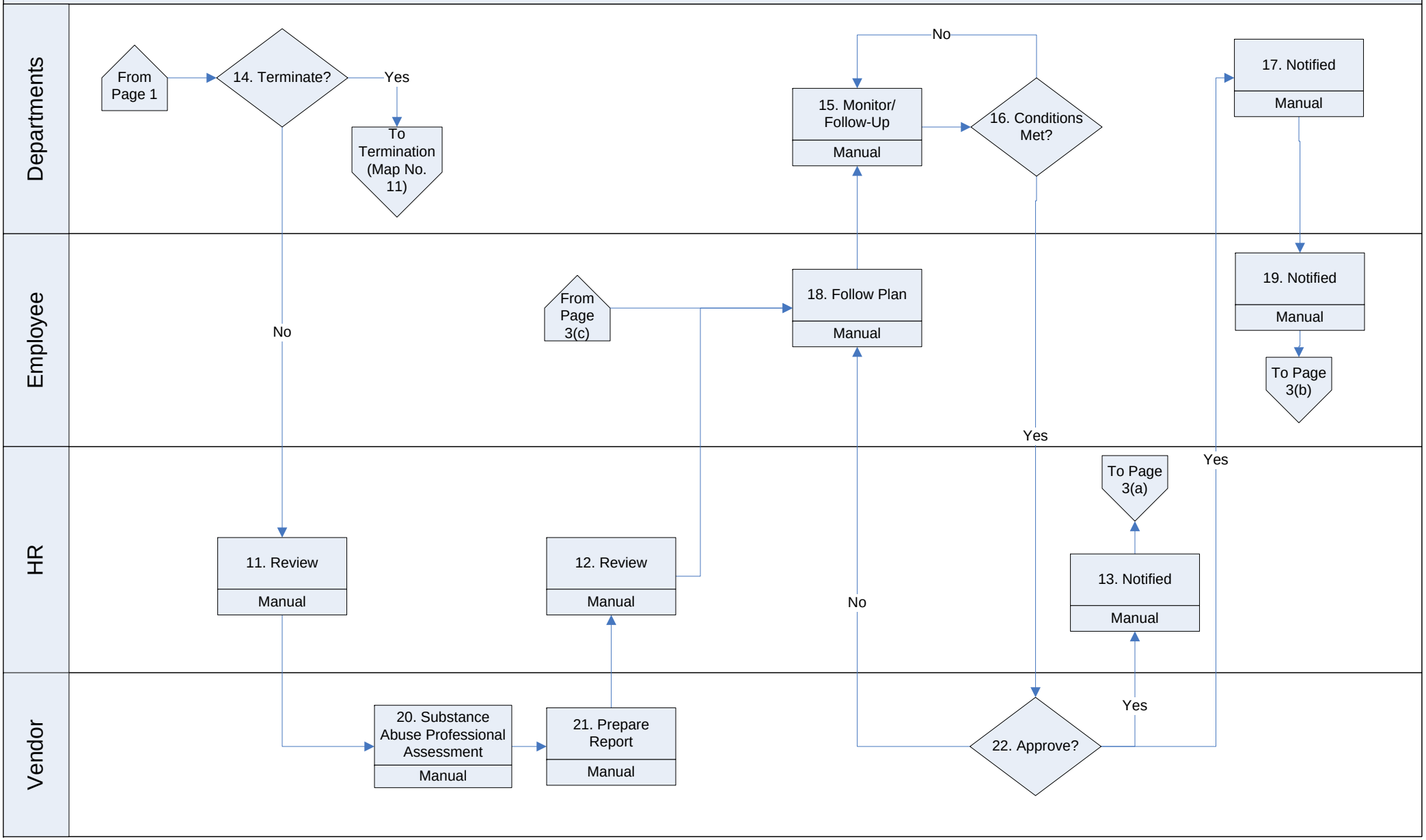
Human Resources [Final]
Sub-Process: Performance Management – Commercial Driver License Random Testing (Schools)

Map Name: HR_PERFMGT_CDL_RTEST_SCH
Map No.: 5K



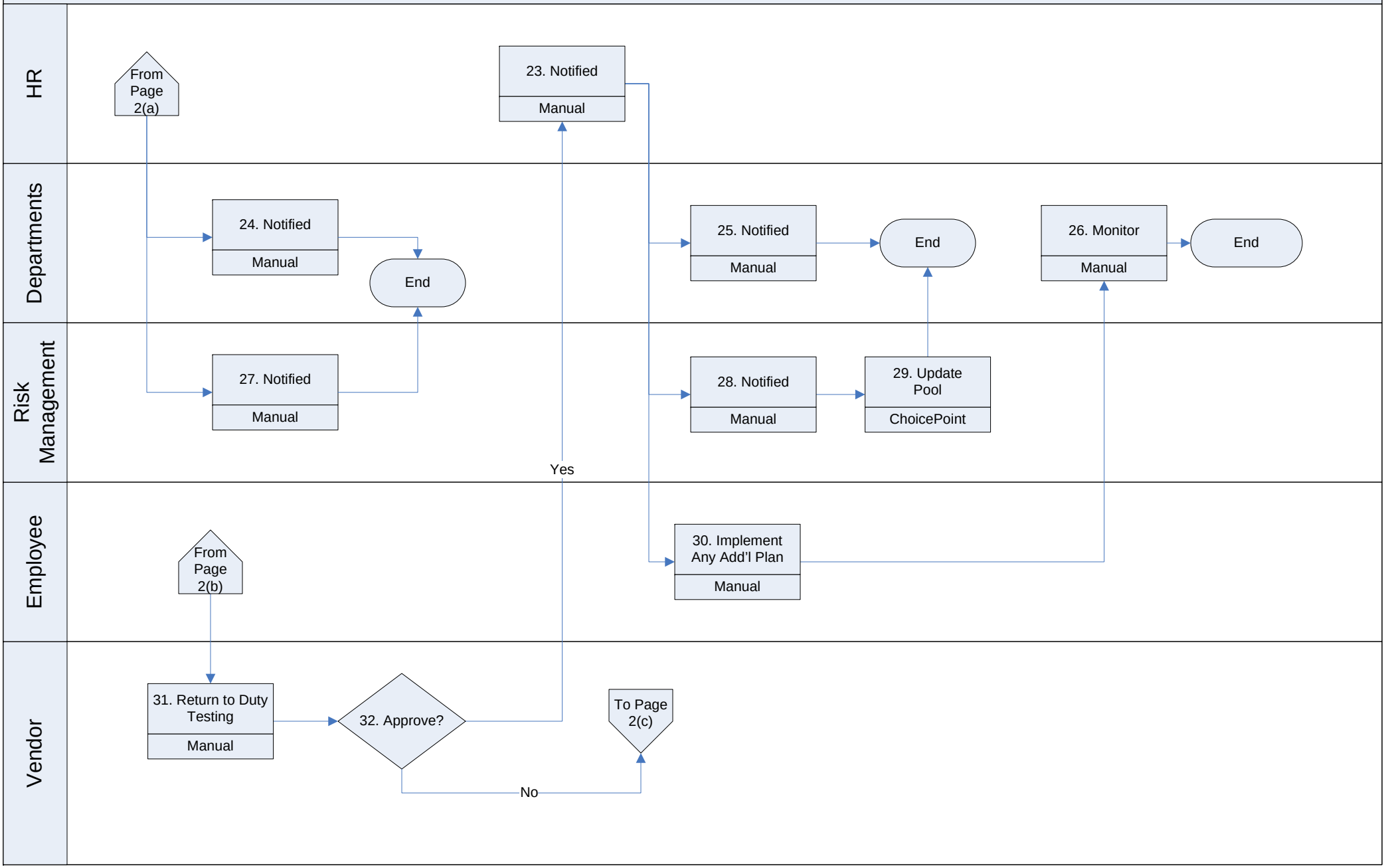
Human Resources [Final]
Sub-Process: Performance Management – Commercial Driver License Random Testing (Schools)

Map Name: HR_PERFMGT_CDL_RTEST_SCH
Map No.: 5K



Human Resources [Final]
Sub-Process: Performance Management – Commercial Driver License Random Testing (Schools)

Map Name: HR_PERFMGT_CDL_RTEST_SCH
Map No.: 5K



Process Name: Human Resources	**Process Identifier:** HR_PERFMGT_CDL_RTEST_SCH
Sub-Process Name: Performance Management – Commercial Driver License Random Testing (Schools)	**Map Number: 5K**

Sub-Process Purpose and Objectives: Commercial Drivers Licensing random drug testing at the Schools

Sub-Process Description:
NOTE: Key process participants represent roles rather than stakeholders.

1. Process begins with the School's test data collection vendor, ChoicePoint, selecting individuals for random drug testing. **[MAP SHAPE 1]**
2. The vendor sends a list of employees for random testing to Risk Management. **[MAP SHAPE 1, 2]**
3. Risk Management notifies the Departments of the employees selected and the Departments notify the employees they are to report for drug testing. **[MAP SHAPE 2, 3, 4]**
4. The employee must bring appropriate identification and report to the service provider for random testing. **[MAP SHAPE 4, 5]**
5. The test is performed by iNova. **[MAP SHAPE 5]**
6. iNova performs the test and if the results are negative Risk Management is notified and the process ends. **[MAP SHAPE 6, 7]**
7. If the employee tests positive the Risk Management and HR are notified and Risk Management notifies the Department by email. **[MAP SHAPE 6, 8, 9, 10]**
8. Human Resources may recommend disciplinary action to the department for the employee. **[MAP SHAPE 8]to Discipline (Map No. 6)**
9. When the Department receives notice that an employee tested positive they must determine a course of action. If the Department decides to terminate the employee the process follows the previously mapped Termination process. **[MAP SHAPE 14]**
10. If the Department decides not to terminate the employee they notify HR. HR reviews data from vendor and may refer the employee to a SAP (Substance Abuse Professional). **[MAP SHAPE 14, 11, 20]**
11. The SAP evaluates the employee and prepares a report detailing the treatment suggested and the duration, which is sent to HR. **[MAP SHAPE 21, 12]**
12. HR reviews the report received from the SAP and informs the employee that they must complete the program established by the SAP. **[MAP SHAPE 12, 18]**
13. The employee begins the plan and is monitored by the Department who performs the follow up required under the terms of the plan. **[MAP SHAPE 18, 15]**
14. The Department evaluates how well the employee is meeting the conditions of the plan. If the employee is not meeting the conditions of the plans additional follow up is required. **[MAP SHAPE 16, 15]**
15. If the employee completes the conditions of the plan the results are forwarded to the SAP. **[MAP SHAPE 16, 22]**
16. The SAP determines if they will certify the plan was successfully completed by the employee. **[MAP SHAPE 22]**
17. If the SAP does not certify that they employee fulfilled the conditions of the plan, the employee must go through the process again. **[MAP SHAPE 22, 18, 15, 16, 22]**
18. If the SAP certifies that the employee completed the conditions of the plan the Department and HR are notified. **[MAP SHAPE 22, 13, 17]**
19. The Department then notifies the employee that they have successfully completed the plan. **[MAP SHAPE 17, 19]**
20. HR also notifies the Department and Risk Management. **[MAP SHAPE 13, 24, 27]**
21. The employee is notified that they have completed the plan but that they must go to the testing service provider for a back to work test. **[MAP SHAPE 19, 31]**
22. If the test is positive the employee must begin a new plan established by the SAP. **[MAP SHAPE 32, 18]**
23. If the test is negative the SAP send a notices is sent to HR. **[MAP SHAPE 32, 23]**
24. HR notifies Risk Management, the Department, and the employee. HR also notifies the employee of any additional conditions for continued employment. **[MAP SHAPE 23, 25, 28, 30]**

25. If additional conditions were a part of the employees return to work the Department continues to monitor the employee's adherence to those conditions. **[MAP SHAPE 30, 26]**
26. Risk management notifies ChoicePoint to puts the employee back into the random pool making them subject to random testing at anytime. **[MAP SHAPE 28, 29]**

Triggers:
- ❑ Employee requires a drug test.
- ❑ Test results
- ❑ SAP assessment
- ❑ Employee completes SAP plan
- ❑ SAP plan completion evaluation
- ❑ Employee's disposition

Key Process Participants:
- ❑ HR
- ❑ Risk Management
- ❑ Department
- ❑ Employee
- ❑ Vendor

Inputs:

Input	***Format***
Drug test	Medical
SAP evaluation report	Medical/Psychological

Outputs:

Output	***Format***
Test results	Various
SAP plan	Various

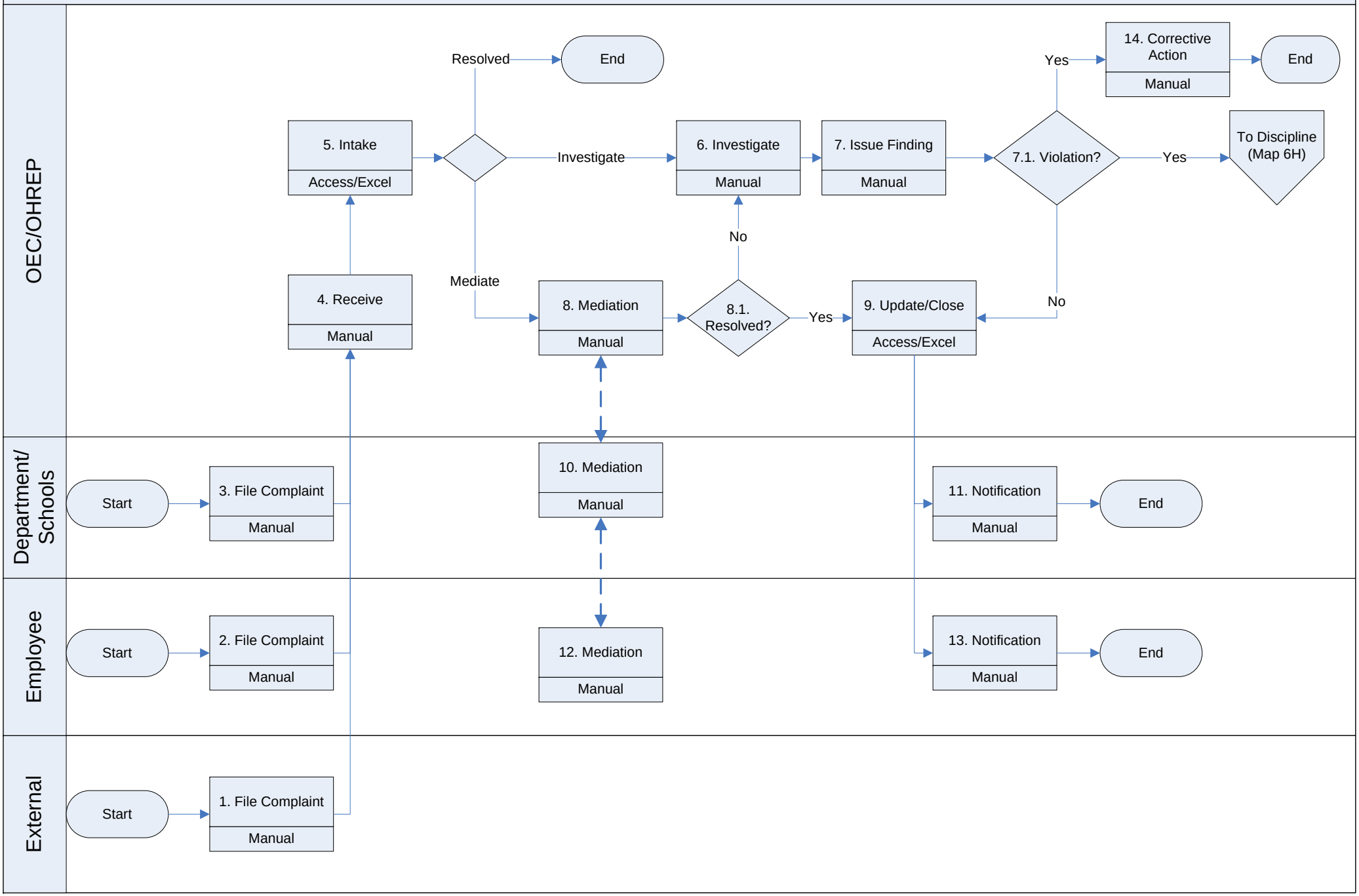
IT Support:

Application/System Name	***Technology Description***
iNova	
ChoicePoint	

Regulations:
- o

Human Resources [Final]
Sub-Process: Discipline – Grievance (EEO)

Map Name: HR_DISC_GRIEV_EEO
Map No.: 6A



Process Name: Human Resources	**Process Identifier:** HR_DISC_GRIEV_EEO
Sub-Process Name: Discipline – Grievance (EEO)	**Map Number: 6A**

Sub-Process Purpose and Objectives: Process of an employee filing a complaint with the Office of Equity Compliance

Sub-Process Description:

1. An employee files a complaint with the Office of Equity Compliance (OEC/EP), schools, or Office of Human Rights or Equity Programs but the complaint can also be filed with the School/Department or externally, e. g., with the State or Federal agencies. **[MAP SHAPE 1, 2, 3, 4]**
2. The complaint is received by OEC and the employee goes through an intake process to triage the employee's complaint. Complaint is logged into Access/Excel (county only); schools uses the ECAT system. If OEC can resolve the problem the process may stop. The complaint may also, be mediated (OEC/EP, Department, School, Employee), investigated, or referred to another agency or back to the department. **[MAP SHAPE 4, 5]**
3. OEC reviews and may investigate the problem by conducting an issues finding to determine if there has been a violation. **[MAP SHAPE 6, 7, 7.1]**
4. If no violation has occurred OEC/EP updates and closes the complaint in Access/Excel (county) or the ECAT system (schools) and notifies the Department/School and the employee. If this is not a discrimination issue it would go to ADR. **[MAP SHAPE 7.1, 9, 11, 13]**
5. If OEC/EP attempts to resolve the complaint through mediation a meeting between the employee and the Department/School is managed by OEC/EP. **[MAP SHAPE 8, 10 ,12]**
6. If mediation is successful a written agreement (County could be informal-not written) is made between the employee and the Department/School and OEC/EP updates and closes the complaint in the database. **[MAP SHAPE 8, 8.1, 9, 11, 13]**
7. If mediation of the complaint is not successful, OEC/EP may begin an investigation. Next step depends on the outcome of the investigation. If there is no bias or no violation of policy the complaint is closed and the database is updated and the employee and Department/School are notified. **[MAP SHAPE 8, 8.1, 6, 7, 7.1, 9, 11, 13]**
8. If after investigation OEC/EP finds that a violation has occurred, OEC/EP may determine the corrective action required, which may involve the disciplinary action. Any corrective action required will be monitored by OEC/EP until no longer necessary. **[MAP SHAPE 7, 7.1, 14]**

Triggers:

- An employee files a complaint with OEC.

Key Process Participants:

- OEC
- Department/Schools
- Employee
- External

Inputs:

Input	*Format*
Employee's complaint	Various

Outputs:

Output	*Format*
OEC action	Various

IT Support:

Application/System Name	*Technology Description*
Access	Database software

Regulations:

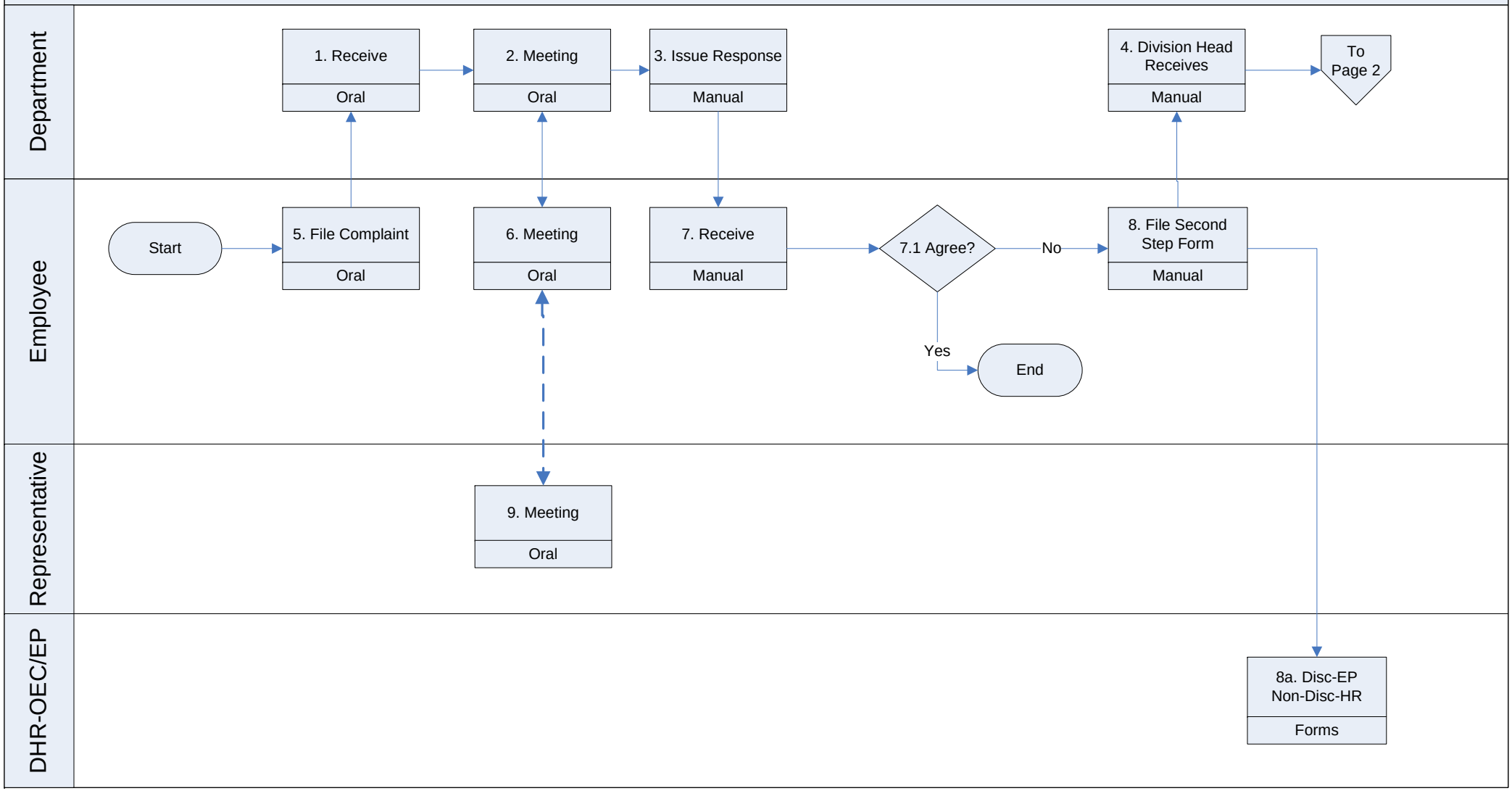
o

Human Resources [Final]

Map Name: HR_DISC_GRIEV_NONPOL_CO

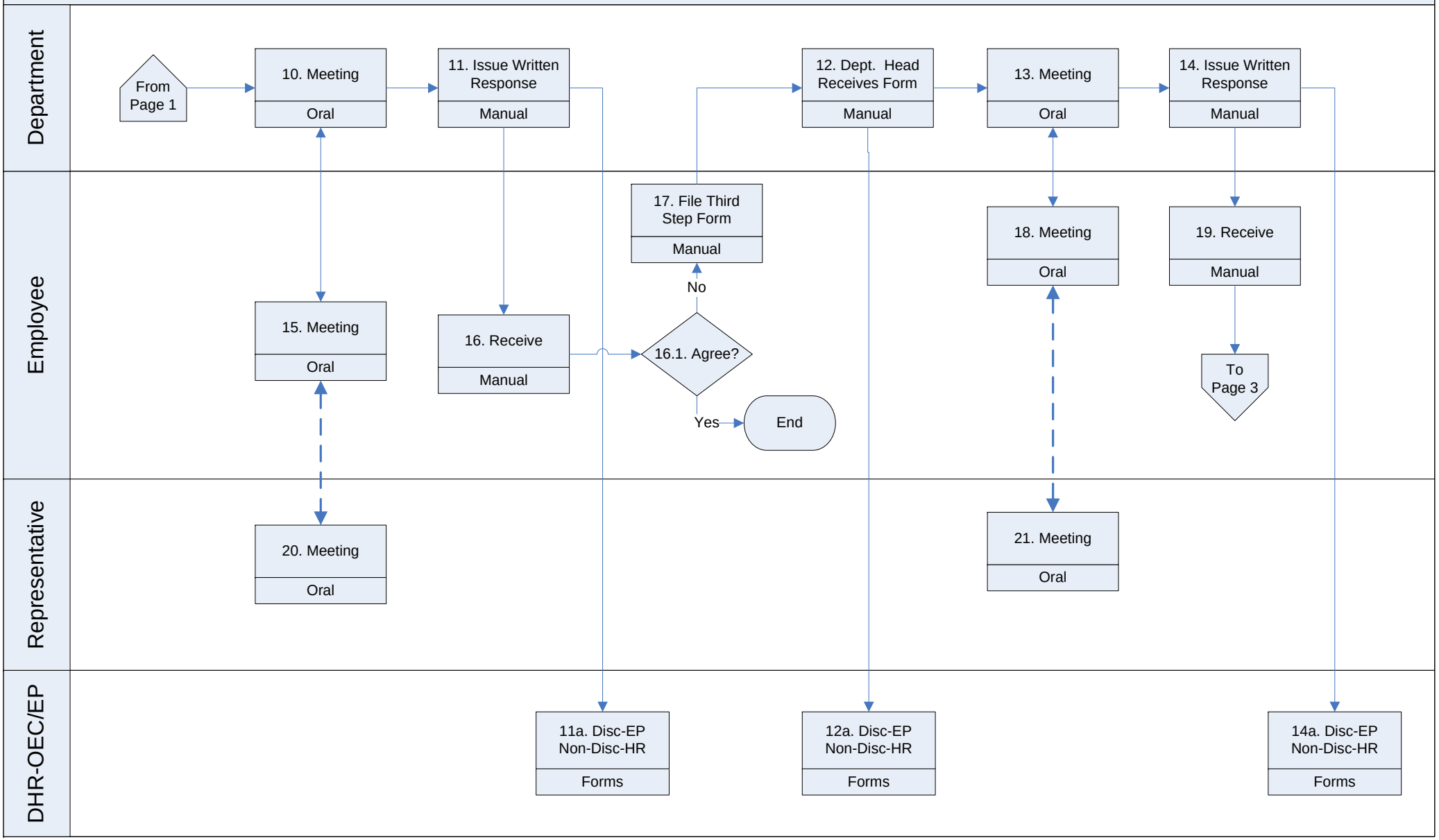
Sub-Process: Discipline – Grievance (Non-Police - County)

Map No.: 6B



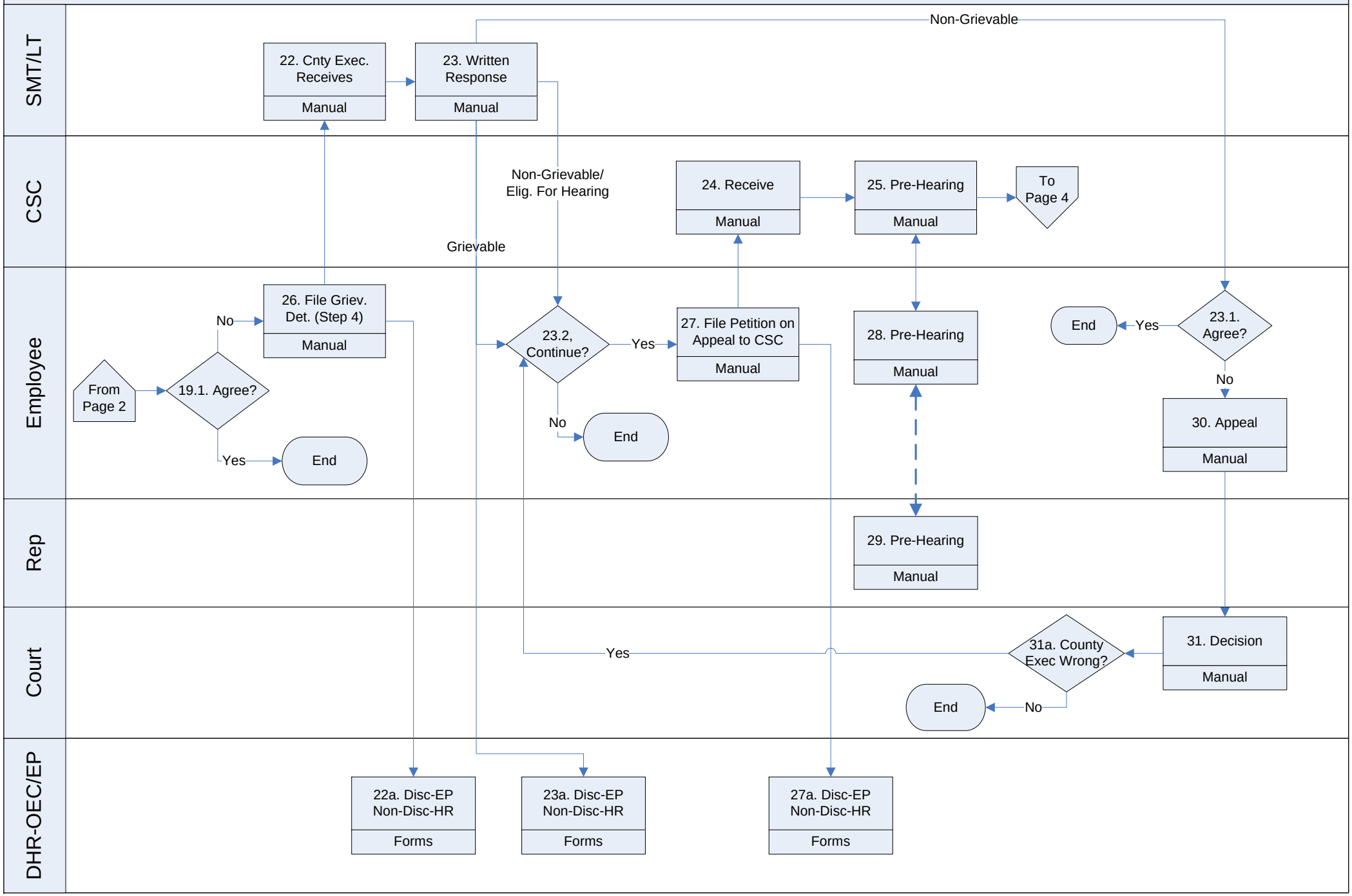
Human Resources [Final] Map Name: HR_DISC_GRIEV_NONPOL_CO

Sub-Process: Discipline – Grievance (Non-Police - County) Map No.: 6B



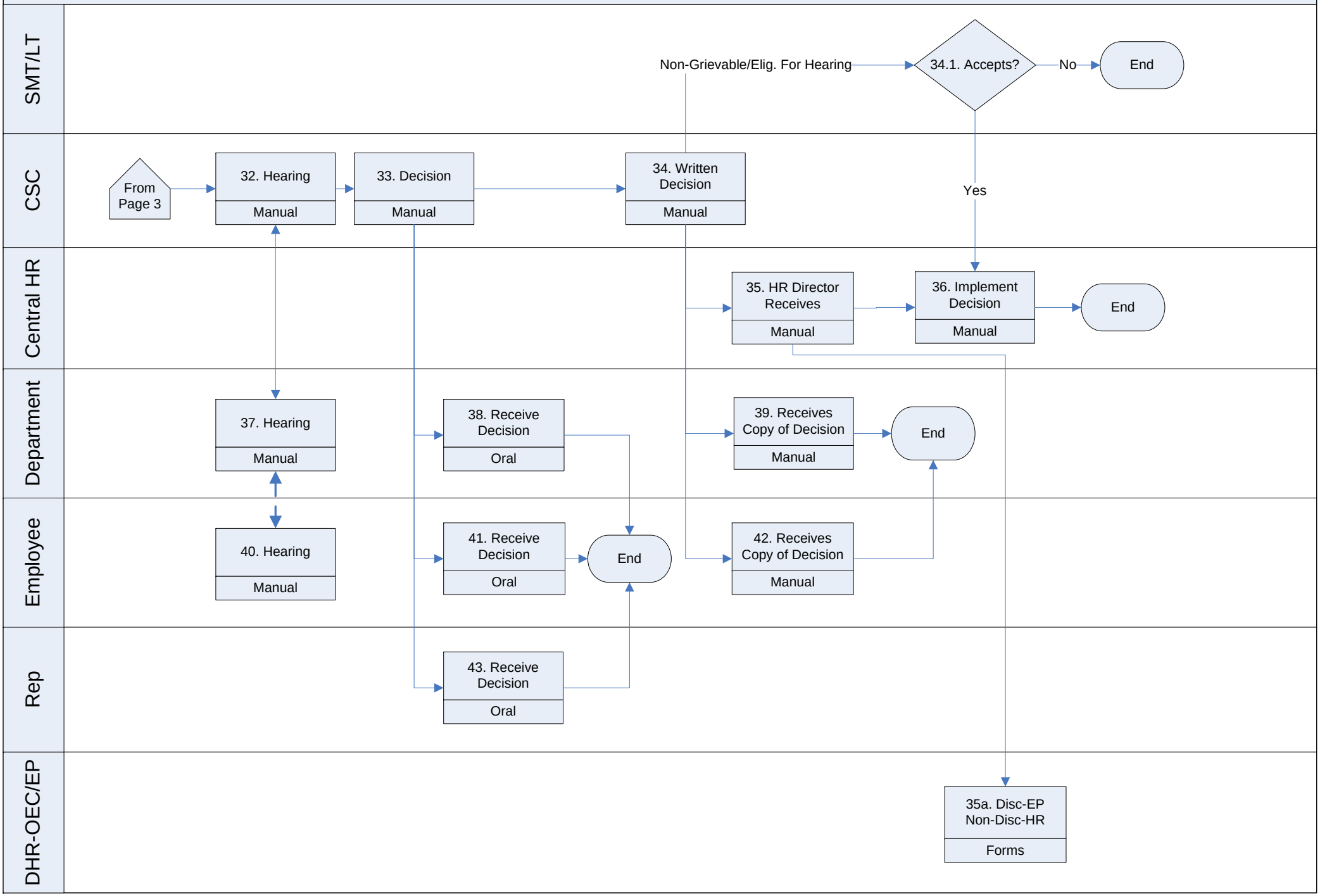
Human Resources [Final]
Sub-Process: Discipline – Grievance (Non-Police - County)

Map Name: HR_DISC_GRIEV_NONPOL_CO
Map No.: 6B



Human Resources [Final]
Sub-Process: Discipline – Grievance (Non-Police - County)

Map Name: HR_DISC_GRIEV_NONPOL_CO
Map No.: 6B



Process Name: Human Resources	**Process Identifier:** HR_DISC_GRIEV_NONPOL_CO
Sub-Process Name: Discipline – Grievance (Non-Police - County)	**Map Number: 6B**
Sub-Process Purpose and Objectives: The Non-Police County employee grievance process	

Sub-Process Description:

1. An event happens and the employee files an oral complaint with the supervisor in their department. The grievance must be filed with in 20 business days of the employee becoming aware of the grievance event. Employee may elect to file a waiver to skip steps 1 and 2. **[MAP SHAPE 5, 1]**
2. The Supervisor receives the complaint and holds a meeting within 5 business days with the employee and his representative if the employee desires to have a legal representative present. If the employee has a non-legal representative, the department may elect to have a representative present. If the employee has a legal representative, the County will have an attorney present from County Attorney's office. **[MAP SHAPE 2, 6, 9]**
3. With in 5 business days a decision must be rendered by the Supervisor and delivered to the employee. If the complaint is resolved the process ends, if the complaint is not resolved the process moves to the second step. **[MAP SHAPE 3, 7, 7.1]**
4. The second step requires the employee to file a written document and it must be filed within 5 business days of receiving their Supervisor's response. The second step is filed with the employee's Division Head. **[MAP SHAPE 8, 8a, 4]**
5. With in 5 business days of receiving the complaint the Division Head must hold a meeting with the employee and his representative if the employee desires to have a representative present. If the employee has a representative the County will have an attorney present from County Attorney's office. **[MAP SHAPE 10, 15, 20]**
6. The Department Head must provide a written response within 5 business days to the employee with a copy to OEC/EP if it's a discrimination grievance or to DHR if non-discrimination grievance. If the complaint is resolved the process ends, if the complaint is not resolved the process moves to the third step. **[MAP SHAPE 11, 11a, 16, 16.1]**
7. The third step complaint is also filed with the Department Head or Division Supervisor and must be filed within 5 business days of receiving the Division Head's response. **[MAP SHAPE 17, 12]**
8. Department Head must hold a meeting within 5 business days of receiving the third step complaint with the employee and his representative, if the employee desires to have a representative present. If the employee has a representative the County will have an attorney present from County Attorney's office. **[MAP SHAPE 13, 18, 21]**
9. The Department Head must provide a written response within 5 business days to the employee. If the complaint is resolved the process ends. If the complaint is not resolved the process moves to the fourth step. **[MAP SHAPE 14, 19, 19.1]**
10. In step four the employee files a grievability determination request with the County Executive. This request must be filed within 10 business days of receiving the written decision from the Department Head. **[MAP SHAPE 26, 22]**
11. The County Executive has 10 business days to provide a written response to the employee. The County Executive can determine that the employee's complaint is non-grievable, non-grievable but eligible for a hearing, or grievable. **[MAP SHAPE 23]**
12. If the County Executive determines that the employee's complaint is non-grievable the employee must determine if they want to go forward with the complaint. If the employee agrees with the determination, the process ends. If the employee goes forward with the complaint they must appeal to the Court within 10 business days and the Court will render a decision. If the Court determines that the County Executive was wrong the Court will grant the employee access to either of the other two processes, grievable or non grievable but eligible for a hearing before the Civil Service Commission. **[MAP SHAPE 23, 23.1 30, 31, 31a]**
13. If the County Executive determines that the complaint is non-grievable but eligible for a hearing with the CSC the employee must determine if they want to go forward with the complaint. If the employee does not wish to go forward the process ends. If the employee decides to go forward with the complaint they file a form with the Civil Service Commission. **[MAP SHAPE 23, 23.2, 27, 24]**
14. The Civil Service Commission receives the complaint and schedules a pre-hearing meeting with the employee and his representative if the employee desires to have a

legal representative present. If the employee has a non-legal representative, the department may elect to have a representative present. If the employee has a legal representative the County will have an attorney present from County Attorney's office. **[MAP SHAPE 25, 28, 29]**

15. If the County Executive determines that the complaint is grievable with a hearing before the CSC the employee must determine if they want to go forward with the complaint. If the employee does not wish to go forward the process ends. If the employee decides to go forward with the complaint they file a form with the Civil Service Commission. **[MAP SHAPE 23, 23.2, 27, 24]**
16. The Civil Service Commission receives the complaint and schedules a pre-hearing meeting with the employee and his representative if the employee desires to have a legal representative present. If the employee has a non-legal representative, the department may elect to have a representative present. If the employee has a legal representative the County will have an attorney present from County Attorney's office. The CSC sets a date for a full hearing. **[MAP SHAPE 25, 28, 29]**
17. A hearing is held by the CSC with the employee and the Department and a decision is rendered that same day of the hearing. **[MAP SHAPE 32, 37, 40]**
18. The CSC notifies the Department, the employee and the various representatives of their decision. **[MAP SHAPE 33, 38, 41, 43]**
19. The Civil Service Commission's decision is put in writing and copies are sent to the HR Director (OEC/EP if it's a discrimination grievance), to the Department, and to the employee. **[MAP SHAPE 34, 35, 35a, 39, 42]**
20. A hearing before the Civil Service Commission that is heard as the result of the County Executive determining that a complaint is non-grievable but eligible for a CSC hearing is heard by a Hearing Officer at the Commission and the decision of the Commission is only advisory to the County Executive. If the County Executive accepts the Commission's decision, the decision is implemented by Human Recourses. If the County Executive rejects the Commission's advisory decision the process ends. **[MAP SHAPE 34, 34.1, 36]**
21. If the hearing before the Civil Service Commission that is heard as the result of the County Executive determining that a complaint is grievable and eligible for a CSC hearing it is heard by the full Commission. The decision of the Civil Service Commission is binding on the County Executive and is implemented by Human Resources. **[MAP SHAPE 34, 35, 35a, 36, 39, 42]**

Triggers:

- ❑ A Non-Police County employee files a grievance

Key Process Participants:

- ❑ Employee
- ❑ Representative
- ❑ Department
- ❑ SMT/LT
- ❑ CSC
- ❑ Court

Inputs:

Input	*Format*
Various grievance steps	Various
Appeal to County Executive	Manual
Appeal to the Civil Service Commission	Manual

Outputs:

Output	*Format*
Various County rulings	Various
County Executive's determination	Various
CSC decision	Various

IT Support:

Application/System Name	*Technology Description*

Regulations:

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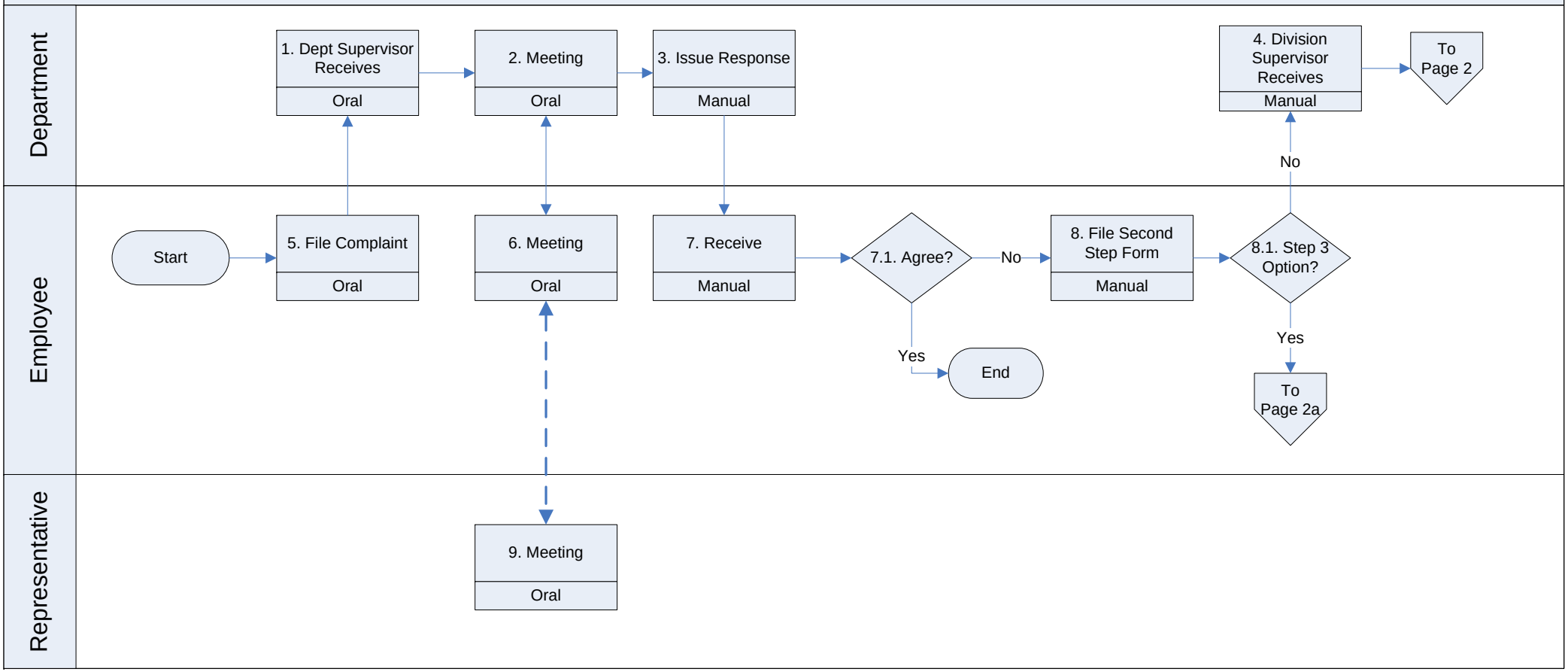
Human Resources [Final]
Sub-Process: Discipline – Grievance (Police - County)

Map Name: HR_DISC_GRIEV_POL_CO
Map No.: 6C

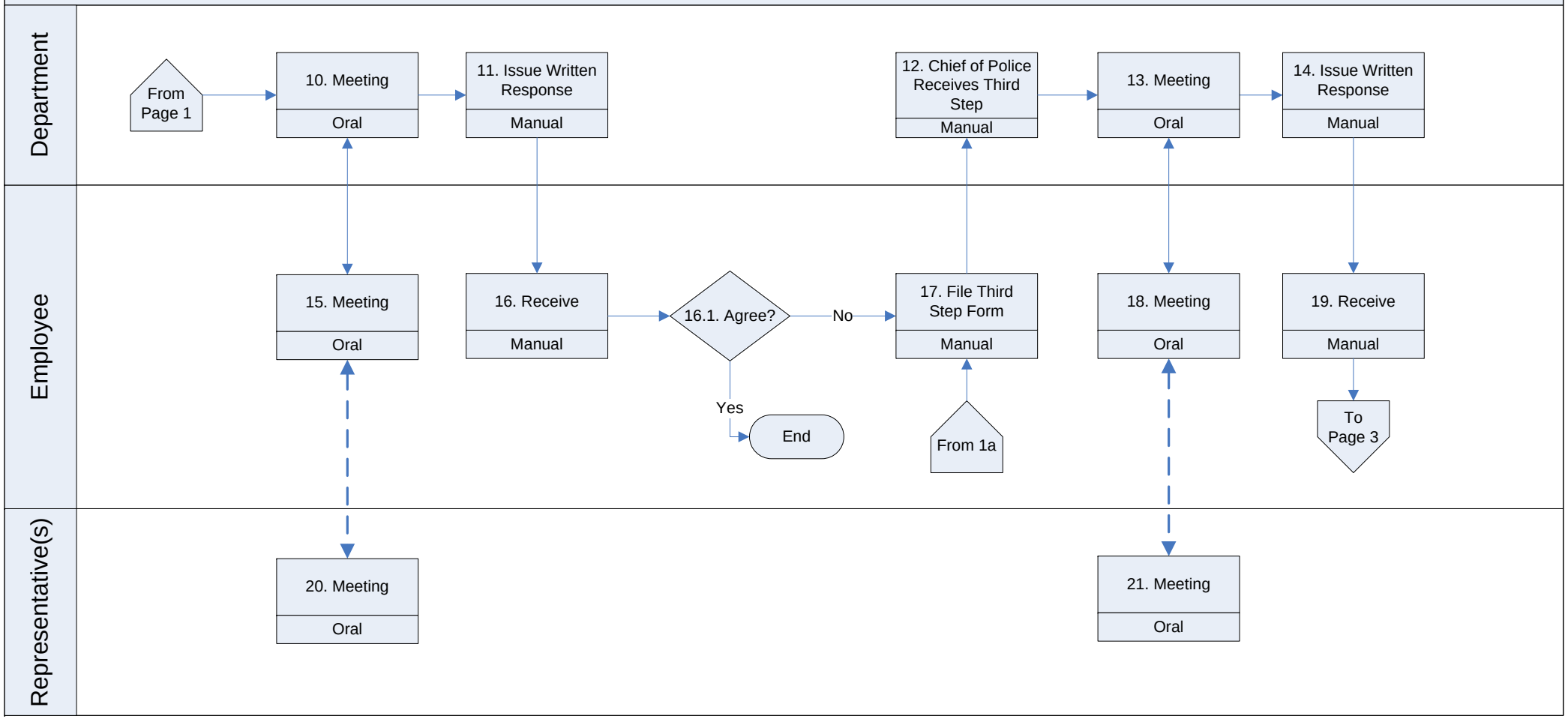


Human Resources [Final]

Sub-Process: Discipline – Grievance (Police - County)

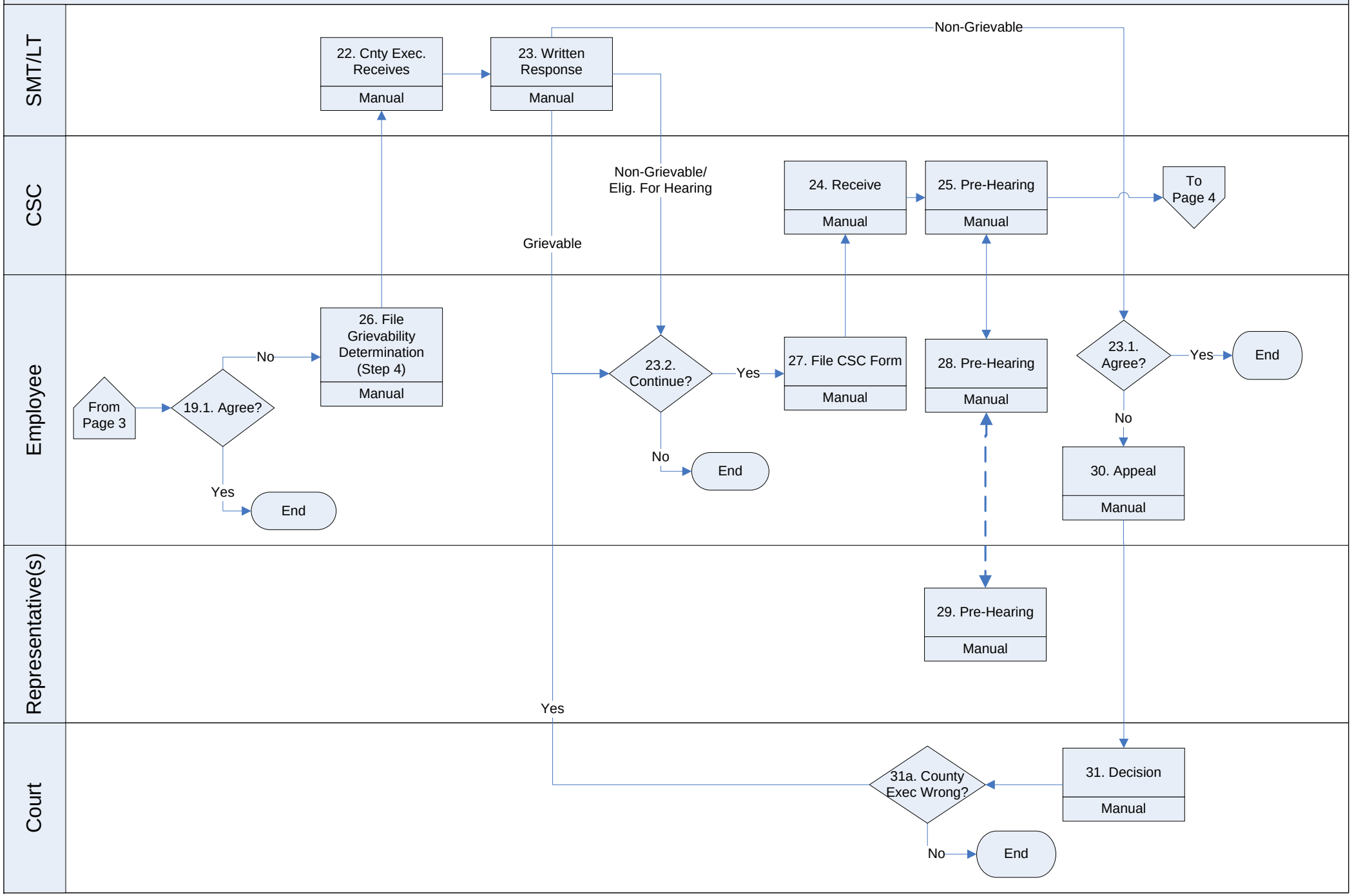
Map Name: HR_DISC_GRIEV_POL_CO

Map No.: 6C



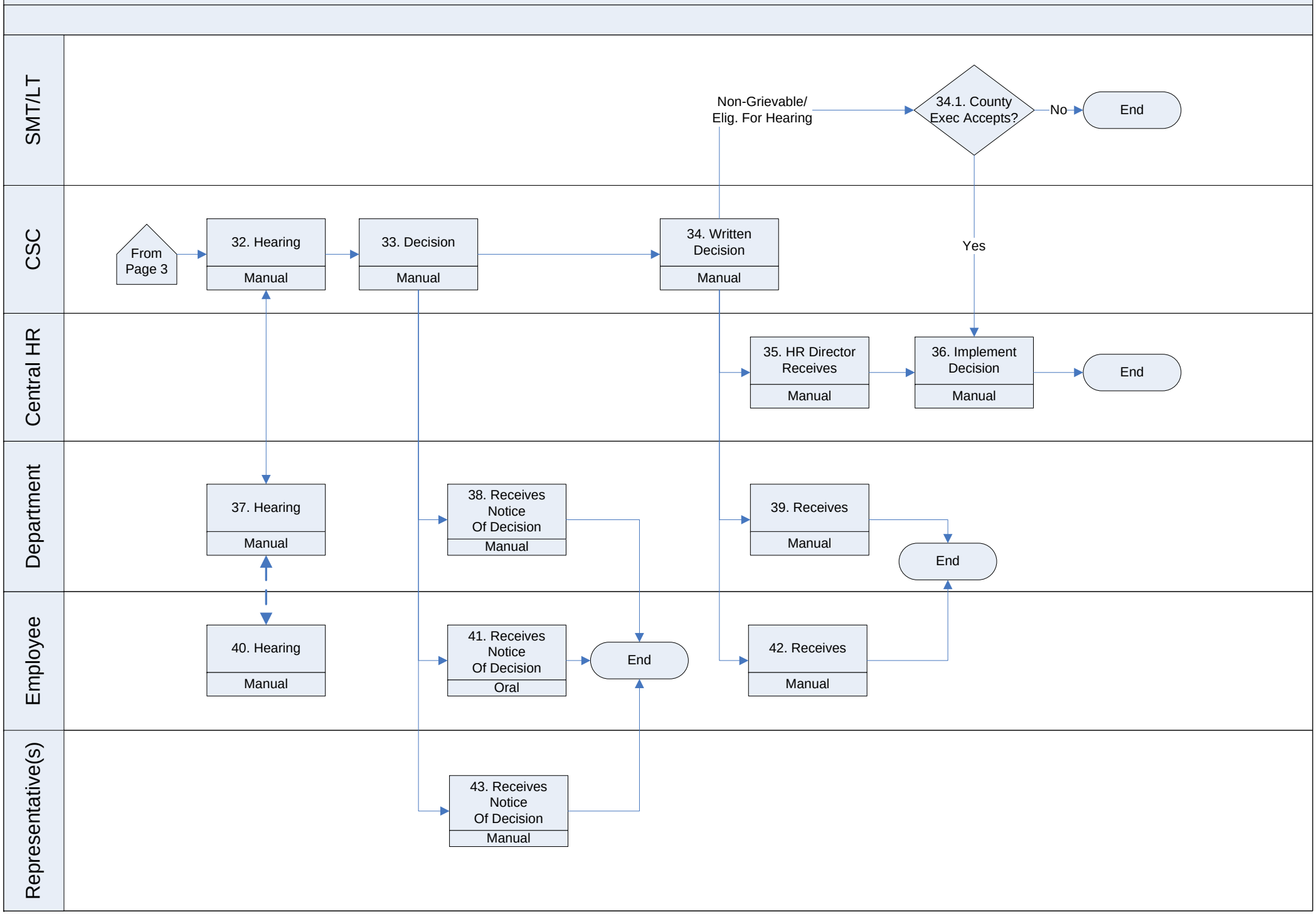
Human Resources [Final]
Sub-Process: Discipline – Grievance (Police - County)

Map Name: HR_DISC_GRIEV_POL_CO
Map No.: 6C



Human Resources [Final]
Sub-Process: Discipline – Grievance (Police - County)

Map Name: HR_DISC_GRIEV_POL_CO
Map No.: 6C



Process Name: Human Resources	**Process Identifier:** HR_DISC_GRIEV_POL_CO
Sub-Process Name: Discipline – Grievance (Police - County)	**Map Number: 6C**
Sub-Process Purpose and Objectives: County Police employee's grievance process	

Sub-Process Description:

1. An event happens and the Police employee files an oral complaint with the supervisor in their department. The grievance must be filed within 20 business days of the employee becoming aware of the grievance event. **[MAP SHAPE 5, 1]**
2. The Supervisor receives the complaint and holds a meeting within 5 business days with the employee and his representative if the employee desires to have a representative present. **[MAP SHAPE 2, 6, 9]**
3. With in 5 business days a decision must be rendered by the Supervisor and delivered to the employee. If the complaint is resolved the process ends if the complaint is not resolved the process moves to the second step. **[MAP SHAPE 3, 7, 7.1]**
4. The second step requires the employee to file a written document and it must be filed within 5 business days of receiving their Supervisor's response. The second step is filed with the Police employee's Station or Division Supervisor. The Police employee has the option to skip step two and go directly to step three. **[MAP SHAPE 8, 8.1, 4]**
5. With in 5 business days of receiving the complaint the Station or Division Supervisor must hold a face to face meeting with the Police employee and his representative, if the employee desires to have a representative present. **[MAP SHAPE 10, 15, 20]**
6. The Station or Division Supervisor must provide a written response within 5 business days to the Police employee. If the complaint is resolved the process ends if the complaint is not resolved the process moves to the third step. **[MAP SHAPE 11, 16, 16.1]**
7. The third step complaint is filed with the Chief of Police and must be filed within 5 business days of receiving the Station or Division Supervisor's response. **[MAP SHAPE 17, 12]**
8. Chief of Police must hold a meeting within 5 business days of receiving the third step complaint with the Police employee and his representative, if the employee desires to have a representative present. If the employee has a representative, the County may have an attorney present from County Attorney's office (optional). **[MAP SHAPE 13, 18, 21]**
9. The Chief of Police must provide a written response within 5 business days to the Police employee. If the complaint is resolved the process ends, if the complaint is not resolved, the process moves to the fourth step. **[MAP SHAPE 14, 19, 19.1]**
10. In step four, the Police employee files a grievability determination request with the County Executive. This request must be filed within 10 business days of receiving the written decision from the Chief of Police. **[MAP SHAPE 26, 22]**
11. The County Executive has 10 business days to provide a written response to the employee. The County Executive can determine that the employee's complaint is non-grievable, non-grievable but eligible for a hearing, or grievable. **[MAP SHAPE 23]**
12. If the County Executive determines that the employee's complaint is non-grievable the Police employee must determine if they want to go forward with the complaint. If the Police employee does not the process ends. If the Police employee goes forward with the complaint they must appeal to the Court within 10 business days and the Court will render a decision. If the Court determines that the County Executive was wrong, the Court will grant the Police employee access to either of the other two processes, grievable or non grievable but eligible for a hearing before the CSC. **[MAP SHAPE 23, 23.1, 30, 31, 31a]**
13. If the County Executive determines that the complaint is non-grievable but eligible for a hearing with the Civil Service Commission, the Police employee must determine if they want to go forward with the complaint. If the Police employee does not wish to go forward, the process ends. If the Police employee decides to go forward with the complaint they file a form with the Civil Service Commission. **[MAP SHAPE 23, 23.2, 27]**
14. The Civil Service Commission receives the complaint and schedules a pre-hearing meeting with the Police employee and his representative if the employee desires to

have a representative present. If the Police employee has a representative, the County will have an attorney present from County Attorney's office. **[MAP SHAPE 25, 28, 29]**

15. If the County Executive determines that the complaint is grievable with a hearing before the CSC the Police employee must determine if they want to go forward with the complaint. If the Police employee does not wish to go forward the process ends. If the Police employee decides to go forward with the complaint, they file a form with the Civil Service Commission. **[MAP SHAPE 23, 23.2, 27]**
16. The Civil Service Commission receives the complaint and schedules a pre-hearing meeting with the Police employee and his representative if the Police employee desires to have a representative present. If the Police employee has a representative the County will have an attorney present from County Attorney's office. At the hearing the CSC sets a date for a full hearing. **[MAP SHAPE 25, 28, 29]**
17. The hearing is held by the CSC with the Police employee and the Police Department and a decision is rendered that same day. **[MAP SHAPE 32, 33, 37, 40]**
18. The CSC notifies the Police Department, the Police employee and the various representatives of their decision. **[MAP SHAPE 33, 38, 41, 43]**
19. The Civil Service Commission's decision is put into writing and copies are sent to the HR Director, to the Police Department, and to the Police employee. **[MAP SHAPE 34, 35, 39, 42]**
20. A hearing before the Civil Service Commission that is heard as the result of the County Executive determining that a complaint is non-grievable but eligible for a CSC hearing is heard by a Hearing Officer at the Commission and the decision of the Commission is only advisory to the County Executive. If the County Executive accepts the Commission's decision, the decision is implemented by Human Recourses. If the County Executive rejects the Commission's advisory decision the process ends. **[MAP SHAPE 34, 34.1, 36]**
21. If the hearing before the Civil Service Commission that is heard as the result of the County Executive determining that a complaint is grievable and eligible for a CSC hearing it is heard by the full Commission. The decision of the Civil Service Commission is binding on the County Executive and is implemented by Human Resources. **[MAP SHAPE 34, 34.1, 36]**

NOTE: A Police employee can request the convening of a Hearing Board in lieu of using the County Executive process. If a Hearing Board is requested the Police employee chooses a representative and the Chief of Police select a person. These two select a third person to complete the Hearing Panel. All of these members must be Police officers. If the Police employee is not satisfied with the decision of the Hearing Board they can appeal to the County Executive within 10 working days. The County Executive's decision is final and ends the process.

Triggers:

- ❑ A County Police employee files a grievance

Key Process Participants:

- ❑ Employee
- ❑ Representative
- ❑ Department
- ❑ SMT/LT
- ❑ CSC
- ❑ Court

Inputs:

Input	*Format*
Various grievance steps	Various
Appeal to County Executive	Manual
Appeal to the Civil Service Commission	Manual

Outputs:

Output	*Format*
Various County rulings	Various
County Executive's determination	Various
CSC decision	Various

IT Support:

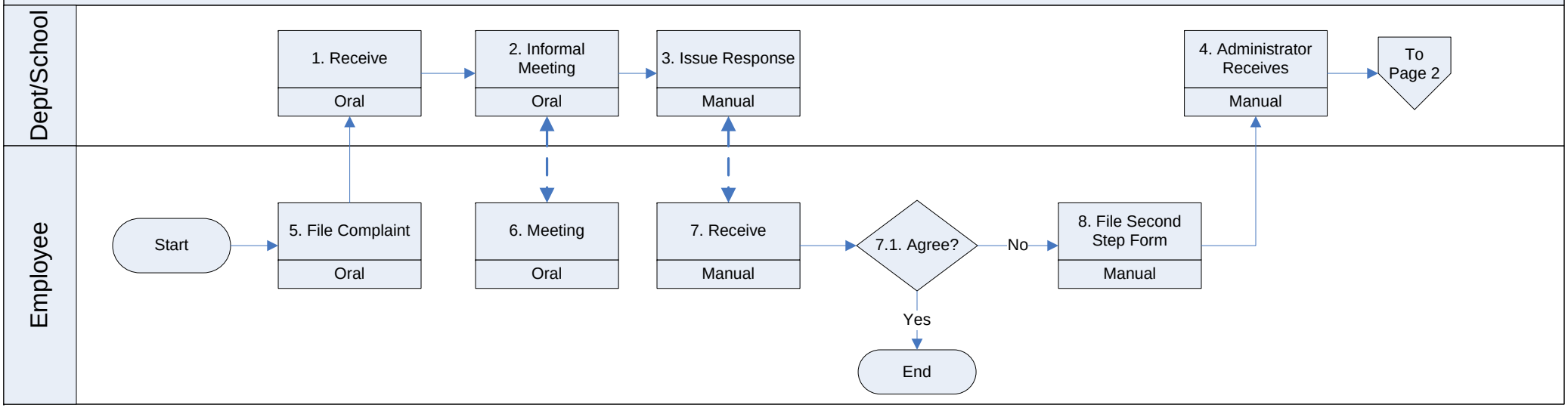
Application/System Name	***Technology Description***

Regulations:

- VA code 9.1-504
- VA code 9.1-500-507

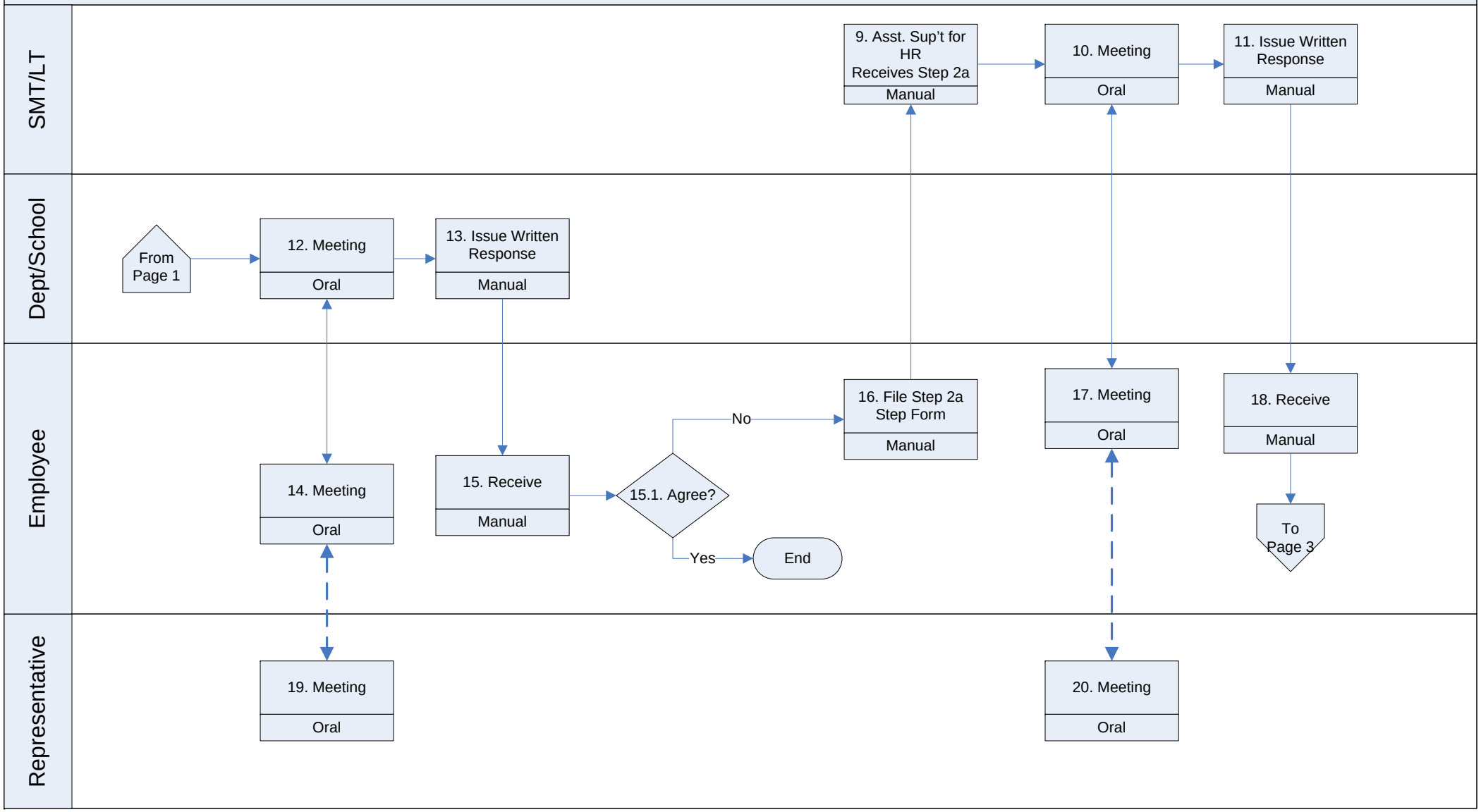
Human Resources [Final]
Sub-Process: Discipline – Grievance (Instructional - Schools)

Map Name: HR_DISC_GRIEV_INSTR_SCH
Map No.: 6D



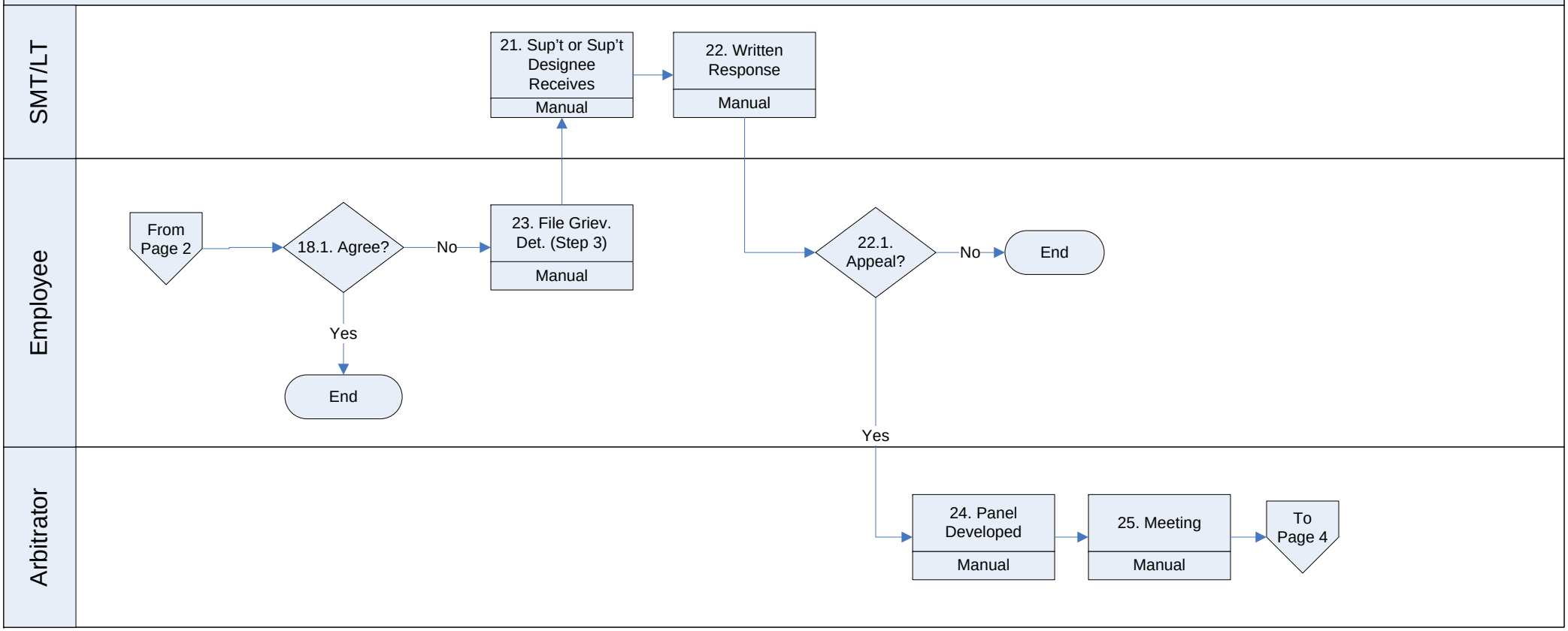
Human Resources [Final]
Sub-Process: Discipline – Grievance (Instructional - Schools)

Map Name: HR_DISC_GRIEV_INSTR_SCH
Map No.: 6D



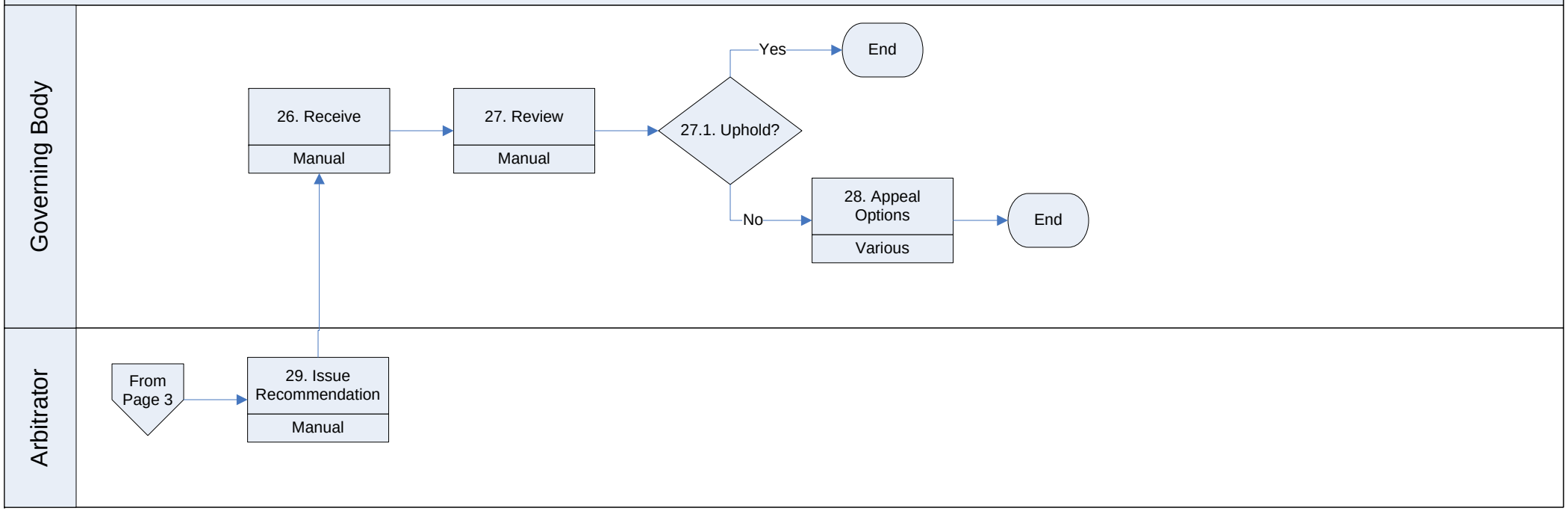
Human Resources [Final]
Sub-Process: Discipline – Grievance (Instructional - Schools)

Map Name: HR_DISC_GRIEV_INSTR_SCH
Map No.: 6D



Human Resources [Final]
Sub-Process: Discipline – Grievance (Instructional - Schools)

Map Name: HR_DISC_GRIEV_INSTR_SCH
Map No.: 6D



Process Name: Human Resources	**Process Identifier:** HR_DISC_GRIEVANCE_SCHOOL_INSTRUCT
Sub-Process Name: Discipline – Grievance (Instructional - Schools)	**Map Number: 6D**
Sub-Process Purpose and Objectives: Process for an instructional employee filing a grievance in the Schools	

Sub-Process Description:

1. An employee files a grievance orally, with in 15 days after an event or their knowledge of the event with their Department/School Supervisor. **[MAP SHAPE 5, 1]**
2. The Supervisor receives the complaint and sets up and informal meeting with the employee. **[MAP SHAPE 1, 2, 6]**
3. The Supervisor makes a decision with respect to the complaint and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Supervisor's decision the employee files a step 2 grievance action. **[MAP SHAPE 3, 7, 7.1]**
4. The step 2 grievance action is filed with the Department/School Administrator. The employee is entitled to have a peer representative with them for the step 2 grievance meeting. **[MAP SHAPE 8, 4]**
5. The step 2 meeting is held with the Administrator, the employee and the employee's representative, if the employee has one. If the employee has peer a representative the Department/School is also entitled to have a representative present. **[MAP SHAPE 12, 14, 19]**
6. The Administrator renders a written decision on the grievance and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Administrator's decision the employee files a step 2a grievance action within 5 work days of receiving the decision. **[MAP SHAPE 13, 15, 15.1]**
7. The employee files the step 2a grievance action is filed with the Assistant Superintendent for HR. **[MAP SHAPE 16, 9]**
8. The grievance is heard by the Assistant Superintendent for HR and the employee and the employee's representative, if the employee has one. The employee is entitled to have an attorney as a representative at this level. **[MAP SHAPE 10, 17, 20]**
9. The Assistant Superintendent for HR renders a written decision on the grievance and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Assistant Superintendent's decision the employee files a step 3 grievance action. **[MAP SHAPE 11, 18, 18.1]**
10. The step 3 grievance is a grievance determination hearing with the Superintendent of Schools or their designee. The employee is entitled to have an attorney as a representative at this level. **[MAP SHAPE 23, 21]**
11. The Superintendent of Schools or their designee hear the employee's grievance and renders a written decision within 5 working days. **[MAP SHAPE 22]**
12. The employee receives the decision and has 5 work days to decide whether to accept the decision. If the employee accepts the decision the process ends. If the employee does not accept the decision they must request a Fact Finding Panel. **[MAP SHAPE 22.1, 24]**
13. The Panel is made up of a selection by the employee and a selection by the School. These two members choose a third member who must be an arbitrator. The arbitrator becomes the chairman of the Panel. The Panel must meet within 30 days after being selected. If the employee is represented an attorney the schools will also be represented by counsel. **[MAP SHAPE 24, 25]**
14. The Fact Finding Panel meets and deliberates the grievance issue then makes a determination based on the evidence presented at the hearing. The Panel then makes a recommendation to the School Board. The Panel must render a decision within 30 days from the conclusion of the fact finding period. **[MAP SHAPE 29]**
15. The School Board reviews the recommendation provided by the Fact Finding Panel and they make their determination. The School Board can uphold the Panel's recommendation or make their own determination. **[MAP SHAPE 26, 27]**
16. If the School Board upholds the Panel's decision the process ends. If the School Board does not choose to uphold the Panel's recommendation they may utilize various appeal options. **[MAP SHAPE 27.1, 28]**

NOTE: If it is stated early in the process that the grievance event is not grievable the employee can go to the Circuit Court and ask of a ruling that the even is grievable. If the Court determines that an event is grievable it is sent back to the School to follow the grievance process.

Triggers:
- An employee files a grievance

Key Process Participants:
- Department/School
- Employee
- SMT/LT
- Representative
- Arbitrator
- Governing Body

Inputs:

Input	*Format*
Employee grievance steps	Various
Appeal for Fact Finding Panel	Manual
Panel's recommendation to School Board	Manual

Outputs:

Output	*Format*
Schools responses to grievance	Various
Panel's discovery	Manual
School Boards decision	Various

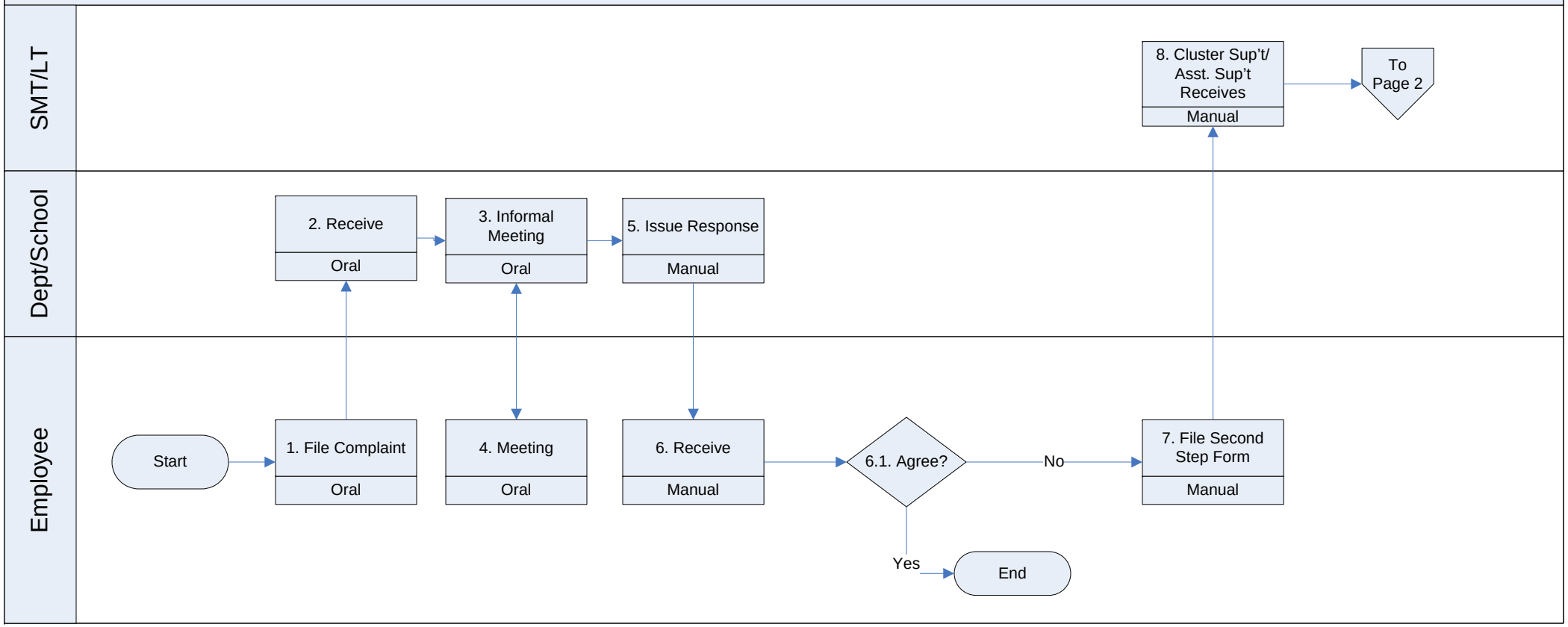
IT Support:

Application/System Name	*Technology Description*

Regulations:
- o

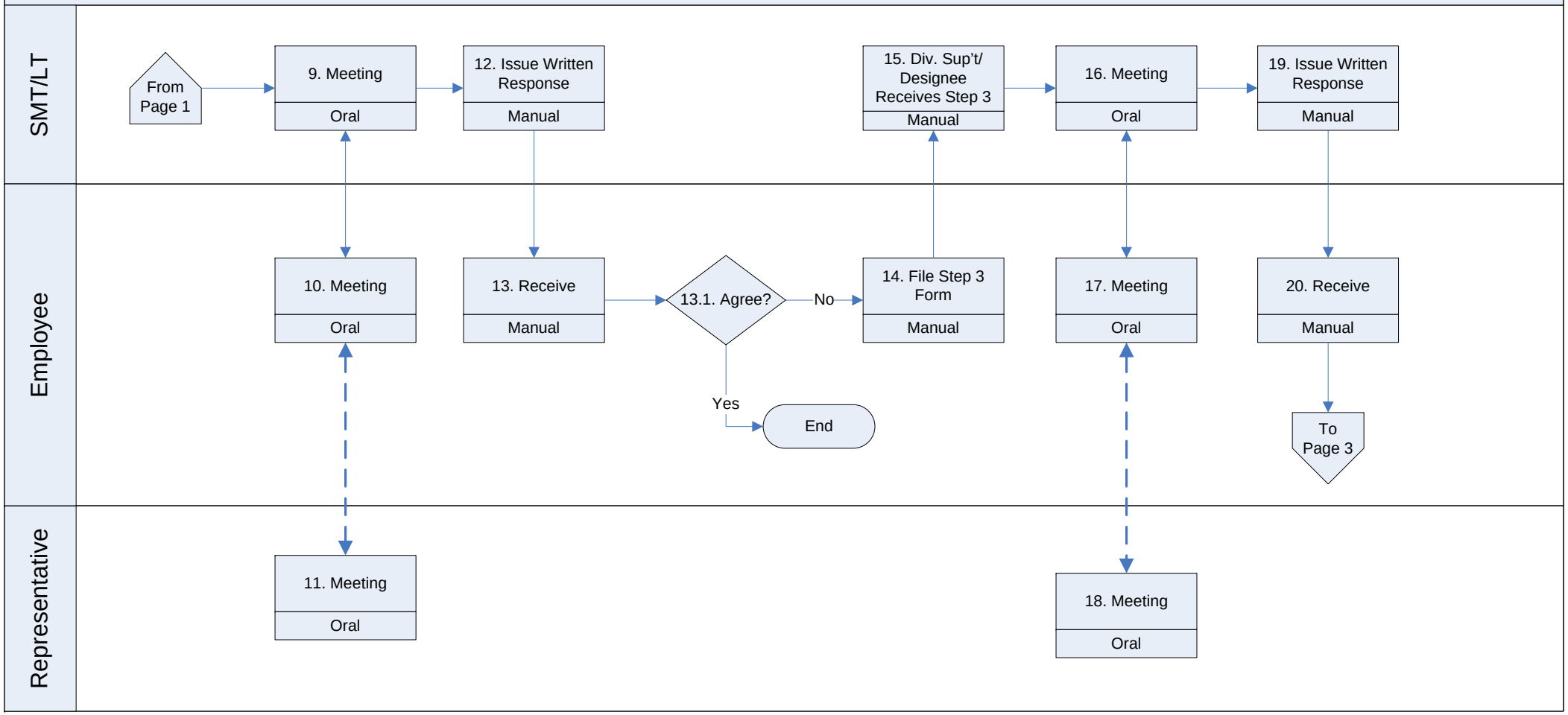
Human Resources [Final] Map Name: HR_DISC_GRIEV_ADMIN_SCH

Sub-Process: Discipline – Grievance (Schools Administrator - Schools) Map No.: 6E



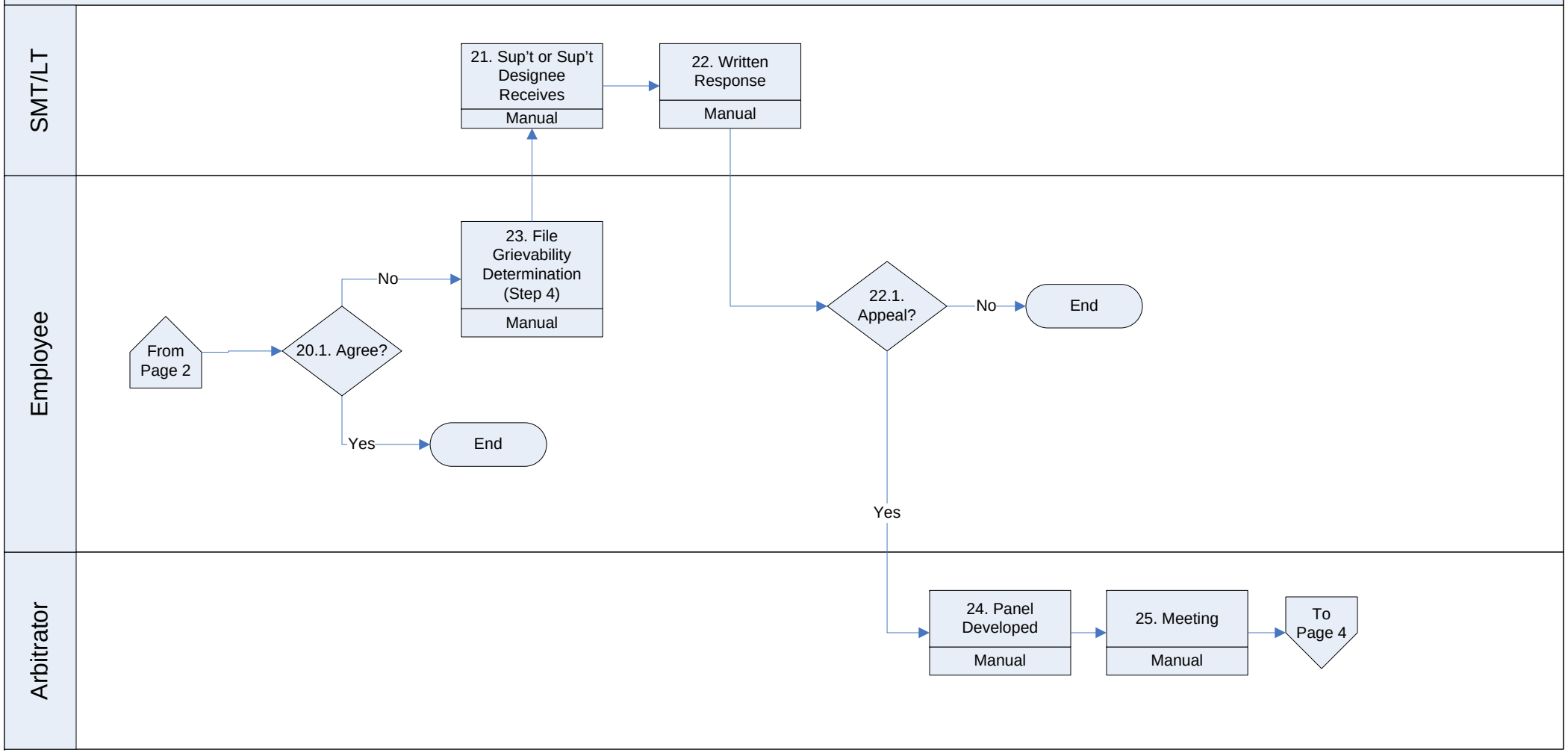
Human Resources [Final] Map Name: HR_DISC_GRIEV_ADMIN_SCH

Sub-Process: Discipline – Grievance (Schools Administrator - Schools) Map No.: 6E



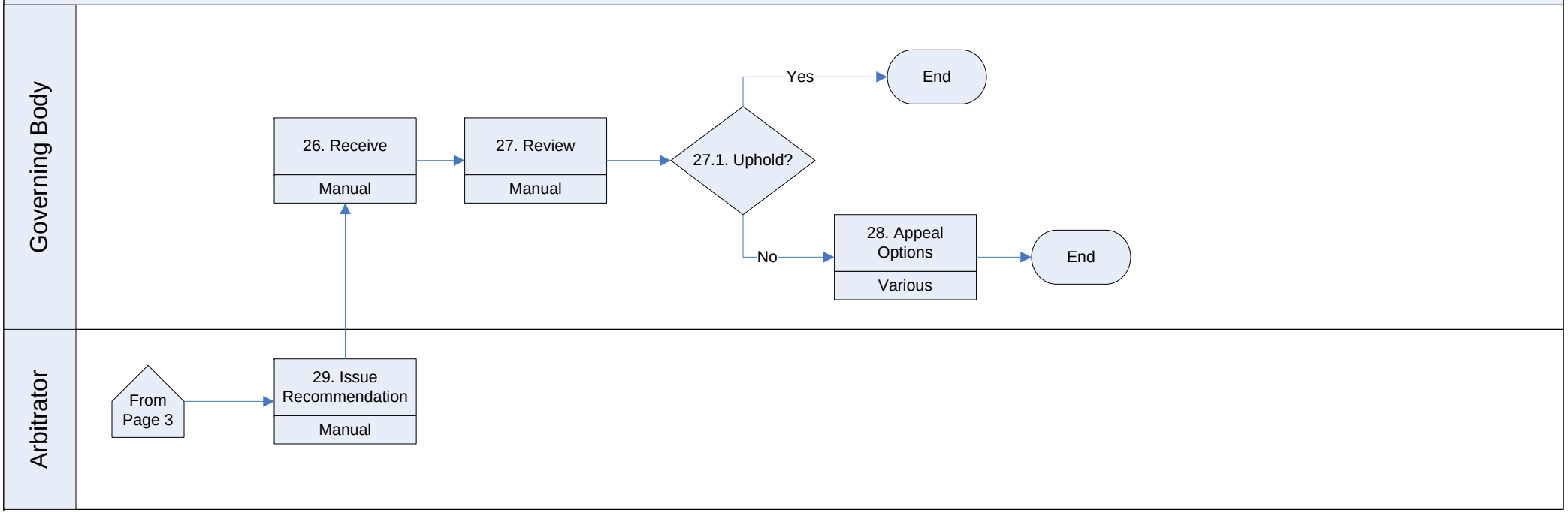
Human Resources [Final] Map Name: HR_DISC_GRIEV_ADMIN_SCH

Sub-Process: Discipline – Grievance (Schools Administrator - Schools) Map No.: 6E



Human Resources [Final] Map Name: HR_DISC_GRIEV_ADMIN_SCH

Sub-Process: Discipline – Grievance (Schools Administrator - Schools) Map No.: 6E



Process Name: Human Resources	**Process Identifier:** HR_DISC_GRIEV_ADMIN_SCH
Sub-Process Name: Discipline – Grievance (Schools Administrator - Schools)	**Map Number: 6E**
Sub-Process Purpose and Objectives: The grievance process followed for a School instructional employee	

Sub-Process Description:

1. An employee files a grievance orally, with in 15 days after an event or their knowledge of the event with their Department/School Supervisor. *(Note: days are calculated based on the employee's work schedule.)* **[MAP SHAPE 1, 2]**
2. The Supervisor receives the complaint and sets up and informal meeting with the employee. **[MAP SHAPE 3, 4]**
3. The Supervisor makes a decision with respect to the complaint and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Supervisor's decision the employee files a step 2 grievance action. **[MAP SHAPE 5, 6, 6.1]**
4. The step 2 grievance action is filed with the Cluster Superintendent/Assistant Superintendent. The employee is entitled to have a peer representative with them for the step 2 grievance meeting. **[MAP SHAPE 7, 8]**
5. The step 2 meeting is held with the Cluster Superintendent/Assistant Superintendent, the employee and the employee's representative, if the employee has one. If the employee has peer a representative the Department/School is also entitled to have a representative present. **[MAP SHAPE 9, 10, 11]**
6. The Cluster Superintendent/Assistant Superintendent renders a written decision on the grievance and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Administration's decision the employee files a step 3 grievance action within 5 working days of receiving the decision. **[MAP SHAPE 12, 13, 13.1]**
7. The step 3 grievance meeting is held with the Cluster Division Superintendent or their designee. The employee is entitled to have an attorney as a representative at this level. **[MAP SHAPE 14, 15]**
8. The step 3 grievance meeting is held with Division Superintendent or their designee, the employee and the employee's representative, if the employee has one. If the employee has an attorney as a representative the Department/School is also entitled to have a representative present. **[MAP SHAPE 16, 17, 18]**
9. The Division Superintendent or their designee renders a written decision on the grievance and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Administration's decision the employee files a step 4 grievance action within 5 working days of receiving the decision. **[MAP SHAPE 19, 20, 20.1]**
10. The employee files the step 4 grievance with the Superintendent of Schools or their designee. Step 4 of the grievance process is a grievance determination hearing. **[MAP SHAPE 23, 21]**
11. The employee receives the decision and has 5 work days to decide whether to accept the decision or not. If the employee accepts the decision the process ends. If the employee does not accept the decision they must appeal for a Fact Finding Panel. **[MAP SHAPE 22, 22.1, 24]**
12. The Panel is made up of a selection by the employee and a selection by the Schools. These two members choose a third member who must be an arbitrator. The arbitrator becomes the chairman of the Panel. The Panel must meet within 30 days after being selected. If the employee is represented an attorney the schools will also be represented by counsel. **[MAP SHAPE 24, 25]**
13. The Fact Finding Panel meets and deliberates the grievance issue then makes a determination based on the evidence presented at the hearing. The Panel then makes a recommendation to the School Board. The Panel must render a decision within 30 days from the conclusion of the fact finding period. **[MAP SHAPE 29]**
14. The School Board reviews the recommendation provided by the Fact Finding Panel which they can uphold or they can make their determination. **[MAP SHAPE 26, 27]**
15. If the School Board upholds the Panel's decision the process ends. If the School Board does not choose to uphold the Panel's recommendation they may utilize various appeal options. **[MAP SHAPE 27.1, 28]**

NOTE: If it is stated early in the process that the grievance event is not grievable the employee can go to the Circuit Court and ask of a ruling that the even is grievable. If the Court determines that an event is grievable it is sent back to the School to follow the grievance process.

Triggers:

- ❑ An employee files a grievance.

Key Process Participants:

- ❑ Department/School
- ❑ Employee
- ❑ SMT/LT
- ❑ Representative
- ❑ Arbitrator
- ❑ Governing Body

Inputs:

Input	***Format***
Employee grievance steps	Various
Appeal for Fact Finding Panel	Manual
Panel's recommendation to School Board	Manual

Outputs:

Output	***Format***
Schools responses to grievance	Various
Panel's discovery	Manual
School Boards decision	Various

IT Support:

Application/System Name	***Technology Description***

Regulations:

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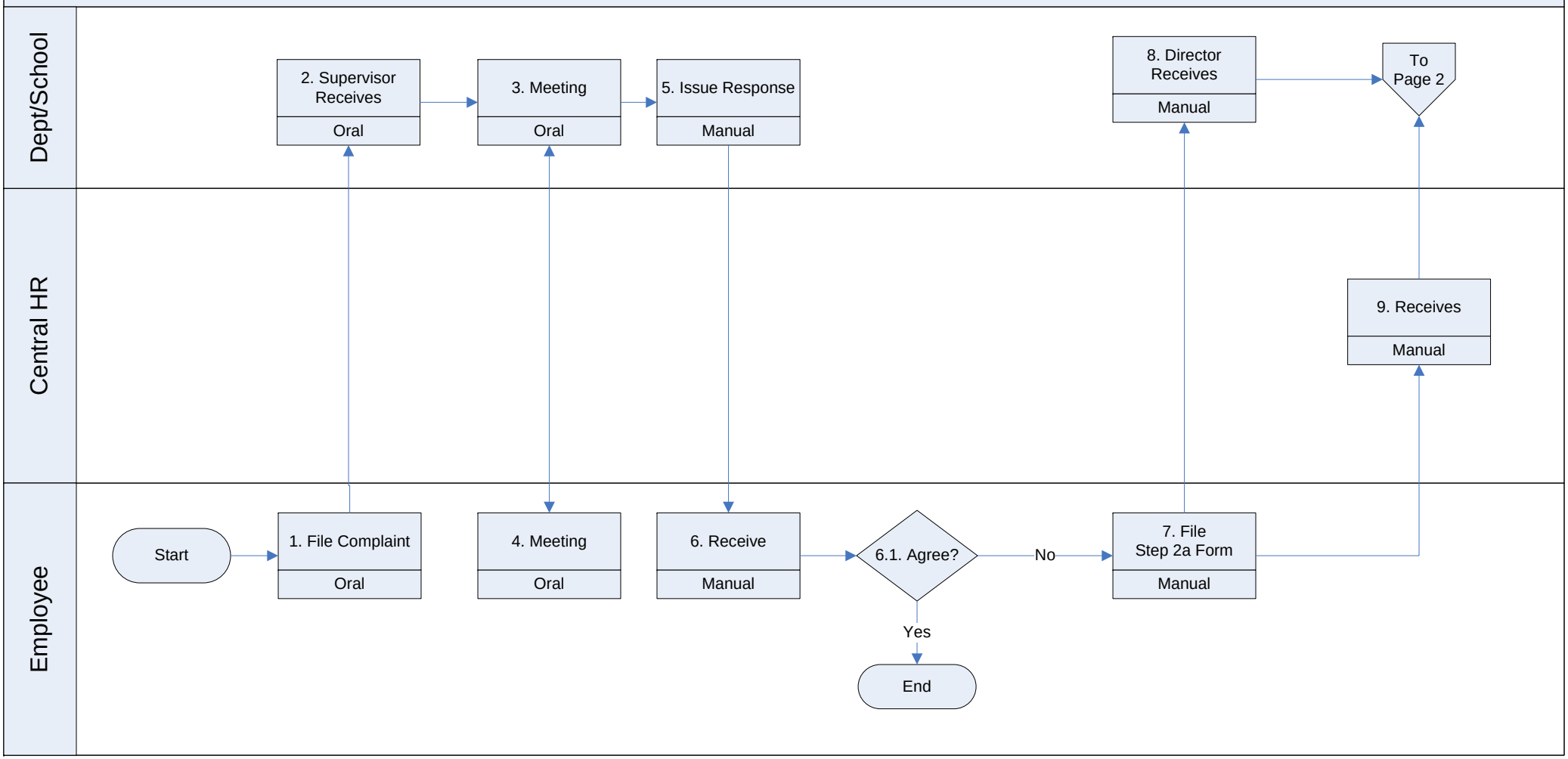
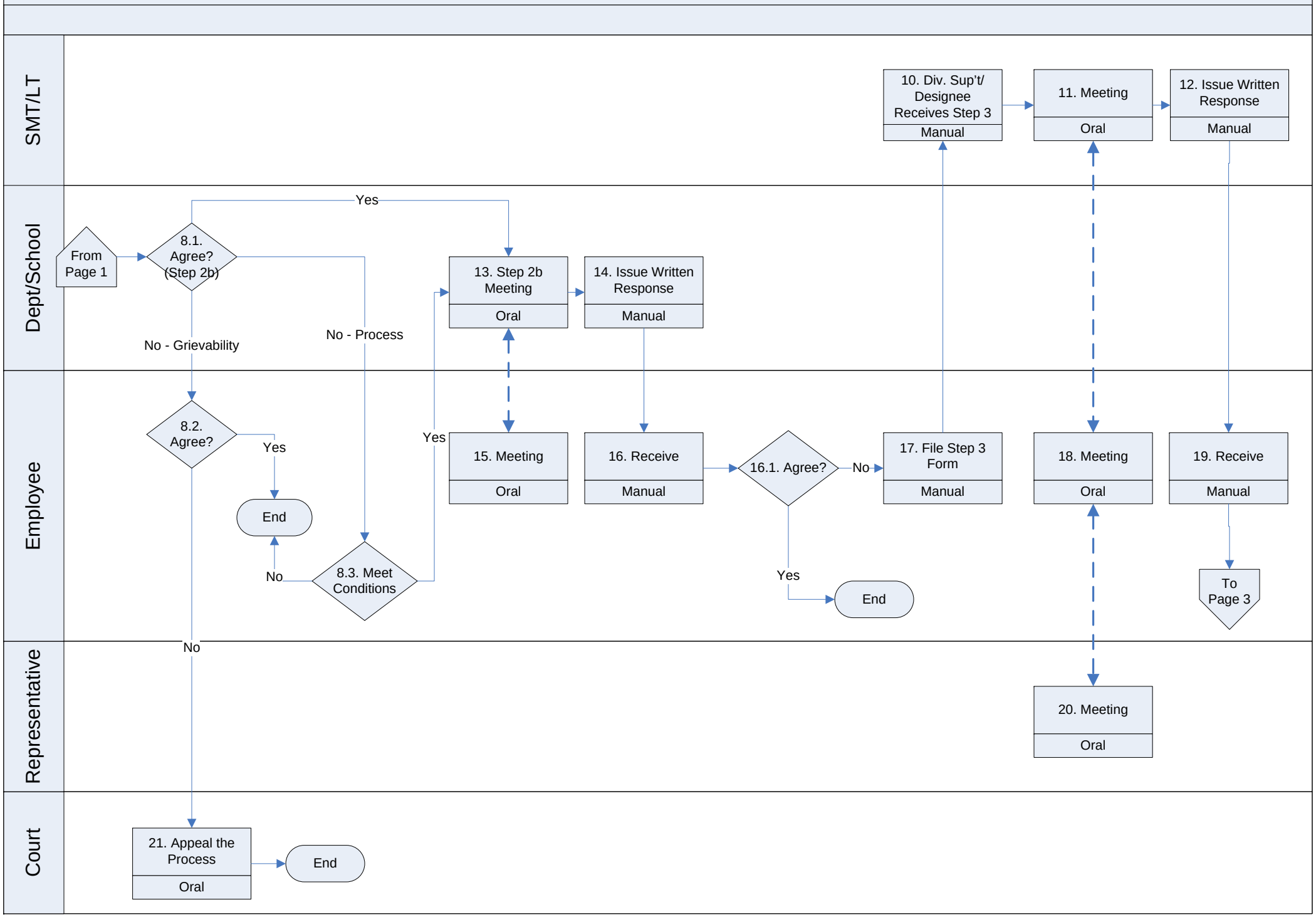
Human Resources [Final]
Sub-Process: Discipline – Grievance (Support - Schools)

Map Name: HR_DISC_GRIEV_SUPP_SCH
Map No.: 6F



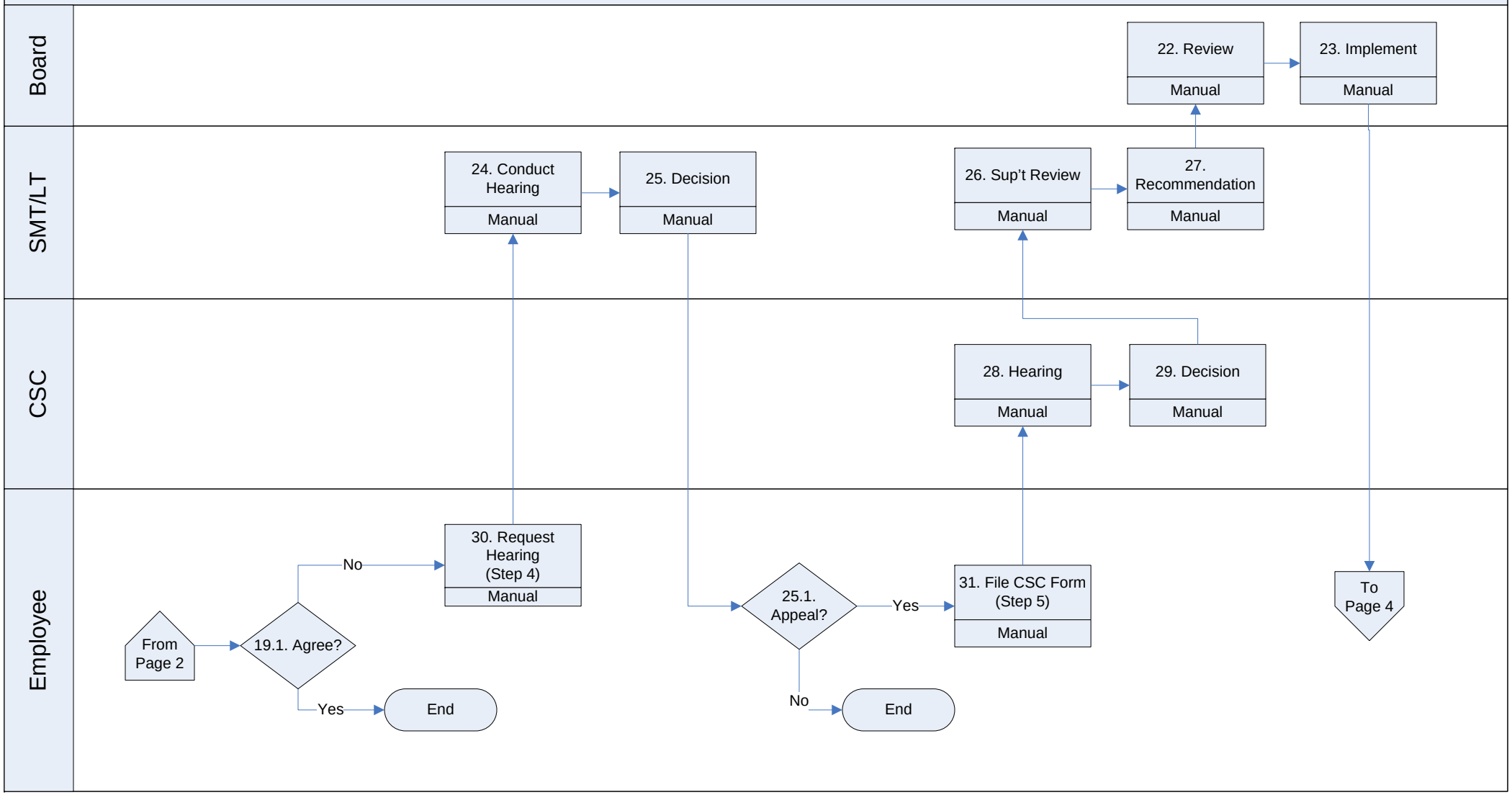
Human Resources [Final]
Sub-Process: Discipline – Grievance (Support - Schools)

Map Name: HR_DISC_GRIEV_SUPP_SCH
Map No.: 6F



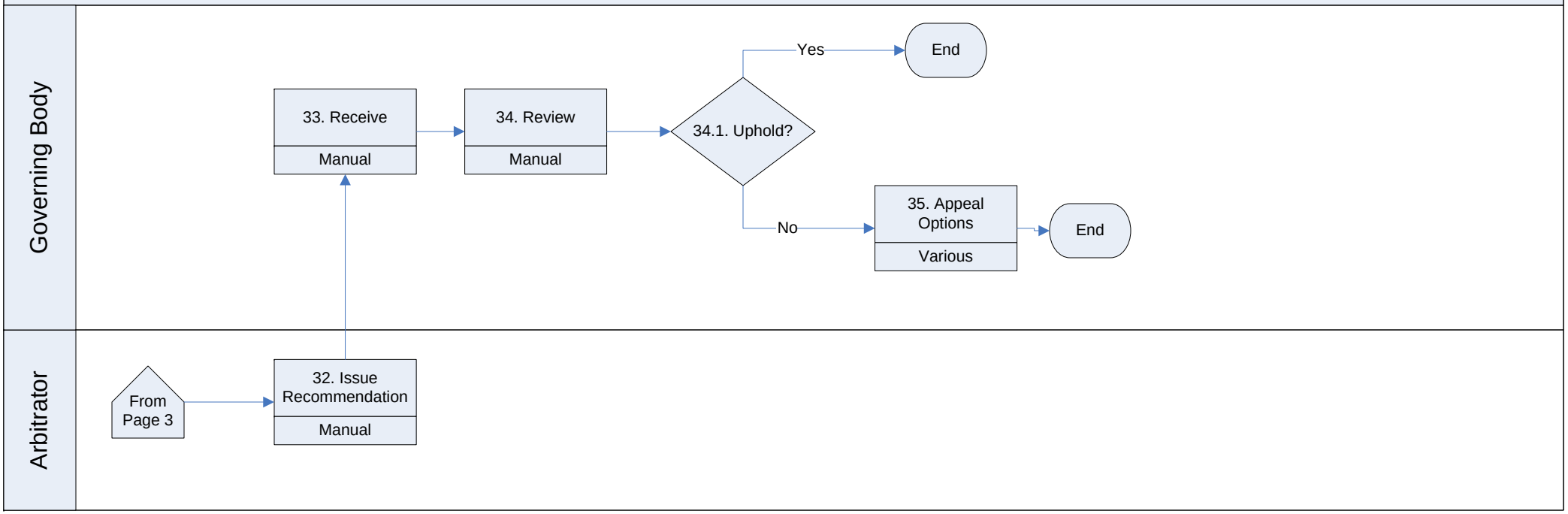
Human Resources [Final]
Sub-Process: Discipline – Grievance (Support - Schools)

Map Name: HR_DISC_GRIEV_SUPP_SCH
Map No.: 6F



Human Resources [Final]
Sub-Process: Discipline – Grievance (Support - Schools)

Map Name: HR_DISC_GRIEV_SUPP_SCH
Map No.: 6F



Process Name: Human Resources	**Process Identifier:** HR_DISC_GRIEV_SUPP_SCH
Sub-Process Name: Discipline – Grievance (Support - Schools)	**Map Number: 6F**

Sub-Process Purpose and Objectives: Describe the grievance process followed for a Schools support employee.

Sub-Process Description:

1. An employee files a grievance orally, with in 15 days after an event or their knowledge of the event with their Department/School Supervisor. **[MAP SHAPE 1, 2]**
2. The Supervisor receives the complaint and sets up and informal meeting with the employee. **[MAP SHAPE 3, 4]**
3. The Supervisor makes a decision with respect to the grievance and notifies the employee in writing of the decision. If the employee agrees with the decision the process ends. If the employee does not agree with the Supervisor's decision the employee files a step 2a grievance action. **[MAP SHAPE 5, 6, 6.1]**
4. The step 2a grievance action is filed with the Department Head/Principal. The grievance must state the nature of the grievance and the remedy sought. A copy of the grievance is also sent to Central HR. In step 2a the Department Head/Principal receives the grievance package from the employee and evaluates it. The Department Head/Principal has several options for disposition of the grievance. **[MAP SHAPE 7, 8, 9]**
5. The Department Head/Principal can determine that the event is not grievable and send it back to the employee. The employee receives the Department Heads/Principal's decision and can accept the decision that the event is not grievable, in which case the process end. Or, the employee can challenge the ruling by filing an appeal with the Circuit Court. The Court can only rule on whether the event is grievable or not. **[MAP SHAPE 8, 8.1, 8.2, 21]**
6. The Department Head/Principal can determine that there is a defect in the paperwork and return it to step one. In this case the employee has 2 days to correct the defect and re-file with the Department Head/Principal. If the grievance package is corrected and accepted by the Department Head/Principal it is accepted for a step 2a hearing. **[MAP SHAPE 8, 8.1, 8.3, 13]**
7. The Department Head/Principal can accept the grievance package initially and setup the step 2a hearing. **[MAP SHAPE 8, 8.1, 13]**
8. The step 2a hearing is held with the employee. **[MAP SHAPE 13, 15]**
9. The Department Head/Principal renders a written decision on the grievance and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Administration's decision the employee files a step 3 grievance action within 5 working days of receiving the written decision. **[MAP SHAPE 14, 16, 16.1]**
10. The step 3 grievance is filed with the Division Superintendent or their designee. The employee is entitled to have an attorney as a representative at this level. **[MAP SHAPE 17, 10]**
11. The step 3 grievance meeting is held with Division Superintendent or their designee, the employee and the employee's representative, if the employee has one. If the employee has an attorney as a representative the Department/School is also entitled to have a representative present. **[MAP SHAPE 11, 18, 20]**
12. The Division Superintendent or their designee renders a written decision on the grievance and notifies the employee. If the employee agrees with the decision the process ends. If the employee does not agree with the Administration's decision the employee files a step 4 grievance action within 5 working days of receiving the decision. **[MAP SHAPE 12, 19, 19.1, 30, 24]**
13. The employee files the step 4 grievance with the Superintendent of Schools or their designee. Step 4 of the grievance process is a grievance determination hearing. The hearing is held and the Superintendent or their designee who renders a decision. **[MAP SHAPE 24, 25]**
14. The employee receives the decision and has 5 work days to decide whether to accept the decision or not. If the employee accepts the decision the process ends. If the employee does not accept the decision they must appeal to the Civil Service Commission. This is step 5 in the grievance process **[MAP SHAPE 25.1, 31]**
15. The Civil Service Commission hears the employee's grievance and makes a decision. The decision of the Civil Service Commission is advisory to the Superintendent. **[MAP SHAPE 28, 29]**
16. The Superintendent reviews the Commissions decision. Based on the Commission's report, the Superintendent makes a recommendation the School Board. **[MAP**

SHAPE 26, 27]

17. The School Board reviews the recommendation provided by the Superintendent which they can uphold or they can make their determination and their decision is implemented. **[MAP SHAPE 22, 23]**
18. The employee has the option of requesting mediation before step 3 in the process. Mediation is conducted by the Office of Equity Compliance. **[MAP SHAPE 32]**
19. OEC hears the grievance and makes a recommendation to the School Board. The School Board reviews the recommendation and or exercises one of their appeal options. **[MAP SHAPE 32, 33, 34, 34.1, 35]**

Triggers:

- ❑ An employee files a grievance

Key Process Participants:

- ❑ Department/School
- ❑ Central HR
- ❑ Employee
- ❑ SMT/LT
- ❑ Representative
- ❑ CSC
- ❑ Governing Body

Inputs:

Input	*Format*
Employee grievance steps	Various
Appeal for Fact Finding Panel	Manual
Panel's recommendation to School Board	Manual

Outputs:

Output	*Format*
Schools responses to grievance	Various
Panel's discovery	Manual
School Boards decision	Various

IT Support:

Application/System Name	*Technology Description*

Regulations:

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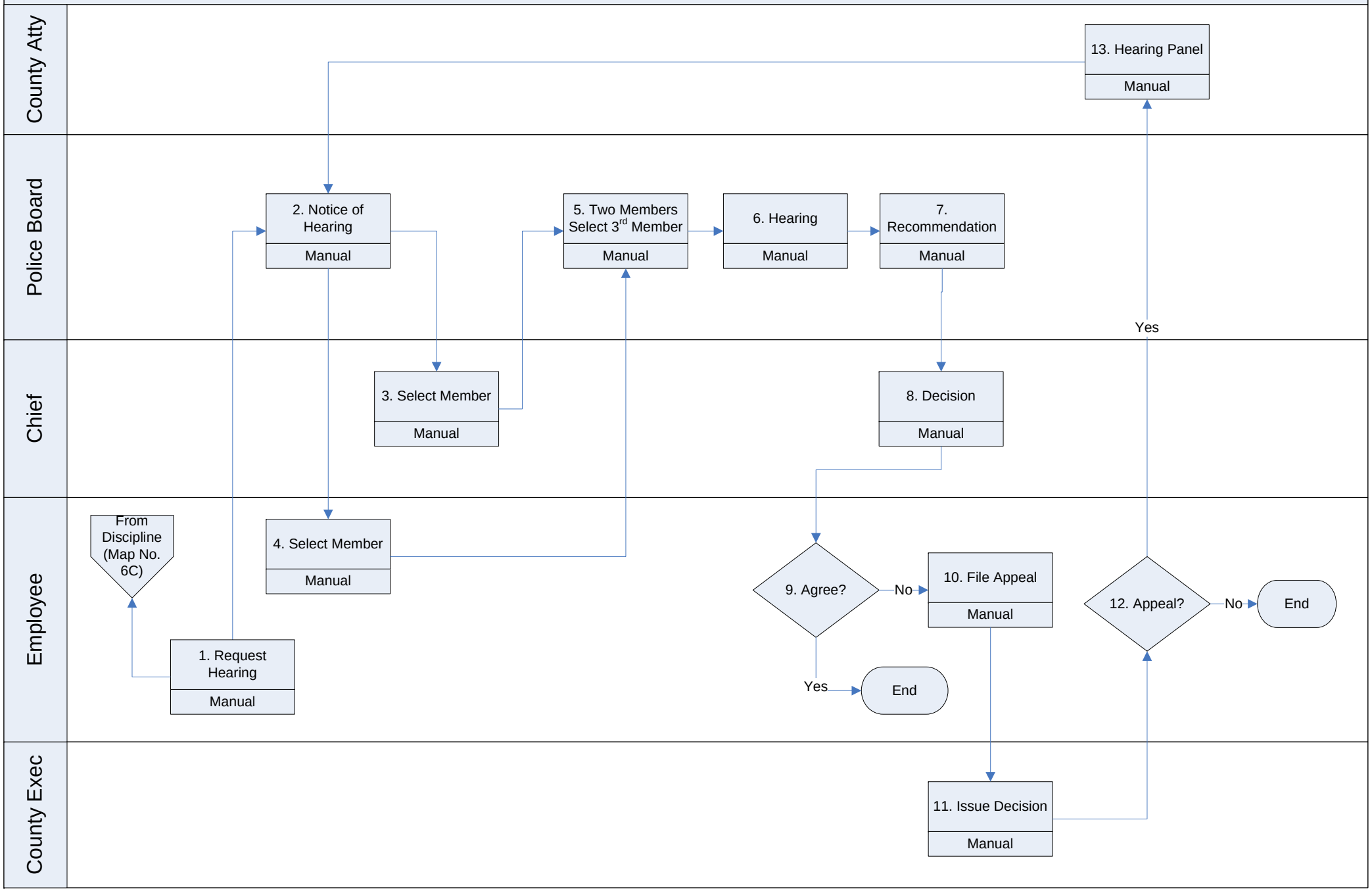
Human Resources [Final] Map Name: HR_DISC_GRIEV_POL_HEARING_CO

Sub-Process: Discipline – Grievance (Police Hearing Panel - County) Map No.: 6G



Process Name: Human Resources	**Process Identifier:** HR_DISC_GRIEV_POL_HEARING_CO
Sub-Process Name: Discipline – Grievance (Police Hearing Panel - County)	**Map Number: 6G**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. This process starts from the disciplinary process. The police employee can choose to appeal through this Police Hearing Panel process or the County Grievance process, but not both.
2. If they choose to submit the appeal through the Police Hearing Panel process, a Police employee appeals their discipline to the Police Board who issues a notice of hearing. **[MAP SHAPE 1, 2]**
3. The Police employee receives the notice of hearing from the Police Board and selects a peer to sit on the review panel. **[MAP SHAPE 2, 4]**
4. The Chief of Police receives the notice of hearing from the Police Board and selects a Police Officer as a review panel member. **[MAP SHAPE 2, 3]**
5. These two panel members select a third Police Officer to sit on the review panel. These three members constitute the review panel. The Police employee may also be represented by counsel. **[MAP SHAPE 5]**
6. The panel hears the complaint from the Police employee and makes a recommendation. **[MAP SHAPE 6, 7]**
7. The Police Chief receives the panel's recommendation and makes a decision. **[MAP SHAPE 7, 8]**
8. The Police employee receives the Police Chief's decision. If the Police employee accepts the decision, the process ends. If the Police employee does not accept the decision, they can appeal. **[MAP SHAPE 9, 10]**
9. The appeal is filed with the County Executive. **[MAP SHAPE 10]**
10. The County Executive reviews the appeal and the Police Chief's decision and issues a decision to the employee. The employee receives the County Executive's decision and decides to accept it or not. If the employee accepts the decision the process ends. If the employee does not accept the decision they can appeal to the County Attorney for a hearing panel. **[MAP SHAPE 11, 12, 13]**
11. The County Attorney may instruct the Police Board to establish another hearing panel. **[MAP SHAPE 13, 2]**

Triggers:

- A Police employee requests a Police Board hearing.

Key Process Participants:

- Police Board
- Chief
- Employee
- County Attorney
- County Executive

Inputs:

Input	*Format*
Employee's hearing request	Manual
Employee's appeal to the County Executive	Manual
Employee's appeal to the County Attorney	Manual

Outputs:

Output	*Format*
Police Board panel's recommendation	Manual
Police Chief's decision	Manual
County Executive's decision	Manual
County Attorney's decision	Manual

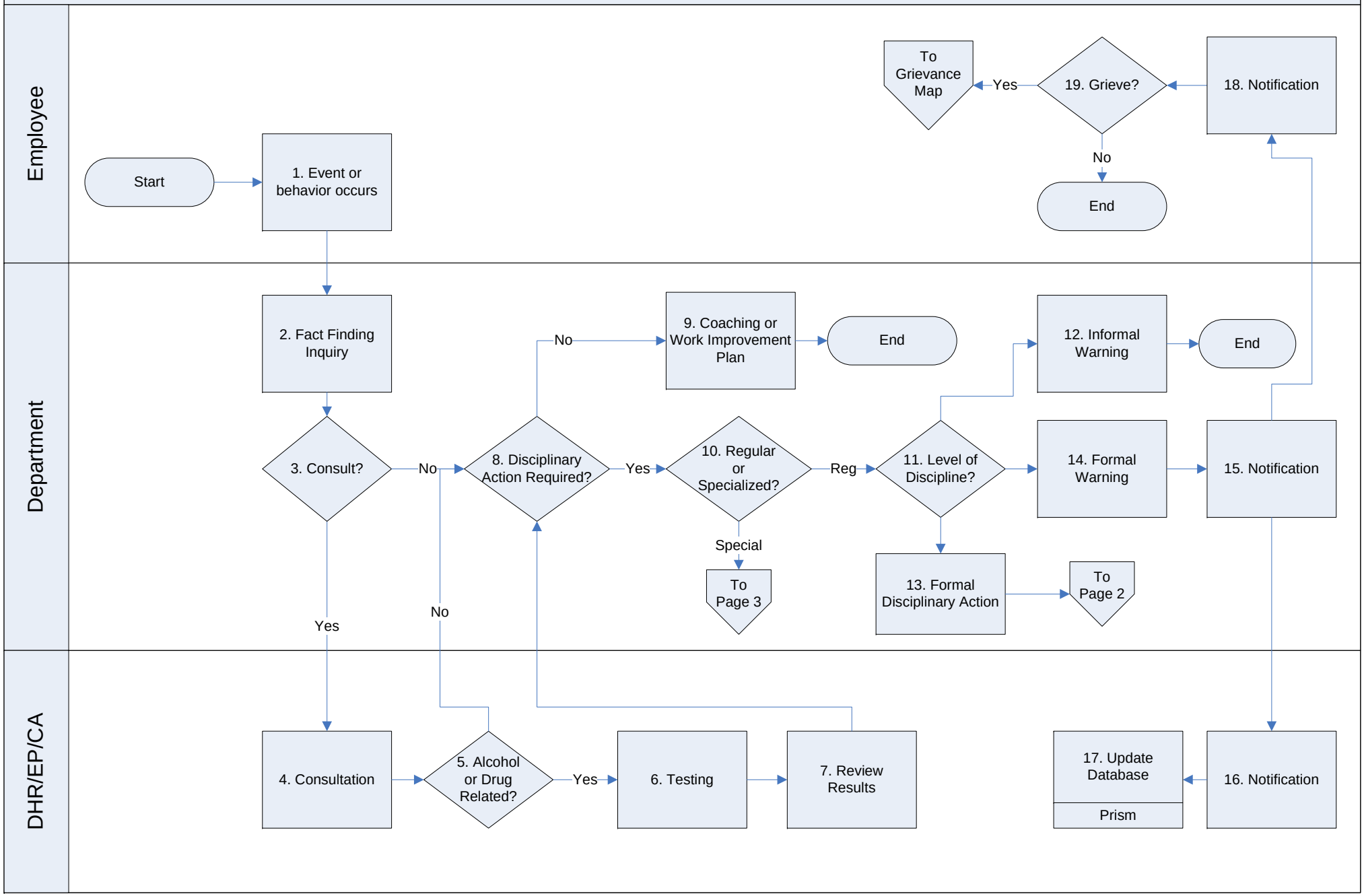
IT Support:

Application/System Name	*Technology Description*

Regulations: o		

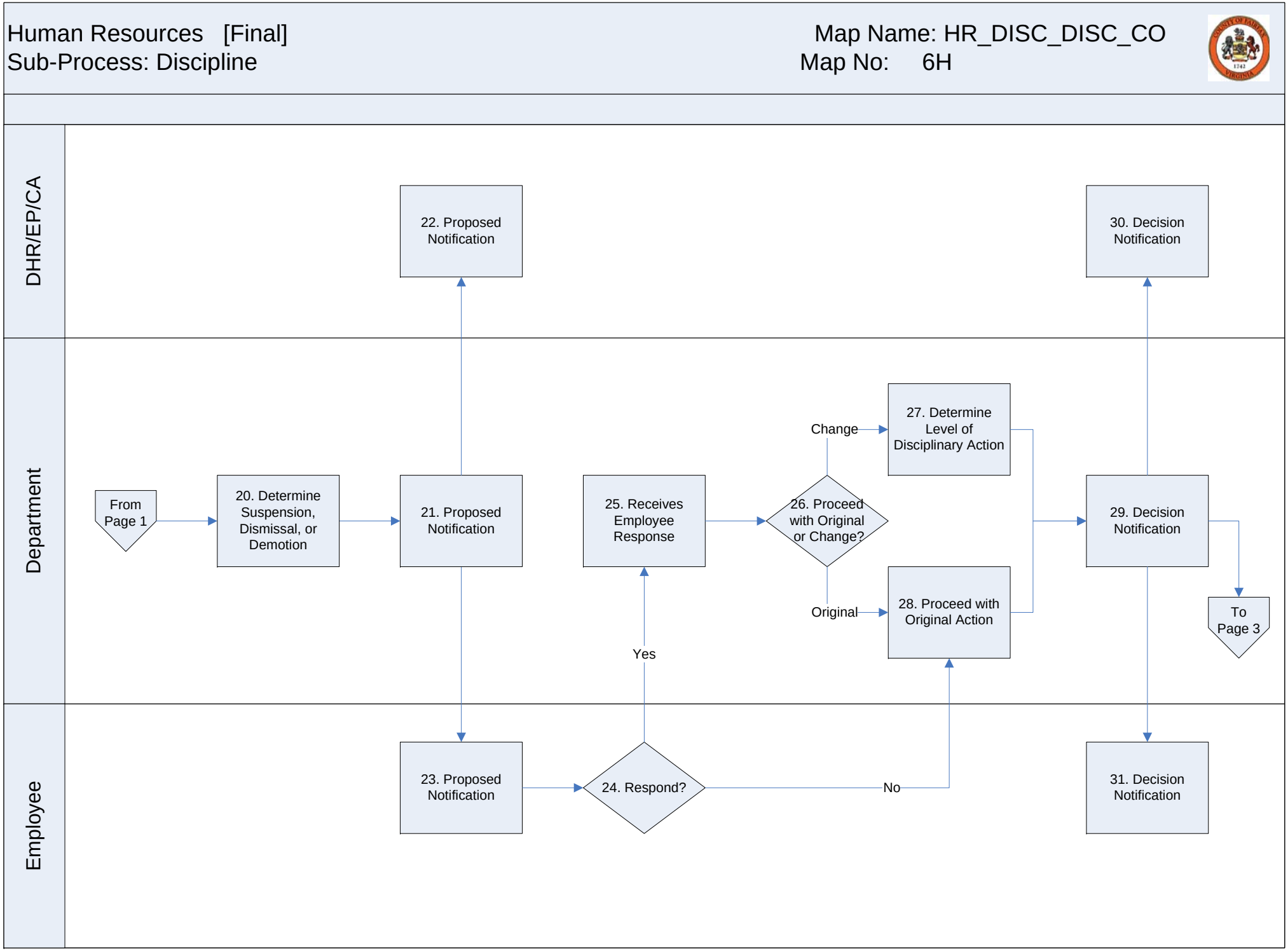
Human Resources [Final]
Sub-Process: Discipline

Map Name: HR_DISC_DISC_CO
Map No: 6H



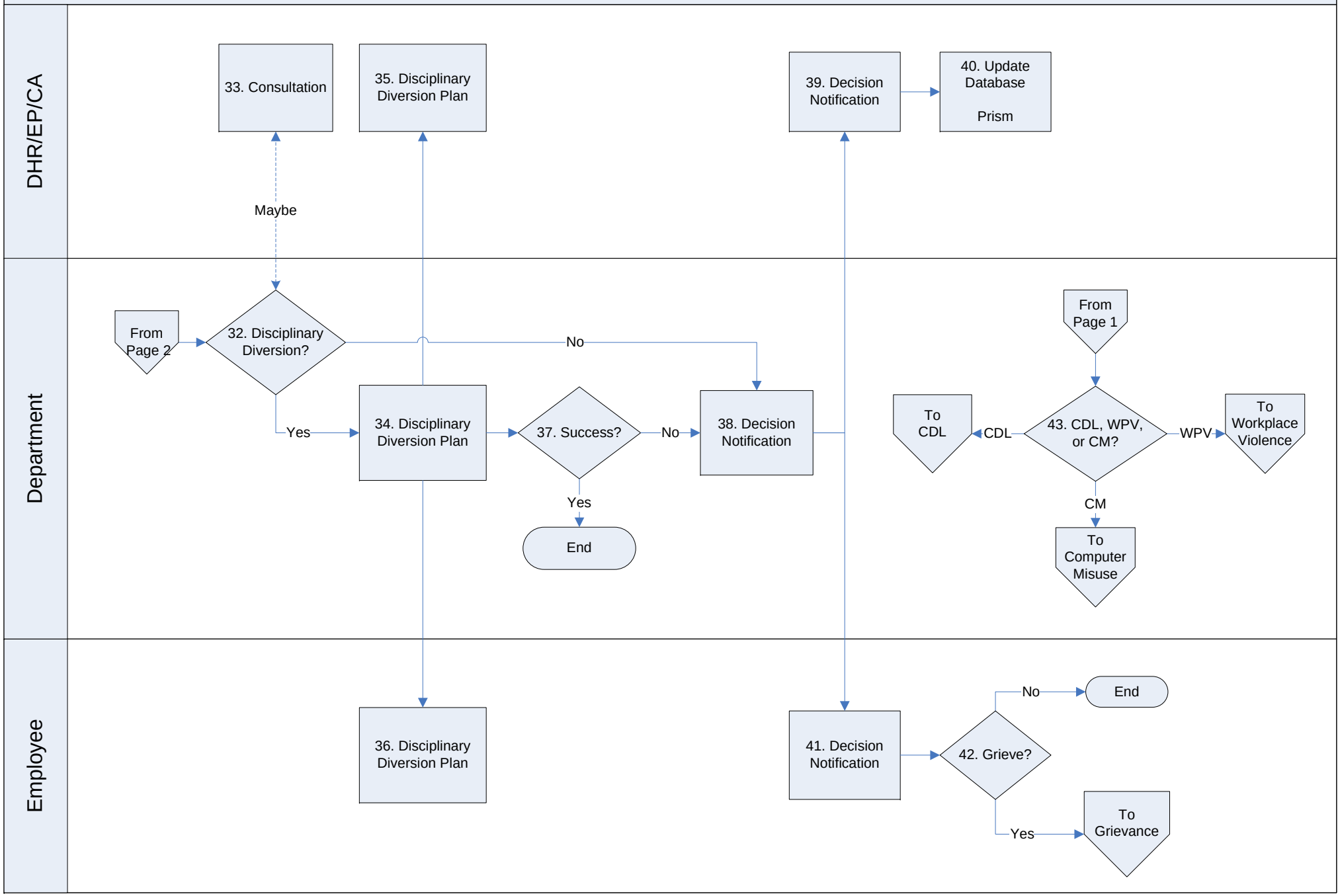
Human Resources [Final]
Sub-Process: Discipline

Map Name: HR_DISC_DISC_CO
Map No: 6H



Human Resources [Final]
Sub-Process: Discipline

Map Name: HR_DISC_DISC_CO
Map No: 6H



Process Name: Human Resources	**Process Identifier:** HR_DISC_DISC_CO
Sub-Process Name: Discipline	**Map Number: 6H**

Sub-Process Purpose and Objectives: The County employee discipline process

Sub-Process Description:

1. An event or behavior occurs that may require a disciplinary action. **[MAP SHAPE 1]**
2. The Department gathers the facts of the situation and determines if they need to consult with DHR/EP/CA. **[MAP SHAPE 2, 3]**
3. If consultation is required, DHR/EP/CA identifies whether alcohol or drug testing is needed and if so, ensures the testing is performed, reviews the results, and sends issue back to the Department to determine if disciplinary action is required. **[MAP SHAPE 3, 4, 5, 6, 7]**
4. If no alcohol or drug testing is needed, the issue goes back to the Department to determine if a disciplinary action is required. **[MAP SHAPE 3, 4, 5]**
5. The Department determines whether disciplinary action is required. **[MAP SHAPE 8]**
6. If no disciplinary action is required, the Department provides coaching or a work improvement plan and the process ends. **[MAP SHAPE 9]**
7. If disciplinary action is required, the Department determines whether the action is “regular” or “specialized”. **[MAP SHAPE 10]**
8. If a “specialized” disciplinary action is required, the Department determines the type of issue: Commercial Drivers License (CDL), Computer Misuse (CM), or Workplace Violence (WPV). **[MAP SHAPE 10, 43]**
9. If a “regular” disciplinary action is required, the Department determines the level of discipline needed: Informal Warning, Formal Warning, or Formal Disciplinary Action. **[MAP SHAPE 11, 12, 13, 14]**
10. If an Information Warning is given, the process ends. **[MAP SHAPE 12]**
11. If a Formal Warning is given, the Department, Employee, and DHR/EP/CA are notified. DHR updates PRISM. If employee has a grievance with the decision, they can file the grievance via the Grievance process, otherwise the process ends. **[MAP SHAPE 15, 16, 17, 18, 19]**
12. If a Formal Disciplinary Action is required, the Department determines which action is needed: Suspension, Dismissal, or Demotion. The Employee, Department, and DHR/EP/CA are notified of the proposed action. **[MAP SHAPE 20, 21, 22, 23]**
13. The Employee is given a chance to respond to the proposed action. If the employee does not respond, the Department proceeds with the original proposed action. If the employee does respond, the Department determines if they should proceed with the original proposed action or change the action. **[MAP SHAPE 24, 25, 26, 27, 28]**
14. The Employee, Department, and DHR/EP/CA are notified of the final decision. **[MAP SHAPE 29, 30, 31]**
15. The Department, with a possible consultation with DHR/EP/CA, determines whether their will be a Disciplinary Diversion. **[MAP SHAPE 32, 33]**
16. If a Disciplinary Diversion Plan is determined, the Employee, Department, and DHR/EP/CA are notified of the plan. If the plan is successful, the process ends **[MAP SHAPE 34, 35, 36, 37]**
17. If the Disciplinary Diversion plan is not successful or if no Disciplinary Diversion Plan is put into place, the original disciplinary action is implemented, with the employee, the department, and DHR/EP/CA notified. DHR updates PRISM. **[MAP SHAPE 38, 39, 40, 41]**
18. If employee has a grievance with the decision, they can file the grievance via the Grievance process, otherwise the process ends. **[MAP SHAPE 42]**

Triggers:

- An County employee event or behavior occurs that may require discipline

Key Process Participants:

- Employee
- Department
- DHR/EP/CA

Inputs:

Input	*Format*
Various discipline decision steps	Various
Consultations with DHR/EP/CA	Manual
Response from employee	Manual

Outputs:

Output	*Format*
Department's determinations	Various
Employee grievance	Various
Notification of Dept's decisions	Various

IT Support:

Application/System Name	*Technology Description*
PRISM	County HR system

Regulations:

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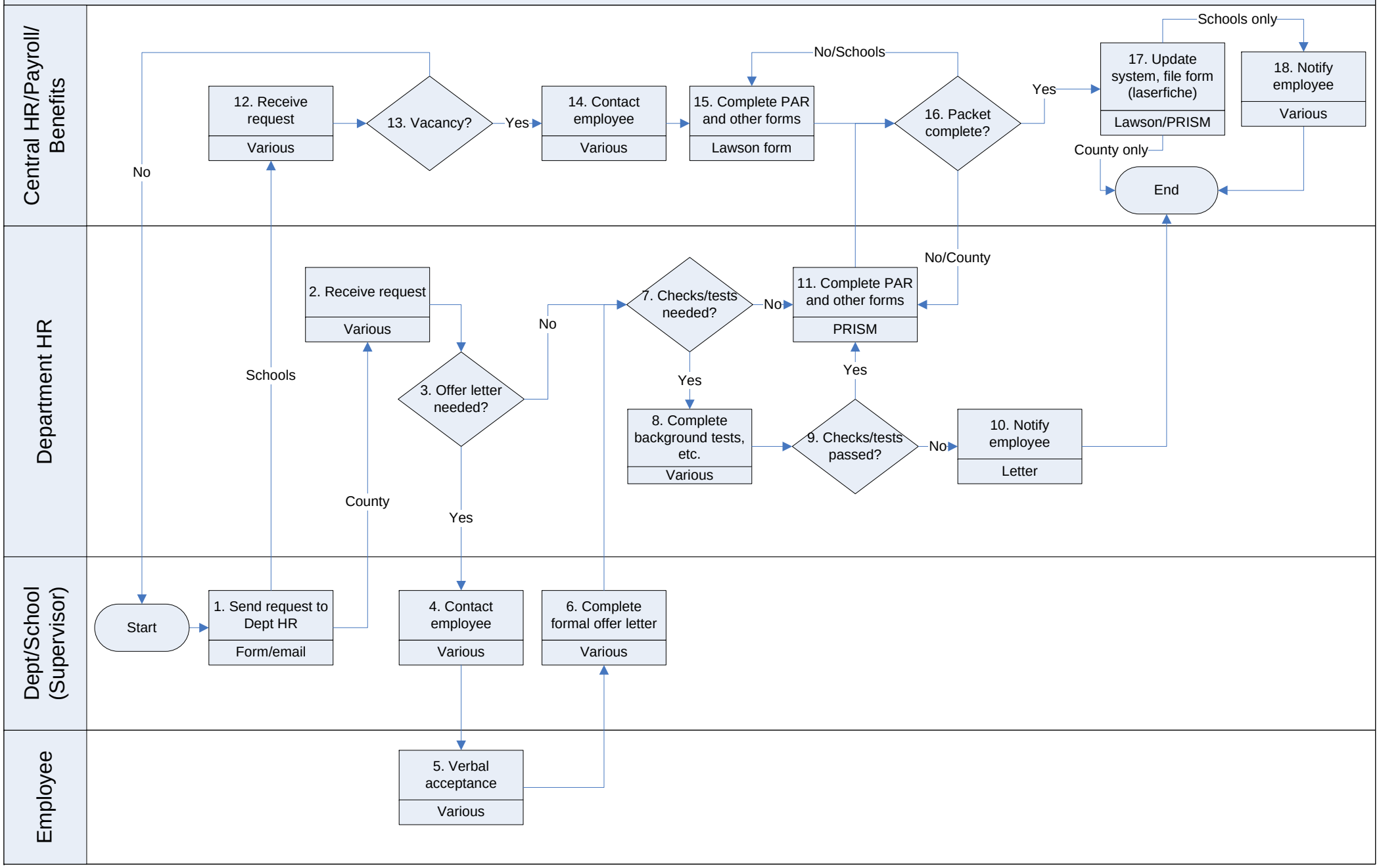
Human Resources [FINAL]
Sub-Process: Personnel Action Request – Position Change

Map Name: HR_PAR_POS_CHG
Map No.: 7A



Process Name: Human Resources	**Process Identifier:** HR_PAR_POS_CHG
Sub-Process Name: Personnel Action Request – Position Change	**Map Number: 7A**

Sub-Process Purpose and Objectives: Describe the process for doing position changes.

Sub-Process Description:

1. Program manager, supervisor, or principal sends request to the Department HR Specialist in the County or to Schools Central HR requesting to promote an employee. **[MAP SHAPE 1]**
2. Schools send the request form to Central HR who looks at position detail report to confirm the vacancy. If there is no vacancy the form is returned to the department and the process ends. **[MAP SHAPE 1, 12, 13]**
3. If a vacancy exists, Central HR contacts employee and tells them they have been requested to be promoted and do they accept the promotion? **[MAP SHAPE 13, 14]**
4. If the employee accepts the promotion Central HR prepares a PAR to formally offer the position. The PAR is completed in Lawson and copies are distrusted to various Schools departments. **[MAP SHAPE 15]**
5. In the County the promotion request is sent to Department HR who determines if an offer letter is required. **[MAP SHAPE 1, 2, 3]**
6. If an offer letter is required Department HR advises the Department Supervisor to contact the employee. **[MAP SHAPE 3, 4, 5]**
7. If the employee verbally accepts the position, a formal offer letter is done by the Department HR/Department Supervisor and a copy is sent to Department HR. **[MAP SHAPE 5, 6, 7]**
8. Department HR determines if any test or other requirement need to be met by the employee before the position is granted to them. **[MAP SHAPE 7]**
9. If additional test or background checks are to be made, Department HR makes the arrangements. **[MAP SHAPE 8]**
10. If the employee does not pass the test or other requirements, Department HR or appointing authority (Department Director) notifies the employee they did not pass and the process ends. **[MAP SHAPE 9, 10]**
11. If the employee passes the test and other requirements Department HR completes a PAR and other necessary forms. **[MAP SHAPE 9, 11]**
12. If the employee accepts the position an official offer letter is completed, Department HR is notifies and if no additional tests or background check is required Department HR completes the PAR and other necessary forms. **[MAP SHAPE 5, 6, 7, 11]**
13. After the PARs are created the employee may be sent an informational packet. **[MAP SHAPE 15, 11, 16]**
14. Lawson and/or PRISM is updated, all forms are filed (County also Laserfiche the files) and the Schools notify the employee of the promotion. **[MAP SHAPE 17, 18]**

Triggers:

- ❑ Supervisor wished to promote an employee

Key Process Participants:

- ❑ Employee
- ❑ Department/School (Supervisor)
- ❑ Department HR
- ❑ Central HR/Payroll/Benefits

Inputs:

Input	***Format***
Promotion request form	Manual
Offer letter	Manual
Test	Various

Outputs:

Output	***Format***
Eligibility determination	Manual
Employee acceptance	Manual/Verbal
Employee results	Pass/Fail

IT Support:

Application/System Name	***Technology Description***

Lawson	Schools human resource system	
PRISM	County human resource system	

Regulations:

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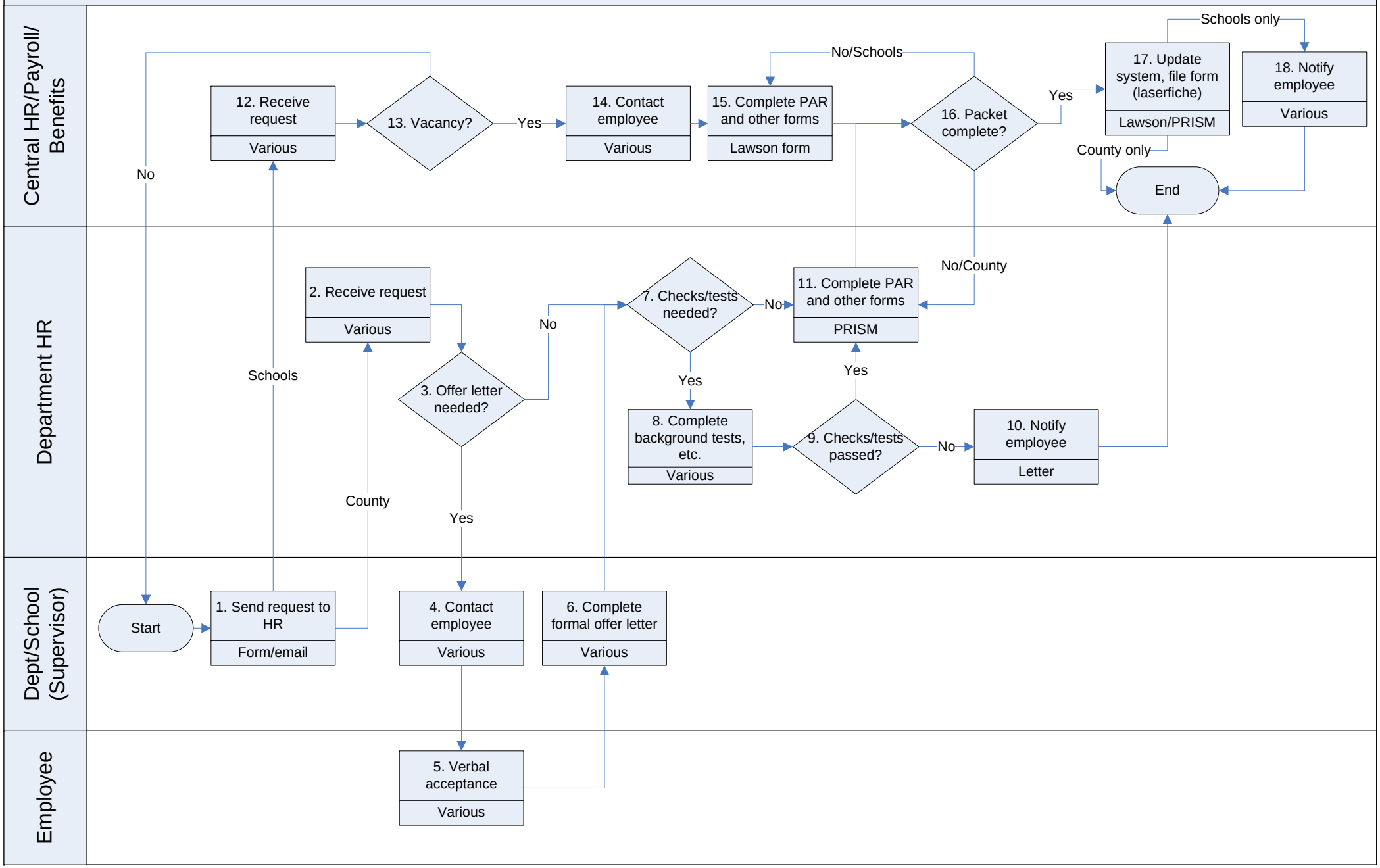
Human Resources [FINAL]
Sub-Process: Personnel Action Request – Status Change

Map Name: HR_PAR_STAT_CHG
Map No.: 7B



Process Name: Human Resources	**Process Identifier:** HR_PAR_STAT_CHG
Sub-Process Name: Personnel Action Request – Status Change	**Map Number: 7B**

Sub-Process Purpose and Objectives: Employee recommended for a status change.

Sub-Process Description:

1. Program manager, supervisor, or principal sends request to the Department HR Specialist in the County or to Schools Central HR requesting to change an employee's status. **[MAP SHAPE 1]**
2. Schools send the request form to Central HR who looks at position detail report to confirm a vacancy. If there is no vacancy the form is returned to the department and the process ends. **[MAP SHAPE 1, 12, 13]**
3. If a vacancy exists, Central HR contacts employee and tells them they have been requested to have their status changed and do they accept the change? **[MAP SHAPE 13, 14]**
4. If the employee accepts the status change Central HR prepares a PAR to formally offer the position. The PAR is completed in Lawson and copies are distrusted to various Schools departments. **[MAP SHAPE 15]**
5. In the County the status change request is sent to Department HR who determines if an offer letter is required. **[MAP SHAPE 1, 2, 3]**
6. If an offer letter is required Department HR advises the Department Supervisor to contact the employee. **[MAP SHAPE 3, 4, 5]**
7. If the employee verbally accepts the status change, a formal offer letter is done by the Departments HR/Department Supervisor and a copy is sent to Department HR. **[MAP SHAPE 5, 6, 7]**
8. Department HR determines if any test or other requirement need to be met by the employee before the status changed is granted to them. **[MAP SHAPE 7]**
9. If additional test or background checks are to be made, Department HR makes the arrangements. **[MAP SHAPE 8]**
10. If the employee does not pass the test or other requirements Department HR or appointing authority (Department Director) notifies the employee they did not pass and the process ends. **[MAP SHAPE 9, 10]**
11. If the employee passes the test and fulfills the other requirements, Department HR completes a PAR and any other necessary forms. **[MAP SHAPE 9, 11]**
12. If the employee accepts the status change an official offer letter is completed, Department HR is notified and if no additional tests or a background check is required Department HR completes the PAR and other necessary forms. **[MAP SHAPE 5, 6, 7, 11]**
13. After the PARs are created the employee may be sent an informational packet. **[MAP SHAPE 15, 11, 16]**
14. Lawson and/or PRISM is updated, all forms are filed (County also Laserfiche the files) and the Schools notify the employee of the status change. **[MAP SHAPE 17, 18]**

Triggers:

- ❑ A Department Supervisor wishes to change the status of and employee.

Key Process Participants:

- ❑ Employee
- ❑ Department/School (Supervisor)
- ❑ Department HR
- ❑ Central HR/Payroll/Benefits

Inputs:

Input	***Format***
Status change request form	Manual
Offer letter	Manual
Test	Various

Outputs:

Output	***Format***	
Eligibility determination	Manual	E
Employee acceptance	Manual/Verbal	E
Employee results	Pass/Fail	

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
PRISM	County human resource system

Regulations:

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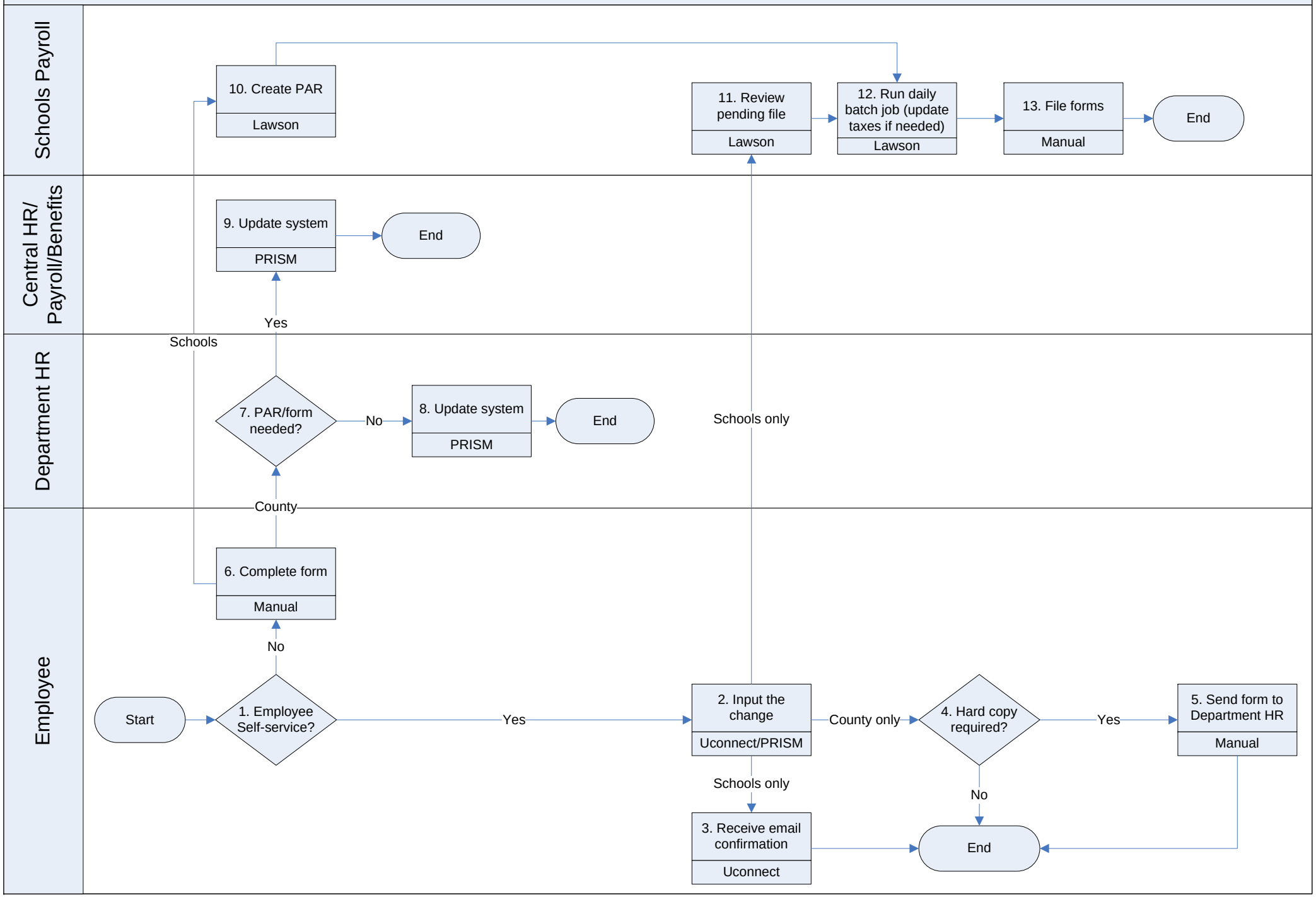
Human Resources [FINAL]
Sub-Process: Personnel Action Request – Demographic Change

Map Name: HR_PAR_DEMO_CHG
Map No.: 7C



Process Name: Human Resources	**Process Identifier:** HR_PAR_DEMO_CHG
Sub-Process Name: Personnel Action Request– Demographic Change	**Map Number: 7C**

Sub-Process Purpose and Objectives: An employee changes demographic information

Sub-Process Description:

1. An employee wishes to make a change to their demographic information. The employee determines if the change can be made online or if it must be done manually. **[MAP SHAPE 1]**
2. If the employee is a Schools employee they make the change in UConnect which is the self service interface to Lawson. If the employee is a County the change is made directly into PRISM. **[MAP SHAPE 2]**
3. School employees will receive an email confirming the changes they have made to their records, County employees are not notified by a confirming email, and the process ends. Payroll reviews Lawson daily for pending changes made to employee records through UConnect. **[MAP SHAPE 2, 3, 11]**
4. A County employee must determine if their Department requires a hard copy of the changes made to their record. These County employees must send a printed copy of the changes they have made to their Departments HR then the process ends. **[MAP SHAPE 2, 4, 5]**
5. If the employee cannot make the demographic change online they must complete a manual form. **[MAP SHAPE 6]**
6. If the employee is a Schools employee the manual form is sent to Schools Payroll. Schools Payroll must do PAR in Lawson to effect the changes. **[MAP SHAPE 6, 10]**
7. Schools Payroll runs a daily batch job to update Lawson for the PARs created from the manual change forms received and for the changes made online which are in a pending status in Lawson. The daily batch job will automatically update taxes if necessary and create a PAR for the online entries. If the change is a name change, additional social security information is required. **[MAP SHAPE 10, 11, 12]**
8. Schools Payroll files all the change forms and PARs after processing. **[MAP SHAPE 13]**
9. The County employee fills out the manual form and sends it to Department HR who decides if a PAR is required or not. **[MAP SHAPE 6, 7]**
10. If no PAR is required Department HR updates PRISM and the process ends. **[MAP SHAPE 7, 8]**
11. If a PAR is needed Department HR creates the PAR and forwards it to Central HR who updates PRISM and the process ends. **[MAP SHAPE 7, 9]**

Triggers:

- An employee wishes to change demographic information.

Key Process Participants:

- Employee
- Department HR
- Central HR/Payroll/Benefits
- School Payroll

Inputs:

Input	***Format***
Employee online input	Electronic
Employee manual input	Manual

Outputs:

Output	***Format***
Lawson/PRISM updated	Electronically
Lawson/PRISM updated	Manually

IT Support:

Application/System Name	***Technology Description***
Lawson	Schools human resource system
UConnect	Schools Web interface to Lawson
PRISM	County human resource system

Regulations:

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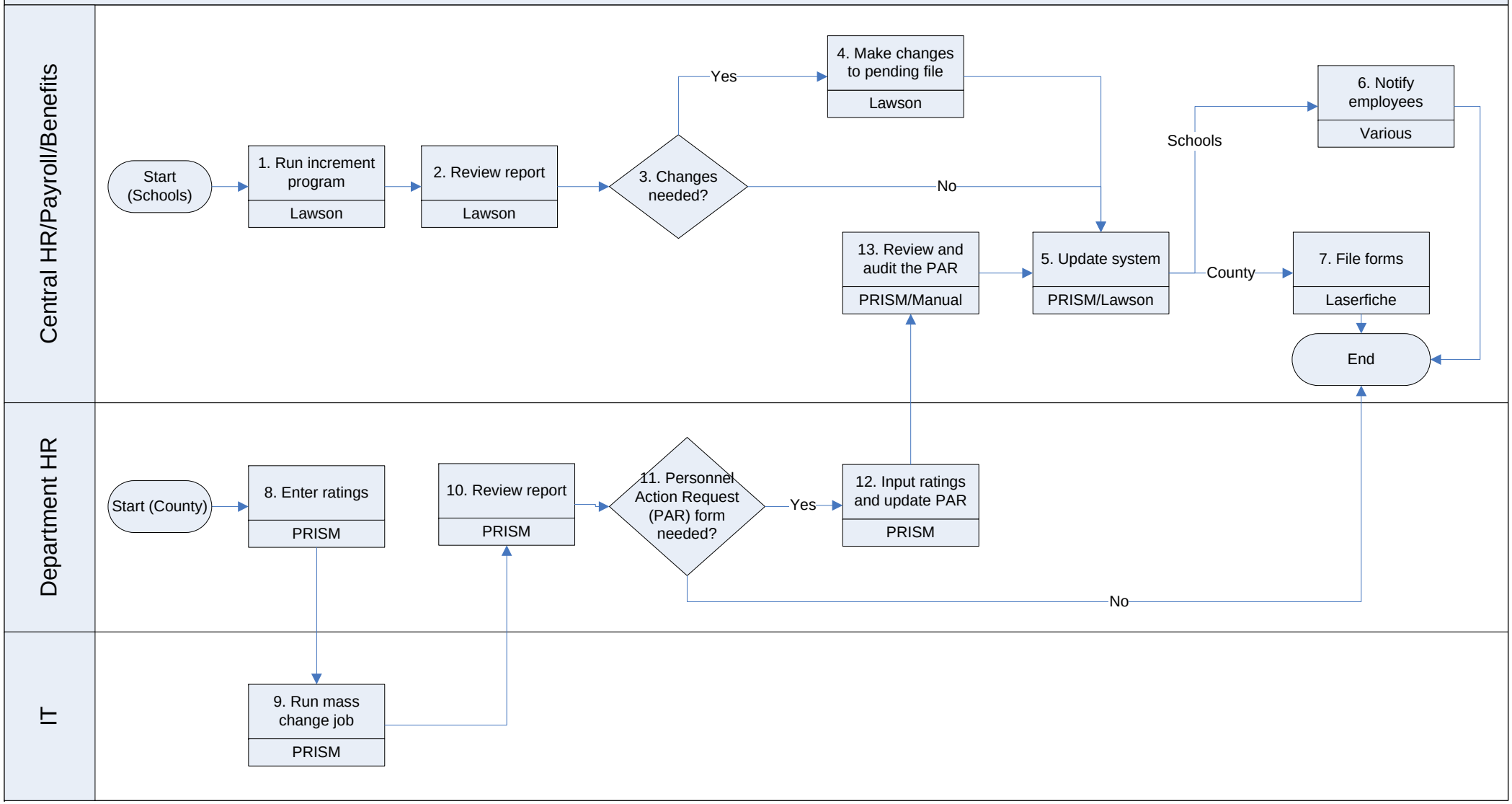
Human Resources [FINAL]
Sub-Process: Personnel Action Request - Salary Change (Performance)

Map Name: HR_PAR_SAL_CHG_PERF
Map No.: 7D



Process Name: Human Resources	**Process Identifier:** HR_PAR_SAL_CHG_PERF
Sub-Process Name: Personnel Action Request – Salary Change (Performance)	**Map Number: 7D**

Sub-Process Purpose and Objectives: Employee's salary is changed on the basis of performance

Sub-Process Description:

1. In the Schools the process starts with Central HR running the salary increment program in Lawson. **[MAP SHAPE 1]**
2. Central HR reviews the report and makes any changes necessary. **[MAP SHAPE 2, 3]**
3. If no changes are necessary, Lawson is updated and the employees are notified of their salary increases and the process ends. **[MAP SHAPE 3, 5, 6]**
4. If changes are required, Central HR the changes to the pending file then updates Lawson with the corrected file and notifies the employees of their salary increases and the process ends. **[MAP SHAPE 3, 4, 5, 6]**
5. In the County the process starts with Department HR entering the ratings into PRISM. **[MAP SHAPE 8]**
6. DIT automatically runs a scheduled bi-weekly job to update records in PRISM. **[MAP SHAPE 9]**
7. Department HR reviews the report in PRISM and determines if a PAR is required. If no PAR is required the process ends. **[MAP SHAPE 10, 11]**
8. If a PAR is required Department HR does the PAR adjusting the employee ratings and sends the PAR to Central HR. If a PAR is required, because the rating was not entered on time, Department HR does the PAR inputting the employee's ratings. A pay change may also be required (may be a retroactive adjustment). **[MAP SHAPE 11, 12, 13]**
9. Central HR reviews and audits the PAR making necessary changes to PRISM. All records go through Laserfiche and are filed and the process ends. **[MAP SHAPE 13, 5, 7]**

Triggers:

- An employee receives a performance salary change

Key Process Participants:

- Central HR/Payroll/Benefits
- Department HR
- IT

Inputs:

Input	*Format*
Performance ratings	Various

Outputs:

Output	*Format*
Salary change	Electronic

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
PRISM	County human resource system

Regulations:

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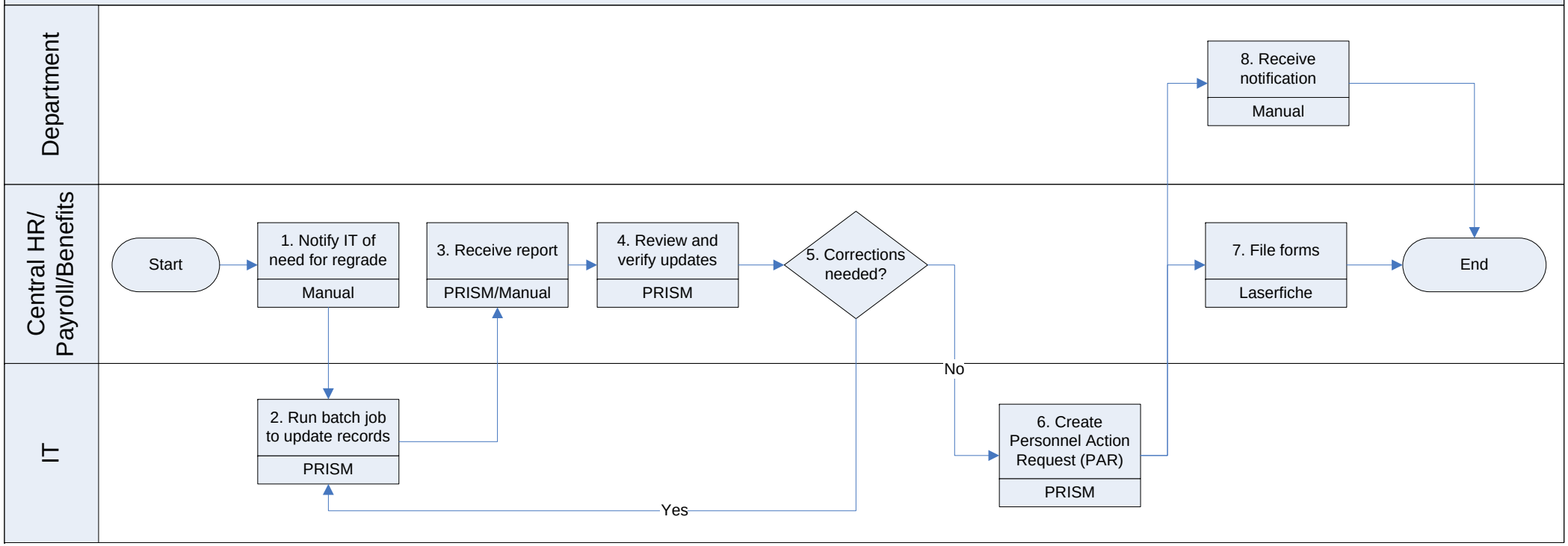
Human Resources [FINAL]
Sub-Process: Personnel Action Request – Salary Change (County Regrade)

Map Name: HR_PAR_SAL_CHG_CO
Map No.: 7E



Process Name: Human Resources	**Process Identifier:** HR_PAR_SAL_CHG_CO
Sub-Process Name: Personnel Action Request – Salary Change (County Regrade)	**Map Number: 7E**

Sub-Process Purpose and Objectives: Employee's salary is changed based on a County regrade

Sub-Process Description:

1. The process starts with Central HR notifying IT to run a batch job to update salary records a result of a County regrade study. **[MAP SHAPE 1]**
2. IT runs the regrade batch job and notifies Central HR that the process is completed. **[MAP SHAPE 2, 3]**
3. Central HR reviews and verifies the salary updates. **[MAP SHAPE 4]**
4. If changes are required Central HR makes the changes and notifies IT to rerun the regrade job. **[MAP SHAPE 5, 2]**
5. If there are no correction or after the corrections have been made and the job rerun, Central HR notifies IT to update the employee records by creating PARs. **[MAP SHAPE 5, 6]**
6. IT runs a job that mass creates PARs for the employee salary changes. **[MAP SHAPE 6]**
7. After IT creates the PARs the Departments are notified, the records go through Laserfiche and are filed and the process ends. **[MAP SHAPE 6, 8, 7]**

Triggers:

- An employee receives a salary change due to a County regrade.

Key Process Participants:

- Central HR/Payroll/Benefits
- Department
- IT

Inputs:

Input	*Format*
Regrade results	Various

Outputs:

Output	*Format*
Salary change	Various

IT Support:

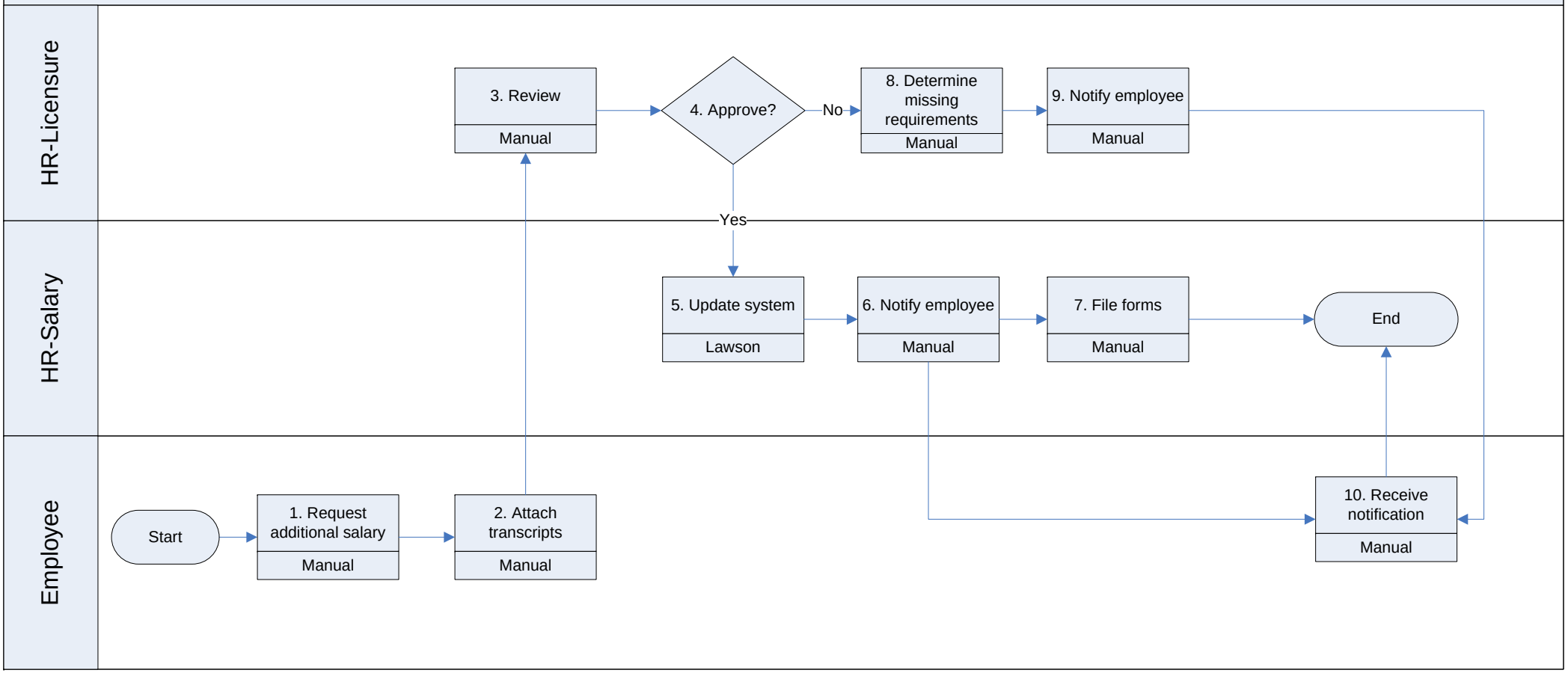
Application/System Name	*Technology Description*
PRISM	County human resource system

Regulations:

o

Human Resources [Final] Map Name: HR_PAR_SAL_CHG_SCH

Sub-Process: Personnel Action Requisition – Salary Change (Schools Instructional) Map No.: 7F



Process Name: Human Resources	**Process Identifier:** HR_PAR_SAL_CHG_SCH
Sub-Process Name: Personnel Action Requisition – Salary Change (Schools Instructional)	**Map Number: 7F**

Sub-Process Purpose and Objectives: Employee's salary is changed because of additional education

Sub-Process Description:

1. The process starts with instructional employee earning additional educational credits and submitting a transcript to HR Licensure for review. **[MAP SHAPE 1, 2, 3]**
2. HR Licensure reviews the transcript to determine if the credits earned are acceptable and entitles the employee to an increase in salary. **[MAP SHAPE 3, 4]**
3. If HR Licensure reviews the transcript and determines the employee does not qualify for an instructional salary increase the employee is notified and told of the requirements that they are missing in order to quality. **[MAP SHAPE 4, 8, 9, 10]**
4. If HR Licensure reviews the transcript and determines the employee does qualify for an instructional salary increase HR Salary is notified and Lawson is updated and the employee is notified that they are to receive and increase in salary. All relevant documents are filed and the process ends. **[MAP SHAPE 4, 5, 6, 7, 10]**

Triggers:

- An employee receives a salary change due to additional educational credits.

Key Process Participants:

- HR Licensure
- HR Salary
- Employee

Inputs:

Input	*Format*
Instructional employee's transcript	Various

Outputs:

Output	*Format*
Review by Licensure	Various

IT Support:

Application/System Name	*Technology Description*
Lawson	School human resource system

Regulations:

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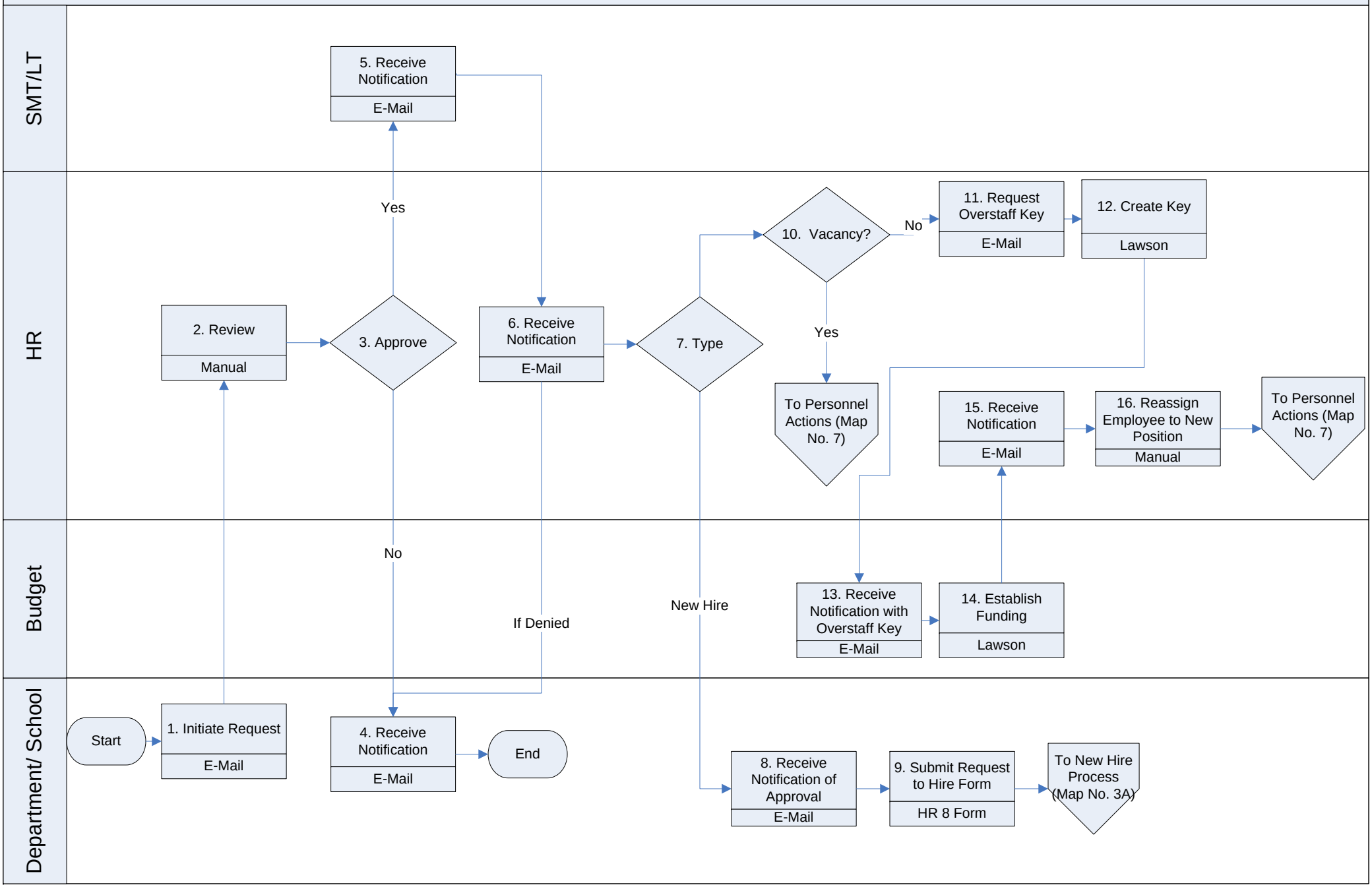
Human Resources [FINAL]
Sub-Process: Personnel Services Costing – Overstaffing

Map Name: HR_PSC_OSTAFF
Map No.: 8A



Process Name: Human Resources	**Process Identifier:** HR_PSC_OSTAFF
Sub-Process Name: Personnel Services Costing - Overstaff	**Map Number: 8A**

Sub-Process Purpose and Objectives: Obtain approval to have more than on e person in a single position for a limited time

Sub-Process Description:

1. Department or school initiates request via email or phone call to HR **[MAP SHAPE 1]**
2. HR reviews and approves then forwards to leadership team **[MAP SHAPE 2,3]**
3. HR notifies department of approval **[MAP SHAPE 4]**
4. Not all Overstaff need to be approved by the Leadership team. If approved by Leadership Team Central HR is notified process continues. If denied Central HR is notified and then notifies the Department. The Department would then need to determine what process to follow next or resubmit for approval. **[MAP SHAPE 5,6]**
5. If a new hire is needed, department or school initiates a request to hire (HR-8 form). Process then goes to "New Hire" **[MAP SHAPE 7,8,9]**
6. If there is a performance, conduct problem or retirement, HR looks for a vacant position. If there is a vacancy then the process moves to the Personnel Action Process. If there is no vacancy then the process continues to request an overstaff key via email and creates the overstaff key. **[MAP SHAPE 7, 10, 11, 12]**
7. HR notifies Budget via email (contains overstaff key) **[MAP SHAPE 13]**
8. Budget establishes funding from reserve in Lawson and notifies HR via email **[MAP SHAPE 14,15]**
9. HR receives notification and reassigns employee to the new position. Process then goes to "Personnel Actions" for reassignment of person to the position **[MAP SHAPE 15, 16]**

Triggers:

- Reasons for overstaff: performance (conduct), leave (e.g. short term disability), or destaff (eliminate position but not the person). Creates two overstaff approval paths (see map)

Key Process Participants:

- HR
- Departments/Schools
- Budget
- Leadership Team

Inputs:

Input	*Format*
Overstaff request	Manual (email or phone)

Outputs:

Output	*Format*
N/A	
N/A	

IT Support:

Application/System Name	*Technology Description*
Email	MS Outlook
Lawson	School HR system

Regulations:

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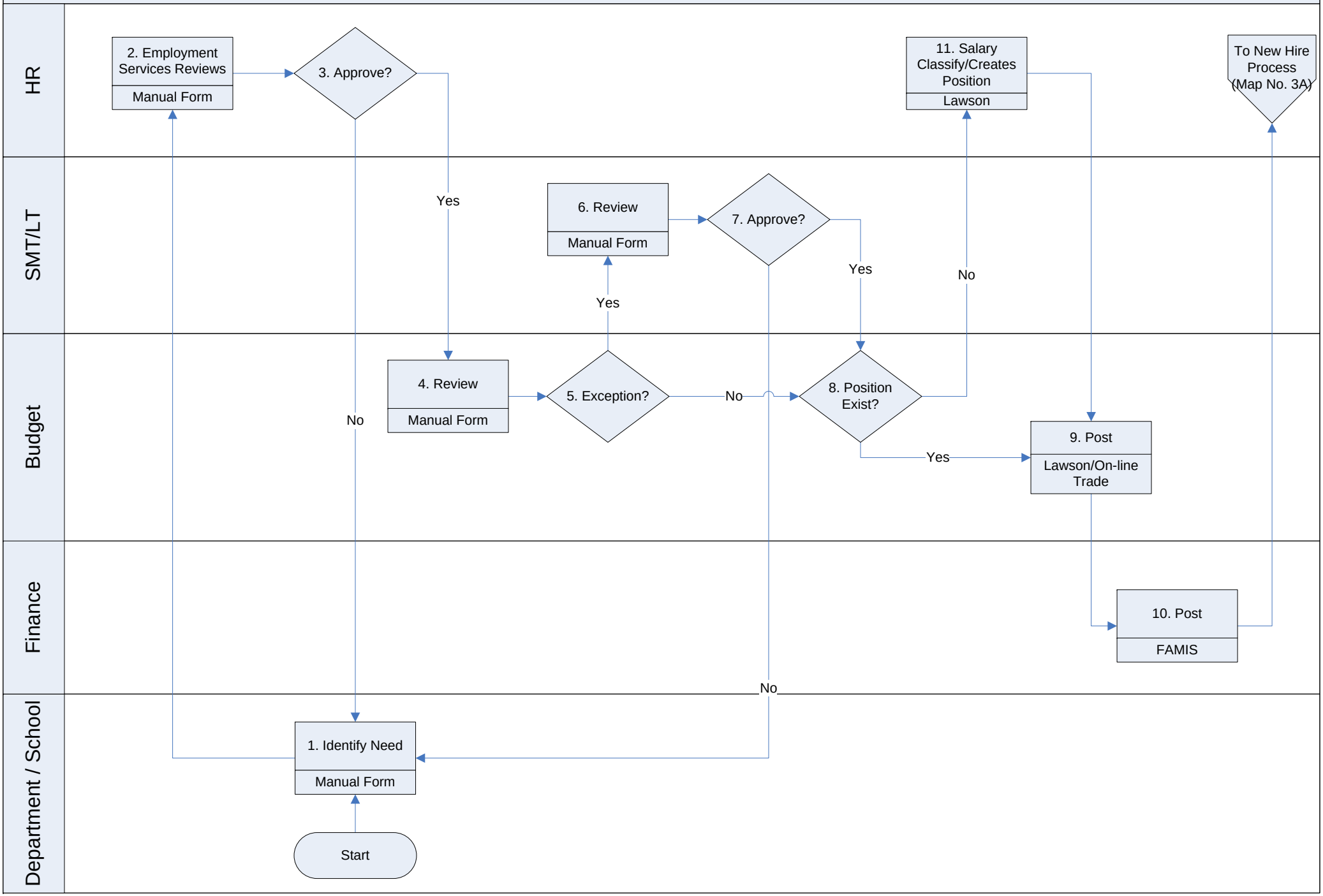
Human Resources [Final]
Sub-Process: Personnel Services Costing – Position Trades

Map Name: HR_PSC_TRADES
Map No.: 8B



Process Name: Human Resources	**Process Identifier:** HR_PSC_TRADES
Sub-Process Name: Personnel Services Costing - Position Trades	**Map Number: 8B**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. NOTE: Using process 45E (BUD_ADJUST_OC_TRADE_v2) as a template for this sub process.
2. Department or School identifies need and submits request to Employee Services on a paper form **[MAP SHAPE 1]**
3. Employment Services reviews the request. **[MAP SHAPE 2]** If not approved, the request goes back to the school or department. **[MAP SHAPE]** If approved, the request goes to the Budget Office. **[MAP SHAPE 3]** Alternatively, all exceptions go to LT which accepts or rejects and sends to Budget Office **[MAP SHAPE 5,6,7]**
4. The Budget Office determines whether the position exists **[MAP SHAPE 8]**
5. If the position does not exist, it will be sent to Position Management to add/classify the position **[MAP SHAPE 11]**. If or once position exists, the Budget Department posts the approved tradeoff to Lawson and the Online Trades application. **[MAP SHAPE 9,10]**
6. Finance posts to FAMIS and process goes to HR for the New Hire Process – Merit (Map 3A) if the candidate or employee has been identified. If the candidate/employee has not been identified then it will go to the Recruitment – Merit or Recruitment – Temporary/Hourly process depending on the position being traded.

Triggers:

- Position trade request form submitted

Key Process Participants:

- HR
- LT
- Budget
- Finance
- Schools/Department

Inputs:

Input	*Format*
Position trade form	Manual (paper-based)

Outputs:

Output	*Format*
N/A	
N/A	

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools HR system
FAMIS	Legacy financial system

Regulations:

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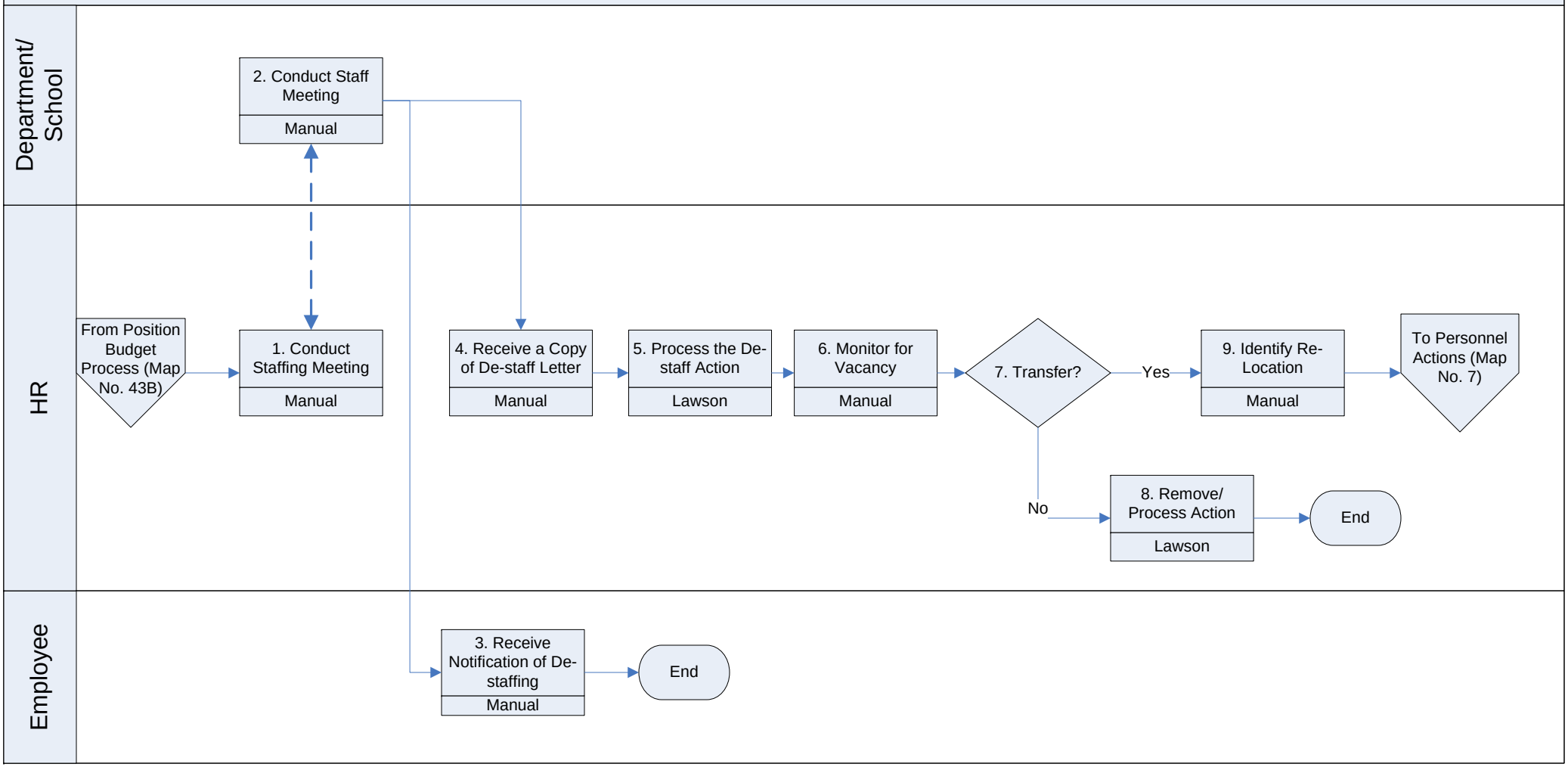
Human Resources [Final]
Sub-Process: Personnel Services Costing – De-Staffing

Map Name: HR_PSC_DESTAFF
Map No.: 8C



Process Name: Human Resources	**Process Identifier:** HR_PSC_DESTAFF
Sub-Process Name: Personnel Services Costing – De-Staffing	**Map Number:** 8C

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Budget and Facilities send staffing requirements and budget to HR (see map 43B, step 5). Destaffing is required when the number of teachers exceeds the number of needed positions.
2. HR schedules and conducts staffing meeting to determine which employee (based on seniority) will be destaffed by school. **[MAP SHAPE 1,2]**
3. School (principal) sends letter to employee informing them they have been destaffed. **[MAP SHAPE 3]**
4. School sends a copy of the letter to HR to update Lawson with destaff action. **[MAP SHAPE 4,5]**
5. During the school year, HR periodically monitors vacancies to see if destaffed instructional personnel can be reassigned Support personnel skip [MAP SHAPE 5]. **[MAP SHAPE 6]**
6. NOTE: HR hosts a three day "Instructional Trans-Fair" once per year to allow active and destaffed personnel a chance to apply for transfers to other schools.
7. If there is a vacancy at the same school in the same position(transfer not needed), HR removes destaff action on the employee and the process ends **[MAP SHAPE 7,8]**
8. If there is a vacancy at a different school or different position at the same school (transfer needed), HR identifies the relocation and processes the transfer in personnel actions. **[MAP SHAPE 7,9]**
9. NOTE: If an instructional employee is involuntarily transferred and a vacancy subsequently opens at their original school, the employee is transferred back. Support personnel do not automatically have that right.

Triggers:

- ❑ April staffing meeting

Key Process Participants:

- ❑ HR
- ❑ Departments/Schools
- ❑ Employees

Inputs:

Input	*Format*
Budget projections	Manual
Staffing requirements	Manual

Outputs:

Output	*Format*
N/A	
N/A	

IT Support:

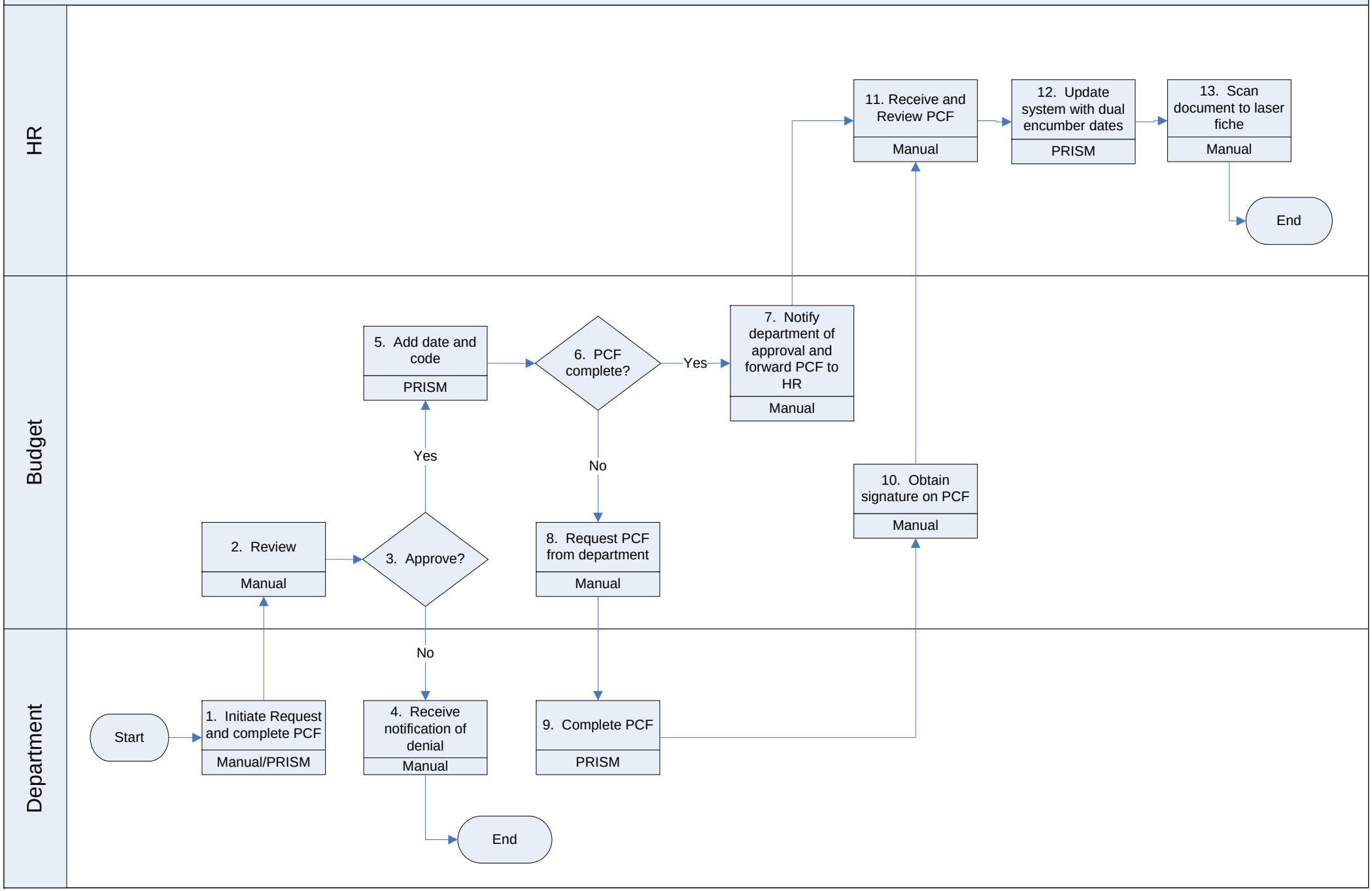
Application/System Name	*Technology Description*
Lawson	Schools HR system

Regulations:

- Destaff Regulation (4621) for instructional personnel
- Reallocation of Authorized Funds Affecting Positions (5135.4)
- Destaff Regulation for support personnel.

Human Resources [FINAL]
Sub-Process: Personnel Services Costing – Dual Encumbrance

Map Name: HR_PSC_DUAL
Map No.: 8D



Process Name: Human Resources	**Process Identifier:** HR_PSC_DUAL
Sub-Process Name: Personnel Services Costing – Dual Encumbrance	**Map Number:** 8D

Sub-Process Purpose and Objectives: Obtain approval to have more than one person in a single position for a limited time (County)

Sub-Process Description:

1. Department initiates request to the Budget Department, usually via email or hard copy. Request can be for a new dual encumbrance or to extend the end date of an existing one. **[MAP SHAPE 1]**
2. Budget reviews and approves the request, enters the encumbrance expiration dates, comments and appropriate indicators into PRISM. **[MAP SHAPE 2, 3, 5]**
3. If Budget does not approve the request (e.g. there is another way to meet the need without dual encumbrance), then Budget notifies the Department and the process ends. **[MAP SHAPE 3, 4]**
4. If the Personnel Control Form (PCF) is not complete, Budget will notify the Department to complete it. **[MAP SHAPE 6, 8]**
5. Once the Department completes the PCF, they forward it to Budget for signature. Budget signs the form and forwards it and any other documentation to HR **[MAP SHAPE 9, 10, 11]**
6. If the Personnel Control Form was complete at the time of the request, Budget notifies the Department of its approval and forwards the form and any other documentation to HR **[MAP SHAPE 6, 7, 11]**
7. HR updates PRISM with the appropriate encumbrance dates and scans the document to laser fiche and the process ends. PRISM is now set-up to allow a second incumbent to occupy the position. **[MAP SHAPE 12, 13]**

NOTE: Many times the initial request is via phone and verbal approval is used in lieu of written documentation.
NOTE: Departments can dual encumber a person into a position for up to three pay periods without obtaining Budget approval and without going through this process.

Triggers:

- ❑ Department initiates dual encumbrance request

Key Process Participants:

- ❑ HR
- ❑ Departments
- ❑ Budget

Inputs:

Input	*Format*
Dual encumbrance request	Manual (email or phone)
Personnel Control Form (PCF)	PRISM

Outputs:

Output	*Format*
N/A	
N/A	

IT Support:

Application/System Name	*Technology Description*
Email	MS Outlook
PRISM	County human resource system

Regulations:

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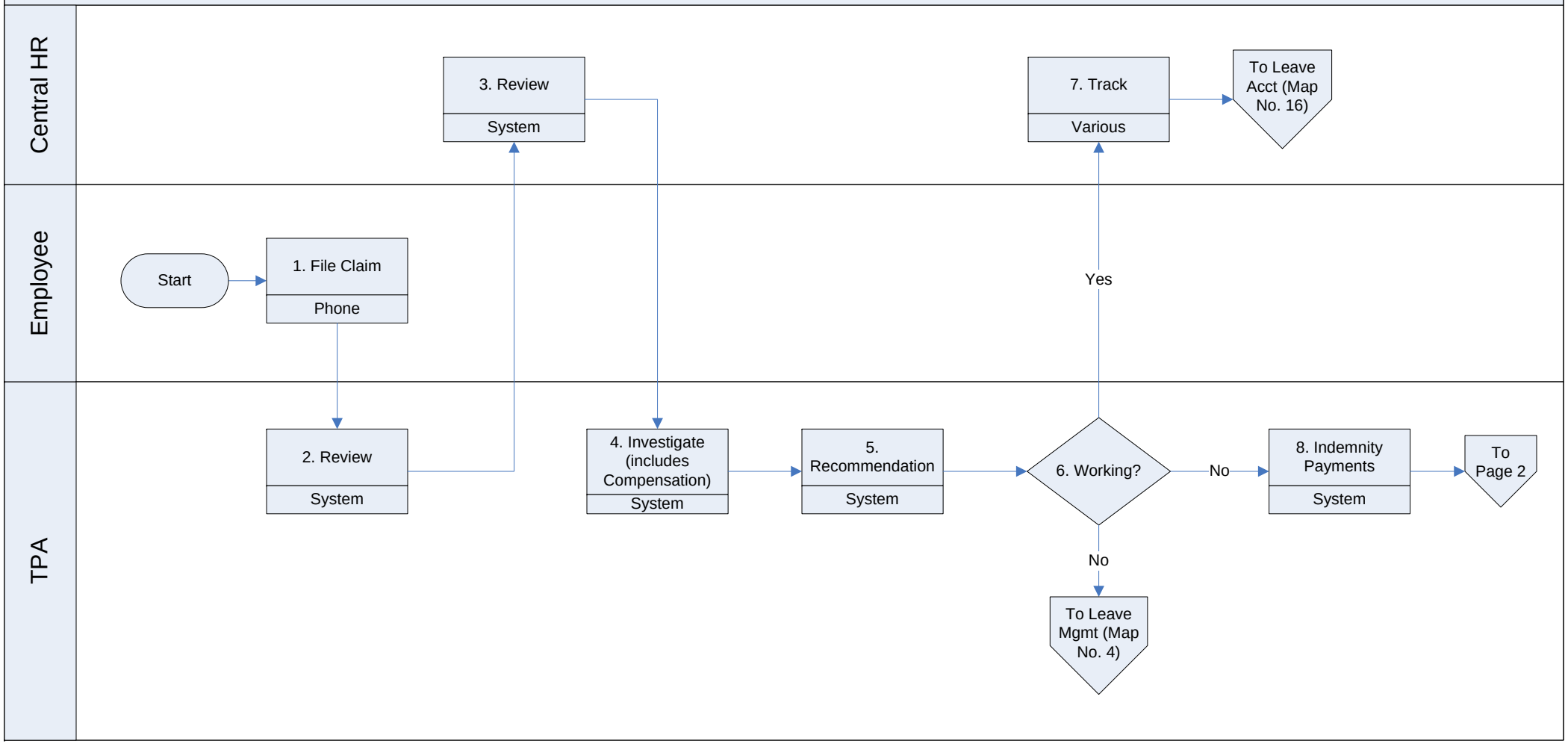
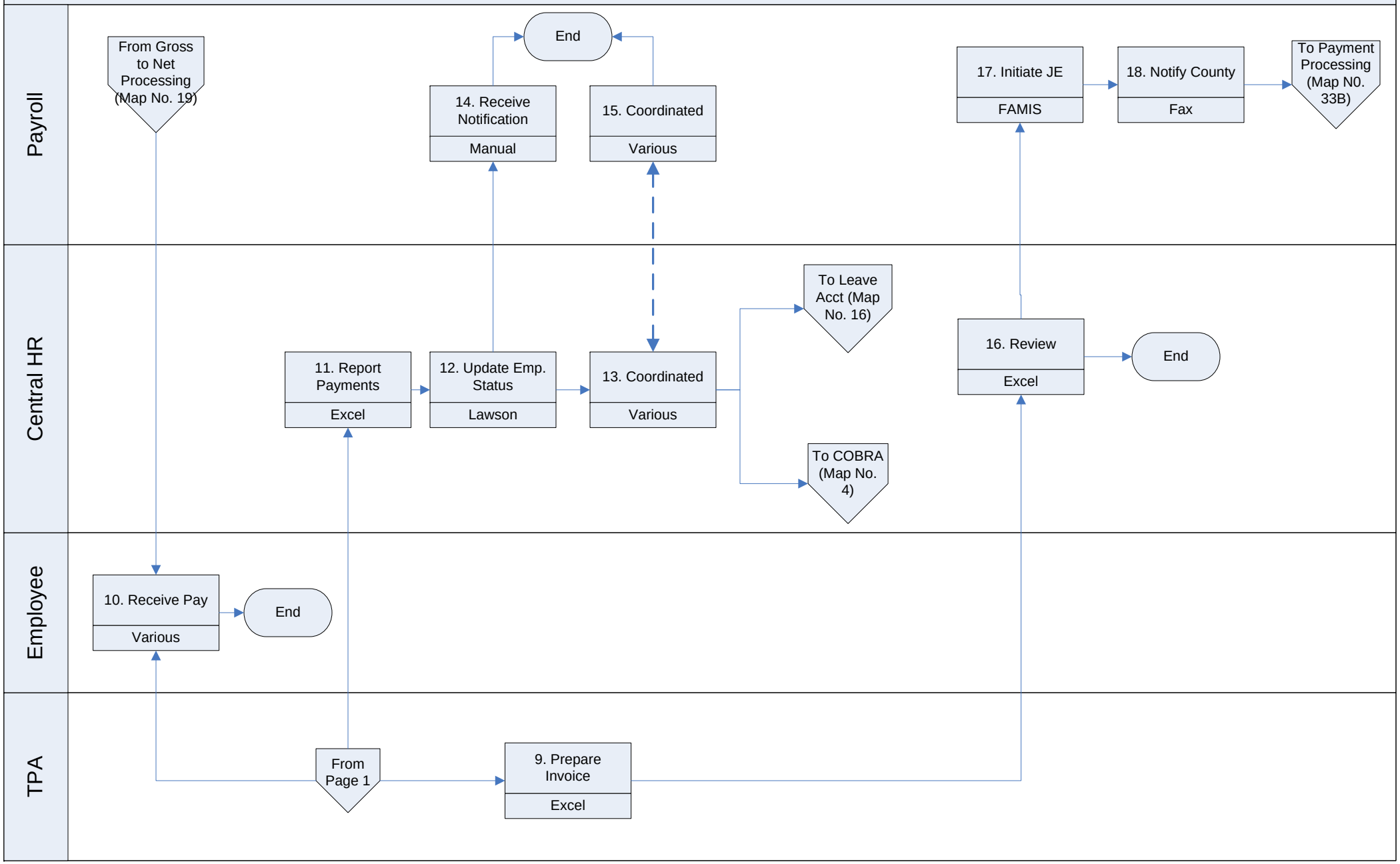
Human Resources [Final]
Sub-Process: Risk Management – Workers Compensation (Schools)

Map Name: HR_RISK_WC_SCH
Map No.: 9A



Human Resources [Final]
Sub-Process: Risk Management – Workers Compensation (Schools)

Map Name: HR_RISK_WC_SCH
Map No.: 9A



Process Name: Human Resources	**Process Identifier:** HR_RISK_WC_SCH
Sub-Process Name: Risk Management – Workers Compensation (Schools)	**Map Number:** 9A

Sub-Process Purpose and Objectives: Describe the Workers Compensation process for the Schools

Sub-Process Description:

1. An Employee files a claim by calling the School TPA's (Third Party Administrator) toll free number. **[MAP SHAPE 1]**
2. The TPA receives the information from the Employee, sets up a claim and notifies Central HR that the Employee has filed a worker compensation claim. **[MAP SHAPE 2, 3]**
3. The TPA conducts an investigation of the claim and makes a recommendation of the Employee's ability to work and the compensability of the claim. **[MAP SHAPE 4, 5]**
4. If the Employee is not able to work the Employee may be eligible for short term and/or long term disability. **[MAP SHAPE 6]**
5. If the Employee is not able to work and the claim is compensable, the TPA makes indemnity payments to the Employee (NOTE: If the Employee is able to work and is not loosing time, the claim may be compensable for medical payments). **[MAP SHAPE 8]**
6. If the Employee is able to work Central HR tracks the kinds of lost time reasons the Employee reports on their time sheet. **[MAP SHAPE 7]**
7. The indemnity payment the Employee receives from the TPA may be supplemented by payments from School Payroll. **[MAP SHAPE 10]**
8. As the TPA makes payments to an Employee for a compensable lost time claim, they periodically bill the School for the claims paid and administrative fees. School Central HR reviews the invoice from the TPA and forwards the invoice for payment by the County. **[MAP SHAPE 9, 16, 17, 18]**
9. Reports of payments made and the Employee's status are sent to Central HR who track the payments made in an Excel program and the Employee status in Lawson. **[MAP SHAPE 11, 12]**
10. Central HR notifies Payroll of the Employee's status. **[MAP SHAPE 14]**
11. Workers compensation, short term disability and long term disability are the three parts of a coordinated claim payment process for an Employee. **[MAP SHAPE 13, 15]**

Triggers:

- Employee files a workers compensation claim
- TPA investigates the claim
- Compensability determination is made
- Can the Employee work
- Indemnity payments made
- Status reporting

Key Process Participants:

- Payroll
- Central HR
- Employee
- TPA

Inputs:

Input	*Format*
Claim filed	Verbal - phone
TAP Reports	Various
Indemnity Payments	Check
TPA reimbursement claim	Excel

Outputs:

Output	*Format*
Investigation report	Various
Eligibility determined	Various
Employee payment	Check
TPA reimbursement	Check

IT Support:

Application/System Name	*Technology Description*

Lawson	Schools human resource system	
Excel	Spreadsheet	
FAMIS	Financial system	

Regulations:

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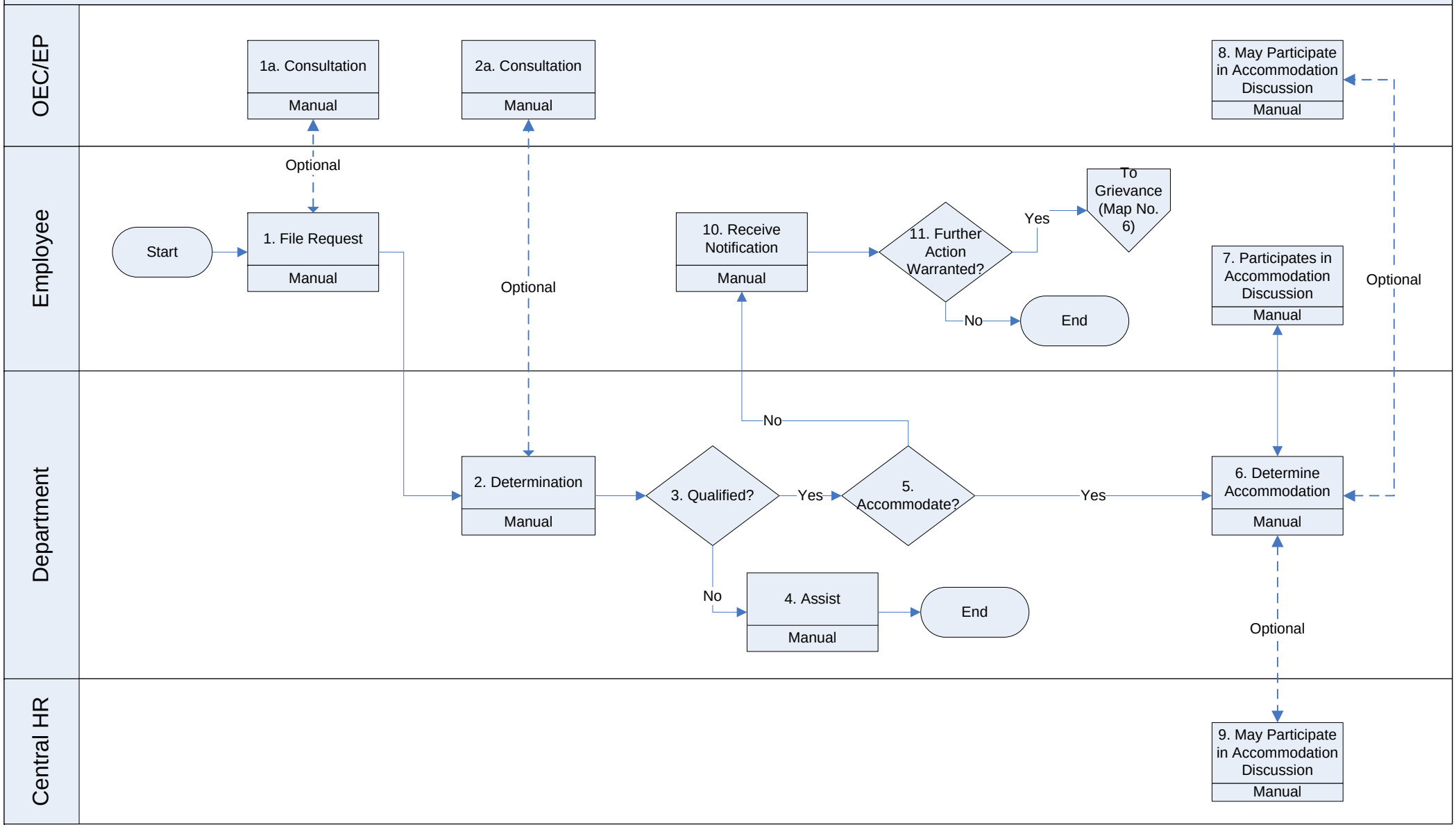
Human Resources [FINAL]
Sub-Process: Risk Management – ADA (County)

Map Name: HR_RISK_ADA_CO
Map No.: 9B



Process Name: Human Resources	**Process Identifier:** HR_RISK_ADA_CO
Sub-Process Name: Risk Management – ADA (County)	**Map Number:** 9B

Sub-Process Purpose and Objectives: Determine if an Employee can be accommodated under the ADA

Sub-Process Description:

1. Employee initiates a Reasonable Accommodation Request (ADA) request to the Department. Equity Programs may be consulted during this step. **[MAP SHAPE 1, 1a]**
2. The Employee's Department makes a determination if the Employee request is covered under the ADA and if it will accommodate the Employee's request. Equity Programs may be consulted during this step. **[MAP SHAPE 2, 2a]**
3. If the Employee does not qualify under the ADA the Department may still try to assist the employee. **[MAP SHAPE 3, 4]**
4. If the Employee does qualify under ADA, the Department determines if they will accommodate the Employee's request. **[MAP SHAPE 3, 5]**
5. If the Department determines that it will accommodate the Employee's request, it becomes an interactive process between the Department and the Employee to come to an agreement on how the County can accommodate the Employee; Central HR and/or Equity Programs may participate (optional). **[MAP SHAPE 6, 7, 8, 9]**
6. If the Department determines that they cannot accommodate the Employee's request, the Employee is notified of the decision. **[MAP SHAPE 5, 10]**
7. The Employee must now make a decision as to whether or not they wish to take further action. If the Employee decides not to take any further action the process ends. **[MAP SHAPE 11]**
8. If the Employee decides to pursue the matter of accommodation further, they can file a grievance and follow the grievance process or alternatively decide to appeal to the Equity Programs Department for an informal review of their request for accommodation. **[MAP SHAPE 11]**

Note: Employee can consult with HR or Equity Programs at any stage of process

Triggers:

- ❑ Employee request accommodation under ADA
- ❑ Determination by the Department to or not to accommodate Employee
- ❑ Employee response action if not accommodated

Key Process Participants:

- ❑ Equity Programs
- ❑ Employee
- ❑ Department
- ❑ Central HR

Inputs:

Input	*Format*
Employee Request	Manual
Employee Response	Manual

Outputs:

Output	*Format*
Department determinations	Manual
Grievance	Manual
Appeal to Equity Programs	Manual

IT Support:

Application/System Name	*Technology Description*

Regulations:

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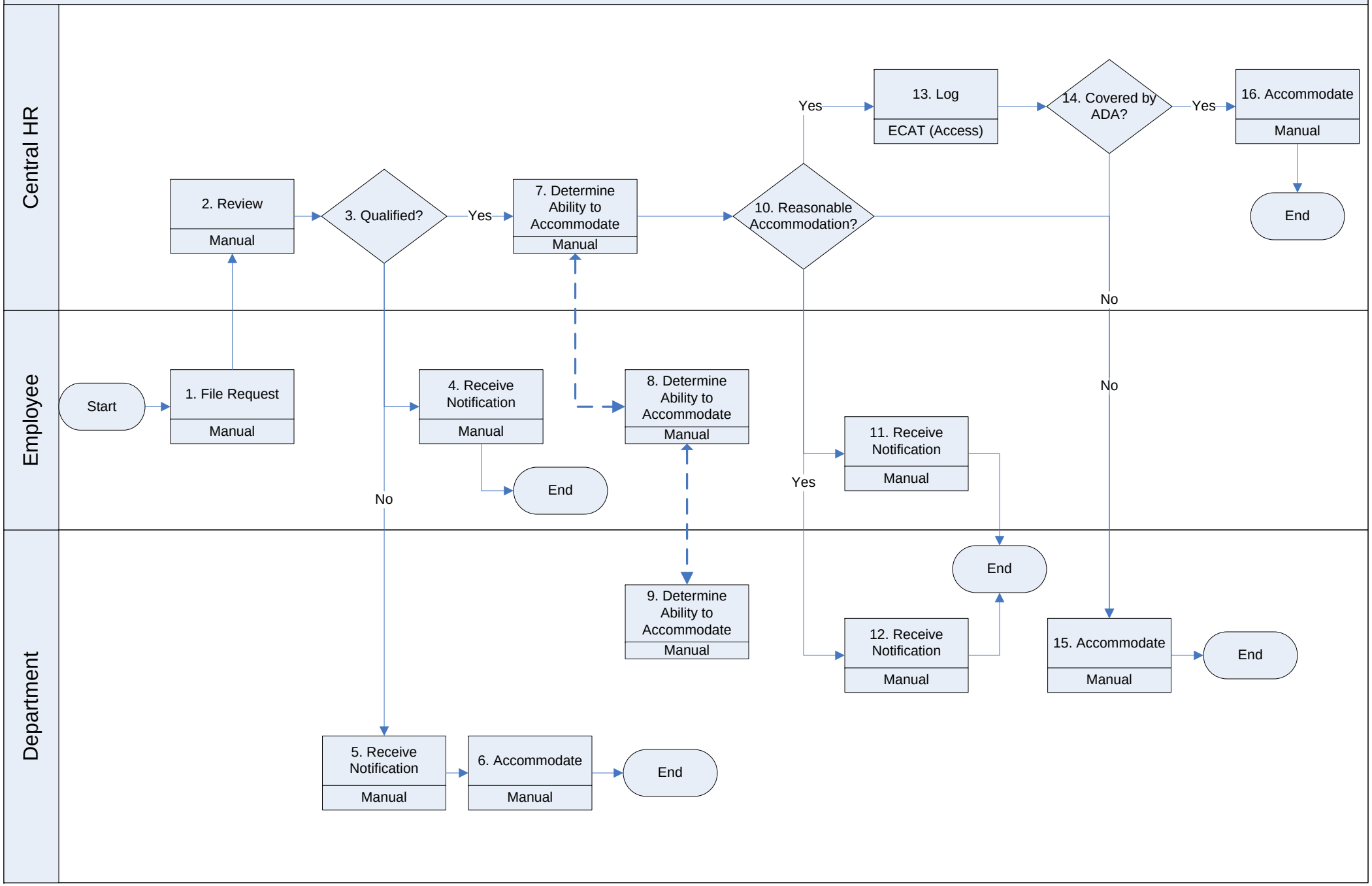
Human Resources [Final]
Sub-Process: Risk Management – ADA (Schools)

Map Name: HR_RISK_ADA_SCH
Map No.: 9C



Process Name: Human Resources	**Process Identifier:** HR_RISK_ADA_SCH
Sub-Process Name: Risk Management – ADA (Schools)	**Map Number:** 9C

Sub-Process Purpose and Objectives: Determine if an employee can be accommodated under the ADA

Sub-Process Description:

1. Employee initiates an ADA accommodation request with Central HR. **[MAP SHAPE 1]**
2. Central HR reviews the Employee's request for accommodation and makes a determination as to weather the Employee qualifies for an ADA accommodation. **[MAP SHAPE 2, 3]**
3. If Central HR determines that the Employee does qualify for an accommodation under ADA, a determination is made on the ability of the Schools to accommodate the Employee. **[MAP SHAPE 3, 7]**
4. This is an interactive process between the Department, Central HR and the Employee to come to an agreement on how the Schools can accommodate the Employee's request. **[MAP SHAPE 7, 8, 9]**
5. If the Employee does not qualify under the ADA, Central HR notifies the Employee and the Department of its decision. However, the Department will still try to make an accommodation for the Employee. **[MAP SHAPE 3, 4, 5, 6]**
6. After Central HR determines that an Employee is qualified under ADA it now determines if the Schools can reasonably accommodate the Employee. **[MAP SHAPE 10]**
7. If Central HR determines that the Employee can be reasonable accommodated, they will notify the Employee and the Department in a letter detailing what the accommodation for the Employee will be. **[MAP SHAPE 10, 11, 12]**
8. Information about the accommodation is entered into the ECAT database. **[MAP SHAPE 13]**
9. If Central HR cannot make reasonable accommodations or the Employee is not covered under ADA, Central HR notifies the Department to try to make some accommodation of the Employee and the process ends. **[MAP SHAPE 10, 14, 15]**
10. If the Employee is covered by ADA, the accommodations are made and the process ends. **[MAP SHAPE 14, 16]**

Triggers:

- ❑ Employee files for accommodation under ADA
- ❑ Central HR determines weather Employee is covered under ADA
- ❑ Central HR determines weather is will accommodate the Employee request

Key Process Participants:

- ❑ Central HR
- ❑ Employee
- ❑ Department

Inputs:

Input	*Format*
Employee request	Manual
Data recorded in ECAT	Manual

Outputs:

Output	*Format*
Central HR determination	Manual
Periodic reports	Electronic

IT Support:

Application/System Name	*Technology Description*
ECAT	Access database

Regulations:

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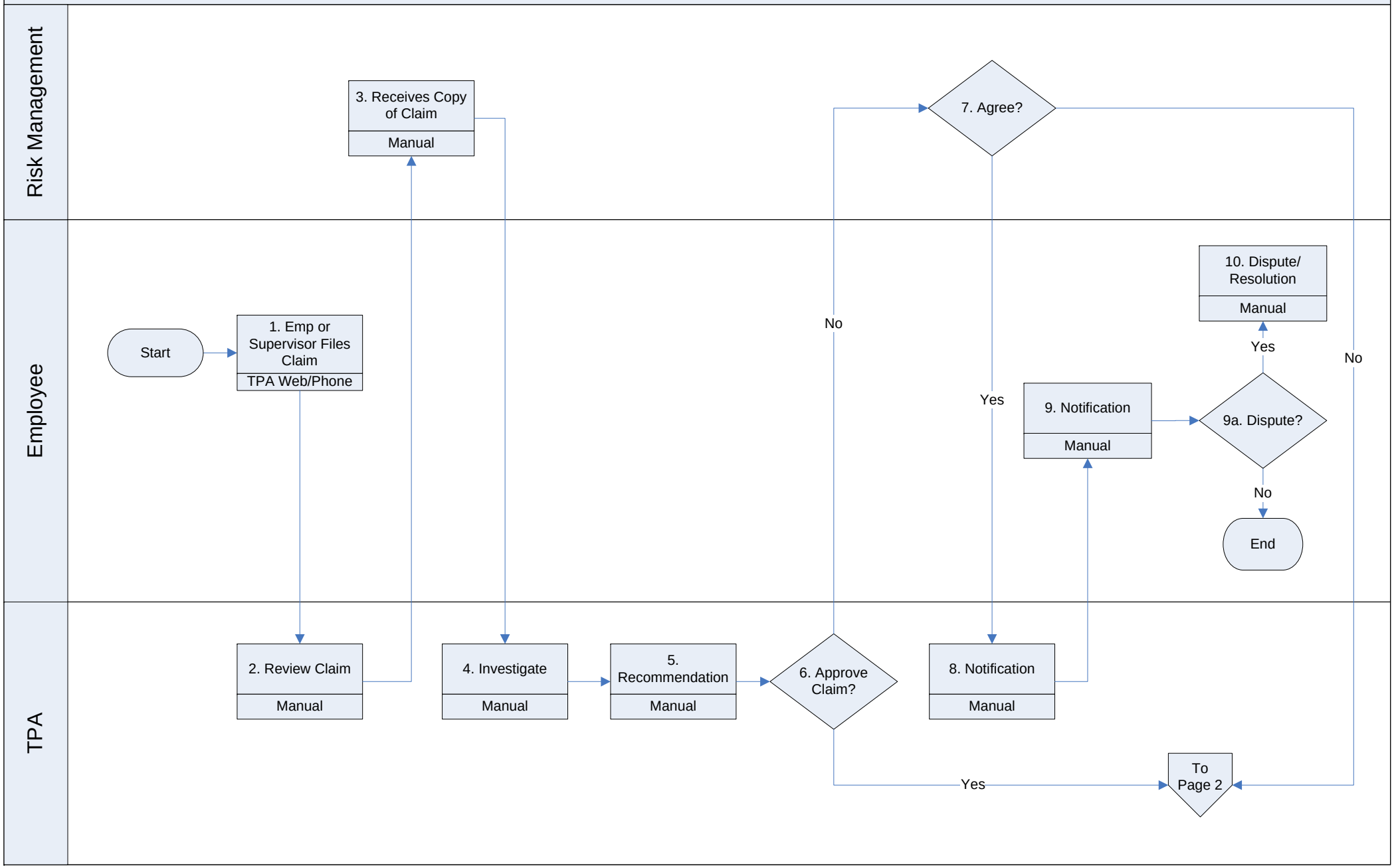
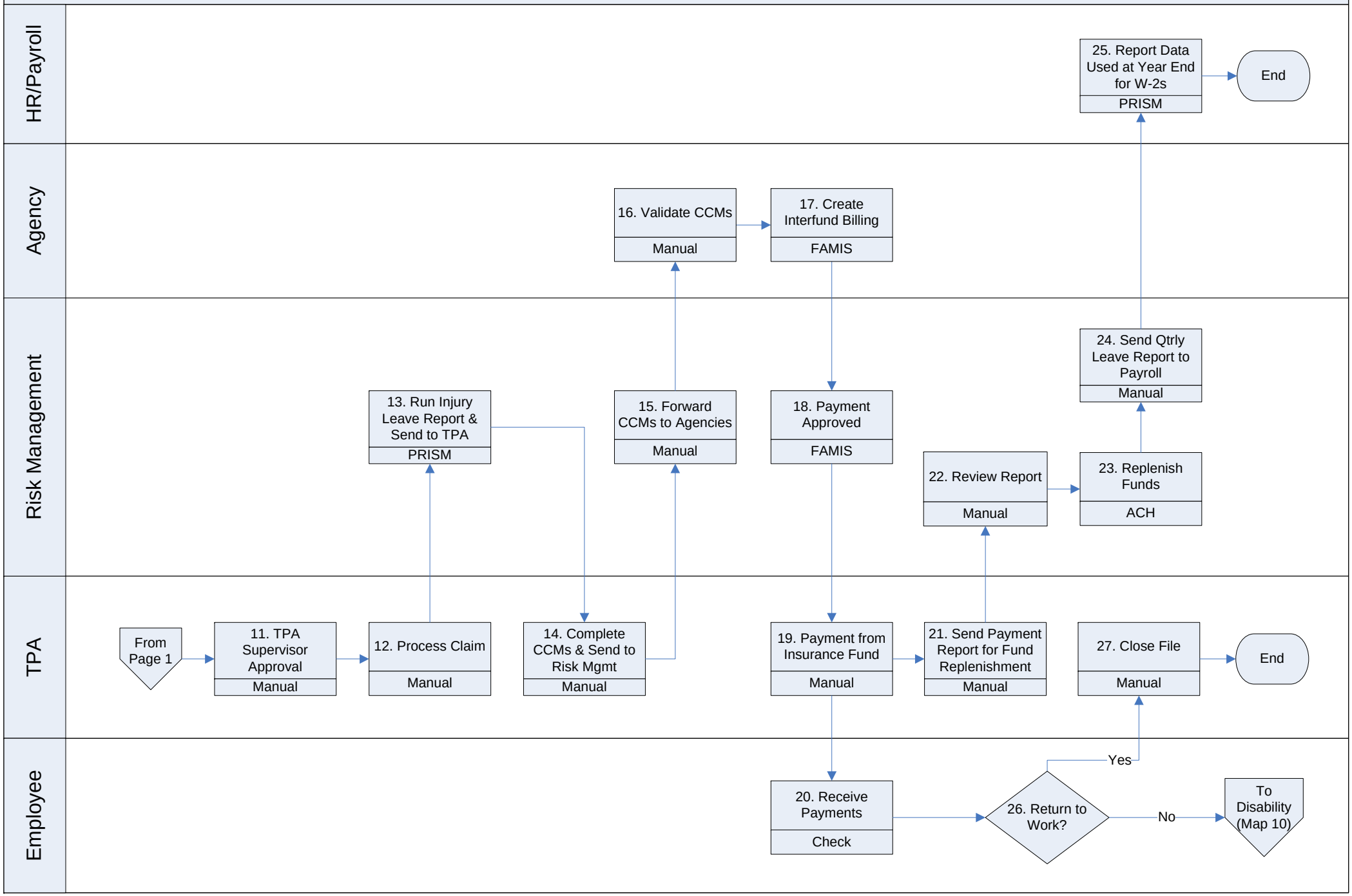
Human Resources [FINAL]
Sub-Process: Risk Management – Workers Compensation (County)

Map Name: HR_RISK_WC_CO
Map No.: 9D



Human Resources [FINAL]
Sub-Process: Risk Management – Workers Compensation (County)

Map Name: HR_RISK_WC_CO
Map No.: 9D



Process Name: Human Resources	**Process Identifier:** HR_RISK_WC_CO
Sub-Process Name: Risk Management – Workers Compensation (County)	**Map Number:** 9D

Sub-Process Purpose and Objectives: Describe the Workers Compensation process for the County

Sub-Process Description:

1. An Employee or their supervisor files a claim with the Third Party Administrator (TPA) via their website or phone call. Employee/Supervisor receives a confirmation number from the TPA at the time they file the claim. **[MAP SHAPE 1]**
2. The TPA reviews the claim and forwards a copy to Risk Management. Risk Management sets up a mirror file of the claim. **[MAP SHAPE 2, 3]**
3. The TPA conducts an investigation of the claim and makes a recommendation of the Employee's ability to work and the compensability of the claim. **[MAP SHAPE 4, 5]**
4. If the TPA denies the claim, it is sent to Risk Management for approval. If Risk Management agrees with the denial, they notify the TPA and the TPA notifies the employee. At this point, the employee is provided information on the dispute/resolution process. If Risk Management does not agree with the claim denial, the claim is processed. **[MAP SHAPE 6, 7, 8, 9, 9a, 10]**
5. If the TPA approves the claim, the claim is sent to the TPA Supervisor for approval. Once approved, the claim is processed. **[MAP SHAPE 11, 12]**
6. If the claim is approved by all parties and the employee is getting injury leave for lost work time, Risk Management runs a PRISM report detailing everyone who is on injury leave for the prior 2 weeks and sends the report to the TPA. **[MAP SHAPE 13, 14]**
7. The TPA completes a Credit Compensation Memorandum (CCM) for each employee on injury leave for hours/times missed from work and sends the CCMs to Risk Management. **[MAP SHAPE 14, 15]**
8. Risk Management distributes the CCMs to the applicable Agency who validates the information. The Agency then creates an interfund billing in FAMIS which is sent to Risk Management. This represents the approval for payment from the insurance fund. **[MAP SHAPE 15, 16, 17, 18, 19, 20]**
9. Weekly, the TPA sends a detailed report of all payments made to Risk Management, requesting replenishment of funds. **[MAP SHAPE 21]**
10. Risk Management reviews the report for accuracy and then allocates the money to the fund via ACH. **[MAP SHAPE 22, 23]**
11. Eventually, a physician makes a determination if the employee can return to work. Once the employee's treatments stop and it has been determined they can return to work, the file is closed. If the physician determines the employee cannot return to their work position, the employee files for service connected disability through Retirement (see map 10E under Retirement). **[MAP SHAPE 26, 27]**
12. At the end of each quarter, Risk Management sends a report of all injury leave to HR/Payroll; this information is used at year end for W-2s. **[MAP SHAPE 24, 25]**

Triggers:

- ❑ Employee/Supervisor files a workers compensation claim
- ❑ TPA investigates the claim
- ❑ Compensability determination is made
- ❑ Claim is approved
- ❑ Payments made

Key Process Participants:

- ❑ Employee/Supervisor
- ❑ TPA
- ❑ Risk Management
- ❑ Agency
- ❑ HR/Payroll

Inputs:

Input	***Format***
Claim filed	TPA Website or Phone
Injury leave report to TPA	Paper
TPA report of payments	Paper

Outputs:

Output	***Format***
Investigation determination	Various
Credit Compensation Memorandum	Paper
Employee payment	Check

TPA replenishment of funds	ACH
Injury leave report to HR/Payroll	Excel

IT Support:

Application/System Name	***Technology Description***
PRISM	County human resource system
Excel	Spreadsheet
FAMIS	Financial system

Regulations:

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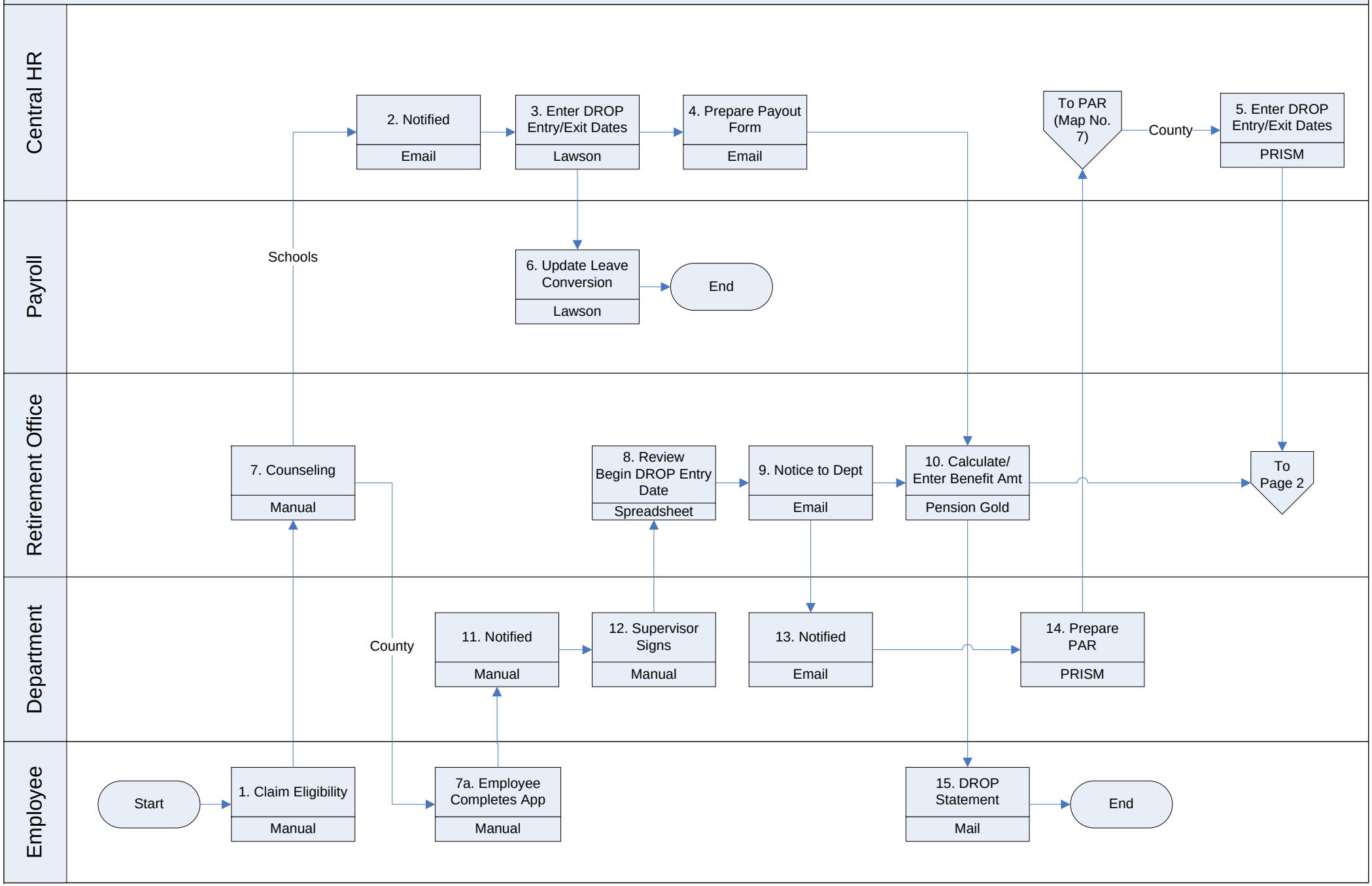
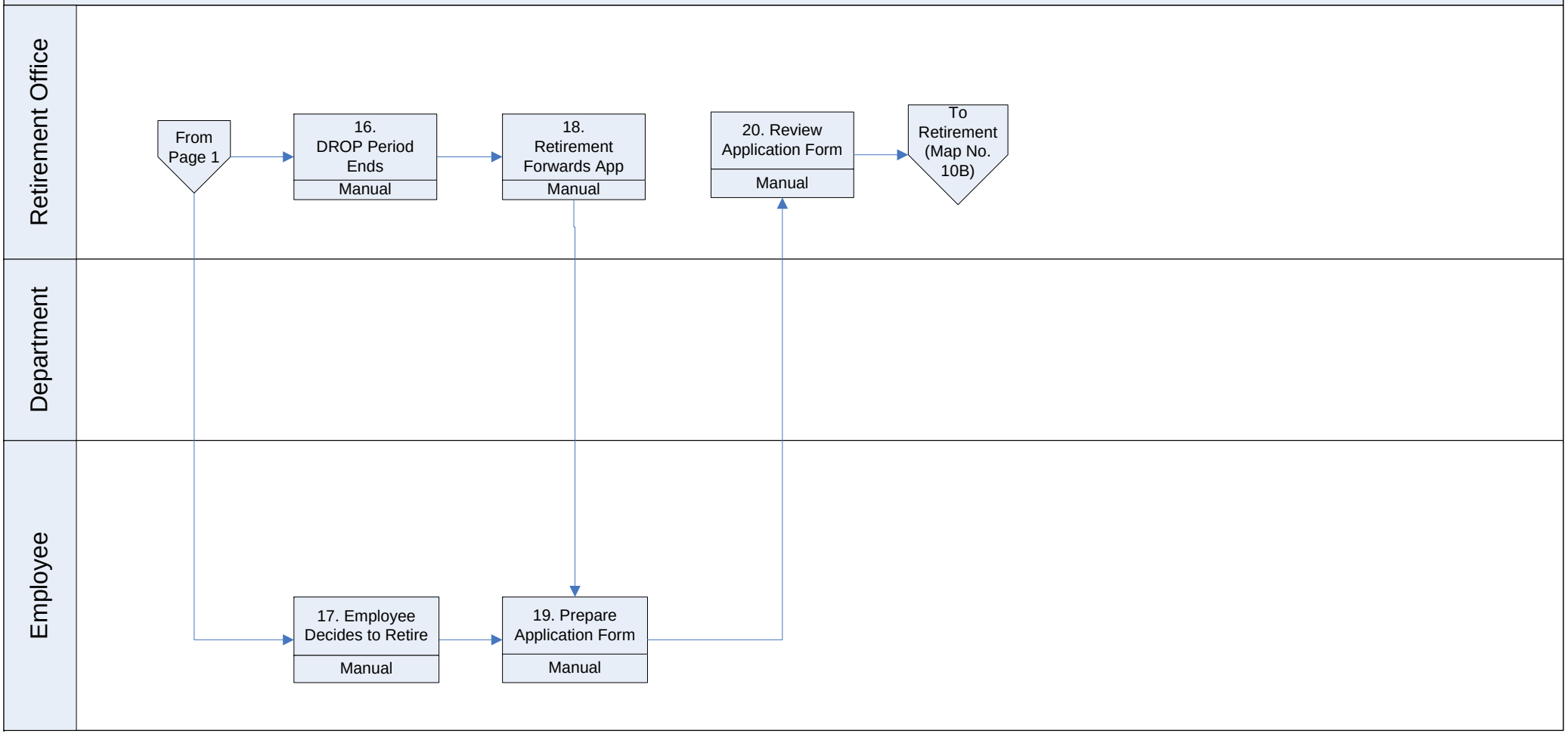
Human Resources [FINAL]
Sub-Process: Retirement – DROP (FCERS)

Map Name: HR_RETIRE_DROP
Map No.: 10A



Human Resources [FINAL]
Sub-Process: Retirement – DROP (FCERS)

Map Name: HR_RETIRE_DROP
Map No.: 10A



Process Name: Human Resources	**Process Identifier:** HR_RETIRE_DROP
Sub-Process Name: Retirement – DROP (FCERS)	**Map Number:** 10A

Sub-Process Purpose and Objectives: Enroll an Employee in the DROP program

Sub-Process Description:

1. An Employee requests retirement and entry into DROP (Deferred Retirement Option Program). An Employee can stay in the DROP program for up to three years then they must retire. **[MAP SHAPE 1]**
2. The Retirement Office receives the Employees request and gathers DROP information and prepares an information packet for the Employee. The Employee gets the retirement forms and reviews the DVD and other information and participates in the counseling process. **[MAP SHAPE 1, 7]**
3. If the Employee is a Schools Employee, the Retirement Office emails a copy of the application to Central HR notifying the Schools that the Employee has entered DROP. If County employee, employee completes application. **[MAP SHAPE 7, 7a, 2, 11]**
4. Schools Central HR enters the Employee's DROP entry and exit dates and notifies School Payroll to perform the leave conversion calculation. **[MAP SHAPE 3, 6]**
5. School Central HR then prepares a payout form which is emailed to the Retirement Office. The Retirement Office calculates the benefit amount and enters the information into Pension Gold and the Employee is mailed a pension statement. **[MAP SHAPE 4, 10, 15]**
6. At the County, the Employee sends the retirement application to their Department for signature indicating that the Department is aware of the Employee's intentions. **[MAP SHAPE 11, 12]**
7. The Employee sends the signed application and other forms to the Retirement Office. The Retirement Office and HR/Payroll review the application and enter the Employee's DROP entry date into a spreadsheet. **[MAP SHAPE 12, 8]**
8. The Retirement Office prepares the 60 day notification email and emails it to the Department (an Employee must apply 60 days before retirement). The Retirement Office also calculates the benefit amount, enters it into Pension Gold, and sends copy of the DROP statement to the Employee. **[MAP SHAPE 9, 10, 15]**
9. The Department performs a Personnel Action Request (PAR) in PRISM and County Central HR reviews the PAR and enters the DROP entry date which triggers the DROP end date in PRISM. Excess sick leave is removed from PRISM. **[MAP SHAPE 14, 5]**
10. If the Employee decides to retire before the three years is up, the Employee prepares an application form and notifies the Retirement Office that they are retiring. **[MAP SHAPE 17, 19, 20]**
11. If the three years are up and the Employee has not retired, the Retirement Office sends a letter to the Employee with the application form included. **[MAP SHAPE 16, 18]**
12. The Employee prepares the application form and sends to the Retirement Office to review and retire the Employee. **[MAP SHAPE 19, 20]**

Triggers:

- An Employee enters into the DROP program

Key Process Participants:

- Central HR
- Payroll
- Retirement Office
- Department
- Employee

Inputs:

Input	*Format*
Employee application for DROP	Manual
Employee completes exit form	Manual

Outputs:

Output	*Format*
DROP entry date recorded	Electronic
DROP exit date recorded	Electronic

IT Support:

Application/System Name	***Technology Description***
Lawson	Schools human resource system
PRISM	County human resource system
Pension Gold	FCERS Pension Tracking System

Regulations:

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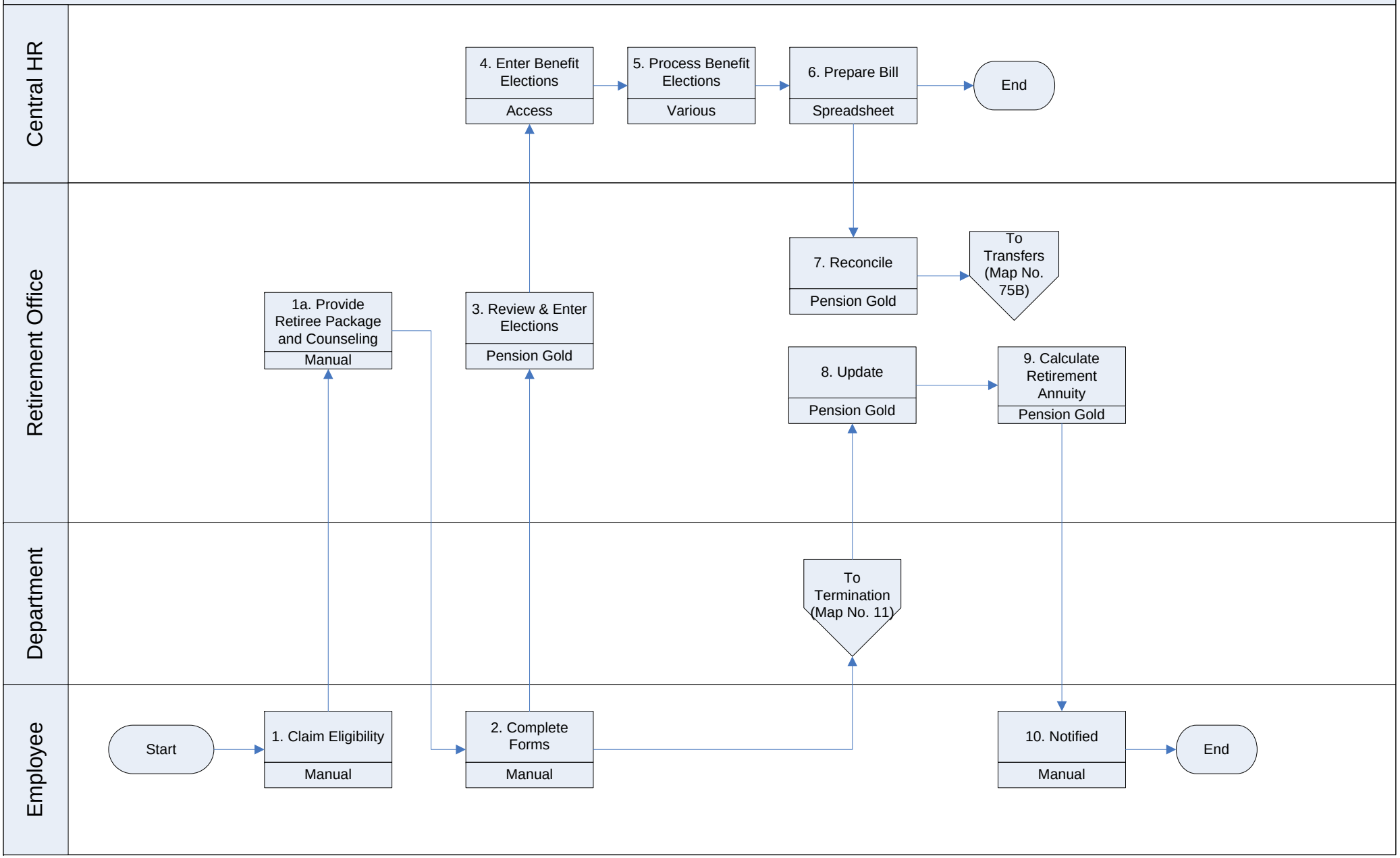
Human Resources [FINAL]
Sub-Process: Retirement – FCERS (County)

Map Name: HR_RETIRE_FCERS_CO
Map No.: 10B



Process Name: Human Resources	**Process Identifier:** HR_RETIRE_FCERS_CO
Sub-Process Name: Retirement – FCERS	**Map Number:** 10B

Sub-Process Purpose and Objectives: FCERS Employee retires

Sub-Process Description:

1. An Employee claims eligibility and contacts the Retirement Office for a retirement package. Retirement office provides the retiree package and counseling to the employee. **[MAP SHAPE 1, 1a]**
2. The Employee receives the package from the Retirement Office, completes the forms and returns them to the Retirement Office. **[MAP SHAPE 2, 3]**
3. The Retirement Office reviews the forms and forwards the benefit forms to Central HR. Central HR records the Employee's benefit elections in a database. The Retirement Office enters elections into Pension Gold. **[MAP SHAPE 3, 4]**
4. Central HR processes the benefit elections and includes forms in next premium bill. **[MAP SHAPE 5, 6]**
5. Central HR sends the premium bill to the Retirement Office. **[MAP SHAPE 6, 7]**
6. The Retirement Office verifies termination date and calculates the Employee's pension annuity and a copy is sent to the Employee. **[MAP SHAPE 8, 9, 10]**

Triggers:

- An Employee files for retirement

Key Process Participants:

- Central HR
- Department
- Retirement Office
- Employee

Inputs:

Input	*Format*
Retirement application	Manual

Outputs:

Output	*Format*
PAR	Electronic

IT Support:

Application/System Name	*Technology Description*
Access	Database
PRISM	County human resource system
PensionGold	FCERS Pension Tracking System

Regulations:

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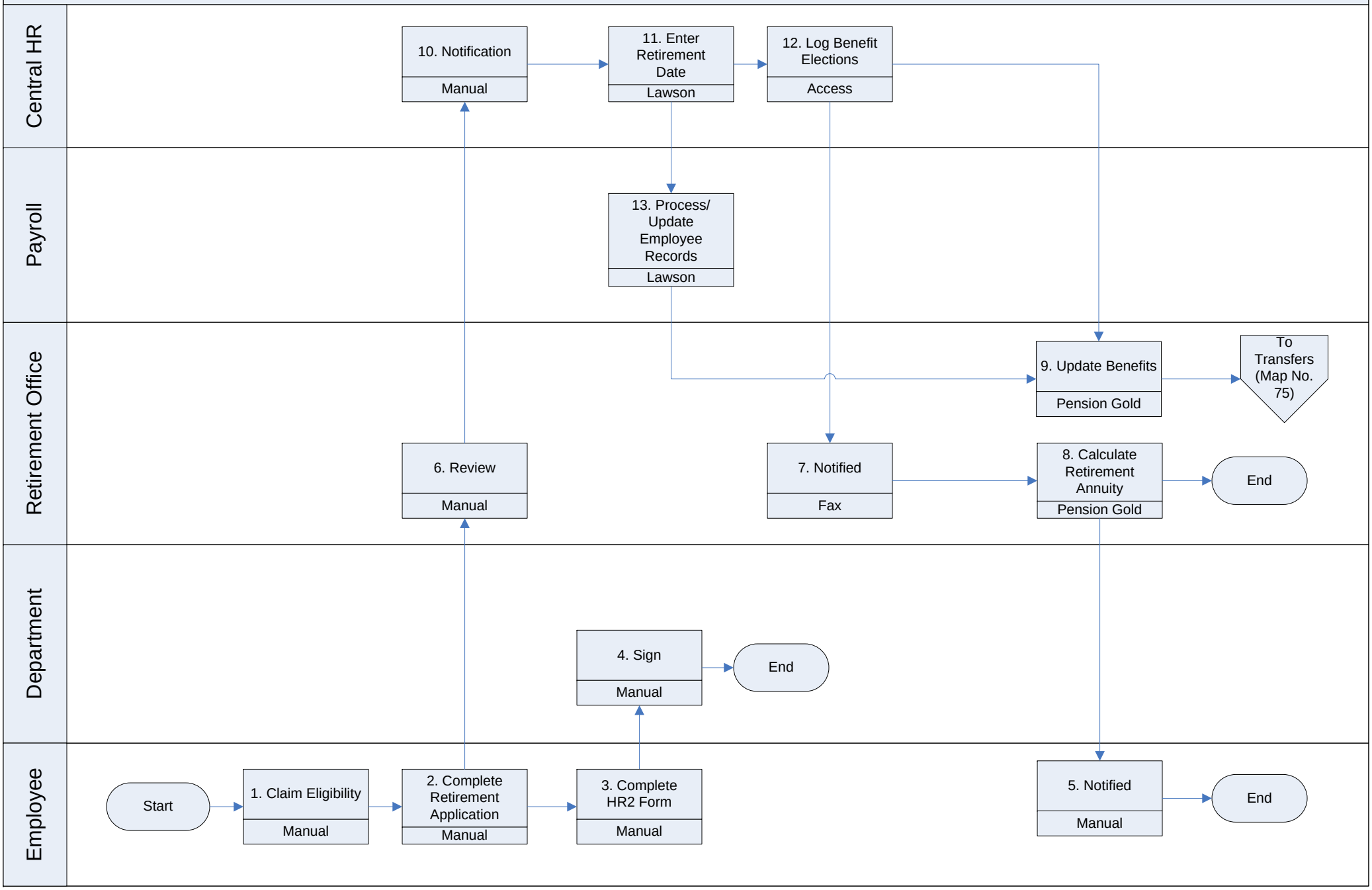
Human Resources [Final]
Sub-Process: Retirement – FCERS (Schools)

Map Name: HR_RETIRE_FCERS_SCH
Map No.: 10C



Process Name: Human Resources	**Process Identifier:** HR_RETIRE_FCERS_SCH
Sub-Process Name: Retirement – FCERS (Schools)	**Map Number:** 10C

Sub-Process Purpose and Objectives: A School Employee in FCERS applies for retirement

Sub-Process Description:

1. An Employee claims eligibility for retirement and contacts the Retirement Office for a retirement application form. **[MAP SHAPE 1]**
2. The Employee receives the form from the Retirement Office, completes the form and returns it to the Retirement Office. The Employee also completes an HR2 form and sends it to the Department for signature. **[MAP SHAPE 2, 6, 3, 4]**
3. The Retirement Office reviews the retirement application form and forwards the form to Central HR. Central HR records the Employee's retirement date in Lawson and logs the Employee's benefit elections into an Access database. The Retirement Office updates Pension Gold with the benefit information. **[MAP SHAPE 6, 10, 11, 12, 9]**
4. Central HR sends a copy of the retirement application the Payroll who updates the Employee's records and the Retirement Office updates PensionGold. **[MAP SHAPE 11, 13, 9]**
5. Central HR processes the benefit elections and notifies the Retirement Office who calculates the retirement annuity in Pension Gold and notifies the Employee. **[MAP SHAPE 12, 7, 8, 5]**

Triggers:

- A School Employee in FCERS retires

Key Process Participants:

- Central HR
- Payroll
- Retirement Office
- Department
- Employee

Inputs:

Input	*Format*
Employee retirement application	Manual

Outputs:

Output	*Format*
Pension annuity calculated	Electronic

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
Access	Database
Pension Gold	FCERS Pension Tracking System

Regulations:

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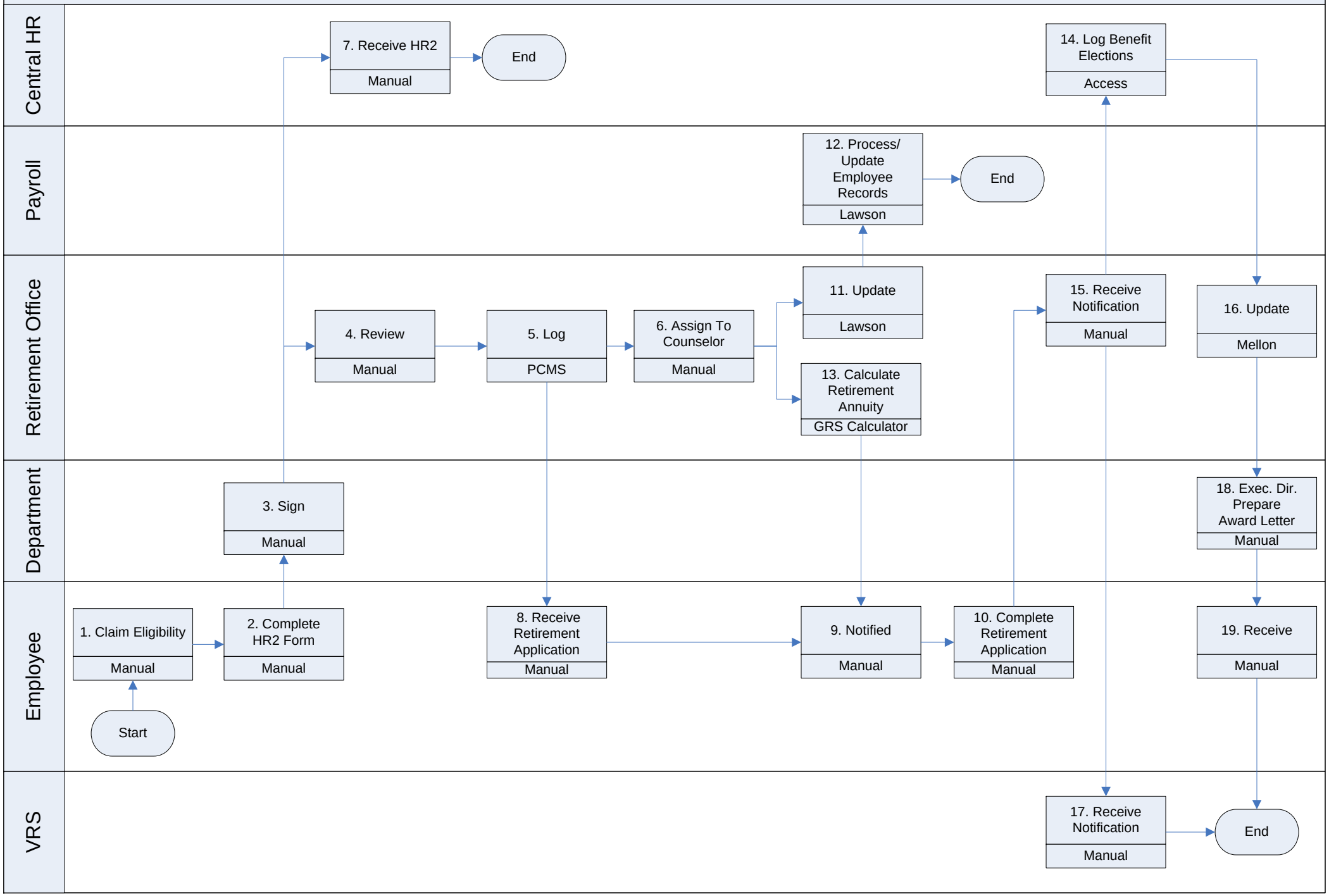
Human Resources [Final]
Sub-Process: Retirement – VRS/ERFC

Map Name: HR_RETIRE_VRSERFC
Map No.: 10D



Process Name: Human Resources	**Process Identifier:** HR_RETIRE_VRSERFC
Sub-Process Name: Retirement – VRS/ERFC	**Map Number:** 10D

Sub-Process Purpose and Objectives: An Employee retires in either the VRS or ERFC systems

Sub-Process Description:

1. An Employee claims eligibility for retirement and submits an HR2 form to their Department for signature and acknowledging that they received the form. **[MAP SHAPE 1, 2, 3]**
2. The Department sends the HR2form to the Retirement Office (at least 120 days before retirement) and to Central HR. **[MAP SHAPE 3, 4, 7]**
3. The Retirement Office reviews the HR2 and logs it into PCMS and assigns a counselor to the Employee. **[MAP SHAPE 4, 5, 6]**
4. As the information is logged into PCMS the Retirement Office also send the Employee the retirement application. **[MAP SHAPE 5, 8]**
5. The Retirement Office updates Lawson with the information from the HR2 form and notifies Payroll who processes the HR2 form and updates the Employee's record in Lawson. **[MAP SHAPE 11, 12]**
6. At the same time the Retirement Office calculates the retirement annuity and notifies the Employee. **[MAP SHAPE 13, 9]**
7. The Employee completes the retirement application and sends it back to the Retirement Office. The Retirement Office advises the VRS of the Employee's retirement. **[MAP SHAPE 10, 15, 17]**
8. The Retirement Office reviews the application and forwards it to Central HR where the Employee's benefit elections are entered into an Access database. **[MAP SHAPE 15, 14]**
9. Once Central HR updates the benefits elections, Retirement Office updates the Mellon system. **[MAP SHAPE 16]**
10. The Department Executive Director prepares a letter and sends it to the retiring Employee. **[MAP SHAPE 18, 19]**

Triggers:

- An Employee retires from the VRS or ERFC systems

Key Process Participants:

- Central HR
- Payroll
- Retirement Office
- Department
- Employee
- VRS

Inputs:

Input	*Format*
Employee fills out HR2 form	Manual
Employee fills out retirement application	Manual

Outputs:

Output	*Format*
Retirement application sent to Employee	Manual
Pension annuity calculated/Employee notified	Manual

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
Access	Database
GRS Calculator	Retirement annuity calculator

Mellon		

Regulations:

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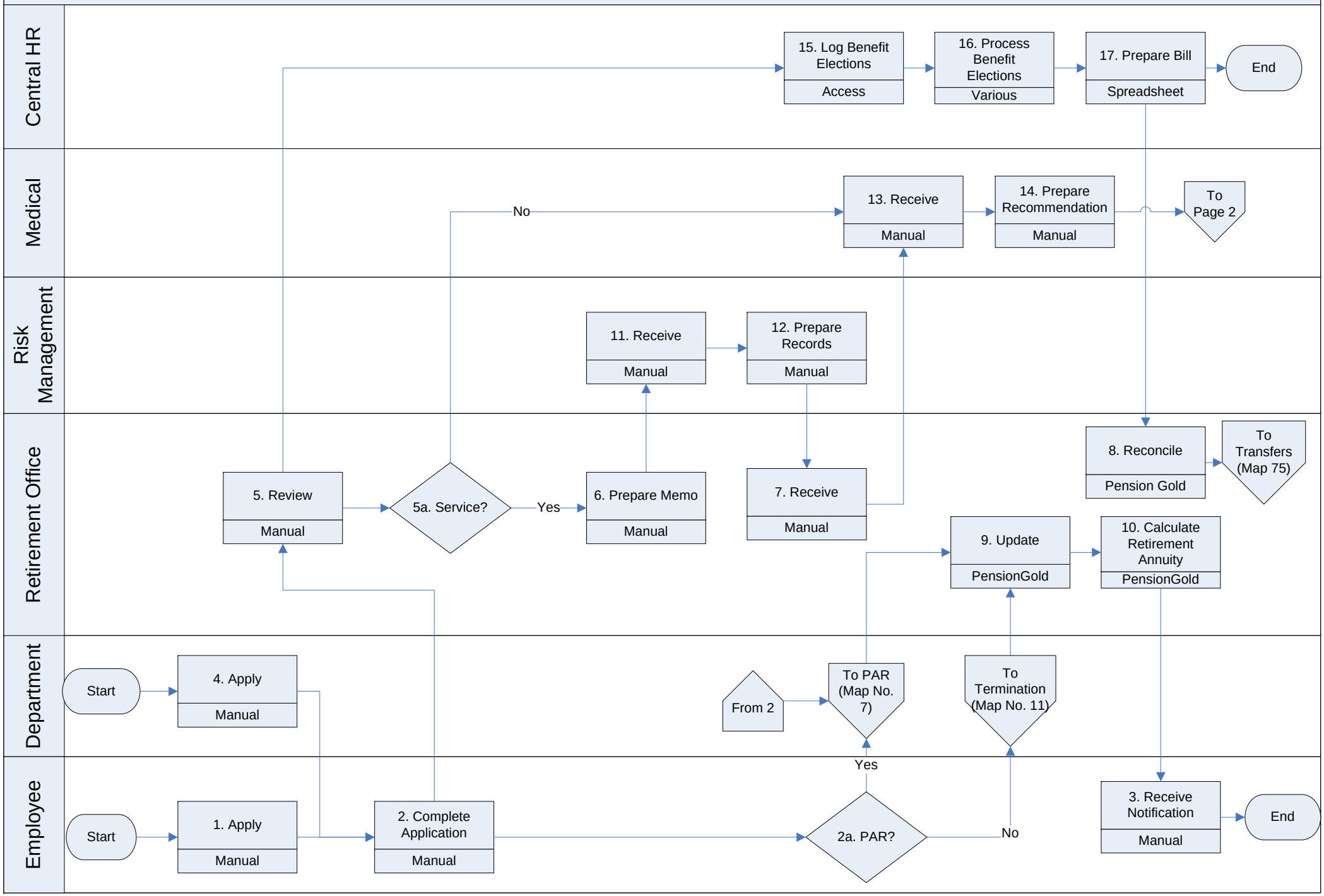
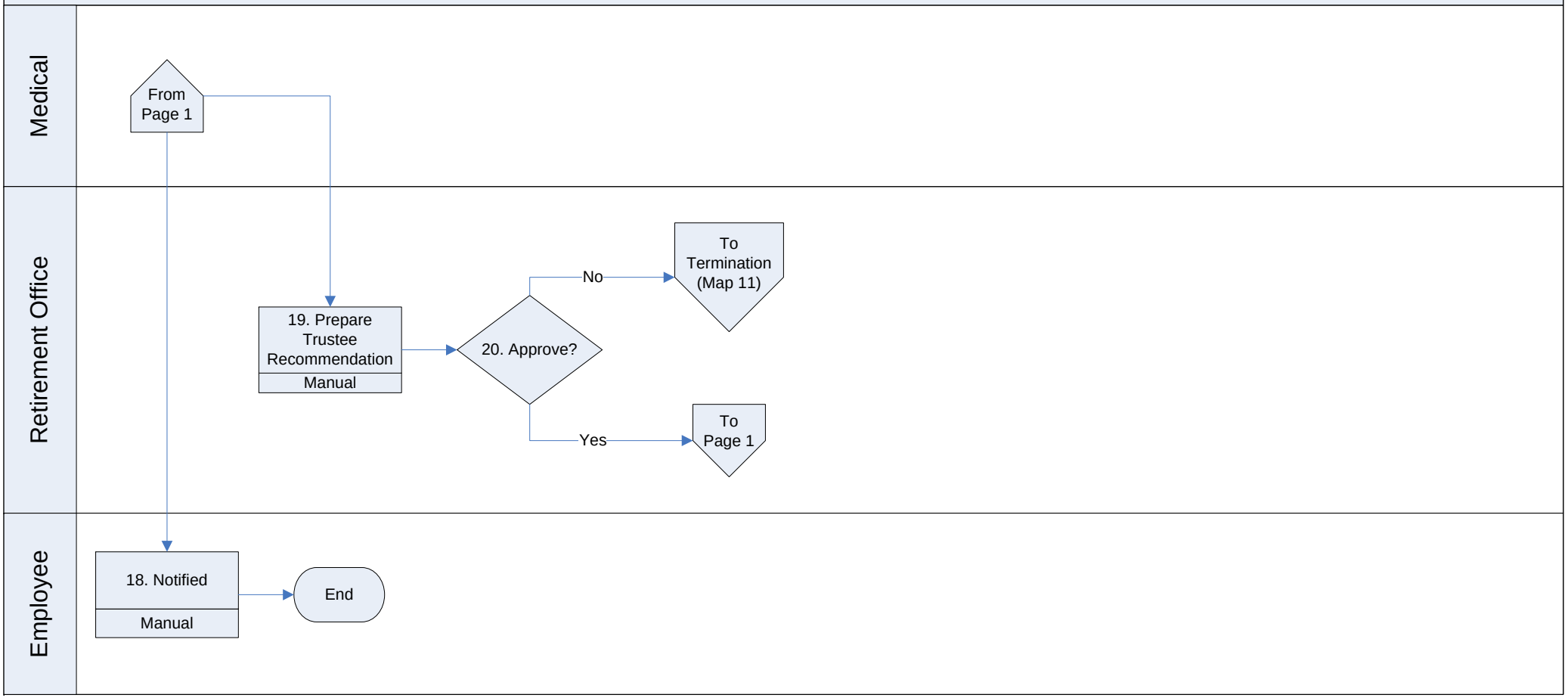
Human Resources [FINAL]
Sub-Process: Retirement – Disability

Map Name: HR_RETIRE_DISABILITY
Map No.: 10E



Human Resources [FINAL]
Sub-Process: Retirement – Disability

Map Name: HR_RETIRE_DISABILITY
Map No.: 10E



Process Name: Human Resources	**Process Identifier:** HR_RETIRE_DISABILITY
Sub-Process Name: Retirement – Disability	**Map Number:** 10E
Sub-Process Purpose and Objectives: Employee applies for disability retirement	

Sub-Process Description:

1. A Department or Employee may initiate the application for a disability retirement. **[MAP SHAPE 1, 4]**
2. The Employee gets the disability retirement forms from the Retirement Office and completes them. If a PAR is required the Department initiates the PAR. If a PAR is not required the Department initiates the termination process. **[MAP SHAPE 2a]**
3. Once the PAR or Termination process is complete, it is sent to the Retirement Office who enters it into the Pension Gold system, calculates the retirement annuity in Pension Gold and notifies the Employee. **[MAP SHAPE 9, 10, 3]**
4. The Retirement Office receives the form and sends a copy to Central HR and reviews the disability requirement forms to determine if the disability is service related. **[MAP SHAPE 2, 5, 15]**
5. Central HR logs the Employees benefit elections in to an Access database, processes the benefit elections and prepares a premium bill and send a copy to the Retirement Office to be reconciled with the Pension Gold system. **[MAP SHAPE 15, 16, 17, 8]**
6. If the disability is not service related, a copy of the disability request form is sent to Medical for review, and an opinion as to the Employee's status. **[MAP SHAPE 5, 13, 14]**
7. If the disability is service related, the Retirement Offices prepares a memo along with a copy of the disability request form and sends it to Risk Management requesting information on the accident. **[MAP SHAPE 5, 6, 11]**
8. Risk Management receives the memo, assembles the records and sends them to the Retirement Office who in turn sends the package to the Medical Board for review. **[MAP SHAPE 11, 12, 7, 13]**
9. The Medical Board reviews the application package and all medical records assembled by Risk management and prepare a recommendation with regard to the Employees disability retirement request. **[MAP SHAPE 13, 14]**
10. A copy of the Medical Boards recommendation is sent to the Employee and to Retirement Office. The Retirement Office prepares a recommendation package for the Retirement Board Trustees. **[MAP SHAPE 14, 18, 19]**
11. Trustees must review and approve all disability requirement requests. If the Trustees do not approve the disability request the Employee may be terminated. **[MAP SHAPE 19, 20]**
12. If the Trustees approve the disability retirement request the Department is notified and a PAR is created and sent to the Retirement Office to be entered into Pension Gold. The retirement annuity is calculated in Pension Gold and the Employee is notified. **[MAP SHAPE 19, 20, 9, 10, 3]**

Triggers:

- An Employee or a Department (on the Employee's behalf) file for a disability retirement.

Key Process Participants:

- Central HR
- Medical
- Risk Management
- Retirement Office
- Department
- Employee

Inputs:

Input	*Format*
Disability Retirement Application	Manual
Medical Review	Manual

Outputs:

Output	*Format*
Determination if service connected	Manual
Disabled or not	Manual

IT Support:

Application/System Name	*Technology Description*
PensionGold	FCERS Retirement Tracking System

Regulations:

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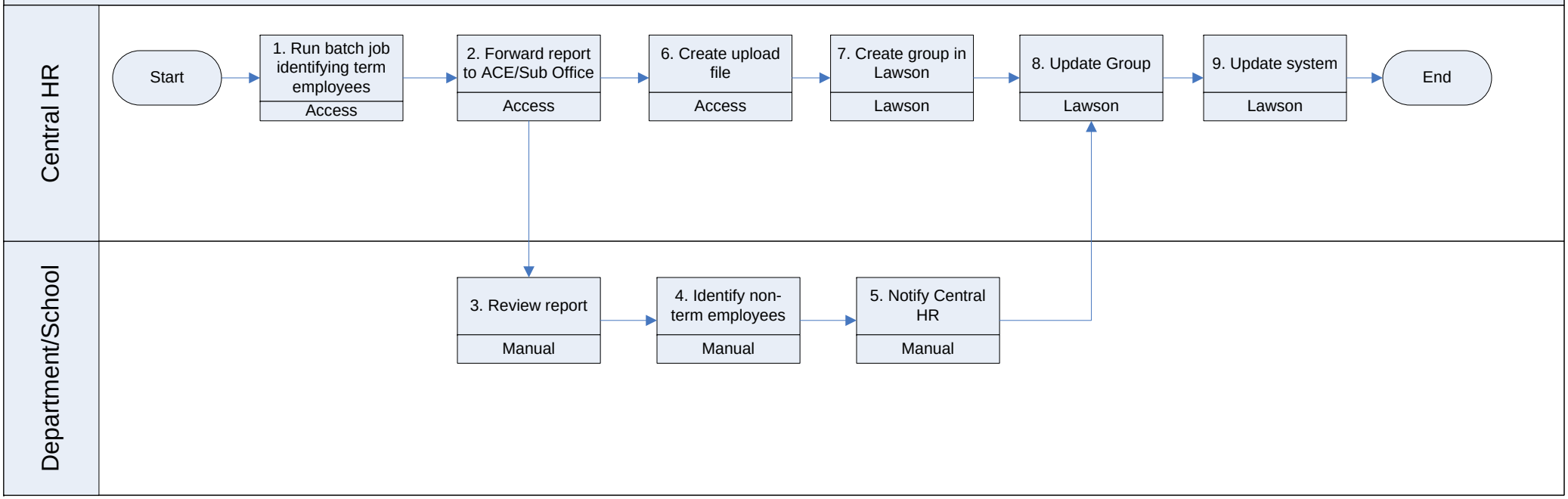
Human Resources [Final] Map Name: HR_TERM_MASS_HOUR_SCH

Sub-Process: Termination – Mass Termination (Hourly Employee – Schools) Map No.: 11A



Process Name: Human Resources	**Process Identifier:** HR_TERM_MASS_HOUR_SCH
Sub-Process Name: Termination – Mass Termination (Hourly Employee – Schools)	**Map Number: 11A**

Sub-Process Purpose and Objectives: Mass termination of hourly employees in Schools

Sub-Process Description:

1. Schools Central HR run a batch job in an Access that identifies any hourly employee for whom it has been 13 months since they were last paid. The file is created and loaded into Lawson. The file is used to create an employee group in Lawson that is to be terminated and to set a termination date. **[MAP SHAPE 1]**
2. The file produced is sent ACE (Adult Community Education) office and to the Substitute Office for review. ACE and the Substitute Office look for employees who should not be terminated for some reason. **[MAP SHAPE 2, 3]**
3. The report is reviewed and the non termination employee in the file are identified and Central HR is notified to remove those employees from the employee group create in Lawson. **[MAP SHAPE 4, 5]**
4. Central HR updates the group in Lawson by removing the identified employees. **[MAP SHAPE 8]**
5. Meanwhile, Central HR creates an upload file from Access to Lawson that creates the employee termination group. **[MAP SHAPE 6, 7]**
6. Lawson is updated and the termination group is created in Lawson by inserting a termination date into each employee record. **[MAP SHAPE 8]**

Triggers:

- ❑ Hourly employees are to be terminated

Key Process Participants:

- ❑ Central HR
- ❑ Department/School

Inputs:

Input	*Format*
Access query	Electronic

Outputs:

Output	*Format*
Hourly employees not paid in 13 months	Report/File

IT Support:

Application/System Name	*Technology Description*
Access	Database software
Lawson	Schools human resource system

Regulations:

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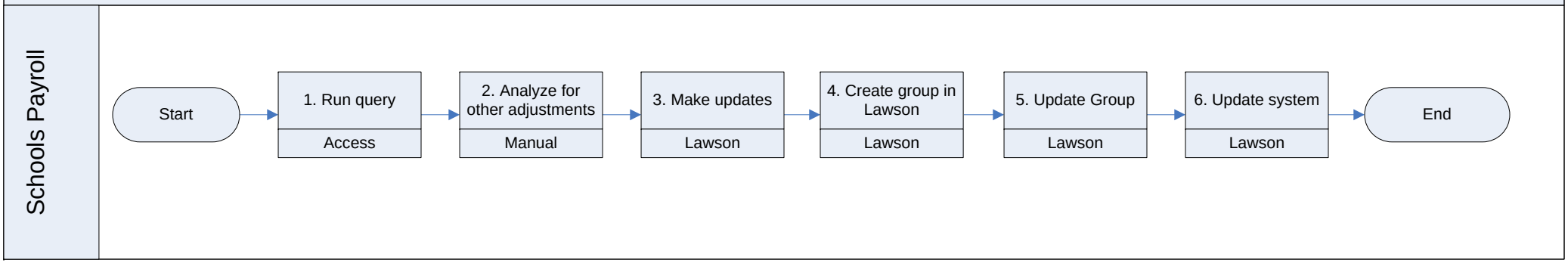
Human Resources [Final] Map Name: HR_TERM_MASS_CNTRT_SCH

Sub-Process: Termination – Mass Termination (Contracted Employee – Schools) Map No.: 11B



Process Name: Human Resources	**Process Identifier:** HR_TERM_MASS_CNTRT_SCH
Sub-Process Name: Termination – Mass Termination (Contracted Employee – Schools)	**Map Number: 11B**

Sub-Process Purpose and Objectives: Final termination of contracted School employees.

Sub-Process Description:

1. School Payroll runs a query in Access to identify contracted employees who have a termination dated established in Lawson. **[MAP SHAPE 1]**
2. The report produced is analyzed to see if there are employees on the report who need to have changes made to their record. **[MAP SHAPE 2]**
3. The records that need to be changed are changed in Lawson. **[MAP SHAPE 3]**
4. A group is created in Lawson for the employees that will be terminated. **[MAP SHAPE 4]**
5. Payroll runs a job the updates the group in Lawson. **[MAP SHAPE 5]**
6. A job is run that updates the Lawson system to terminate the employees in the group. **[MAP SHAPE 6]**

Triggers:

- ❑ Mass termination of contract employees

Key Process Participants:

- ❑ School Payroll

Inputs:

Input	*Format*
Access query	Electronic

Outputs:

Output	*Format*
Report of employees with termination date in Lawson	Report/File

IT Support:

Application/System Name	*Technology Description*
Access	Database software
Lawson	Schools human resource system

Regulations:

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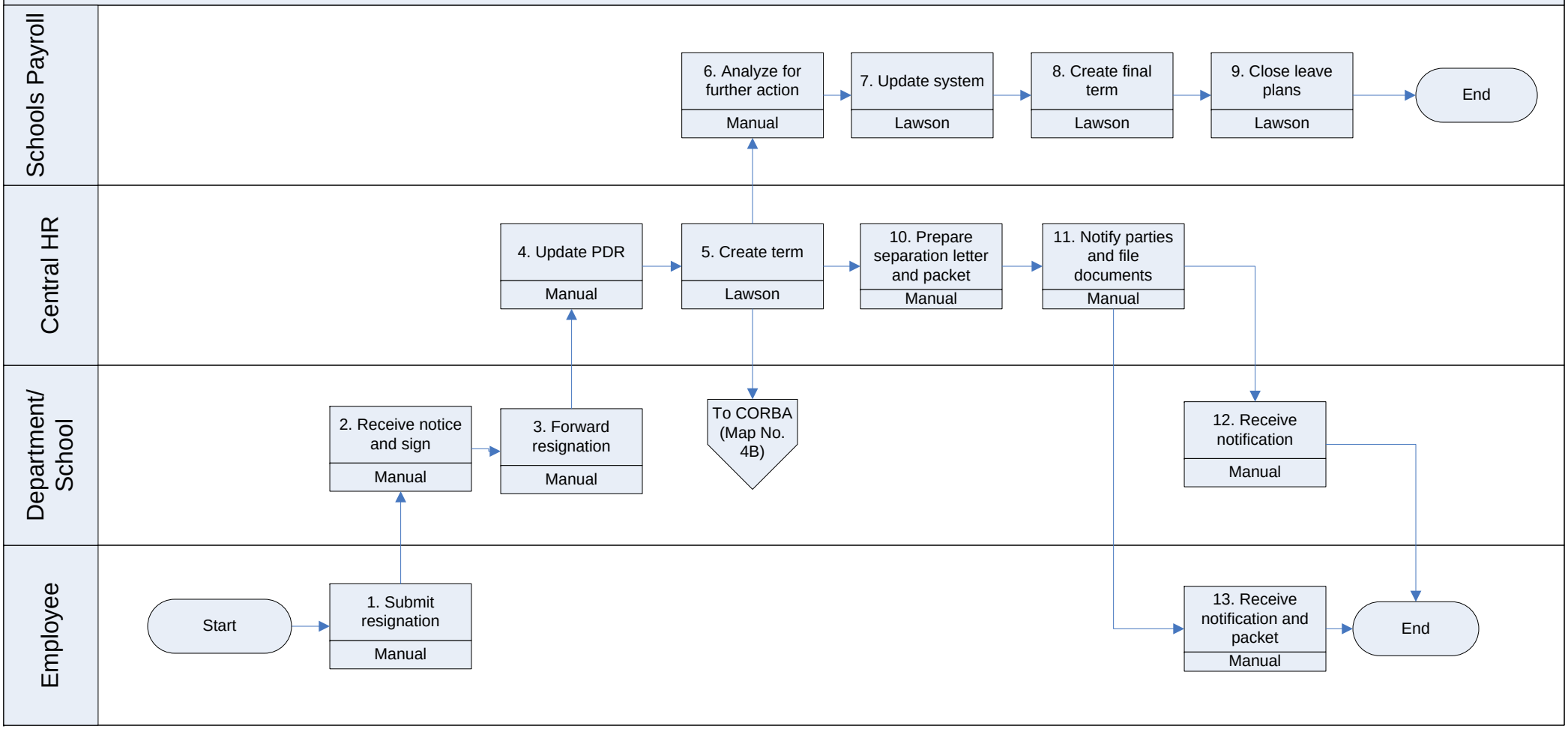
Human Resources [Final]
Sub-Process: Termination – Voluntary Separation (Schools)

Map Name: HR_TERM_VOL_SCH
Map No.: 11C



Process Name: Human Resources	**Process Identifier:** HR_TERM_VOL_SCH
Sub-Process Name: Termination – Voluntary Separation (Schools)	**Map Number: 11C**

Sub-Process Purpose and Objectives: Employee voluntary separation from Schools

Sub-Process Description:

1. An employee submits notice that they are resigning from the system to their Department/School. **[MAP SHAPE 1]**
2. The resignation notices is submitted to their submitted Department Head or School who signs the resignation notice form. **[MAP SHAPE 2]**
3. The Supervisor forwards the notice to Central HR. **[MAP SHAPE 3]**
4. Central HR loads the resignation notice into the Position Detail Report (PDR) and creates a pending termination action in Lawson which puts a termination date into the Lawson system. This process will also result in a COBRA notice and information being sent to the employee. **[MAP SHAPE 4, 5]**
5. Central HR prepares a termination letter and information packet to send to the employee. **[MAP SHAPE 10]**
6. A letter is sent to the employee, to the School and to file, along with the original request to resign. **[MAP SHAPE 11, 12, 13]**
7. The termination recorded created in Lawson by Central HR is analyzed in Payroll to see if any further actions is required or for payments that need to be made to the employee, e.g., vacation, summer fund, etc. **[MAP SHAPE 6]**
8. The Lawson system is updated and the final termination action is created in Lawson and all leave plans are closed. **[MAP SHAPE 7, 8, 9]**
9. Process ends.

NOTE: There are interfaces to numbers other system that updated the other systems as the result of the termination.

Triggers:

- ❑ Employee submits a resignation notice.

Key Process Participants:

- ❑ School Payroll
- ❑ Central HR
- ❑ Department/School
- ❑ Employee

Inputs:

Input	***Format***
Letter of resignation	Various

Outputs:

Output	***Format***
Termination PAR	Manual

IT Support:

Application/System Name	***Technology Description***
Lawson	Schools human resource system

Regulations:

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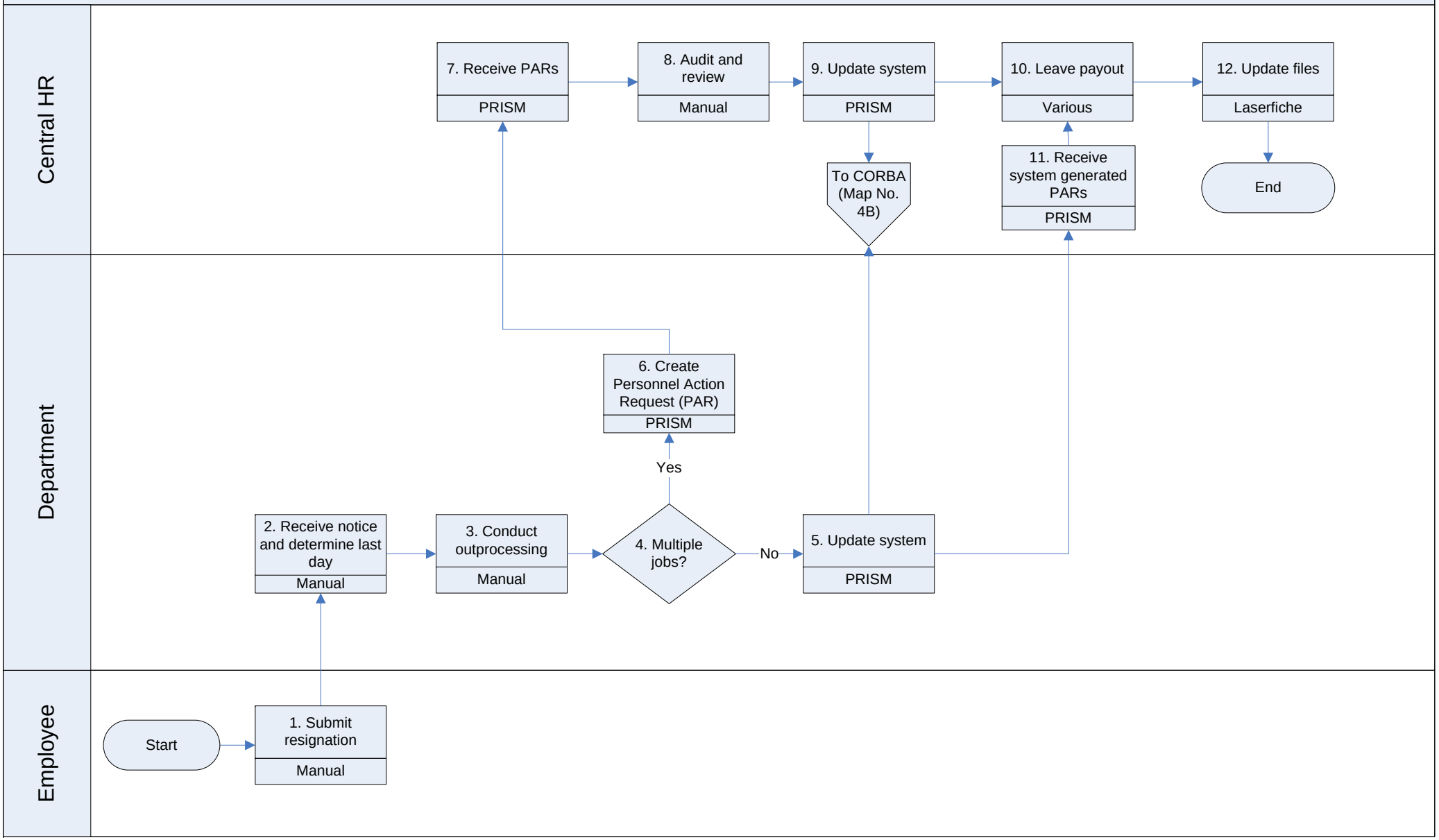
Human Resources [FINAL]
Sub-Process: Termination – Voluntary Separation (County)

Map Name: HR_TERM_VOL_CO
Map No.: 11D



Process Name: Human Resources	**Process Identifier:** HR_TERM_VOL_CO
Sub-Process Name: Termination – Voluntary Separation (County)	**Map Number: 11D**

Sub-Process Purpose and Objectives: Employee voluntary separation from the County

Sub-Process Description:

1. A County employee submits their resignation by sending it to their Department. **[MAP SHAPE 1]**
2. The Department HR representative receives the resignation notice from the employee and determines the employee's last day of work. **[MAP SHAPE 2]**
3. The Department HR representative meets with the employee to do an out processing interview. **[MAP SHAPE 3]**
4. The Department HR representative reviews the resignation notice to determine if the employee has multiple jobs. **[MAP SHAPE 4]**
5. If the employee has only one job, the Department HR representative updates PRISM. Updating PRISM results in the creation of the COBRA notices to the employee as required by law. The system generated PAR created when PRISM is updated prints out in Central HR. **[MAP SHAPE 5, 11]**
6. If the employee has more than one job, the Department HR representative creates a PAR in PRISM. **[MAP SHAPE 6]**
7. The PAR created in PRISM prints out in Central HR **[MAP SHAPE 7]**
8. Central HR audits the PAR and updates PRISM. **[MAP SHAPE 8, 9]**
9. Central HR receives reports that show leave payouts need to be made to each terminated employee. Live update is run. **[MAP SHAPE 10]**
10. The PAR, leave payout documents and recent job history screen prints are all scanned or imported into Laserfiche imaging system. **[MAP SHAPE 12]**

NOTES: The County gives employees the opportunity to elect to have all or part of their separation pay paid to them as deferred compensation. There are interfaces to a number of other systems that updated the other systems as a result of the termination.

Triggers:

- ❑ Employee submits a resignation notice.
- ❑ Employee holds multiple jobs.

Key Process Participants:

- ❑ Central HR
- ❑ Department
- ❑ Employee

Inputs:

Input	*Format*
Letter of resignation	Various

Outputs:

Output	*Format*
Termination PAR	Manual
Leave pay outs	Various

IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system

Regulations:

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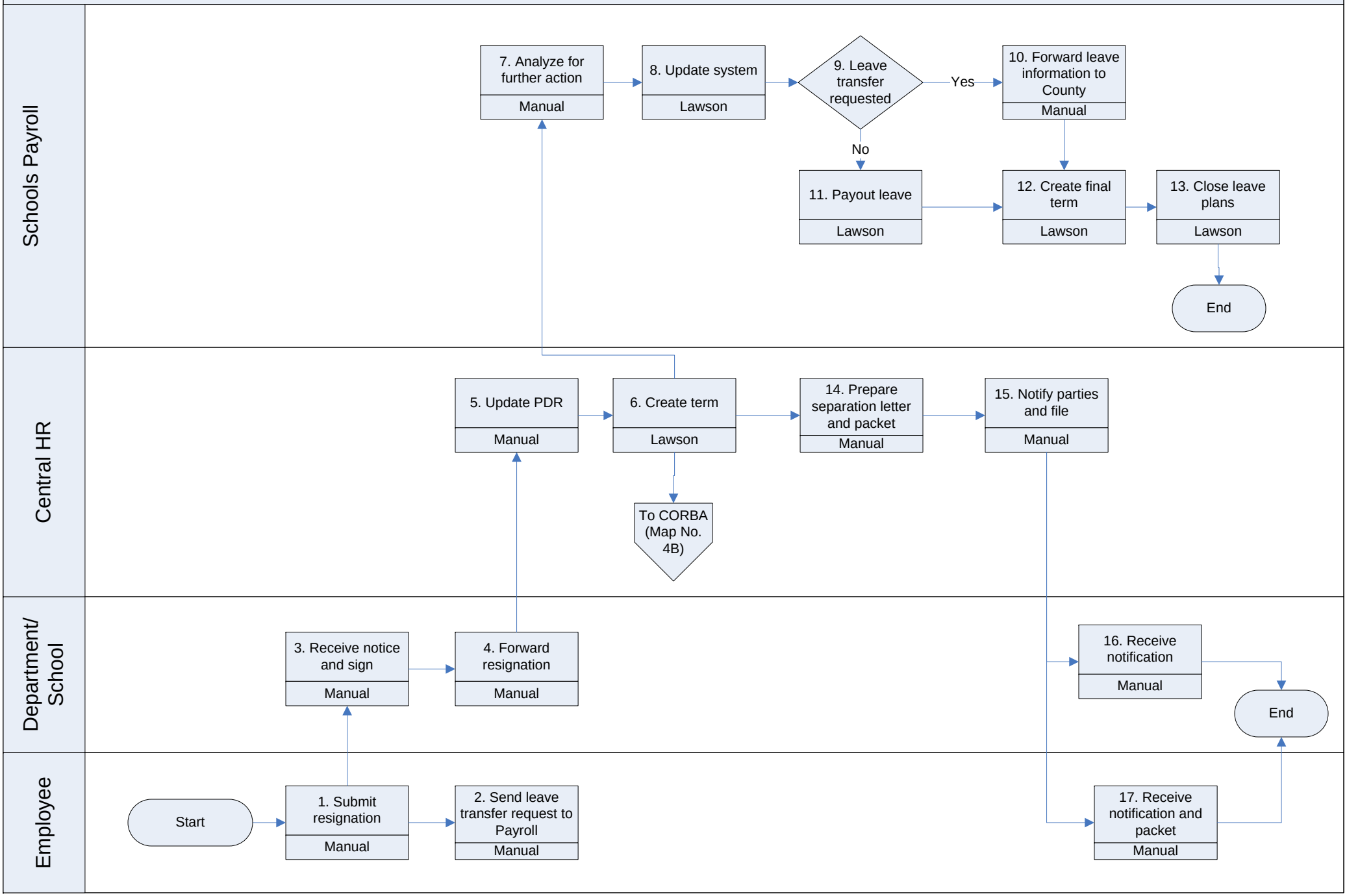
Human Resources [Final]
Sub-Process: Termination – Transfer (Schools to County)

Map Name: HR_TERM_TRANS_SCH
Map No.: 11E



Process Name: Human Resources	**Process Identifier:** HR_TERM_TRANS_SCH
Sub-Process Name: Termination – Transfer (Schools to County)	**Map Number: 11E**

Sub-Process Purpose and Objectives: Employee transfer from Schools to the County

Sub-Process Description:

1. An employee wishing to transfer from the Schools to the County submits their resignation to the Department /School and sends a leave transfer request to Payroll. **[MAP SHAPE 1, 2]**
2. The Department/Schools receives the resignation/transfer request, signs the document then forwards it on to Central HR. **[MAP SHAPE 3, 4]**
3. Central HR updates the Position Detail Report (PDR) and creates the termination record in Lawson. Creating the termination record in Lawson results in COBRA information being sent to the employee as required by law. **[MAP SHAPE 5, 6]**
4. A separation letter and package is prepared for the employee and the appropriate parties are notified with a copy going to file. **[MAP SHAPE 14, 15, 16, 17]**
5. The termination recorded created in Lawson by Central HR is analyzed by School Payroll to see what further action may be required and the Lawson termination record is updated. **[MAP SHAPE 7, 8]**
6. If the employee did not request leave be transfer to the County it is paid to the employee, the final termination record is created in Lawson and the employee's leaves plans are closed. **[MAP SHAPE 9, 11, 12, 13]**
7. If the employee requested to have their leave transferred to the County, the leave information is forwarded to the County and the final termination record is created in Lawson and the employee's leaves plans are closed. **[MAP SHAPE 9, 10, 12, 13]**

Triggers:

- Employee request to transfer to the County.

Key Process Participants:

- Schools Payroll
- Central HR
- Department/School
- Employee

Inputs:

Input	*Format*
Transfer request/resignation	Various
Leave payout/transfer request	Various

Outputs:

Output	*Format*
Termination PAR	Electronic
Leave transferred or Paid	Various

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system

Regulations:

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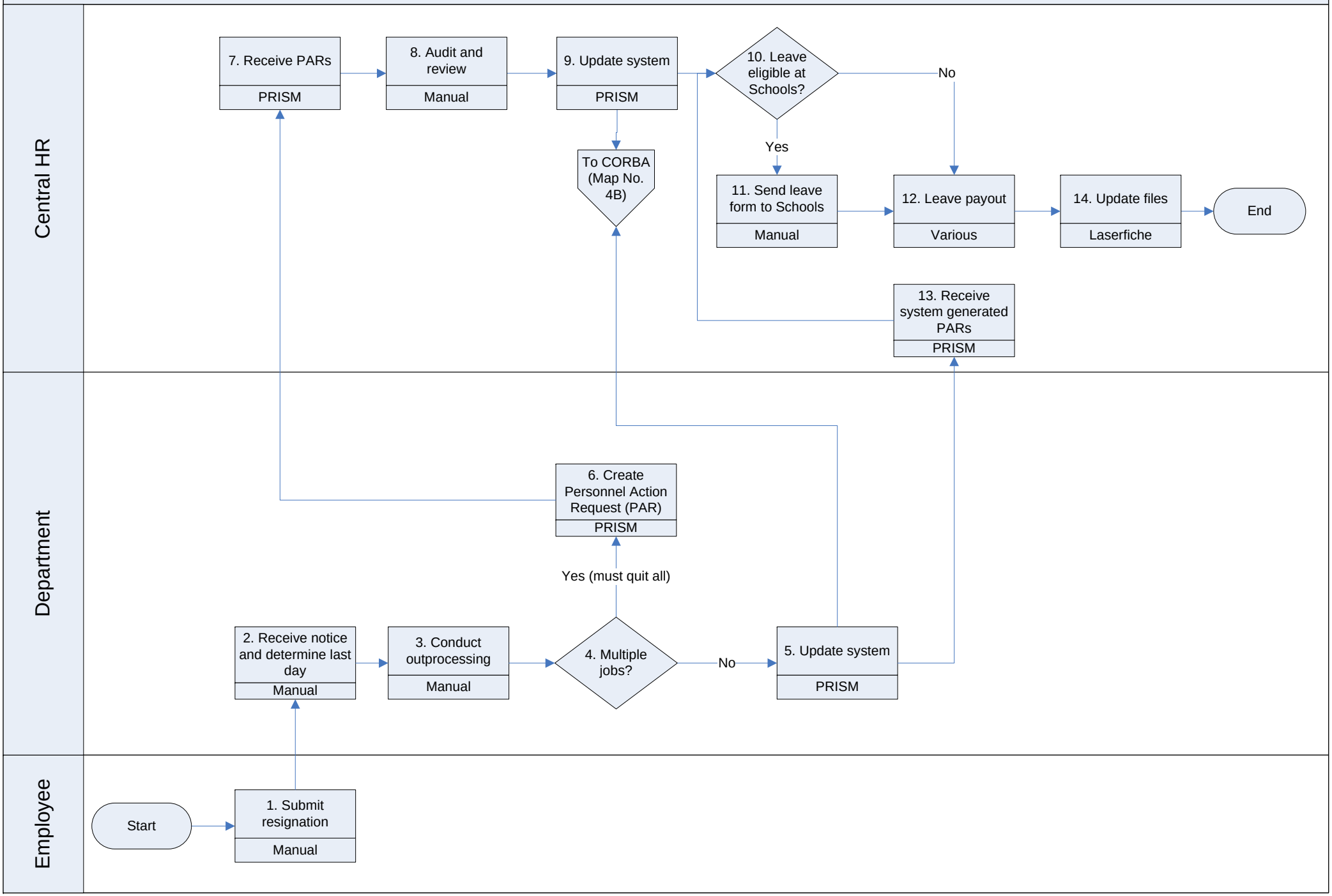
Human Resources [FINAL]
Sub-Process: Termination – Transfer (County to Schools)

Map Name: HR_TERM_TRANS_CO
Map No.: 11F



Process Name: Human Resources	**Process Identifier:** HR_TERM_TRANS_CO
Sub-Process Name: Termination Processing – Transfer (County to School)	**Map Number: 11F**

Sub-Process Purpose and Objectives: Employee transfer from the County to Schools.

Sub-Process Description:

1. Employee resigns from the County in order to transfer to the Schools by sending their resignation their Department. **[MAP SHAPE 1]**
2. The employee's Department receives the notice of termination and established the employee's last day of work and determines if the employee held more that one job. **[MAP SHAPE 2]**
3. The Department HR representative meets with the employee to do an out processing interview. **[MAP SHAPE 3]**
4. The employee's Department determines if the employee held more that one job. **[MAP SHAPE 4]**
5. If the employee held only one job, the Department updates PRISM. Creating the termination record in PRISM results in COBRA information being sent to the employee as required by law. **[MAP SHAPE 4, 5]**
6. A system generated PAR prints out in Central HR. **[MAP SHAPE 13, 12, 14]**
7. If the employee has multiple jobs with the County they must resign form all job in order to transfer to the Schools. The Department creates a PAR in PRISM. **[MAP SHAPE 6]**
8. Central HR receives the PAR created by the Department and reviews it to determine what other action may be required and then updates PRISM. **[MAP SHAPE 7, 8, 9]**
9. Central HR contacts the schools to see if the employee is leave eligible at the Schools. If they are not eligible for leave in the Schools, the County pays out the leave to the employee. If the employee is leave eligible at the Schools, the employee's leave is transfer to the Schools. Compensatory time is paid out and not transferred to Schools. **[MAP SHAPE 10, 11]**
10. If the employee is not leave eligible at the Schools, the employee's leave is paid out to them and the leave records are closed. Copies of all records are sent to the Laserfiche imaging system. **[MAP SHAPE 12, 14]**

Triggers:

- ❑ Employee resigns to transfer to the Schools.

Key Process Participants:

- ❑ Central HR
- ❑ Department
- ❑ Employee

Inputs:

Input	*Format*
Employee resignation/transfer	Various
Employee's leave eligibility at School	Various

Outputs:

Output	*Format*
Termination PAR	Various
Leave paid or transferred	Various

IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system

Regulations:

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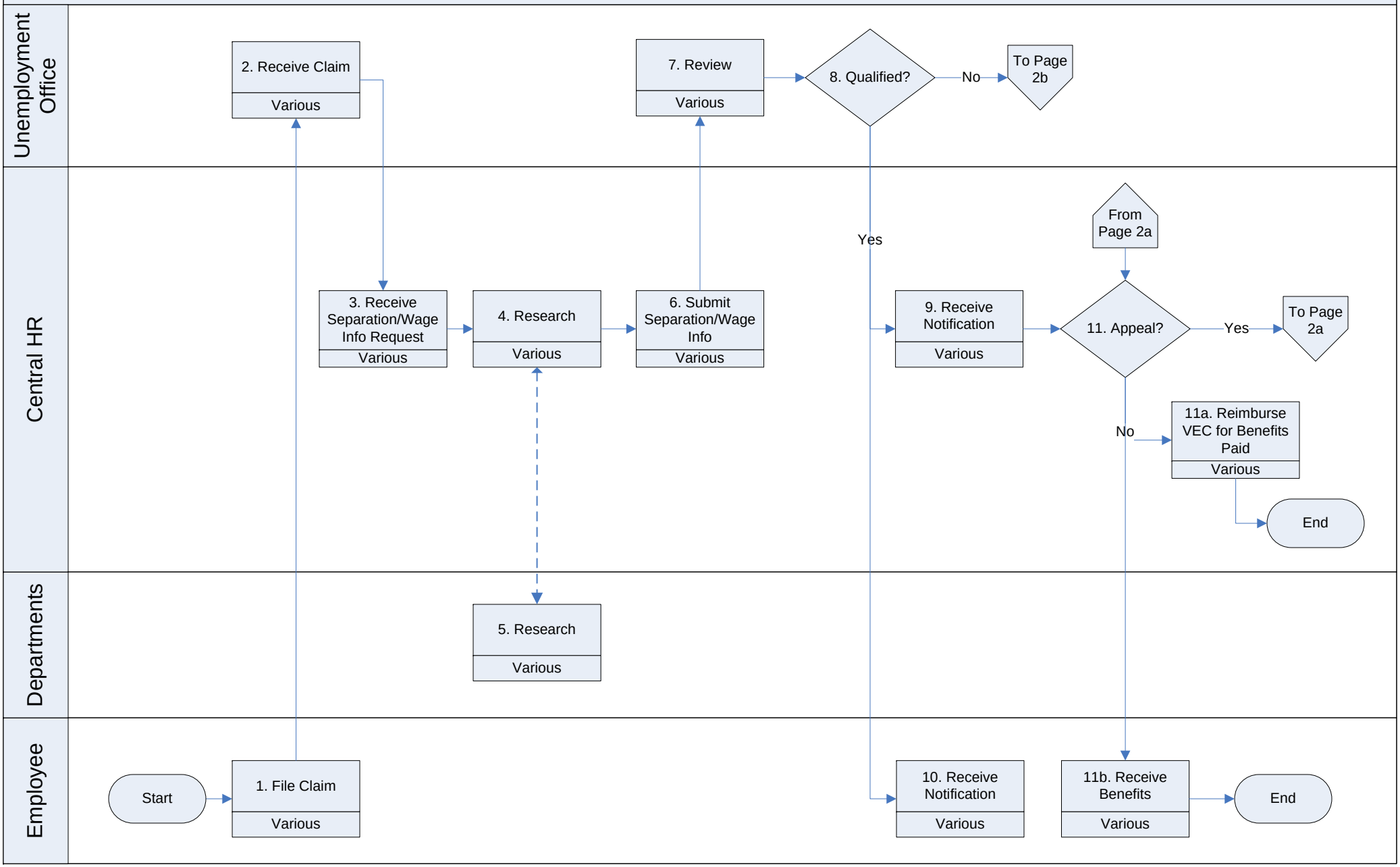
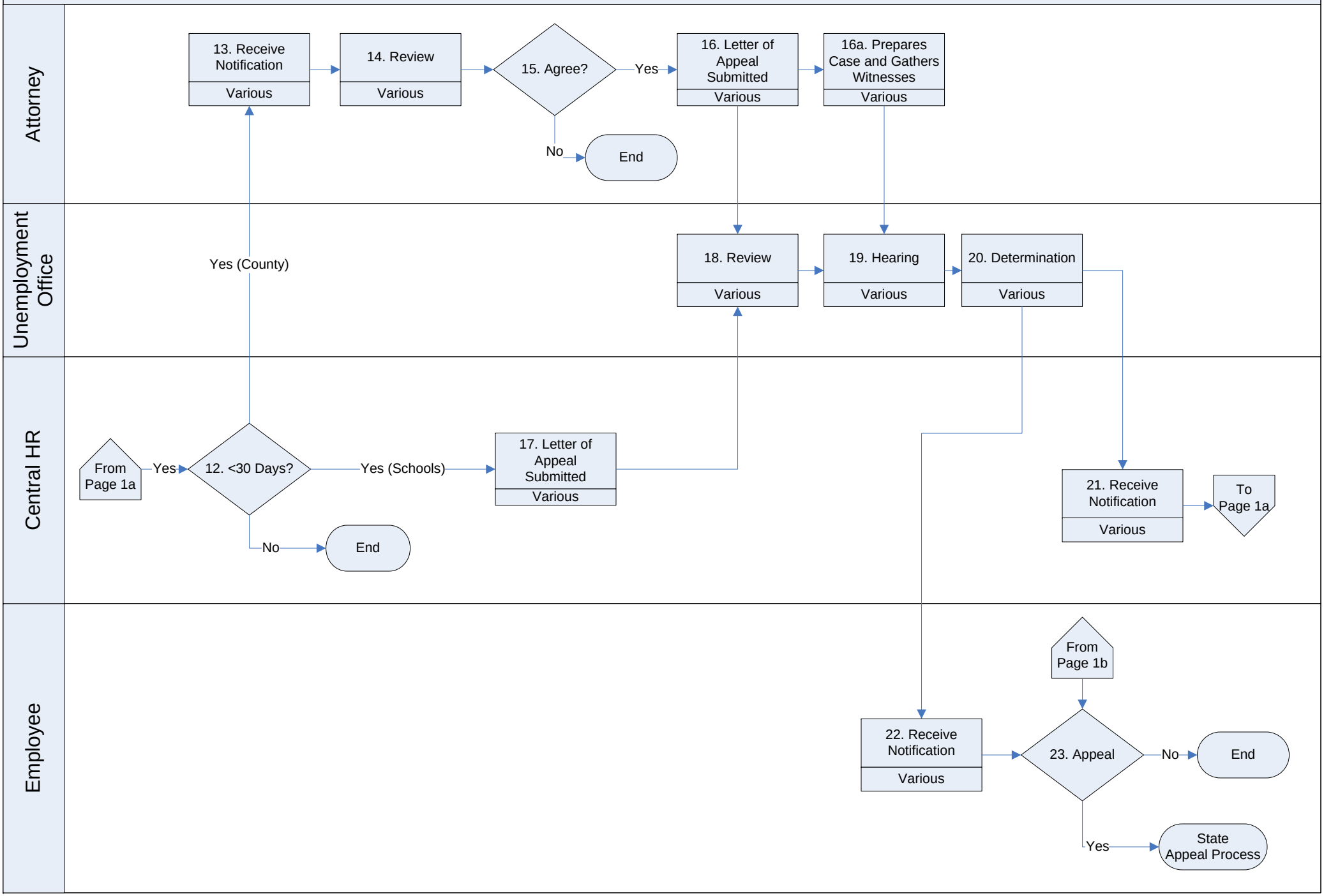
Human Resources [FINAL]
Sub-Process: Unemployment Insurance Management - Claims

Map Name: HR_UNEMP_INS_CLAIMS
Map No.: 12A



Human Resources [FINAL]
Sub-Process: Unemployment Insurance Management - Claims

Map Name: HR_UNEMP_INS_CLAIMS
Map No.: 12A



Process Name: Human Resources	**Process Identifier:** HR_UNEMP_INS_CLAIMS
Sub-Process Name: Unemployment Insurance Management - Claims	**Map Number:** 12A

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. An Employee goes to his local unemployment office in any jurisdiction to file an unemployment claim. **[MAP SHAPE 1, 2]**
2. Central HR receives a request for separation and wage info from the jurisdiction where the Employee (claimant) filed. **[MAP SHAPE 3]**
3. Central HR researches the information requested, which may require Central HR to contact other sites or offices to collect the information needed for the VEC or other jurisdictions request. **[MAP SHAPE 4, 5]**
4. Central HR fills in the required information on the separation and wage information form and sends it back to the VEC or other jurisdiction. **[MAP SHAPE 6]**
5. VEC or other jurisdiction reviews the information received from Central HR and makes a determination as to the claimant's eligibility for benefits. **[MAP SHAPE 7, 8]**
6. If the VEC or other jurisdictions determine that the claimant is not qualified for benefits, both parties (employer & claimant) are notified and either has the right to appeal. If the Employee chooses to appeal, they can pursue that jurisdiction's appeal procedure (i.e., State Appeal Process), otherwise the process ends. **[MAP SHAPE 8, 23]**
7. If the jurisdiction determines that the claimant is qualified to receive benefits, both Central HR and the claimant are notified. **[MAP SHAPE 8, 9, 10]**
8. If Central HR decides not to appeal the VEC or other jurisdiction's decision, the Employee will begin to receive benefits. The County is billed quarterly, reimburses the VEC for its proportionate share of benefits paid, and the process ends. **[MAP SHAPE 11, 11a, 11b]**
9. For the County, if Central HR decides to appeal the jurisdiction's decision that the claimant is entitled to benefits, the matter is referred to the County Attorney who handles the appeal process. They have 30 days to respond to the VEC ruling. If the appeal is not submitted within 30 days, the process ends. **[MAP SHAPE 12, 13]**
10. The County Attorney reviews all documents relevant to the case. **[MAP SHAPE 14]**
11. If the County Attorney determines that there is no merit to the case the process ends. **[MAP SHAPE 15]**
12. If the County Attorney determines there is merit to Central HR objections to the claimant receiving benefits, a letter of appeal is sent by the County Attorney to the appropriate jurisdiction. **[MAP SHAPE 16]**
13. If the Schools submit their appeal within 30 days, Central HR sends a letter of appeal to the appropriate jurisdiction. If the appeal is not submitted within 30 days, the process ends. **[MAP SHAPE 12, 17]**
14. The VEC or other jurisdiction reviews the letter of appeal and schedules a hearing to invite the Central HR and the claimant to attend the hearing. **[MAP SHAPE 18, 19]**
15. For the County, the County Attorney prepares the case and gathers witnesses from the department and/or central HR. **[MAP SHAPE 16a]**
16. A determination is generated from this hearing and both Central HR and the claimant are notified of the decision. **[MAP SHAPE 20, 21, 22]**
17. Central HR and the claimant have another 30 day period to review the VEC or other jurisdiction's decision. If there is a second round of appeals, this appeal would follow the same appeal process as describe above. **[MAP SHAPE 11, 23]**

Triggers:

- ❑ Unemployment claim filed
- ❑ Central HR/Claimant appeal decision
- ❑ Jurisdictions decision
- ❑ Additional appeals

Key Process Participants:

- ❑ Unemployment Office
- ❑ Attorney
- ❑ Central HR
- ❑ Departments
- ❑ Employee

Inputs:

Input	*Format*
Claim form	Various
Appeal forms	Various
Employer's Separation & Wage Report	Various

Outputs:

Output	*Format*
Eligibility determination	Various
Jurisdictions decision	Various

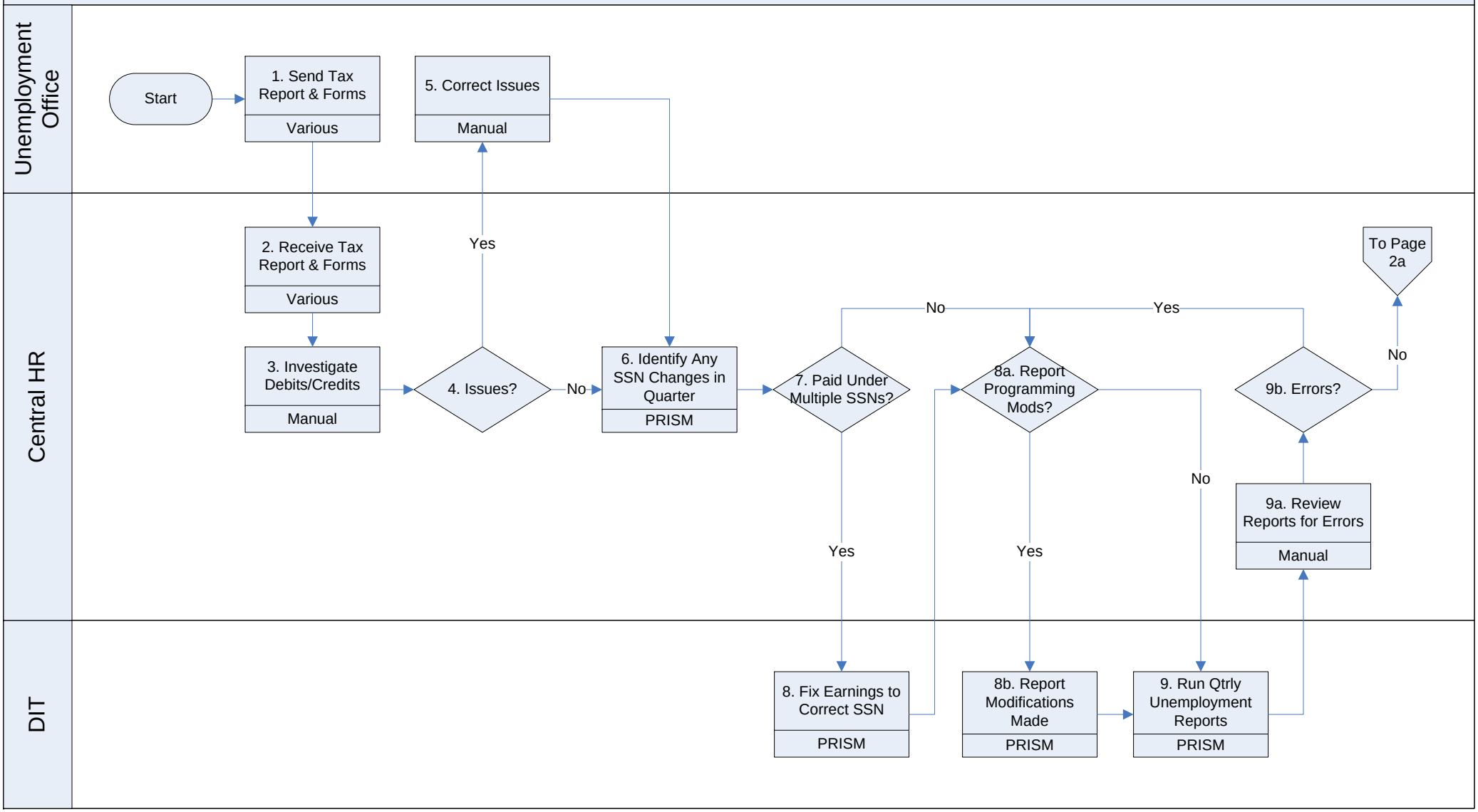
IT Support:

Application/System Name	*Technology Description*

Regulations:

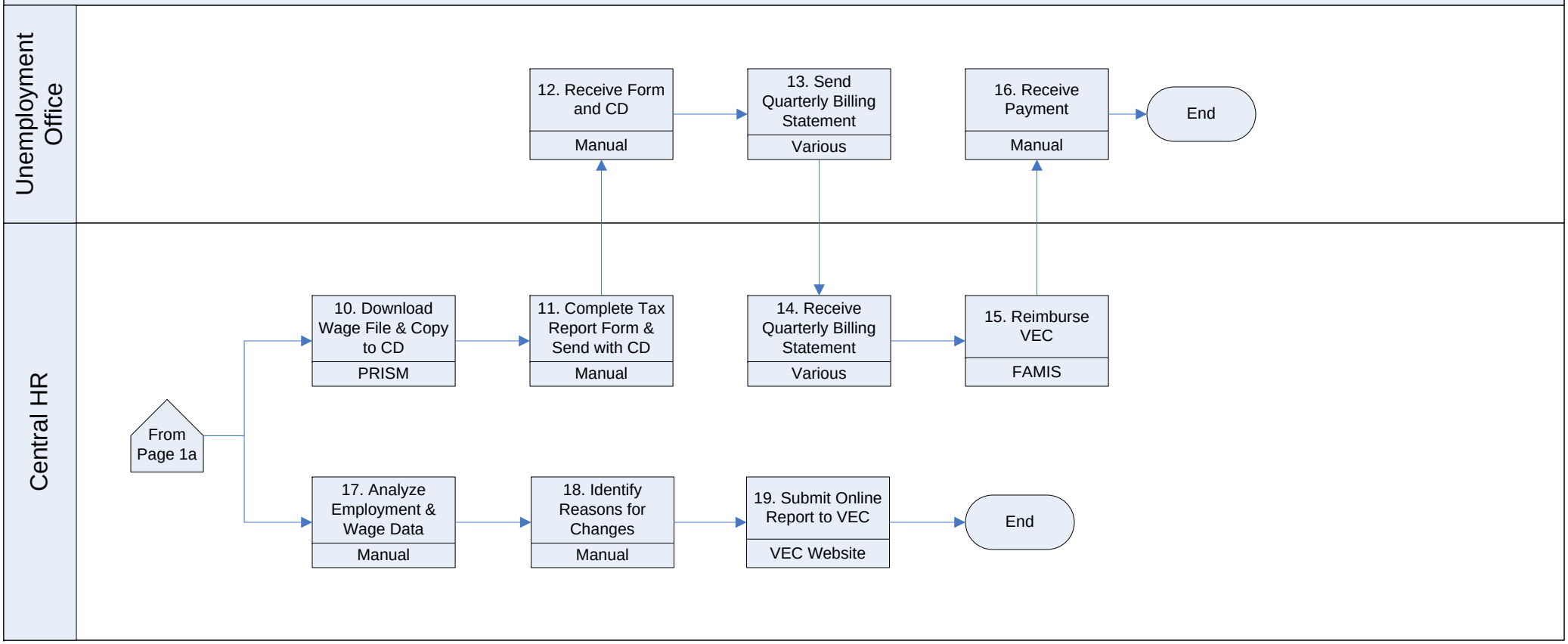
- Virginia Employment Commission (VEC)
- Virginia Administrative Code (16 VAC 5-60)
- Virginia Unemployment Compensation Act (Code of VA, Title 60.2)
- FUTA (26 USC § 3301)

Human Resources [FINAL] Map Name: HR_UNEMP_INS_REPORTING
Sub-Process: Unemployment Insurance Management - Reporting Map No.: 12B



Human Resources [FINAL] Map Name: HR_UNEMP_INS_REPORTING

Sub-Process: Unemployment Insurance Management - Reporting Map No.: 12B



Process Name: Human Resources	**Process Identifier:** HR_UNEMP_INS_REPORTING
Sub-Process Name: Unemployment Insurance Management - Reporting	**Map Number:** 12B

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Central HR receives quarterly tax report and multiple worksite report forms from the VEC. **[MAP SHAPE 1, 2]**
2. Central HR investigates any credit or debit balance reflected on the County's unemployment account and contacts local VEC tax representative to correct errors. **[MAP SHAPE 3, 4, 5]**
3. Central HR queries its database to identify all SSN changes that have occurred during the quarter (PRISM - OLQ). **[MAP SHAPE 6]**
4. Central HR researches employee records (PRISM, Laserfiche) to determine if there were any employees paid under more than one SSN during the quarter. **[MAP SHAPE 7]**
5. If yes, Central HR notifies DIT of the employees to ensure that all earnings are reported under the correct SSN. **[MAP SHAPE 7, 8]**
6. Central HR determines whether any report programming modifications are necessary based on intra or inter-organizational changes that have occurred since last quarter. If so, DIT modifies the report criteria. **[MAP SHAPE 8a, 8b]**
7. DIT runs quarterly unemployment reports (PRISM). **[MAP SHAPE 9]**
8. Central HR reviews reports to ensure there are no errors (employees not assigned to an industry code). If errors are found, Central HR investigates and process is repeated as described above in steps #6 and #7. **[MAP SHAPE 9a, 9b]**
9. Central HR downloads quarterly wage file (PRISM) and copies to CD. HR completes tax report form and submits to the VEC, along with the CD. HR receives quarterly billing statement from VEC. HR reimburses the VEC for claims paid (via AP process). **[MAP SHAPE 10, 11, 12, 13, 14, 15, 16]**
10. Central HR analyzes employment and wage data by industry code and identifies reasons for significant changes between months. HR completes and submits online report to the VEC (internet). **[MAP SHAPE 17, 18, 19]**

Triggers:

- ❑ VEC Quarterly Tax Report and Forms
- ❑ Quarterly Billing Statement

Key Process Participants:

- ❑ Unemployment Office
- ❑ Central HR
- ❑ DIT

Inputs:

Input	*Format*
VEC Tax Report and Forms	Various
Quarterly Unemployment Reports	PRISM
VEC Quarterly Billing Statement	Various

Outputs:

Output	*Format*
Completed Tax Report Form	Various
Claims Reimbursements	Various
VEC Online Report	Various

IT Support:

Application/System Name	*Technology Description*
PRISM	County Human Resources System
FAMIS	County Financial System

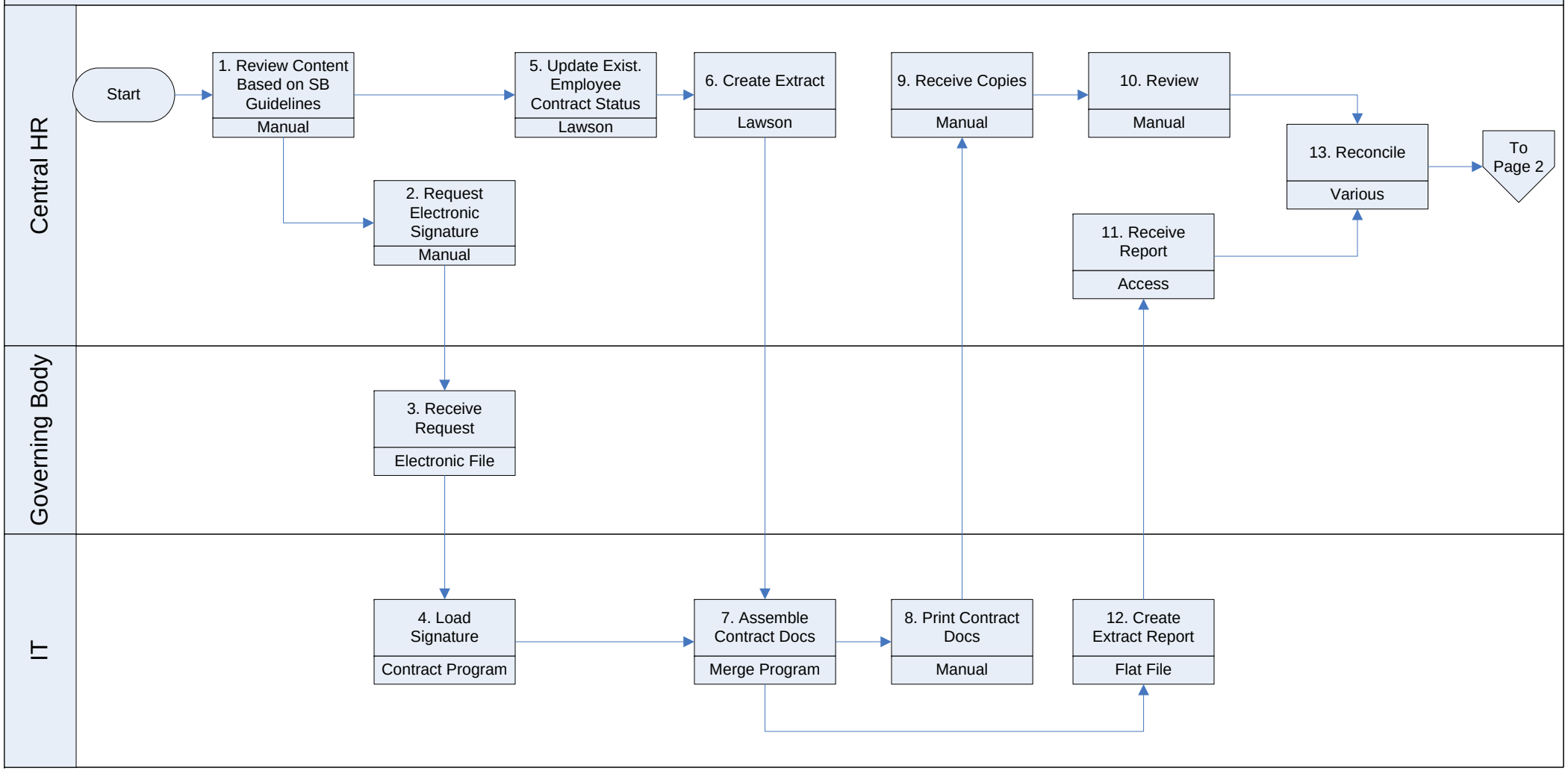
Regulations:

- o Virginia Employment Commission (VEC)

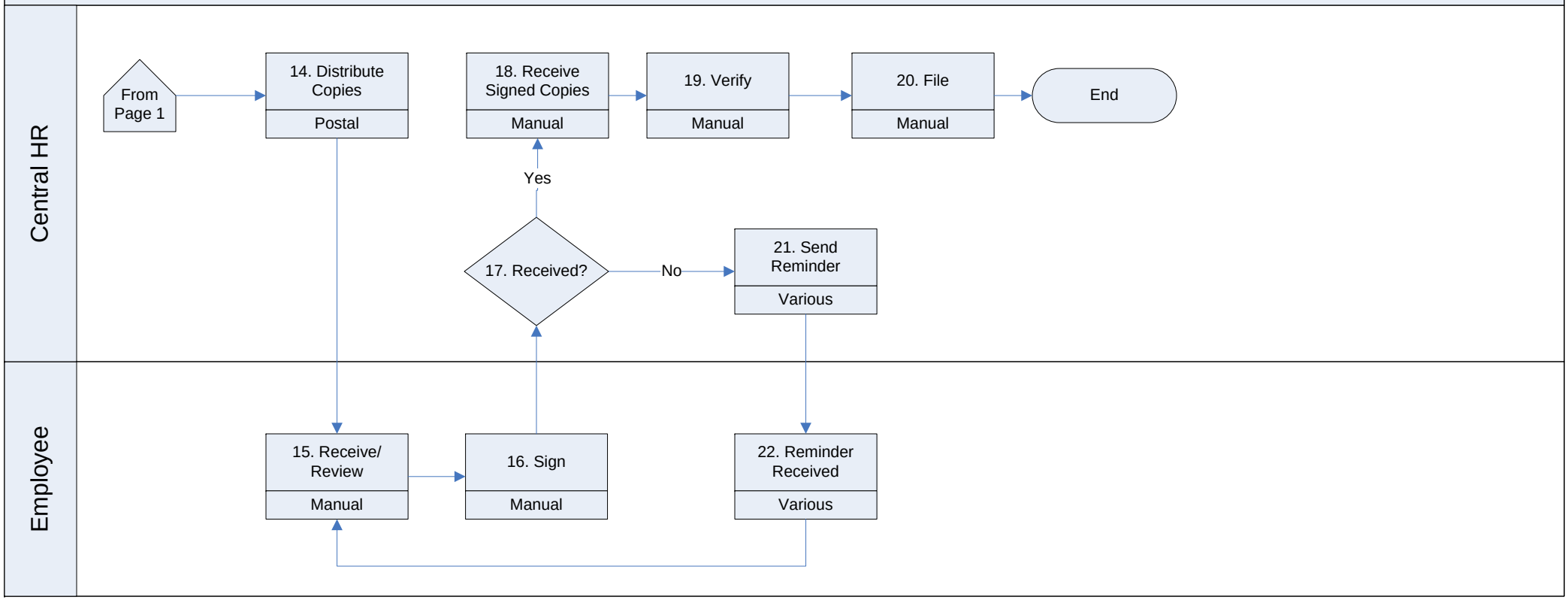
- Virginia Administrative Code (16 VAC 5-60)
- Virginia Unemployment Compensation Act (Code of VA, Title 60.2)
- FUTA (26 USC § 3301)

Human Resources [Final] Map Name: HR_CONTRACT_EDUC

Sub-Process: Contract Management – Education Map No.: 13A



Human Resources [FINAL] Map Name: HR_CONTRACT_EDUC
Sub-Process: Contract Management – Education Map No.: 13A



Process Name: Human Resources	**Process Identifier:** HR_CONTRACT_EDUC
Sub-Process Name: Contract Management – Education	**Map Number:** 13A

Sub-Process Purpose and Objectives: New teacher contracts

Sub-Process Description:

1. Central HR reviews contract languages based on School Board guidelines and makes a request to the Governing Body for the electronic signature file. **[MAP SHAPE 1, 2, 3]**
2. The electronic signature is received by IT who loads the signature file into the contract program. **[MAP SHAPE 4]**
3. Central HR updates the contract status for all existing Employees. **[MAP SHAPE 5]**
4. Central HR creates an extract of the Employee names and contract type and sends to IT. **[MAP SHAPE 6]**
5. IT runs a merge program that matches Employee names with the appropriate contract type. **[MAP SHAPE 7]**
6. IT prints the contract documents and sends them to Central HR for review. **[MAP SHAPE 8]**
7. IT also produces an extract file of Employee names and contract type received and sends the file to Central HR. **[MAP SHAPE 12]**
8. Central HR receives the contracts and contract file extracts from IT and does a review of the contracts by Employee and contract type. **[MAP SHAPE 9, 10, 11]**
9. Central HR performs a reconciliation between the extract file received from IT and the contract documents received from IT. **[MAP SHAPE 13]**
10. Central HR mails copies of the appropriate contract to each Employee. **[MAP SHAPE 14]**
11. The Employee receives the contract from Central HR and has 15 days to review the contact and sign the document. **[MAP SHAPE 15, 16]**
12. If Central HR receives the signed contracts from the Employee, they verify the receipt of the contract against the extract file received from IT. **[MAP SHAPE 17, 18, 19]**
13. A copy of the contract is filed in the Employees HR file. **[MAP SHAPE 20]**
14. Periodically Central HR reviews the file to see which Employees have not returned their contracts and send reminders to them. The Employee receives the reminder and acts upon it. **[MAP SHAPE 17, 21, 22]**

Triggers:

- ❑ New contract year is to begin
- ❑ Contracts produced
- ❑ New contracts sent to teachers
- ❑ Signed contracts returned

Key Process Participants:

- ❑ Governing Body
- ❑ Central HR
- ❑ IT
- ❑ Employee

Inputs:

Input	*Format*
New teacher contract	Manual (paper)

Outputs:

Output	*Format*
Signed contract	Manual (paper)

IT Support:

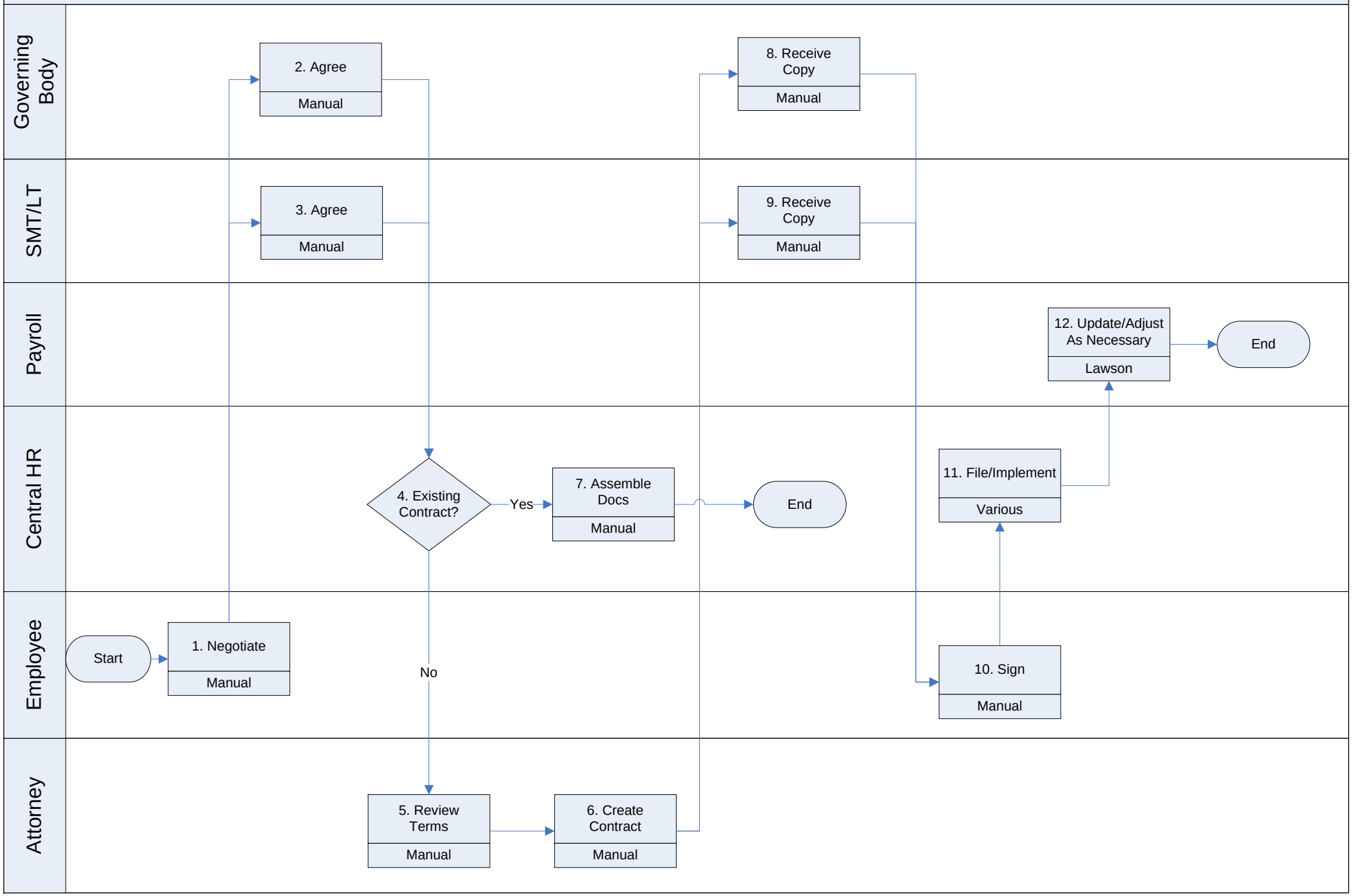
Application/System Name	*Technology Description*
PRISM	County humans resource system
Access	Database
Extract File	Flat file
Signature File	File

Regulations:

- o

Human Resources [Final] Map Name: HR_CONTRACT_EXEC

Sub-Process: Contract Management – School/County Executive Map No.: 13B



Process Name: Human Resources	**Process Identifier:** HR_CONTRACT_EXEC
Sub-Process Name: Contract Management – School/County Executive	**Map Number:** 13B

Sub-Process Purpose and Objectives: Process for hiring a new Executive in the Schools

Sub-Process Description:

1. The Employee negotiates for an executive position with the Schools and an agreement with the SMT/LT. **[MAP SHAPE 1, 2]**
2. If the contract negotiated is in keeping with existing contract language, Central HR assembles the documents. **[MAP SHAPE 4, 7]**
3. If the language in the contract is changed, the County Attorney reviews the contract. **[MAP SHAPE 4, 5]**
4. A new contract with the revised language is created by the County Attorney and is sent to the SMT/LT and Governing Body for approval. **[MAP SHAPE 6, 8, 9]**
5. The new contract is sent to the potential new School Executive for signing. **[MAP SHAPE 10]**
6. After the contract is signed by the new executive it is returned to Central HR to file and implement the changes. **[MAP SHAPE 11]**
7. The contract terms are forwarded to Payroll who enter the new Employee into the system and create a salary table for the executive level. **[MAP SHAPE 12]**
8. On the County side, employment agreements are negotiated for executive appointments, approved by BOS, and forwarded to Payroll for implementation. Employee is paid through PRISM.

Triggers:

- ❑ Individual seek executive employment with the Schools
- ❑ Contract negotiated
- ❑ Contract approved by School Governing Body
- ❑ Reviewed by County Attorney
- ❑ Signed by Employee

Key Process Participants:

- ❑ Governing Body
- ❑ SMT/LT
- ❑ Payroll
- ❑ Central HR
- ❑ Employee
- ❑ Counsel

Inputs:

Input	*Format*
Contract offer	Manual (paper)

Outputs:

Output	*Format*
New executive contract	Manual (paper)

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system
PRISM	County human resource system

Regulations:

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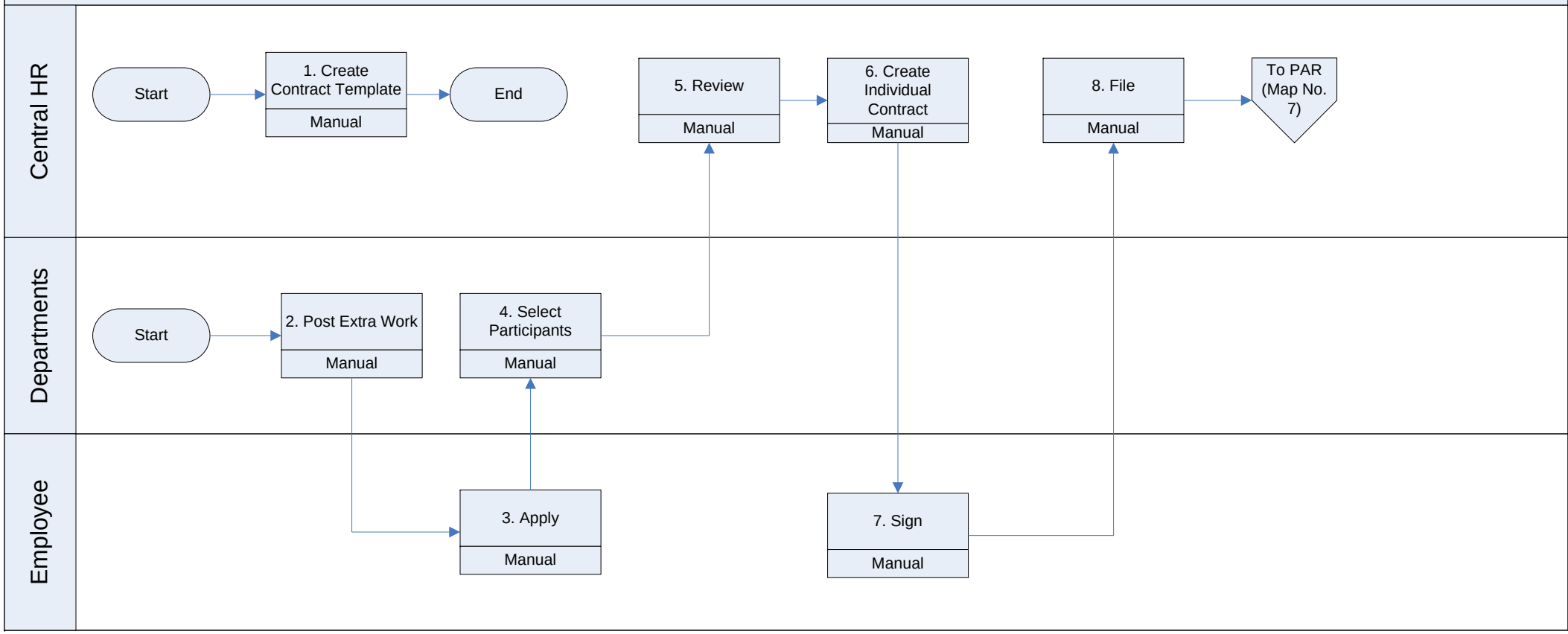
Human Resources [Final] Map Name: HR_CONTRACT_AMEND

Sub-Process: Contract Management – Amended Map No.: 13C



Process Name: Human Resources	**Process Identifier:** HR_CONTRACT_AMEND
Sub-Process Name: Contract Management – Amended	**Map Number:** 13C

Sub-Process Purpose and Objectives: Process for contracting for extended duties

Sub-Process Description:

1. Central HR creates the Extended (Amended) Contract template. **[MAP SHAPE 1]**
2. The Schools Department posts the extra work assignment and employees apply for the extended work assignment. **[MAP SHAPE 2, 3]**
3. The Department selects the employees and sends the names of those interested to Central HR for review. **[MAP SHAPE 4]**
4. Central HR reviews the list of applicants and selected employees are offered an extended contract. **[MAP SHAPE 5]**
5. The actual extended contracts for individual employees are printed and sent to the employee for signature. **[MAP SHAPE 6]**
6. The employee signs the contract and returns it to Central HR where it is kept in the employee's file. **[MAP SHAPE 7, 8]**

Triggers:

- There is a need for teachers to perform extra duty
- Teacher express interest
- Names are sent to Central HR
- Individual contracts are created
- Employee sings contract

Key Process Participants:

- Central HR
- Departments
- Employee

Inputs:

Input	*Format*
Extra duty posting	Manual (paper)
Contract executed	Manual (paper)

Outputs:

Output	*Format*
Teachers apply	Manual (paper)
Teacher Signs	Manual (paper)

IT Support:

Application/System Name	*Technology Description*

Regulations:

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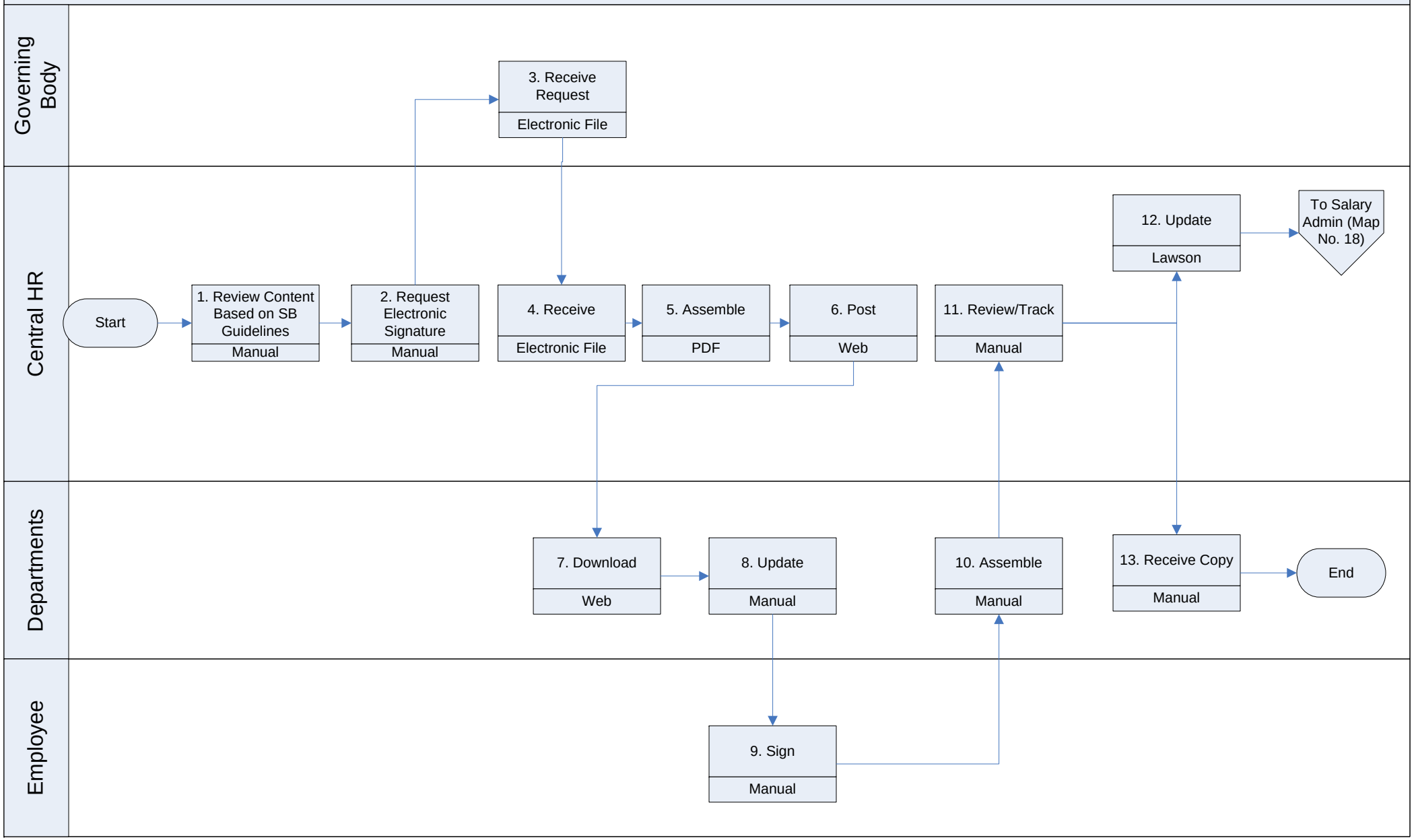
Human Resources [Final] Map Name: HR_CONTRACT_SUPP

Sub-Process: Contract Management – Supplemental Map No.: 13D



Process Name: Human Resources	**Process Identifier:** HR_CONTRACT_SUPP
Sub-Process Name: Contract Management – Supplemental	**Map Number:** 13D

Sub-Process Purpose and Objectives: Supplemental contract process

Sub-Process Description:

1. Central HR reviews the educational contract language based on School Board guidelines. **[MAP SHAPE 1]**
2. Central HR request approval of a new educational contract and Executive electronic signature file from the Governing Body. **[MAP SHAPE 2]**
3. Electric signature is sent to Central HR (IT) for use in printing the contact. **[MAP SHAPE 3, 4]**
4. Central HR assembles and mass loads the supplemental contracts for posting to the Schools Web page. **[MAP SHAPE 5, 6]**
5. Contracts are downloaded to the Departments and updated where contracts for individual teachers become available. **[MAP SHAPE 7, 8]**
6. Contracts are distributed to the individual teachers for review and signatures. **[MAP SHAPE 9]**
7. Signed contracts are returned to the Department where they are assembled and sent back to Central HR. **[MAP SHAPE 10]**
8. Central HR reviews the returned contracts and tracks those that are being returned. **[MAP SHAPE 11]**
9. Central HR updates Lawson and notifies Payroll. A copy is retained in Central HR in the Employees file. **[MAP SHAPE 12]**
10. A copy of the signed contract is sent to the Employees Department. **[MAP SHAPE 13]**

Triggers:

- New supplemental contracts are required
- Contracts made available to teachers
- Contracts signed and returned
- Lawson updated

Key Process Participants:

- Governing Body
- Central HR
- Departments
- Employee

Inputs:

Input	*Format*
New contract language	Electronic

Outputs:

Output	*Format*
Revised Employee supplemental contracts	Paper

IT Support:

Application/System Name	*Technology Description*
Lawson	Schools human resource system

Regulations:

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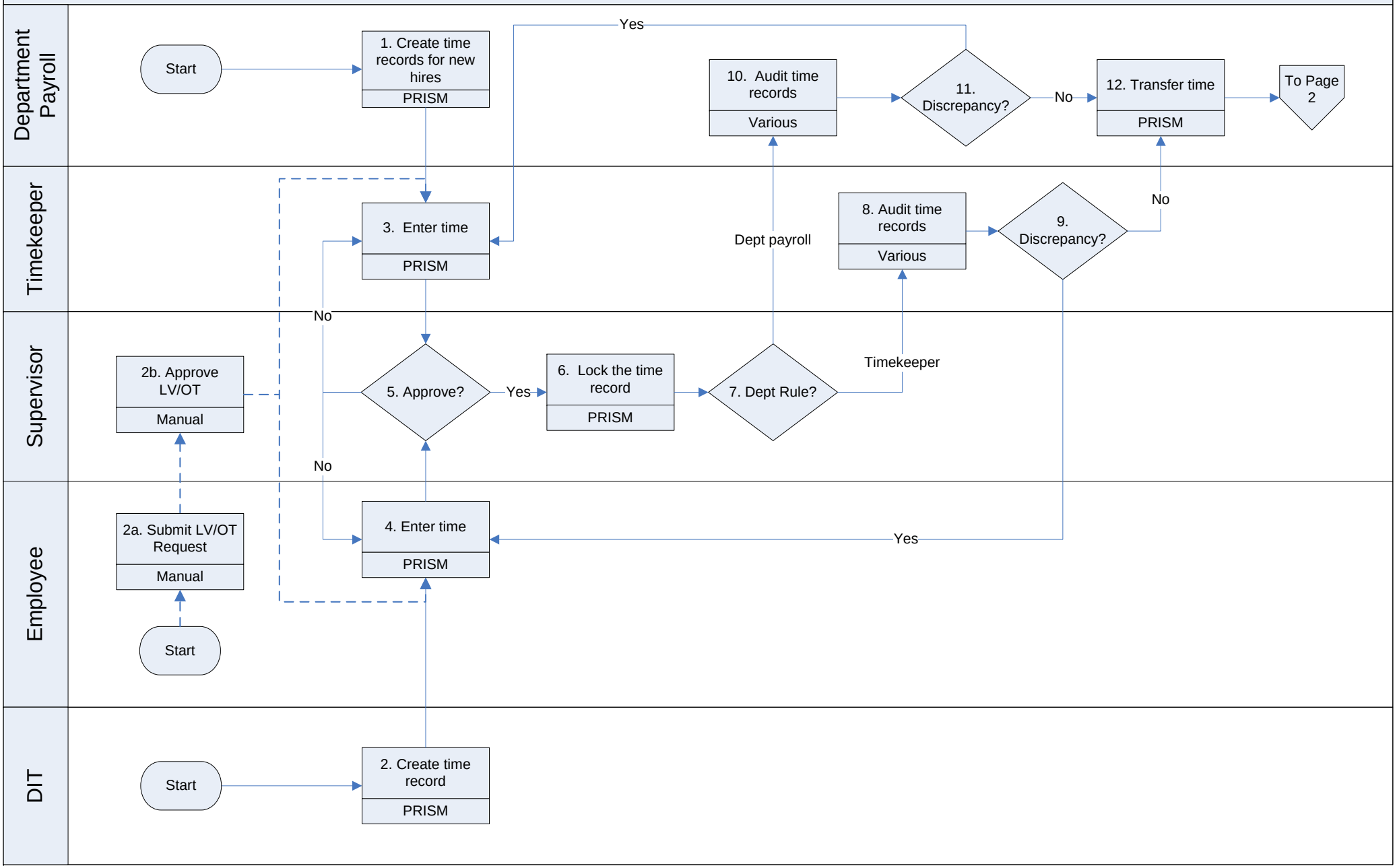
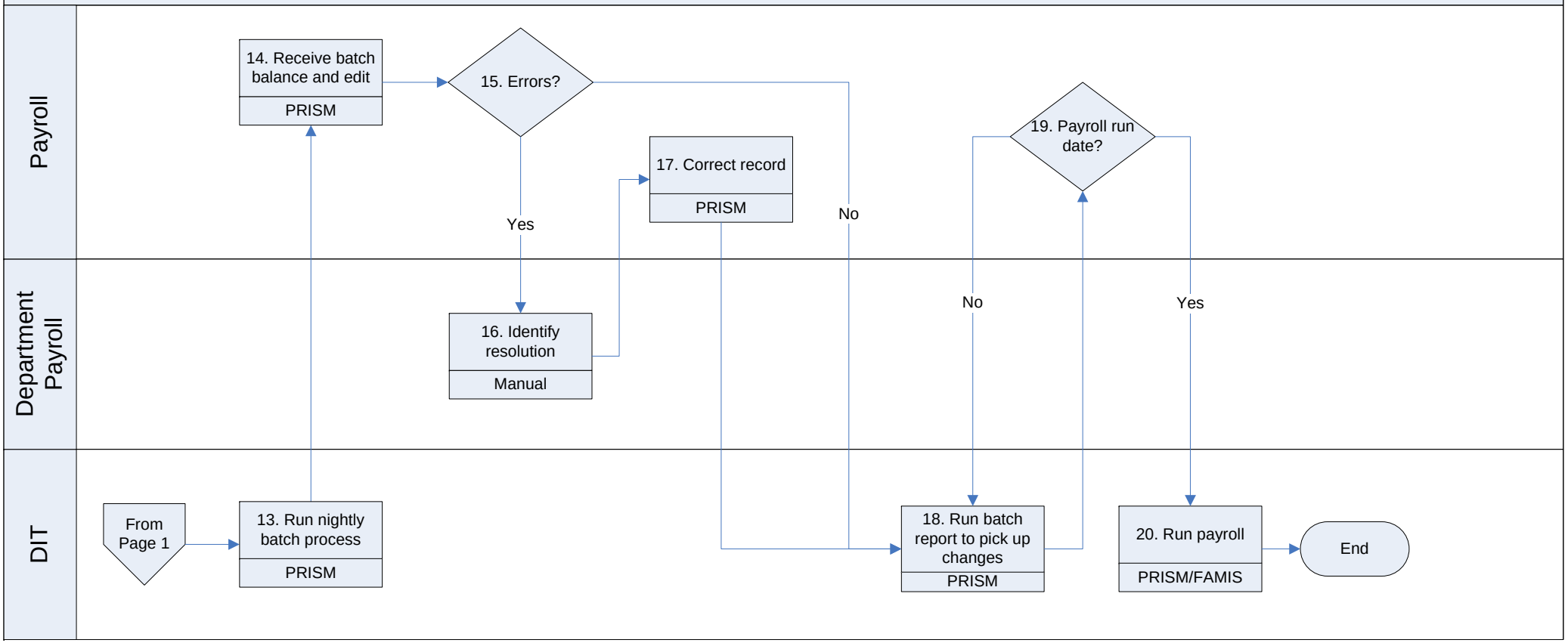
Payroll [FINAL]
Sub-Process: Time Entry – County Biweekly

Map Name: PAY_TE_CO_BIWEEK
Map No.: 15A



Payroll [FINAL]
Sub-Process: Time Entry – County Biweekly

Map Name: PAY_TE_CO_BIWEEK
Map No.: 15A



Process Name: Payroll	**Process Identifier:** PAY_TE_ CO_BIWEEK
Sub-Process Name: Time Entry – County Biweekly	**Map Number:** 15A

Sub-Process Purpose and Objectives: Biweekly Payroll process for the County

Sub-Process Description:

1. DIT creates pay period time records in PRISM. Department Payroll creates time records for new employees/re-employments and enters them into PRISM. **[MAP SHAPE 1, 2]**
2. If applicable, employee completes Leave/Overtime request, signs, and provides to supervisor for approval. Supervisor approves the Leave/Overtime by signing the document. **[MAP SHAPE 2a, 2b]**
3. The Employee or timekeeper enters the time into the PRISM. **[MAP SHAPE 3, 4]**
4. Supervisor reviews the time record. If a time record is not approved because of errors, the timesheet goes back to the Employee or the timekeeper for review and correction. The approval can be verbal, email or some other method. **[MAP SHAPE 3, 4, 5]**
5. If the Payroll records are correct, timesheet is locked by the Supervisor. **[MAP SHAPE 6]**
6. By Department rule, if the Employee enters their own time it is audited by the Department timekeeper. If the time was entered by the timekeeper it is sent to Department Payroll for audit. **[MAP SHAPE 7, 8, 10]**
7. If a discrepancy is discovered by the timekeeper, the time sheet is returned to the Employee for correction, assuming the employee still has access to the time record. In the case where the time record is locked, the Payroll contact makes the change. If the discrepancy is discovered by Department Payroll, it is returned to the timekeeper for correction. **[MAP SHAPE 9, 11, 2, 4]**
8. If there is no discrepancy or once the corrections have been made, the time is transferred by Department Payroll into PRISM. **[MAP SHAPE 12]**
9. DIT runs a batch process overnight that creates an exception and balancing edit report which goes to Central Payroll. **[MAP SHAPE 13, 14]**
10. The report is reviewed in Payroll for errors and to ensure that all records were transferred successfully. If an error is found in the report the error goes back to Department Payroll for correction. If a correction is required it is reported to Central Payroll who fixes the timesheet manually in PRISM. **[MAP SHAPE 15, 16, 17]**
11. DIT runs another batch process that picks up the error correction. This is an iterative process that is run until the report shows no errors or the Payroll run date arrives. Central Payroll decides if the Payroll records are clean enough to run Payroll. **[MAP SHAPE 18, 19]**
12. DIT is notified that the Payroll is ready to run. If there are still errors by the Payroll run date the Payroll is run and any remaining errors have to be manually corrected. **[MAP SHAPE 20]**

Triggers:

- ❑ County biweekly Payroll process begins

Key Process Participants:

- ❑ Employee
- ❑ Supervisor
- ❑ DIT
- ❑ Timekeeper
- ❑ Payroll
- ❑ Department Payroll

Inputs:

Input	***Format***
Time entry records	Various

Outputs:

Output	***Format***
Clean time records	Electronic

IT Support:

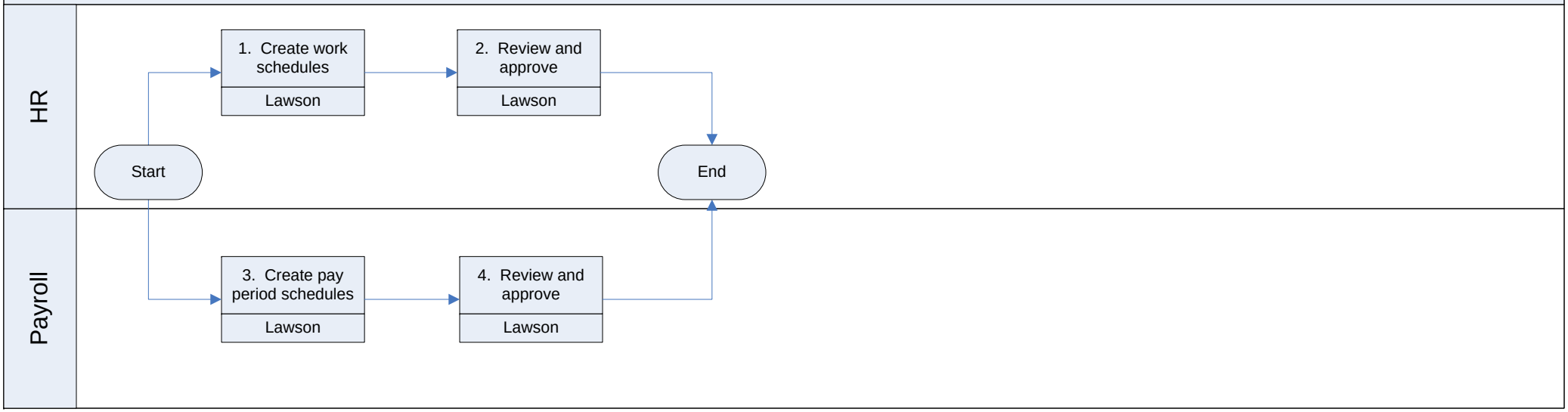
Application/System Name	***Technology Description***
PRISM	County human resource system
FAMIS	County financial system

Regulations:

- o

Payroll [FINAL]
Sub-Process: Time Entry – Create Schools Work Schedules

Map Name: PAY_TE_SCH_SCHED
Map No.: 15B



Process Name: Payroll	**Process Identifier:** PAY_TE_SCH_SCHED
Sub-Process Name: Time Entry – Create School Work Schedules	**Map Number:** 15B

Sub-Process Purpose and Objectives: School Work Schedules creation

Sub-Process Description:

1. After the School Board approves the next school year calendars they are sent to HR who creates the work schedules in Lawson. **[MAP SHAPE 1]**
2. The schedules are reviewed and approve by HR. **[MAP SHAPE 2]**
3. Payroll creates the pay period schedules which are also entered into Lawson. **[MAP SHAPE 3]**
4. Payroll reviews and approves the pay period schedules. **[MAP SHAPE 4]**

Triggers:

- ❑ Work schedules are created in Lawson
- ❑ Pay period schedules are created in Lawson.

Key Process Participants:

- ❑ HR
- ❑ Payroll

Inputs:

Input	*Format*
Work schedules	Electronic
Pay schedules	Electronic

Outputs:

Output	*Format*

IT Support:

Application/System Name	*Technology Description*
Lawson	School human resource system

Regulations:

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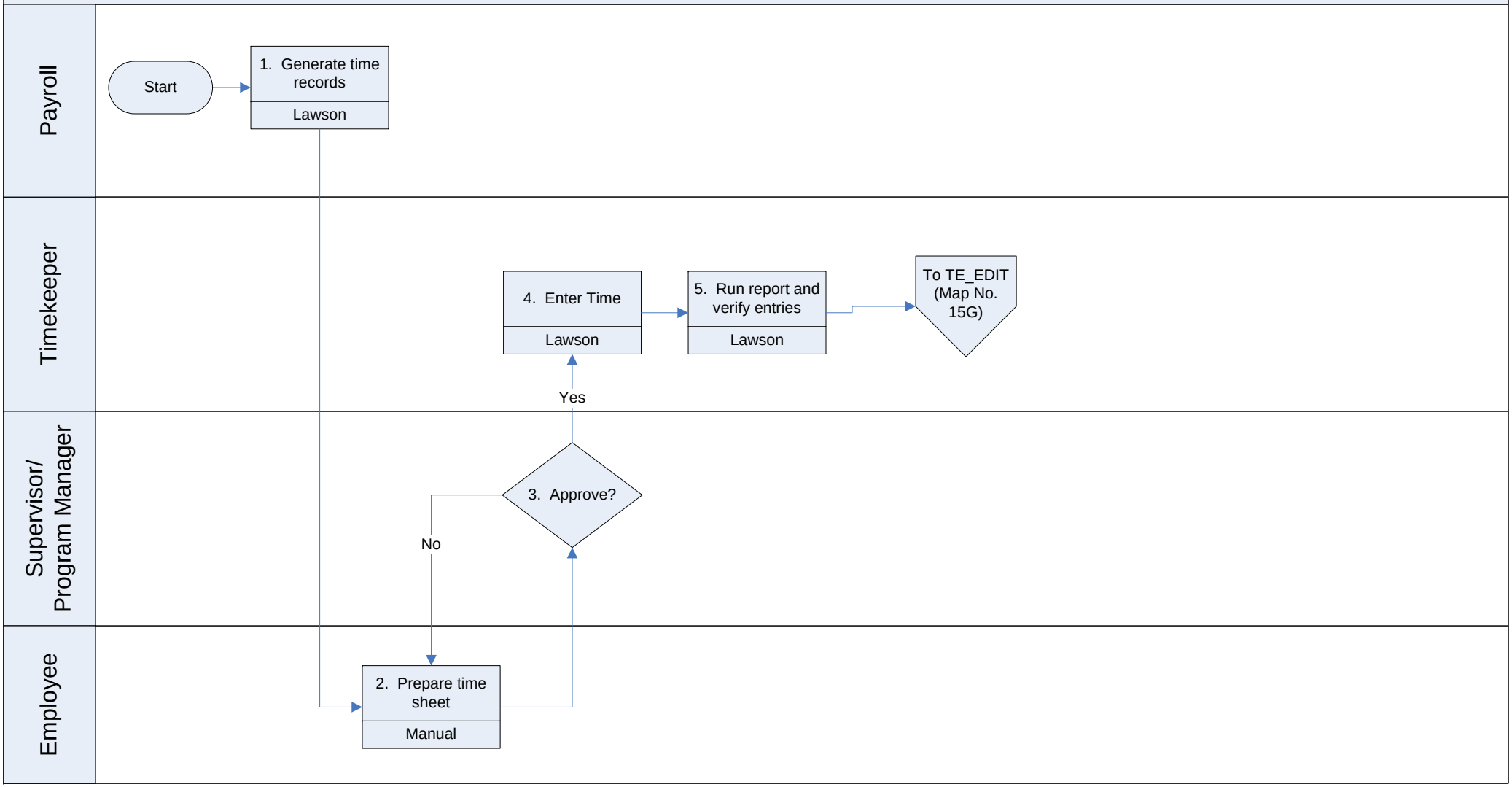
Payroll [FINAL]
Sub-Process: Time Entry – Schools Biweekly

Map Name: PAY_TE_SCH_BIWEEK
Map No.: 15C



Process Name: Payroll	**Process Identifier:** PAY_TE_SCH_BIWEEK
Sub-Process Name: Time Entry – Schools Biweekly	**Map Number:** 15C

Sub-Process Purpose and Objectives: School's biweekly payroll process

Sub-Process Description:

1. Payroll generates time records in Lawson. **[MAP SHAPE 1]**
2. The Employee fills out their time sheets manually. **[MAP SHAPE 2]**
3. After filling out the time sheet the Employee forwards the time sheet to supervisor for approval. If the time sheet is not approved it goes back to the Employee for correction. If the Employee's time sheet is approved the supervisor forwards it to the Timekeeper. **[MAP SHAPE 3, 4]**
4. The Timekeeper enters into Lawson. **[MAP SHAPE 4]**
5. If there are no errors the entries are clean and the reports are approved by the Supervisor/Program Manager and are filed. If there are errors the process continues until the reports are clean (The Timekeeper report is considered the final report. This report is the audited payroll records report.) **[MAP SHAPE 4, 5]**

Triggers:

- ❑ Employee completes time sheet

Key Process Participants:

- ❑ Employee
- ❑ Supervisor/Program Manager
- ❑ Timekeeper
- ❑ Payroll

Inputs:

Input	*Format*
Lawson generates time sheets	Paper/Electronic
Employee fills out time sheet	Paper/Electronic

Outputs:

Output	*Format*
Employee sheet	Paper/Electronic
Time sheet entered into Lawson	Manual

IT Support:

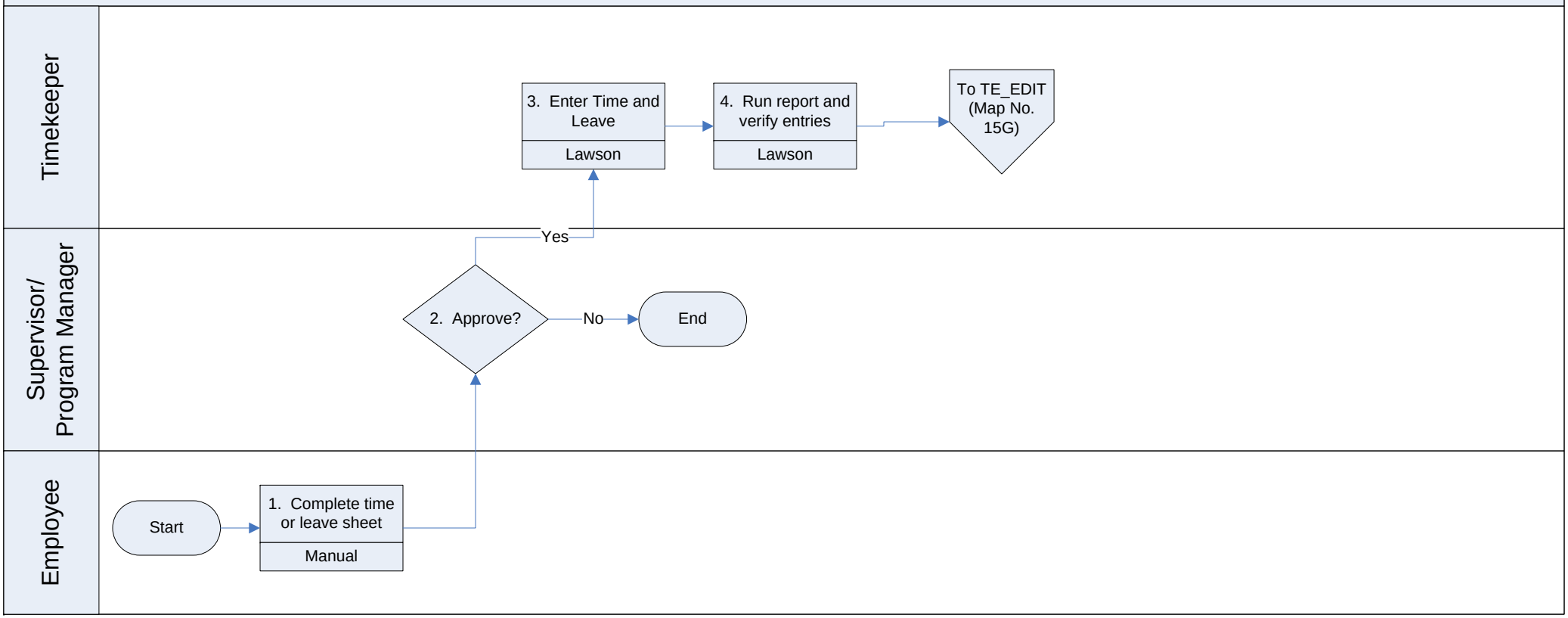
Application/System Name	*Technology Description*
Lawson	School human resource system

Regulations:

o

Payroll [FINAL]
Sub-Process: Time Entry – Schools Monthly

Map Name: PAY_TE_SCH_MONTH
Map No.: 15D



Process Name: Payroll	**Process Identifier:** PAY_TE_SCH_MONTH
Sub-Process Name: Time Entry – Schools Monthly	**Map Number:** 15D

Sub-Process Purpose and Objectives: Schools monthly time entry process

Sub-Process Description:

1. Employee completes a time sheet if they have used leave or worked additional hours. **[MAP SHAPE 1]**
2. The timesheet and or leave slip go to Supervisor for approval. If the Supervisor does not approve the time sheet it is sent back to the Employee for correction or the process ends. **[MAP SHAPE 2]**
3. Approved timesheet and leave slips are forwarded to the Timekeeper for entry into Lawson. **[MAP SHAPE 2, 3]**
4. If there are no errors the entries are clean and the reports are approved by the Supervisor/Program Manager and are filed. If there are errors the process continues until the reports are clean (The Timekeeper report is considered the final report. This report is the audited payroll records report.) **[MAP SHAPE 3, 4]**
5. Payroll generates time records during the Gross to Net process.

Triggers:

- ❑ Employee fills out exception time sheet and/or leave slip

Key Process Participants:

- ❑ Employee
- ❑ Supervisor/Program Manager
- ❑ Payroll

Inputs:

Input	*Format*
Lawson generates time sheets	Paper/Electronic
Employee enter exception time	Paper/Electronic

Outputs:

Output	*Format*
Employee time sheet	Paper/Electronic

IT Support:

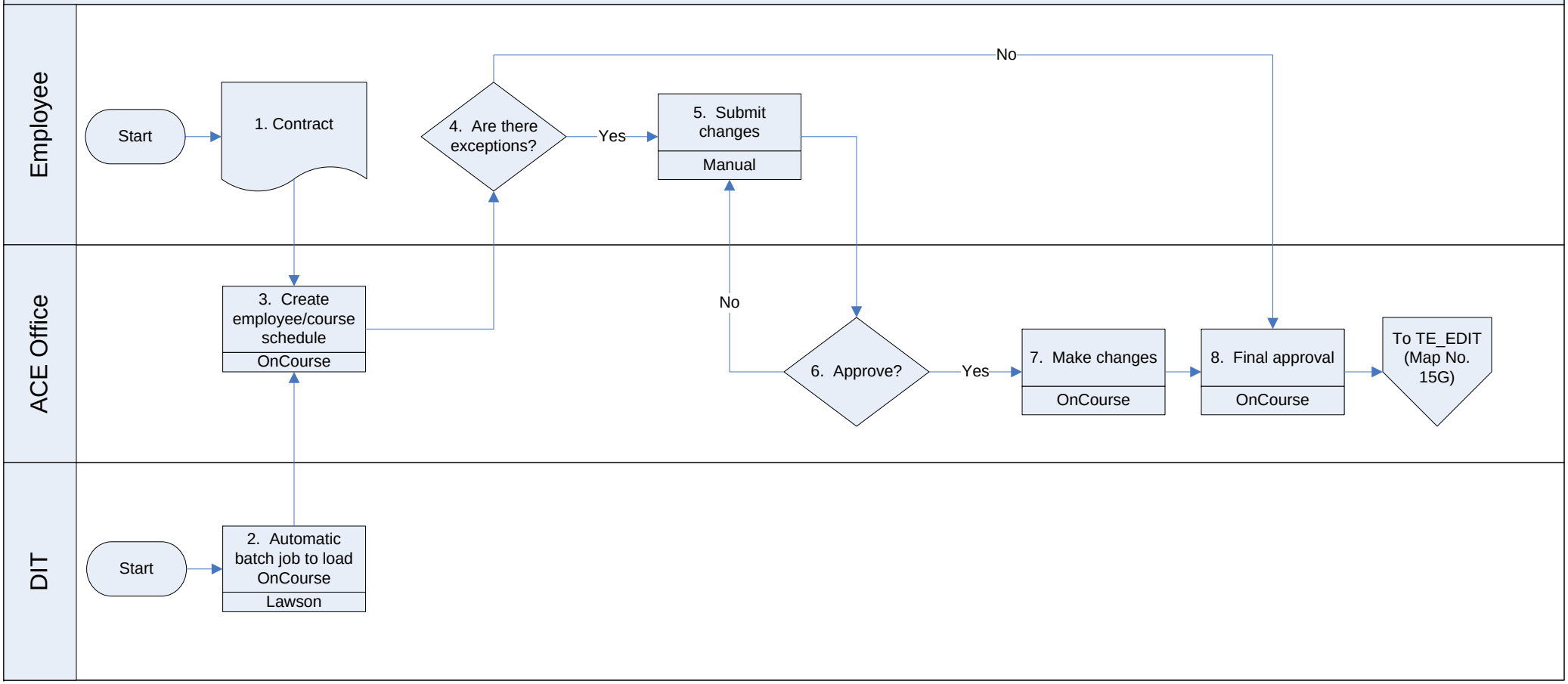
Application/System Name	*Technology Description*
Lawson	School human resource system

Regulations:

o

Payroll [FINAL]
Sub-Process: Time Entry – Schools ACE

Map Name: PAY_TE_SCH_ACE
Map No.: 15E



Process Name: Payroll	**Process Identifier:** PAY_TE_SCH_ACE
Sub-Process Name: Time Entry – Schools ACE	**Map Number:** 15E

Sub-Process Purpose and Objectives: Schools ACE time entry process.

Sub-Process Description:

1. An Employee signs a contract to teach for ACE (Adult Community Education). **[MAP SHAPE 1]**
2. DIT runs a job that loads certain attributes from Lawson into the OnCourse system for the ACE Office. **[MAP SHAPE 2]**
3. The ACE Office created an Employee course schedule in the OnCourse system. The schedule is based on hours worked against a contract. **[MAP SHAPE 3]**
4. The Employee reviews the course/hours schedule created by the ACE Office. **[MAP SHAPE 4]**
5. If there are no change to the course/hours schedule the Employee returns the document to the ACE Office which is then entered into OnCourse. **[MAP SHAPE 8]**
6. If the hours deviate from the contract hours the Employee returns the document to the ACE Office noting the discrepancies. Someone in the ACE Office reviews the changes either approves or rejects the change. This is an iterative process that continues until the Employee and ACE are in agreement. ACE makes the adjustment to the Employees scheduled hours in OnCourse. **[MAP SHAPE 5, 6, 7]**

Triggers:

- ACE creates Employee course schedule in OnCourse

Key Process Participants:

- Employee
- ACE Office
- DIT

Inputs:

Input	*Format*
Employee schedule	Electronic

Outputs:

Output	*Format*

IT Support:

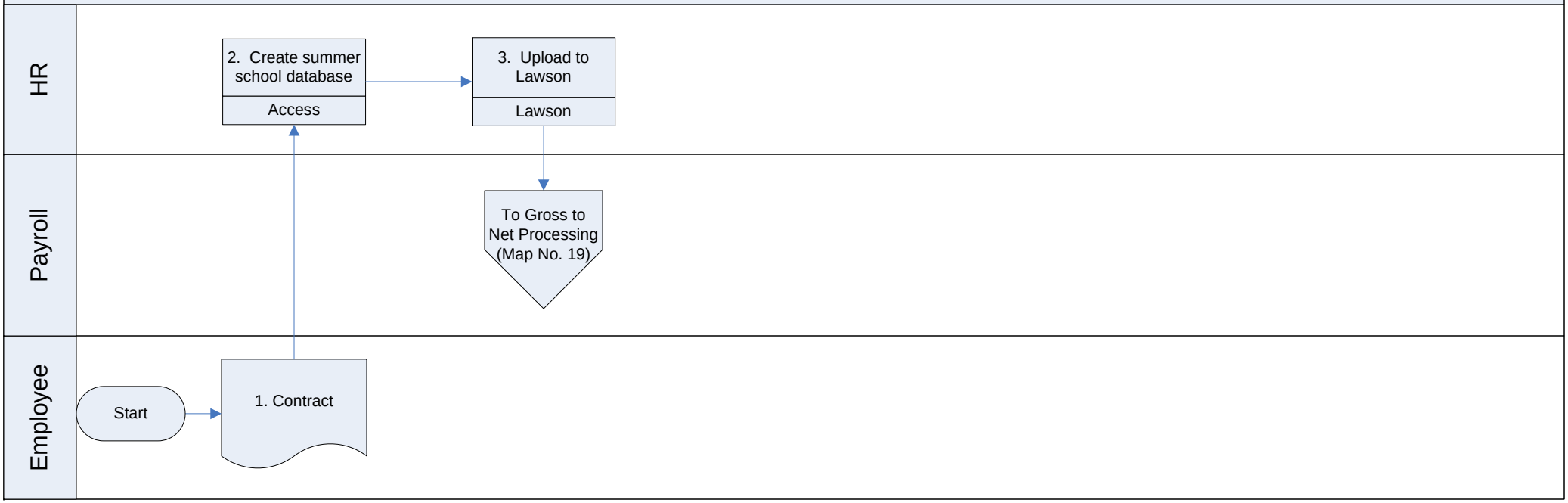
Application/System Name	*Technology Description*
OnCourse	ACE Time Entry System
Lawson	School human resource

Regulations:

o

Payroll [FINAL]
Sub-Process: Time Entry – Schools Summer School

Map Name: PAY_TE_SCH_SUMMER
Map No.: 15F



Process Name: Payroll	**Process Identifier:** PAY_TE_SCH_SUMMER
Sub-Process Name: Time Entry – Schools Summer School	**Map Number:** 15F

Sub-Process Purpose and Objectives: Schools Summer School time entry process

Sub-Process Description:

1. An Employee signs a contract to teach summer school that specifies a specific number of hours over a fixed period of time. The contract is sent to Central HR. Central HR enters the contract is entered into an Access database that is used to tracks summer school Employees. **[MAP SHAPE 1, 2]**
2. HR submits time records from the Access database to Lawson as a CSV file (no changes can be made to this file). All changes must be made as an adjustment in the Gross to Net process. **[MAP SHAPE 3]**

Triggers:

- ❑ Employee signs contract to teach summer school
- ❑ Contract hours transferred to Lawson

Key Process Participants:

- ❑ Employee
- ❑ HR
- ❑ Payroll

Inputs:

Input	*Format*
Employee summer school contract	Paper
Hours entered into Access	Manual
CSV file sent to Lawson	Electronic

Outputs:

Output	*Format*
Signed Employee contract	Paper

IT Support:

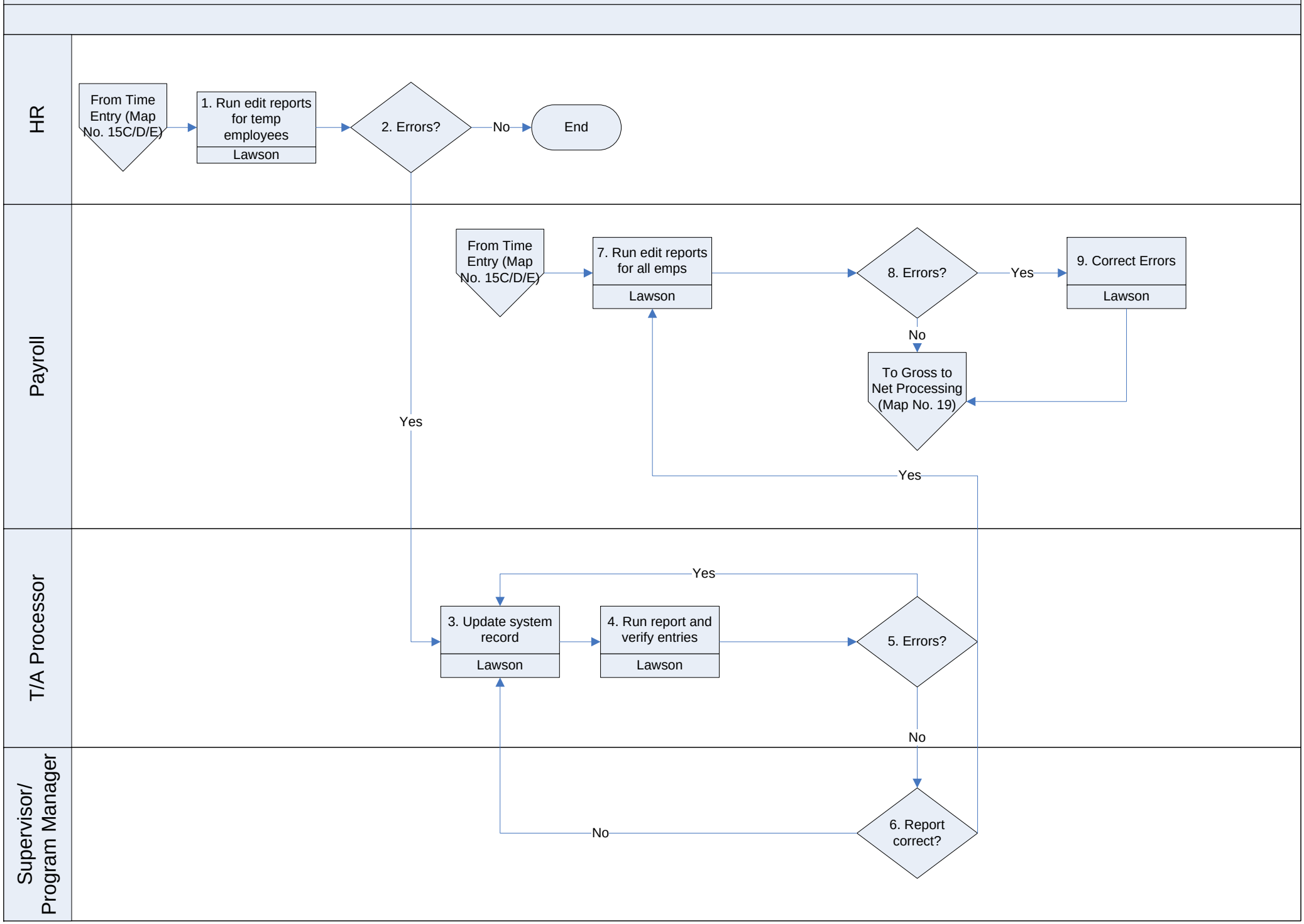
Application/System Name	*Technology Description*
Access	Database Software
Lawson	Schools human resource system

Regulations:

o

Payroll [FINAL]
Sub-Process: Time Entry – Schools Time Record Edit

Map Name: PAY_TE_SCH_EDIT
Map No.: 15G



Process Name: Payroll	**Process Identifier:** PAY_TE_SCH_EDIT
Sub-Process Name: Time Entry – School Time Record Edit	**Map Number:** 15G

Sub-Process Purpose and Objectives: Schools time record edit process

Sub-Process Description:

1. Time entry sheets come to Timekeeper from Supervisors the processes described on **MAPS 15C, 15D and 15E**. Central HR runs edit reports in Lawson looking errors in temporary hourly Employees (hours are based on position attributes). **[MAP SHAPE 1]**
2. If there are no errors on the reports the process ends. If there are errors on the reports the Timekeeper is contacted to make the necessary corrections in Lawson or via corrections memo **[MAP SHAPE 2, 3]**
3. The Timekeeper then generates reports and verifies the entries. **[MAP SHAPE 4]**
4. If there are no errors the entries are clean and the reports are approved by the Supervisor/Program Manager and are filed. If there are errors the process continues until the reports are clean (The Timekeeper report is considered the final report. This report is the audited payroll records report.) **[MAP SHAPE 5, 6]**
5. Payroll receives time entry records from the processes describe on **MAPS 15C, 15D and 15E** and runs edit reports for all Employees. **[MAP SHAPE 7]**
6. If there are no errors the process proceeds to the Gross-to-Net process. **[MAP SHAPE 8]**
7. If there is an error, payroll makes the necessary corrections. **[MAP SHAPE 9]**
8. Complete Gross to Net Processing (Not mapped).
9. Errors found after Gross to Net Processing are corrected in subsequent pay periods.

Triggers:

- ❑ Time entry records need to be edited

Key Process Participants:

- ❑ HR
- ❑ Payroll
- ❑ Timekeeper
- ❑ Supervisor/Program Manager

Inputs:

Input	*Format*
Time entry records	Various

Outputs:

Output	*Format*
Edited time entry records	Various

IT Support:

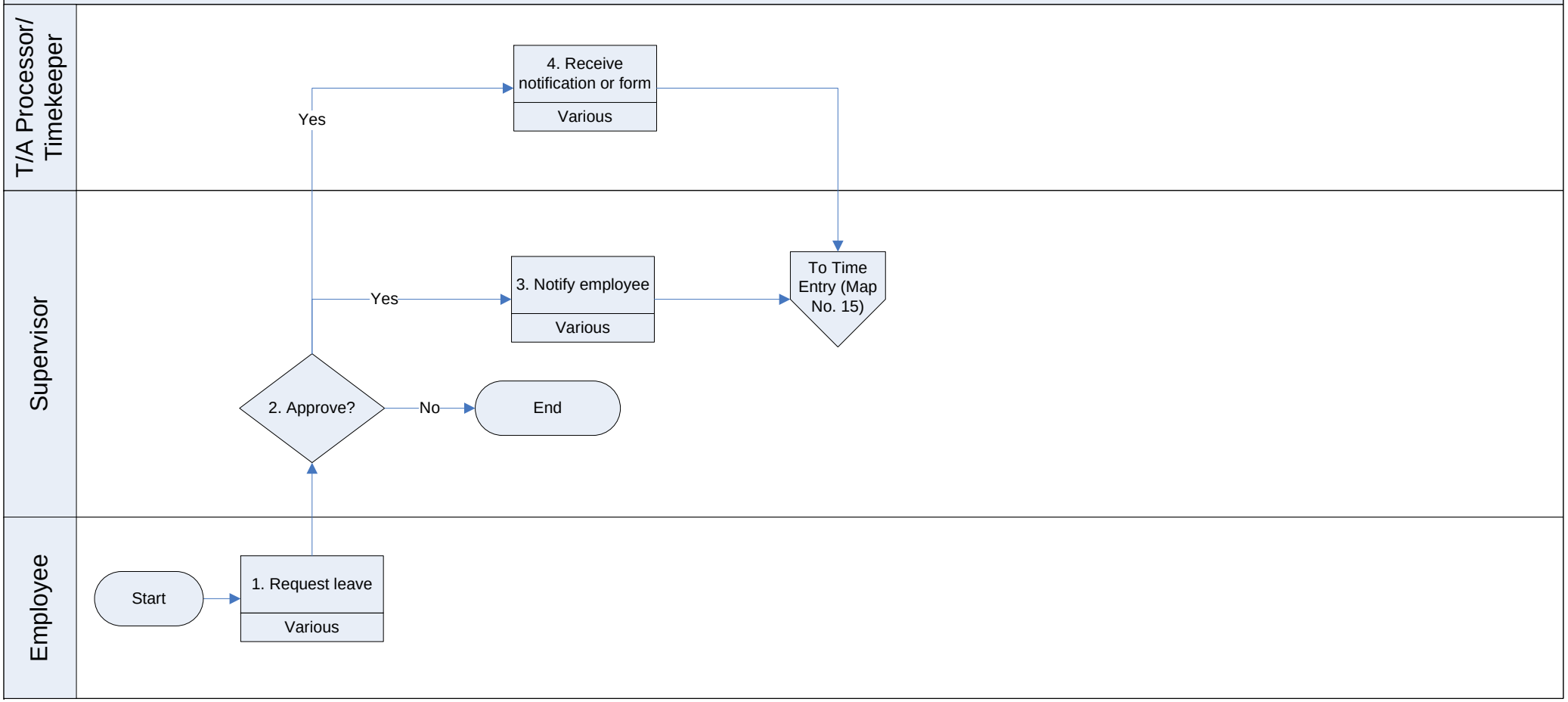
Application/System Name	*Technology Description*
Lawson	Schools human resource system

Regulations:

o

Payroll [FINAL]
Sub-Process: Leave Accounting - Request Leave

Map Name: PAY_LA_REQ
Map No.: 16A



Process Name: Payroll	**Process Identifier:** PAY_LA_REQ
Sub-Process Name: Leave Accounting – Request Leave	**Map Number:** 16A

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Employees request leave via email or using a printed form. The Schools require the use of a leave slip. **[MAP SHAPE 1]**
2. This email or form is sent to the employee's supervisor for approval. In some County Departments, there are conditions on the amount of time that a supervisor can approve. If the request is beyond that limit it must be mailed or sent to the Department Head. The supervisor checks to see that the employee has the requested leave time. **[MAP SHAPE 1, 2]**
3. If the Supervisor does not approve the leave request, the process ends. **[MAP SHAPE 2]**
4. If the supervisor approves the leave request, the employee and the Timekeeper are notified. **[MAP SHAPE 3, 4]**
5. Once the leave is approved it must be entered into the time entry system either by the employee or the T/A Processor/County timekeeper. In the County, the leave slip is forwarded to the timekeeper or Payroll contact. In the Schools, the T/A processor actually receives the time off request.

Triggers:

- ❑ Employee request leave.

Key Process Participants:

- ❑ Employee
- ❑ Supervisor
- ❑ T/A Processor/Timekeeper

Inputs:

Input	*Format*
Leave request	Various

Outputs:

Output	*Format*
Approved leave request	Various

IT Support:

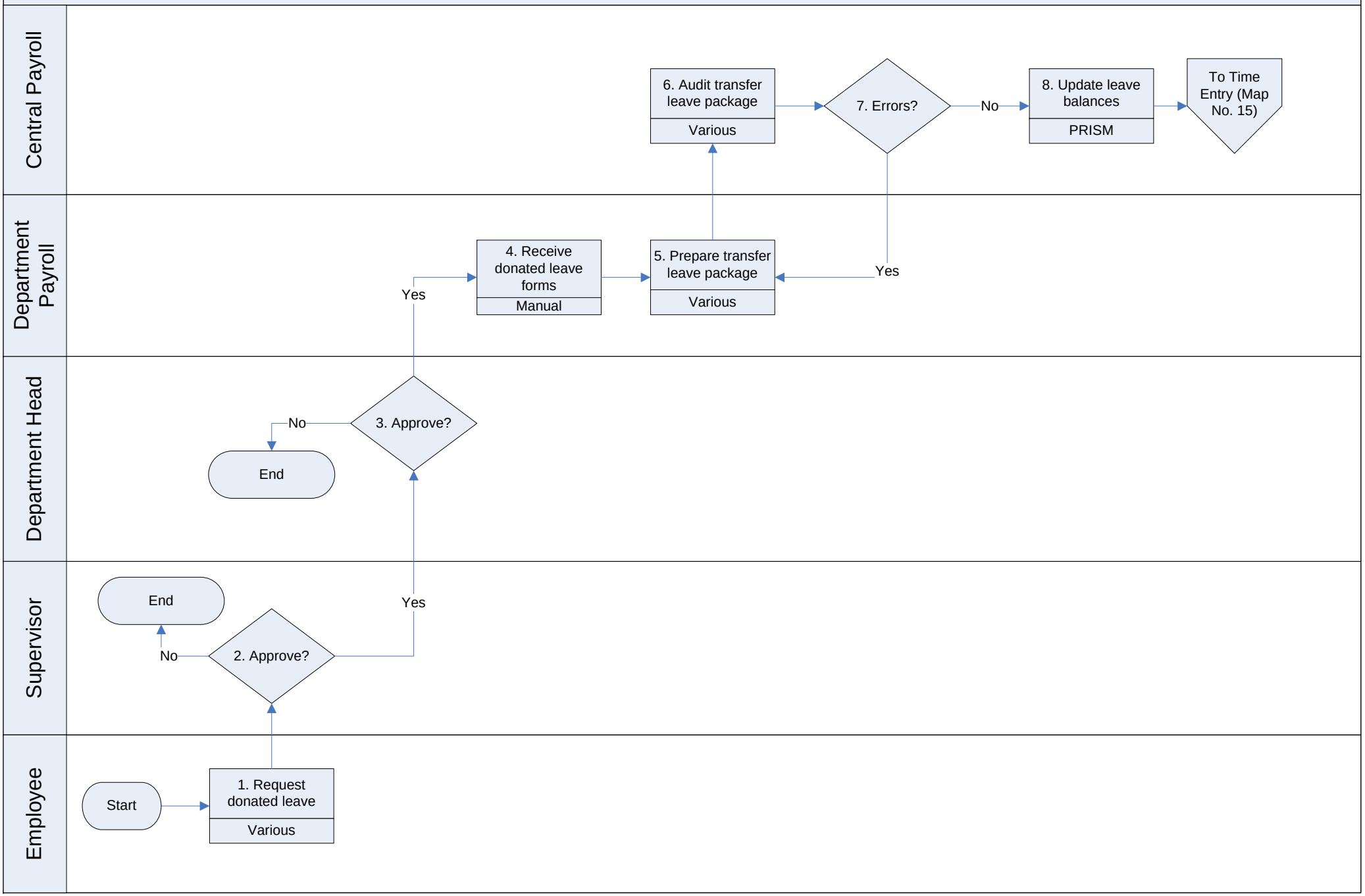
Application/System Name	*Technology Description*

Regulations:

o

Payroll [FINAL]
Sub-Process: Leave Accounting – Request Donated Leave

Map Name: PAY_LA_REQ_DONATE
Map No.: 16B



Process Name: Payroll	**Process Identifier:** PAY_LA_REQ_DONATE
Sub-Process Name: Leave Accounting – Request Donated Leave	**Map Number:** 16B

Sub-Process Purpose and Objectives: Document the request donated leave process.

Sub-Process Description:

1. An Employee makes a request for donated leave via email and/or employee leave recipient request form completion. **[MAP SHAPE 1]**
2. The request for donated leave is sent to the Employee's Supervisor for review. **[MAP SHAPE 1, 2]**
3. If the Employee's Supervisor does not approve the donated leave request, the process ends. If the request for donated leave is approved by the Employee's Supervisor, the Supervisor forwards the request to the Department Payroll contact and that party obtains Department Head signature. **[MAP SHAPE 2, 3]**
4. The Department Head reviews the request for donated leave. If the Department Head does not approve the request, the process ends. If the Department Head approves the leave request, it is forwarded to the Department Payroll contact. **[MAP SHAPE 3, 4]**
5. Department Payroll receives the request for donated leave and prepares a leave transfer package that is sent to Central Payroll. Leave transfer package includes Leave Transfer Approval form and Leave Donation form. **[MAP SHAPE 4, 5, 6]**
6. Central Payroll audits the request for donated leave package. If errors are found in the request for donated leave, the Department Payroll contact is contacted. **[MAP SHAPE 6, 7, 5]**
7. If Central Payroll finds no errors or other irregularities with the request for donated leave package, they update the leave balances in PRISM for both the Employee donating the leave and the Employee receiving the donated leave. **[MAP SHAPE 6, 7, 8]**

NOTE: Employees cannot have a negative leave balance. If additional leave is needed it must be received as donated leave from another Employee donating leave to the requesting Employee and requested through the Request for Donated Leave process and can only be used for a sickness.

Triggers:

- ❑ Employee request donated leave.

Key Process Participants:

- ❑ Employee
- ❑ Supervisor
- ❑ Department Head
- ❑ Department Payroll
- ❑ Central Payroll

Inputs:

Input	*Format*
Request for Donated Leave Form	Paper

Outputs:

Output	*Format*
Donated leave granted	Electronic

IT Support:

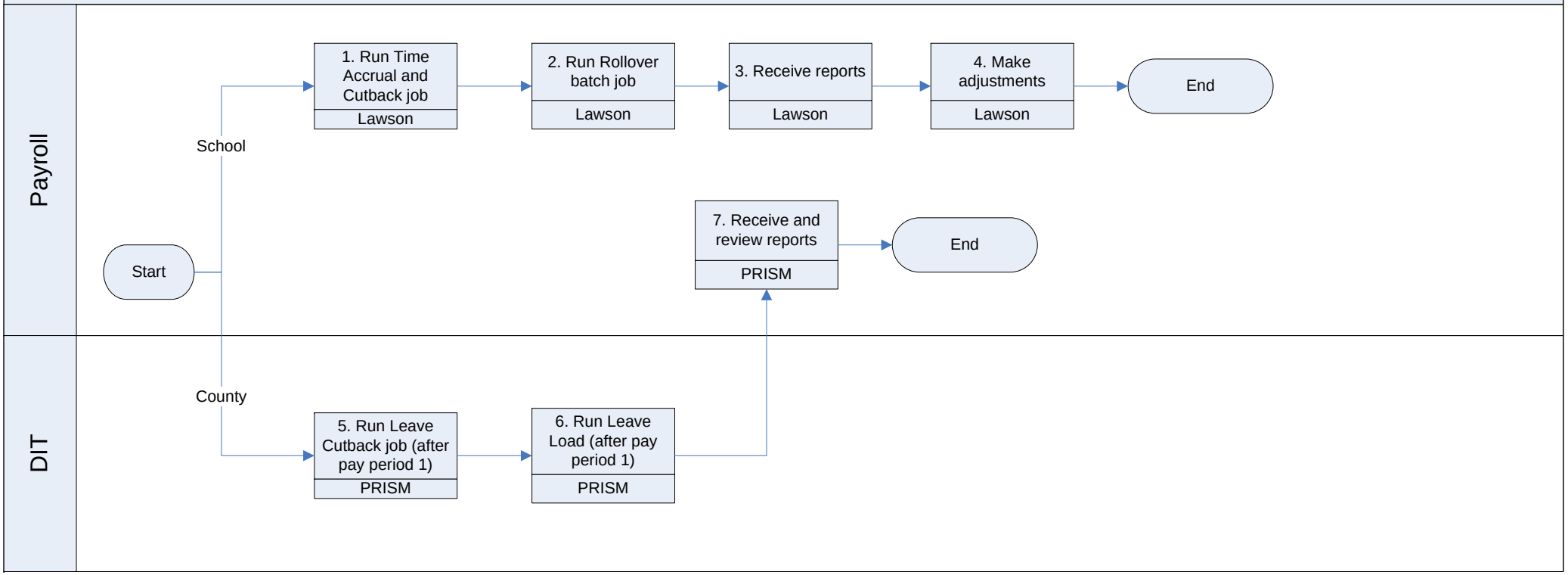
Application/System Name	*Technology Description*
PRISM	County human resource system

Regulations:

- o

Payroll [FINAL]
Sub-Process: Leave Accounting – Year End

Map Name: PAY_LA_YE
Map No.: 16C



Process Name: Payroll	**Process Identifier:** PAY_LA_YE
Sub-Process Name: Leave Accounting – Year End	**Map Number:** 16C

Sub-Process Purpose and Objectives: Year end leave accounting process.

Sub-Process Description:

1. Payroll runs the time accrual and leave cutback process in July for the Schools. DIT runs the leave cutback job in January for the County. This is a two job process. The first job does the time accrual and updates accrual parameters and cut back and the second job is the rollover job. **[MAP SHAPE 1, 5]**
2. In the Schools, Payroll runs the leave rollover job. In the County the leave load job is rung (after the first payroll.) **[MAP SHAPE 2, 6]**
3. Annual job that is run in the County after payroll 1. In the Schools the jobs are set up by Payroll.
4. County Payroll receives and reviews the leave job reports (the County does a spot audit of employees to review the accuracy of the reports and notifies DIT if discrepancies.) School Payroll reviews the reports from the leave jobs. **[MAP SHAPE 3, 7]**
5. Schools Payroll may have to make small adjustment to any data requiring correction. **[MAP SHAPE 4]**

Triggers:

- ❑ Year end leave processing

Key Process Participants:

- ❑ Payroll
- ❑ DIT

Inputs:

Input	*Format*
Leave accrual/cutback jobs	Electronic

Outputs:

Output	*Format*
Employee leave records adjusted	Electronic

IT Support:

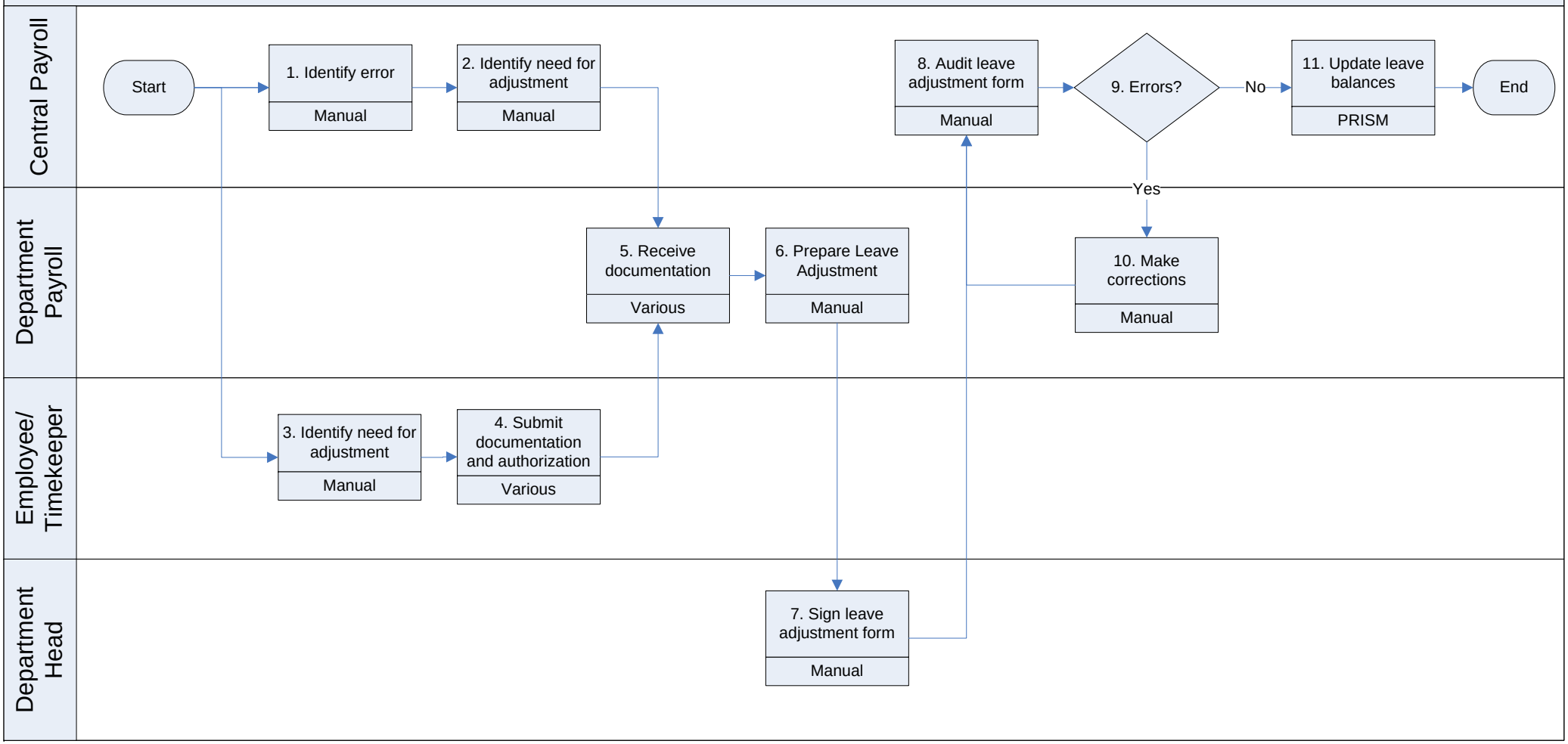
Application/System Name	*Technology Description*
Lawson	School human resource system
PRISM	County human resource system

Regulations:

o

Payroll [FINAL]
Sub-Process: Leave Accounting – Adjustments (County)

Map Name: PAY_LA_ADJ_CO
Map No.: 16D



Process Name: Payroll	**Process Identifier:** PAY_LA_ADJ_CO
Sub-Process Name: Leave Accounting - Adjustments (County)	**Map Number:** 16D

Sub-Process Purpose and Objectives: Describe the County Leave Adjustment process

Sub-Process Description:

1. A leave adjustment can be identified from various sources, e. g., HR can process a Personal Action that requires a leave adjustment, a Department can discover an error in an Employee's leave accounts, Central Payroll can identify type of leave adjustment required, or an Employee or timekeeper can discover an error. **[MAP SHAPE 1, 2, 3]**
2. If the error is discovered in the Department the original timesheet and a correction memorandum are sent to Department Payroll. **[MAP SHAPE 1, 5]**
3. If an Employee or timekeeper discovers the error, they send authorized documentation for the change to Department Payroll. **[MAP SHAPE 3, 4, 5]**
4. Department Payroll receives the leave time adjustment documents for the various sources and reviews all of this documentation. **[MAP SHAPE 5]**
5. Department Payroll prepares the appropriate leave adjustment documents and forwards them to the Department Head for review and approval. **[MAP SHAPE 6, 7]**
6. The Department Head reviews the leave adjustment form and sends the approved leave adjustment form to Central Payroll. **[MAP SHAPE 7, 8]**
7. Central Payroll reviews the form for accuracy. **[MAP SHAPE 9]**
8. If an error is found by Central Payroll, the Department Payroll contact is contacted for resolution.. **[MAP SHAPE 9, 10]**
9. The Department Payroll resolves the issue with the leave adjustment form and sends it back to Central Payroll. **[MAP SHAPE 10, 8, 9]**
10. If there are no errors found with the leave adjustment form, paperwork is processed and Central Payroll updates the Employee's leave balance record. **[MAP SHAPE 9, 11]**

Triggers:

- An error is discovered in an Employees leave record

Key Process Participants:

- Central Payroll
- Department Payroll
- Employee/Timekeeper
- Department Head

Inputs:

Input	*Format*
Leave adjustment request	Paper

Outputs:

Output	*Format*
Employee leave record adjusted	Electronic

IT Support:

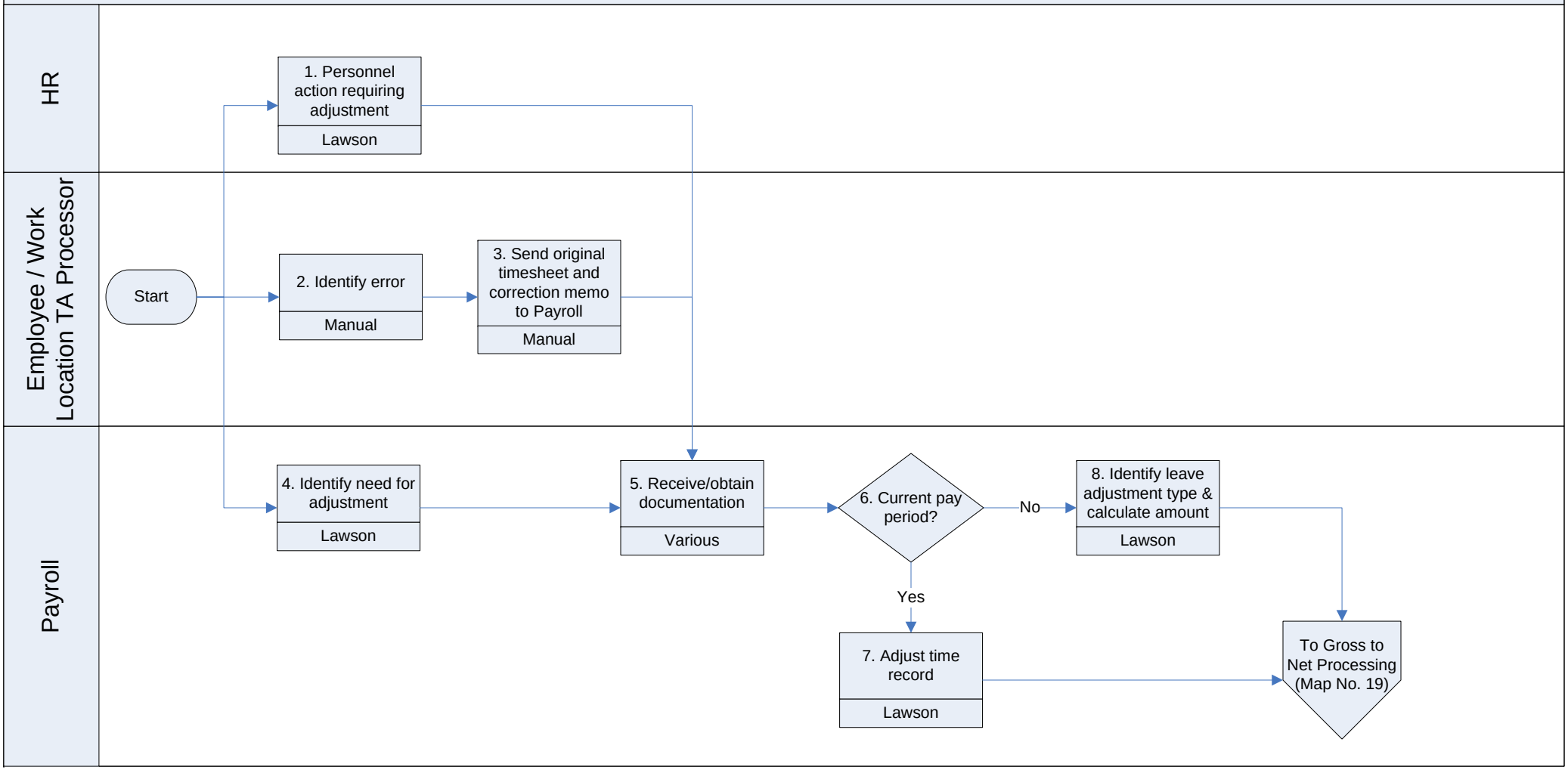
Application/System Name	*Technology Description*
PRISM	County human resource system

Regulations:

o

Payroll [FINAL]
Sub-Process: Leave Accounting – Adjustments (Schools)

Map Name: PAY_LA_ADJ_SCH
Map No.: 16E



Process Name: Payroll	**Process Identifier:** PAY_LA_ADJ_SCH
Sub-Process Name: Leave Accounting – Adjustments (Schools)	**Map Number:** 16E

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. The need for a leave balance adjustment can come from several different sources (e. g., HR initiates a personal action that requires a leave balance adjustment). The Employee/Work Location TA Processor identifies an error that requires a leave balance adjustment, or Payroll identifies an error that requires a leave balance adjustment. **[MAP SHAPE 1, 2, 4]**
2. If the error is identified by the Employee or Work Location TA Processor, the original timesheet and a correction memorandum are sent to Payroll. **[MAP SHAPE 3, 5]**
3. Payroll reviews the leave adjustment request form to determine the period that needs to be adjusted. **[MAP SHAPE 1, 2, 4]**
4. The leave balance adjustments from the various locations are sent to Payroll for processing. **[MAP SHAPE 6]**
5. If the leave balance adjustment is for the current, Payroll can make the adjustment in the current period. **[MAP SHAPE 6, 7]**
6. If the leave balance adjustment is not in current pay period payroll identifies the type of leave entry that need to be made and calculates the adjustment and enters it into Lawson. **[MAP SHAPE 6, 8]**

Triggers:

- ❑ An Employee leave balance adjustment is identified

Key Process Participants:

- ❑ Human Resources
- ❑ Employee or Work Location TA Processor
- ❑ Payroll

Inputs:

Input	***Format***
Leave balance adjustment request	Various

Outputs:

Output	***Format***
Corrected leave balance record	Electronic

IT Support:

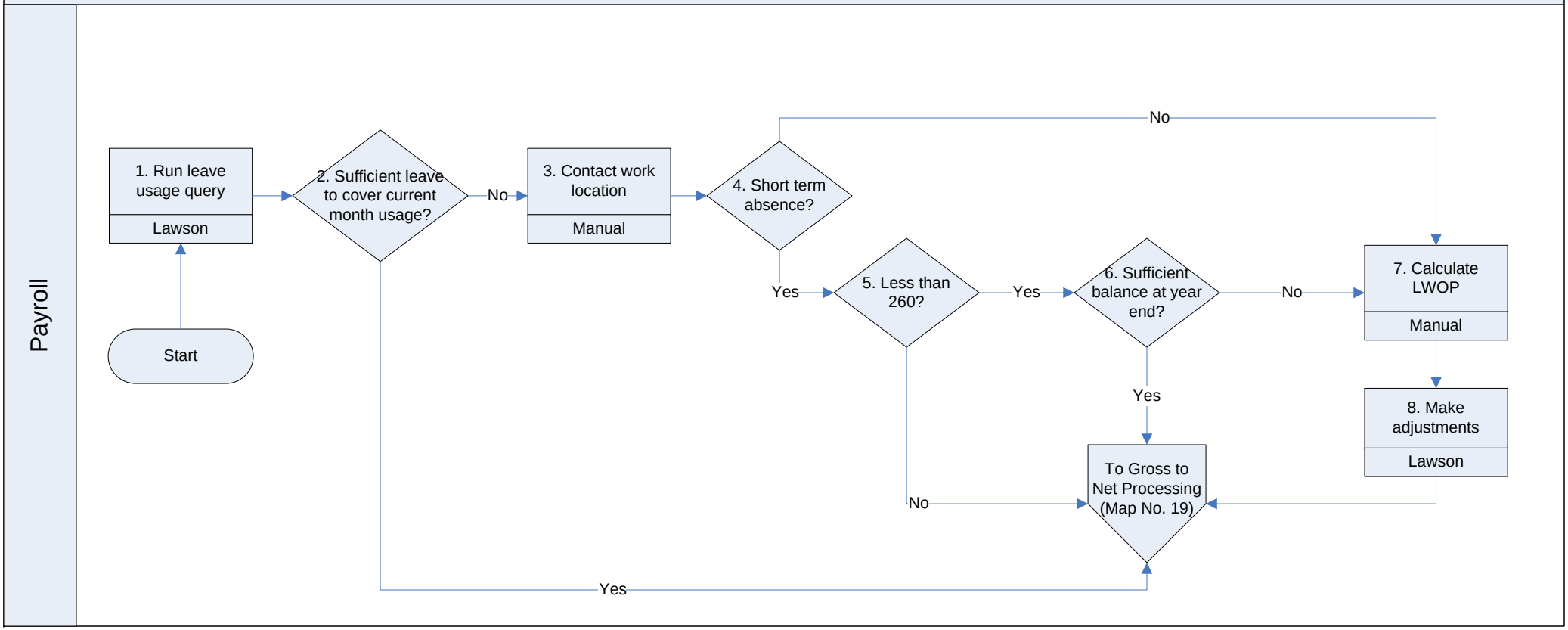
Application/System Name	***Technology Description***
Lawson	Schools human resource system

Regulations:

o

Payroll [FINAL]
Sub-Process: Leave Accounting – Leave Without Pay (Schools)

Map Name: PAY_LA_LWOP_SCH
Map No.: 16F



Process Name: Payroll	**Process Identifier:** PAY_LA_LWOP_SCH
Sub-Process Name: Leave Accounting – Leave Without Pay (Schools)	**Map Number:** 16F

Sub-Process Purpose and Objectives: Leave Without Pay process in the Schools

Sub-Process Description:

1. Payroll runs a query to find Employees who have used 30 hours or more of leave hours in a pay period. **[MAP SHAPE 1]**
2. The query results are reviewed to determine if those Employees who have used 30 hours or more of leave time in the month sufficient leave time accumulated in the month to cover the current leave usage. **[MAP SHAPE 2]**
3. If the Employee has sufficient leave time to cover the time taken then the process goes to the Gross-to-Net process. **[MAP SHAPE 2]**
4. If the Employee does not have enough leave time accumulated to cover the current leave time taken, the Employee's work site is contacted to determine if the Employee is still working. **[MAP SHAPE 2, 3]**
5. If the Employee is not still working a decision is made about the length of time the Employee will be out. If it is determined that the absence is not a short term absence the Employee's Leave Without Pay (LWOP) calculation is made. **[MAP SHAPE 4, 7]**
6. If it is determined that the Employee's absence will be short term and if the Employee has used less than 260 hours of leave time the leave is processed and goes to Gross-to-Net. **[MAP SHAPE 5]**
7. If the Employee has used more than 260 hours leave time Payroll calculates whether the Employee can accrue enough leave time through the end of the year to cover the leave used. If the calculation shows that the Employee can accrue sufficient leave through the end of the year the process goes to the Gross-to-Net process. **[MAP SHAPE 6]**
8. If the calculation shows that the Employee cannot accrue enough leave through the end of the year to cover the leave used the LWOP calculation is made for the Employee. **[MAP SHAPE 6, 7]**
9. Payroll makes any necessary adjustment to the Employee's pay and the process goes to the Gross-to-Net process. **[MAP SHAPE 8]**

Triggers:

- School runs query looking for potential LOWP situations.

Key Process Participants:

- Payroll

Inputs:

Input	*Format*
Excessive hours query	Electronic
Calculation of leave time coverage	Manual

Outputs:

Output	*Format*
Employees with greater than 30 leave hours in the pay period	Paper
Need for LWOP	Manual

IT Support:

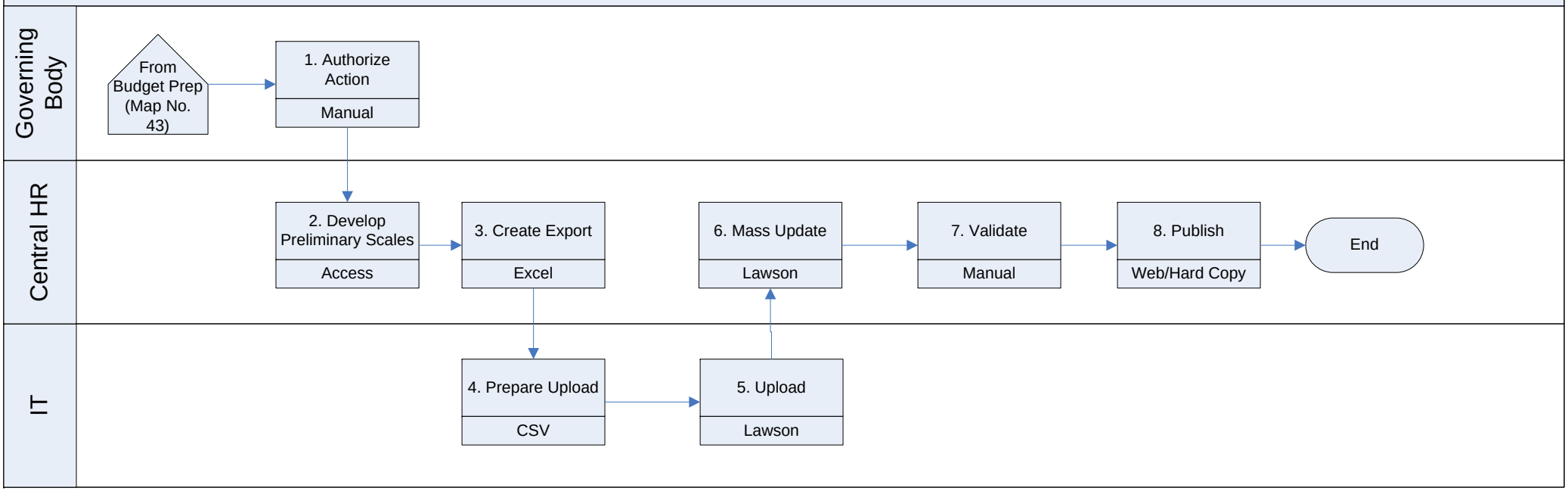
Application/System Name	*Technology Description*
Lawson	School human resource system

Regulations:

o

Salary Administration [FINAL]
Sub-Process: Salary Scale (Schools)

Map Name: PAY_SAL_SCALE_SCH
Map No.: 18A



Process Name: Salary Administration	**Process Identifier:** PAY_SAL_SCALE_SCH
Sub-Process Name: Salary Scale (Schools)	**Map Number: 18A**

Sub-Process Purpose and Objectives: Develop salary scales at Schools

Sub-Process Description:

1. The process starts with information coming to the Governing Body through the budgeting process. **[MAP SHAPE 1]**
2. The Governing Body authorizes the development of new salary schedules. **[MAP SHAPE 2]**
3. Central HR develops the new salary scales in Access and exports the salary schedules to Excel. **[MAP SHAPE 2, 3]**
4. The Excel file created by Central HR is sent to DIT. DIT prepares a .csv file which is uploaded to Lawson uploading the salary schedules. **[MAP SHAPE 3, 4, 5]**
5. Central HR does a mass salary update of salaries in Lawson based on the new salary schedules. **[MAP SHAPE 6]**
6. Central HR then reviews and validates the salary updates in Lawson. **[MAP SHAPE 7]**
7. The new salary schedules are published to the web and a hardcopy handbook is created. **[MAP SHAPE 8]**

Triggers:

- New salary schedules are created in the budget process.
- Various Access and Excel exports.

Key Process Participants:

- Governing Body
- Central HR
- IT

Inputs:

Input	*Format*
New salary schedules	Electronic

Outputs:

Output	*Format*
Update file for Lawson	Electronic

IT Support:

Application/System Name	*Technology Description*
Access	Database software
Excel	Spreadsheet software
Lawson	Schools human resource system

Regulations:

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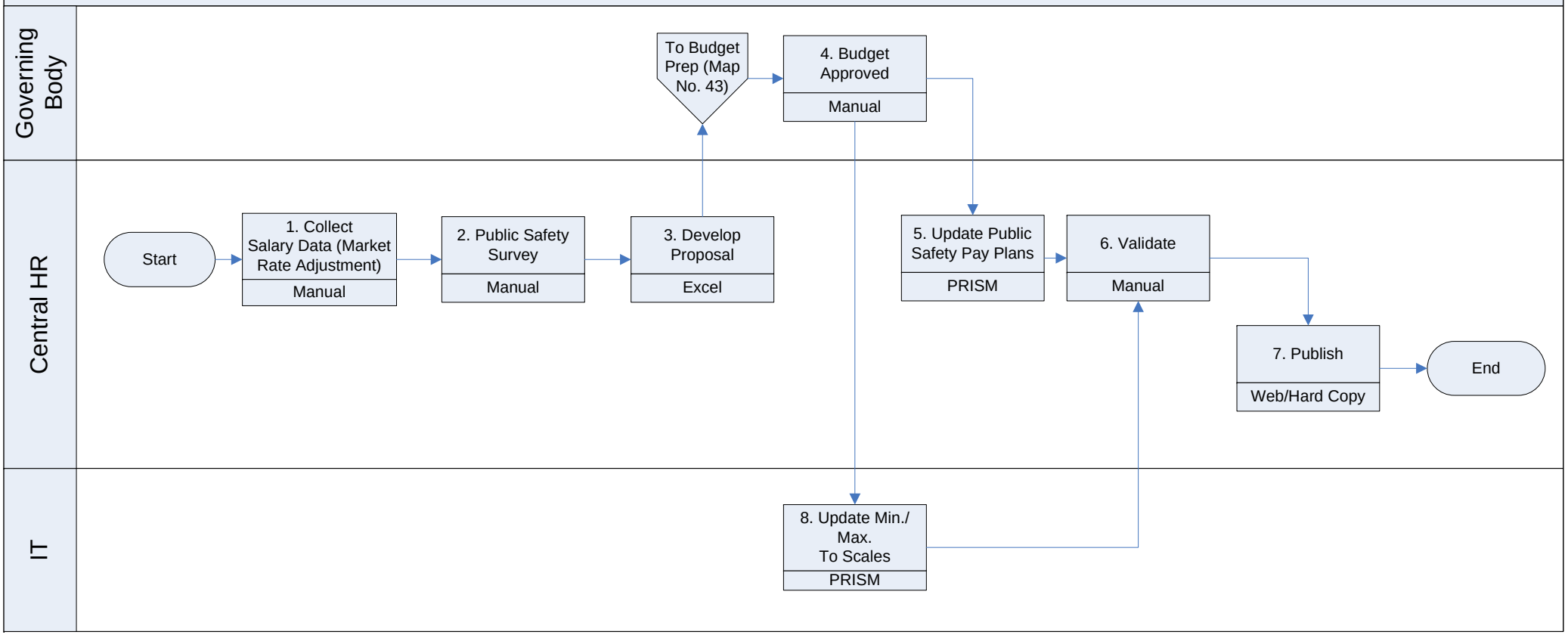
Salary Administration [FINAL]
Sub-Process: Salary Scale (County)

Map Name: PAY_SAL_SCALE_CO
Map No.: 18B



Process Name: Salary Administration	**Process Identifier:** PAY_SAL_SCALE_CO
Sub-Process Name: Salary Scale (County)	**Map Number: 18B**

Sub-Process Purpose and Objectives: Develop salary scales at the County

Sub-Process Description:

1. Central HR collects data by doing a MRA (Market Rate Adjustment) survey to see if the existing salary scales should be adjusted. **[MAP SHAPE 1]**
2. Similarly, they do a survey of the Public Safety salaries in other jurisdictions. **[MAP SHAPE 2]**
3. With this information, Central HR develops salary proposals by applying a formula to the market rate adjustments, which are sent to Budget for inclusion in the budget development process. **[MAP SHAPE 3]**
4. The budget, including the salary rate adjustments are sent to the Governing Body for approval through the budget approval process. **[MAP SHAPE 3, 4]**
5. The new salary adjustments which have been approved by the Governing Body are sent to DIT to make the adjustments to the salary scale minimum and maximums and to Central HR to update the Public Safety pay scale plans. **[MAP SHAPE 4, 8, 5]**
6. Central HR validates the minimum/maximums input into PRISM and the Public Safety adjustment made to the employees. **[MAP SHAPE 5, 8, 6]**
7. Salaries are published to the WEB and a compensation handbook is created. **[MAP SHAPE 6, 7]**

Triggers:

- Market Rate Adjustment and Public Safety survey done by Central HR

Key Process Participants:

- Governing Body
- Central HR
- IT
- Budget

Inputs:

Input	*Format*
MRA survey results	Manual
Public Safety survey results	Manual

Outputs:

Output	*Format*
Revised minimum/maximum rates	Electronic
Revised salary rates	Electronic

IT Support:

Application/System Name	*Technology Description*
PRISM	County human resource system
Excel	Spreadsheet software
Intranet portal	County intranet

Regulations:

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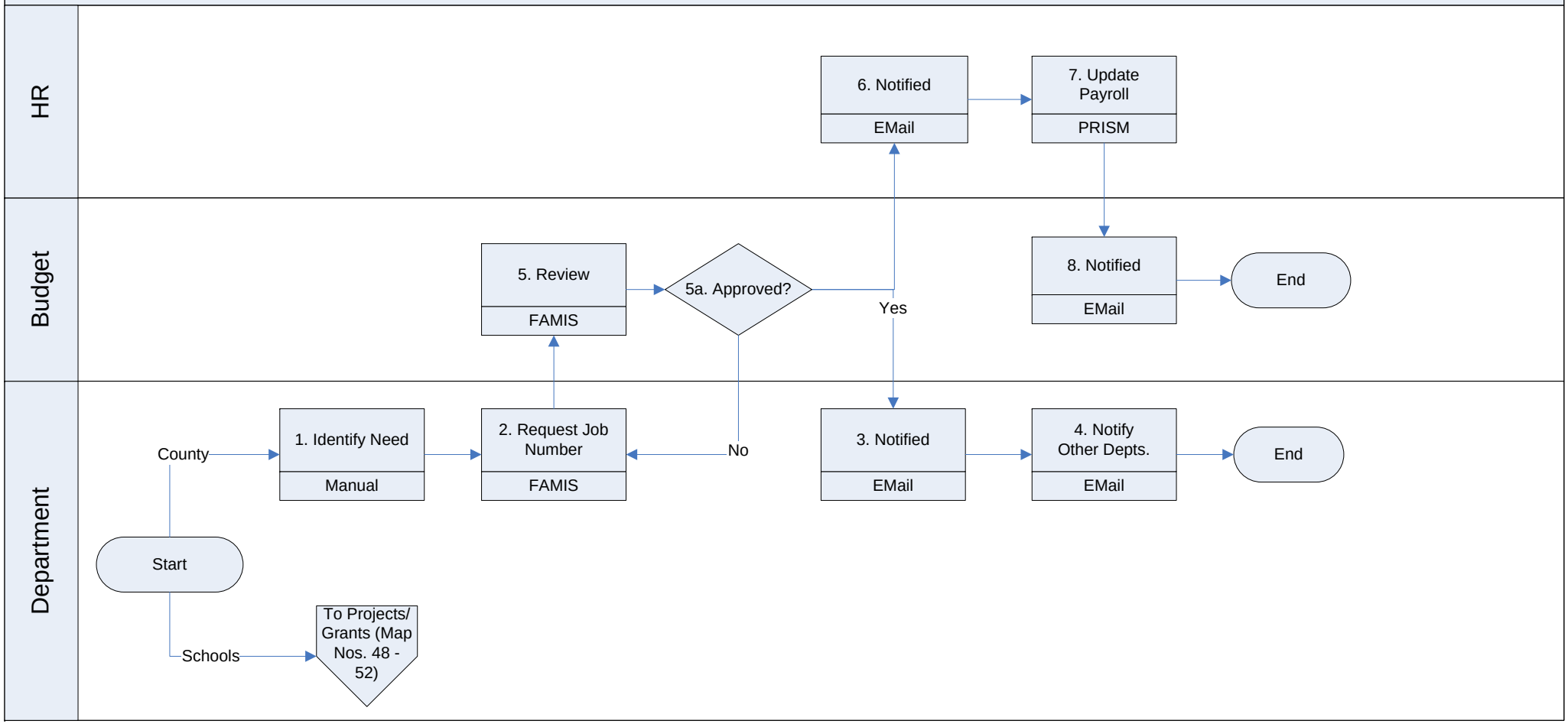
Payroll [FINAL]
Sub-Process: Labor Distribution (Job Codes)

Map Name: PAY_LABORDIST_JCN
Map No.: 20



Process Name: Payroll	**Process Identifier:** PAY_LABORDIST_JCN
Sub-Process Name: Labor Distribution (Job Codes)	**Map Number:** 20

Sub-Process Purpose and Objectives: Establish job numbers in the system

Sub-Process Description:

1. A Department identifies a need and initiates a request for a new job number in FAMIS (this is done by departmental finance staff). Note that Schools uses index codes within FAMIS for this function. This is a part of the grant/project budgeting processes for Schools. **[MAP SHAPE 1, 2]**
2. The request routes to the Budget Office for review and approval. If something is incorrect, the request is returned to the Department for correction. If approved, Budget notifies HR and the Department via email. **[MAP SHAPE 5, 5a, 3, 6]**
3. The HR Payroll Division updates PRISM **[MAP SHAPE 7]**
4. The HR Payroll Division notifies Budget via email when the job number is entered in the system. **[MAP SHAPE 8]**
5. The lead Department for the project alerts other Departments on the proper job code to use for the project. **[MAP SHAPE 4]**

Notes:
Departments are able to put an end date on a job number in FAMIS. If employees charge time against an inactive job number, the error comes out in FAMIS at the Finance Office.
Generic job numbers are in PRISM and ready for use in case of emergency (hurricane, etc.). All that needs to be done is a title change.

Triggers:

- Departments identify need for new job code/number and make requests

Key Process Participants:

- HR
- Department
- Budget

Inputs:

Input	*Format*
New job number request	FAMIS

Outputs:

Output	*Format*
Job number created and entered in PRISM	PRISM
Departments notified to use to the job number	Email

IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
PRISM	County human resource system

Regulations:

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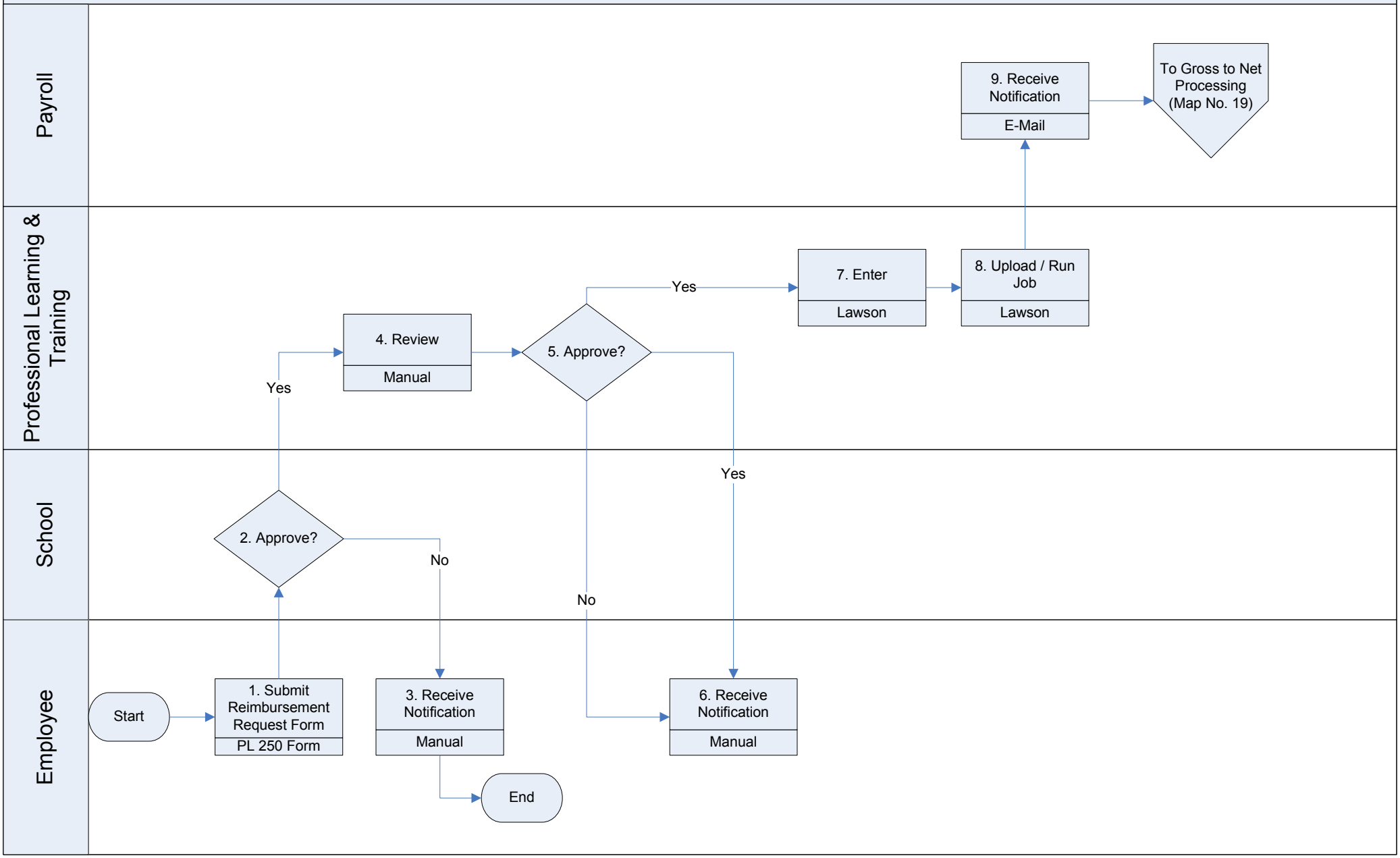
Payroll [FINAL]
Sub-Process: Tuition Reimbursements – School

Map Name: PAY_TUITION_REIMB_SCH
Map No.: 21A



Process Name: Payroll	**Process Identifier:** PAY_TUITION_REIMB_SCH
Sub-Process Name: Tuition Reimbursement - Schools	**Map Number: 21A**

Sub-Process Purpose and Objectives: Reimbursement of employees for approved educational expenses

Sub-Process Description:

1. Employee submits reimbursement form (PL 250 – Tuition Reimbursement Request Form) along with grade report to school principal or program manager. **[MAP SHAPE 1, 2]**
2. If approved, the request goes to PLT. If not, the Employee is notified of the decision. **[MAP SHAPE 2, 3, 4]**
3. PLT reviews, and if approved, notify the Employee via letter and enter it into Lawson. **[MAP SHAPE 4, 5, 6, 7]**
4. If denied, PLT sends a formal letter to the employee. **[MAP SHAPE 5, 6]**
5. If accepted, the transaction is posted (a job is run that will create a transaction that payroll process will pick up) and the payroll department is notified via email. **[MAP SHAPE 8, 9]**
6. Process goes to Gross-to-Net (Map 19). NOTE – there are no tax deductions applicable to tuition reimbursement.

NOTE: State grants are used for special education (see Map 5, Performance Measurement - Training, Licensing and Certification)
NOTE: This process and the regulation that governs it are being redesigned to match the County's process (Map 21B)

Triggers:

- ❑ Employee submits reimbursement form

Key Process Participants:

- ❑ Payroll
- ❑ Schools
- ❑ Employees
- ❑ Professional Learning & Training

Inputs:

Input	***Format***
Tuition reimbursement form	Manual

Outputs:

Output	***Format***
N/A	

IT Support:

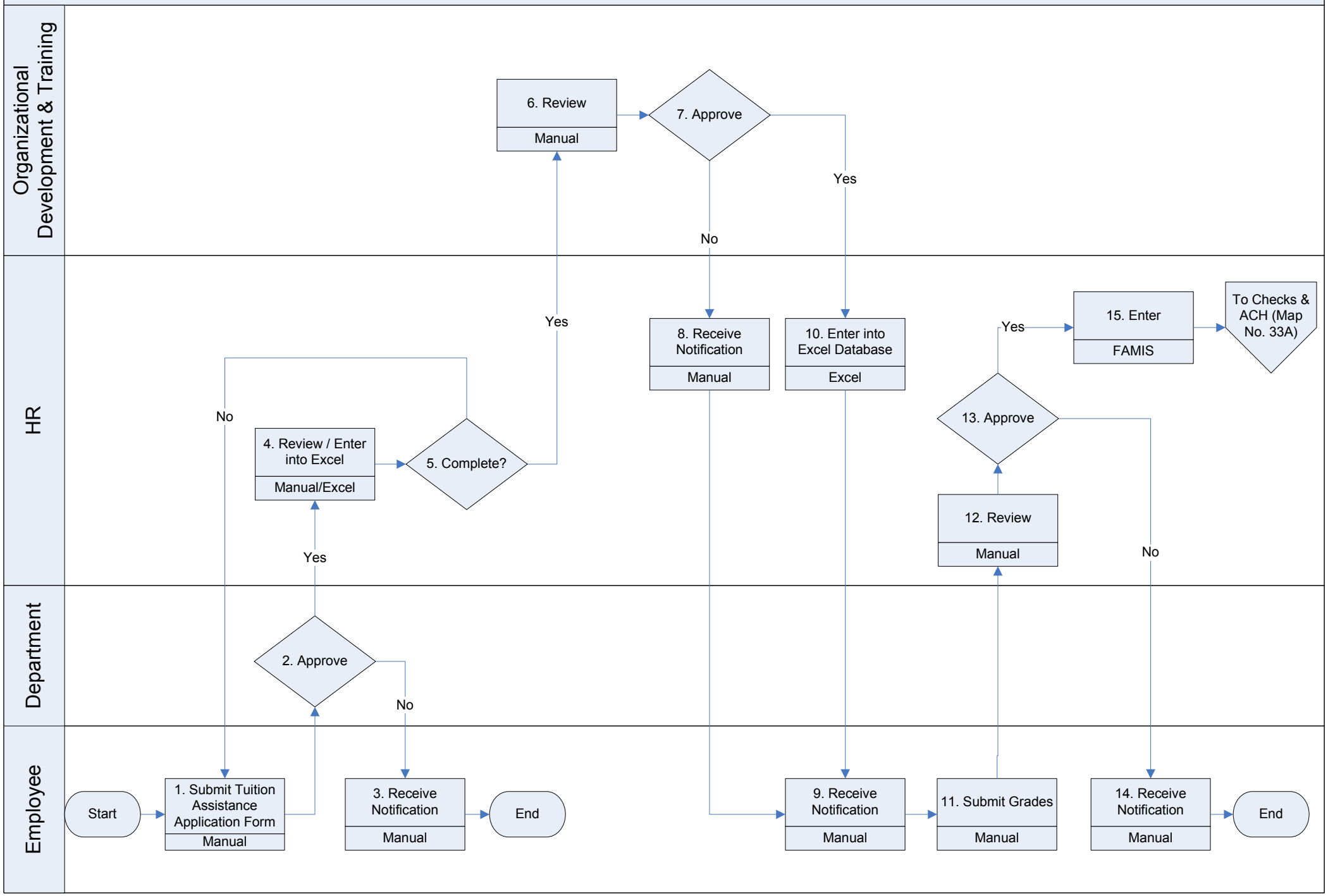
Application/System Name	***Technology Description***
Lawson	Schools HR application

Regulations:

- o Tuition Assistance (4032)

Payroll [FINAL]
Sub-Process: Tuition Reimbursements – County

Map Name: PAY_TUITION_REIMB_CO
Map No.: 21B



Process Name: Payroll	**Process Identifier:** PAY_TUITION_REIMB_CO
Sub-Process Name: Tuition Reimbursement - County	**Map Number: 21B**

Sub-Process Purpose and Objectives: Reimbursement of employees for approved educational expenses

Sub-Process Description:

1. NOTE: Tuition reimbursement is on a first-come, first-serve basis, with a declining balance posted on the web site. There is no formal pre-approval process where an employee can verify that reimbursement will happen prior to paying for a class.
2. Employee submits tuition assistance application form to supervisor (class and reimbursement must occur in the same fiscal year). **[MAP SHAPE 1]**
3. If the supervisor approves, the employee is notified and the request goes to HR to review for completeness (complete means class schedule, proof of payment, and supervisor signature. HR creates a record in Excel for tracking). **[MAP SHAPE 2, 3, 4]**
4. If complete, the request goes to ODT for review and approve for appropriateness. **[MAP SHAPE 5, 6]**
5. If incomplete, the applicant is notified to submit missing documents. **[MAP SHAPE 5, 1]**
6. If ODT does not approve (typically because institution is not accredited or course is inappropriate), HR is notified and HR notifies the employee of the decision. NOTE: employee has the option to re-file application if desired. **[MAP SHAPE 7, 8, 9]**
7. If ODT approves, funds are earmarked on the spreadsheet and HR and employee are notified, and then update Excel record and wait for employee to submit grades. **[MAP SHAPE 7, 9, 10]**
8. Employee submits grades to HR for review (NOTE: Employee must get a 'C' or higher, and the grade report must be for the same class as on the original request). **[MAP SHAPE 11, 12]**
9. If HR rejects the request, the Employee is notified of the decision. **[MAP SHAPE 14]**
10. If HR approves the request, it is entered into FAMIS and the Checks and ACH process (Map No. 33A) is initiated). **[MAP SHAPE 12, 13, 15]**

Triggers:

- ❑ Employee submits reimbursement application form

Key Process Participants:

- ❑ HR
- ❑ Departments
- ❑ Employees
- ❑ Organizational Development & Training

Inputs:

Input	*Format*
Reimbursement application form	Manual

Outputs:

Output	*Format*
N/A	

IT Support:

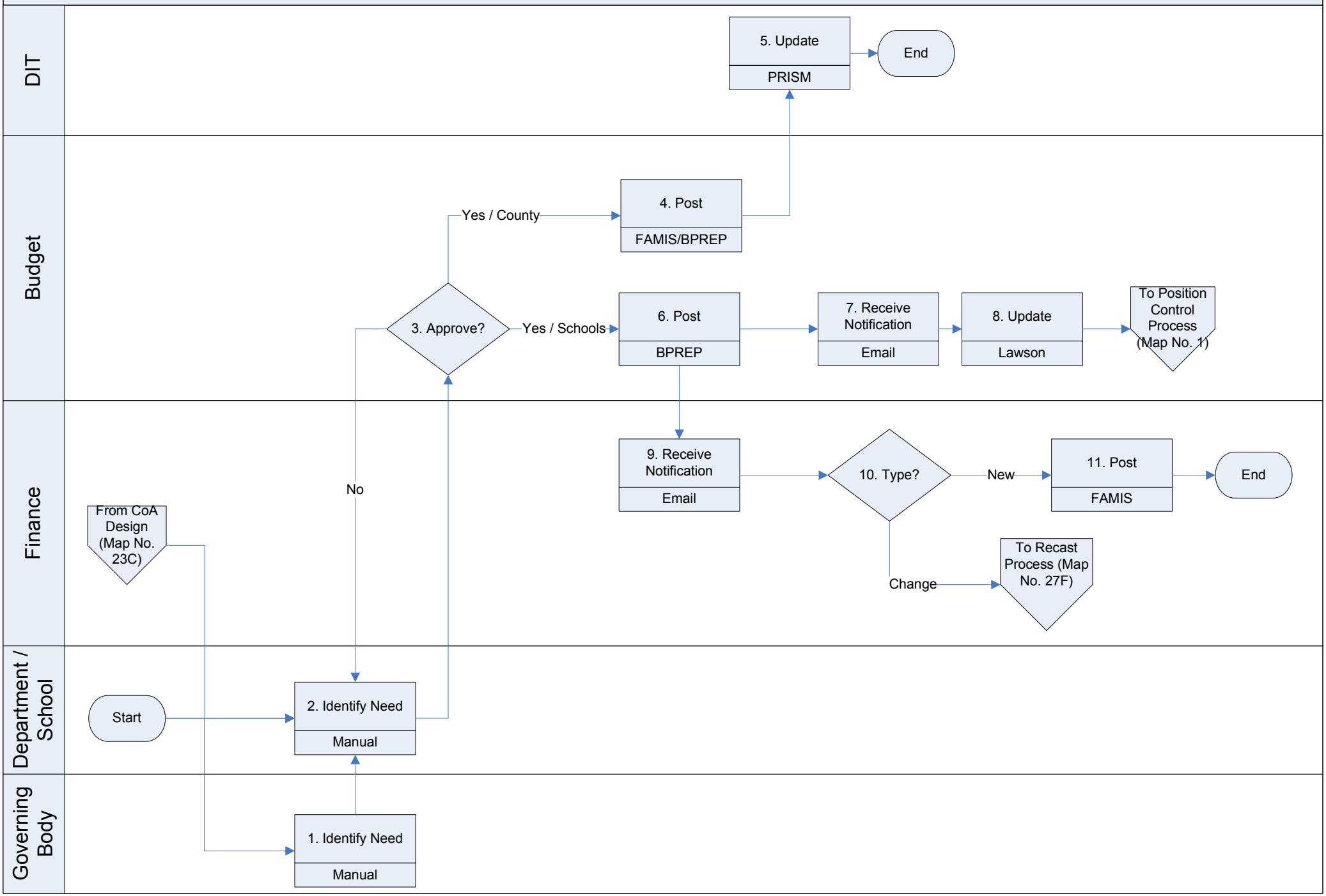
Application/System Name	*Technology Description*
Excel	Spreadsheet application
FAMIS	Financial system

Regulations:

- o Procedural Memorandum for Tuition Assistance

General Ledger [FINAL]
Sub-Process: CoA Design & Maintenance – Department Initiated

Map Name: GL_COA_DEPT
Map No.: 23A



Process Name: General Ledger	**Process Identifier:** GL_COA_DEPT
Sub-Process Name: CoA Design and Maintenance – Internal Department	**Map Number: 23A**

Sub-Process Purpose and Objectives: Update Chart of Accounts

Sub-Process Description:

1. Governing body initiates COA change for internal reorganization, but changes can also come from internal Departments. **[MAP SHAPE 1, 2]**
2. Request goes to Budget (email or phone). In the Schools, the approval of the request is part of the discussion around the initial request and is largely informal. In the County, Budget can approve or deny the request. **[MAP SHAPE 3]**
3. NOTE: Departments at the County can initiate the change in FAMIS, then it routes electronically to budget via workflow. Housing can change subsidiary accounts on their own.
4. Schools Budget makes the change in BPREP and forwards to Finance (email with screen shot) and Finance enters into FAMIS. **[MAP SHAPE 6, 9]**
5. In the County, Budget updates FAMIS, and BPREP gets updated via an overnight batch job (there is an option to do it manually). **[MAP SHAPE 4]**
6. Budget notifies DIT to update tables in PRISM. **[MAP SHAPE 5]**
7. In the Schools, Budget updates Lawson and the process moves to position control. **[MAP SHAPE 7, 8]**
8. In the Schools, Budget makes the changes in BPREP and forwards to Finance. This process does not apply to new funds or subsidiary accounts. **[MAP SHAPE 9, 10, 11]**

Triggers:

- ❑ Budget drivers – new revenue source, new expenditure category, etc.
- ❑ Legal – state changes classification requirements for schools or county
- ❑ Agency – internal reorganization

Key Process Participants:

- ❑ DIT
- ❑ Finance
- ❑ Budget
- ❑ Department / School
- ❑ Governing Body

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
Updated FAMIS records	FAMIS
Updated PRISM records	PRISM
Updated BPREP records	BPREP
Updated Lawson records	Lawson

IT Support:

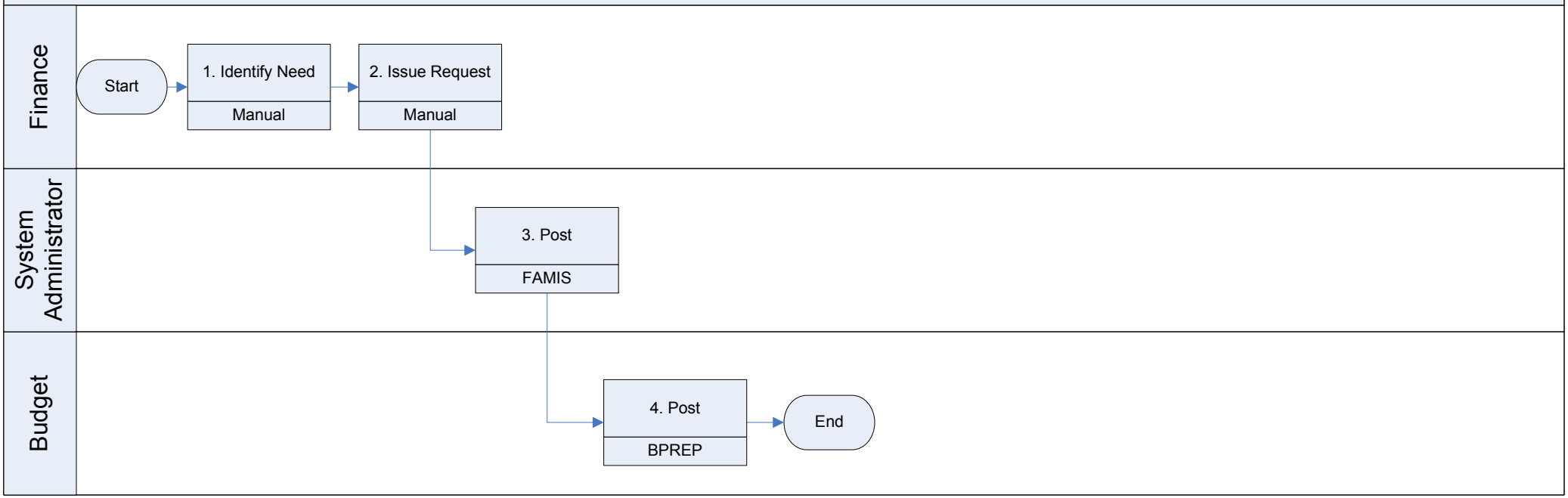
Application/System Name	*Technology Description*
FAMIS	Financial system
PRISM	Human resource system
BPREP	Budget preparation system
Lawson	Schools human resource system

Regulations:

- o Code of Virginia 22.1-115

General Ledger [FINAL]
Sub-Process: CoA Design & Maintenance – Finance Initiated

Map Name: GL_COA_FIN
Map No.: 23B



Process Name: General Ledger	**Process Identifier:** GL_COA_FIN
Sub-Process Name: CoA Design and Maintenance – Finance Initiated	**Map Number: 23B**

Sub-Process Purpose and Objectives: Update Chart of Accounts

Sub-Process Description:
NOTE: This process applies to Finance initiated changes to the Chart of Accounts that are normally revised as part of the oversight role. Occasionally, Finance will encounter a coding element, for example, that requires an update or revision.

1. Finance identifies the need for a CoA change. **[MAP SHAPE 1]**
2. Finance sends an email to FAMIS System Administrator. **[MAP SHAPE 2]**
3. The System Administrator updates FAMIS and Budget updates BRPEP. **[MAP SHAPE 3, 4]**

Triggers:
- ❑ Regulatory drivers – new GASB regulations, state code change, etc.

Key Process Participants:
- ❑ Finance
- ❑ FAMIS System Administrator
- ❑ Budget

Inputs:

Input	*Format*
Email or memo	MS Outlook or manual

Outputs:

Output	*Format*
Updated FAMIS record	FAMIS
Updated BPREP record	BPREP

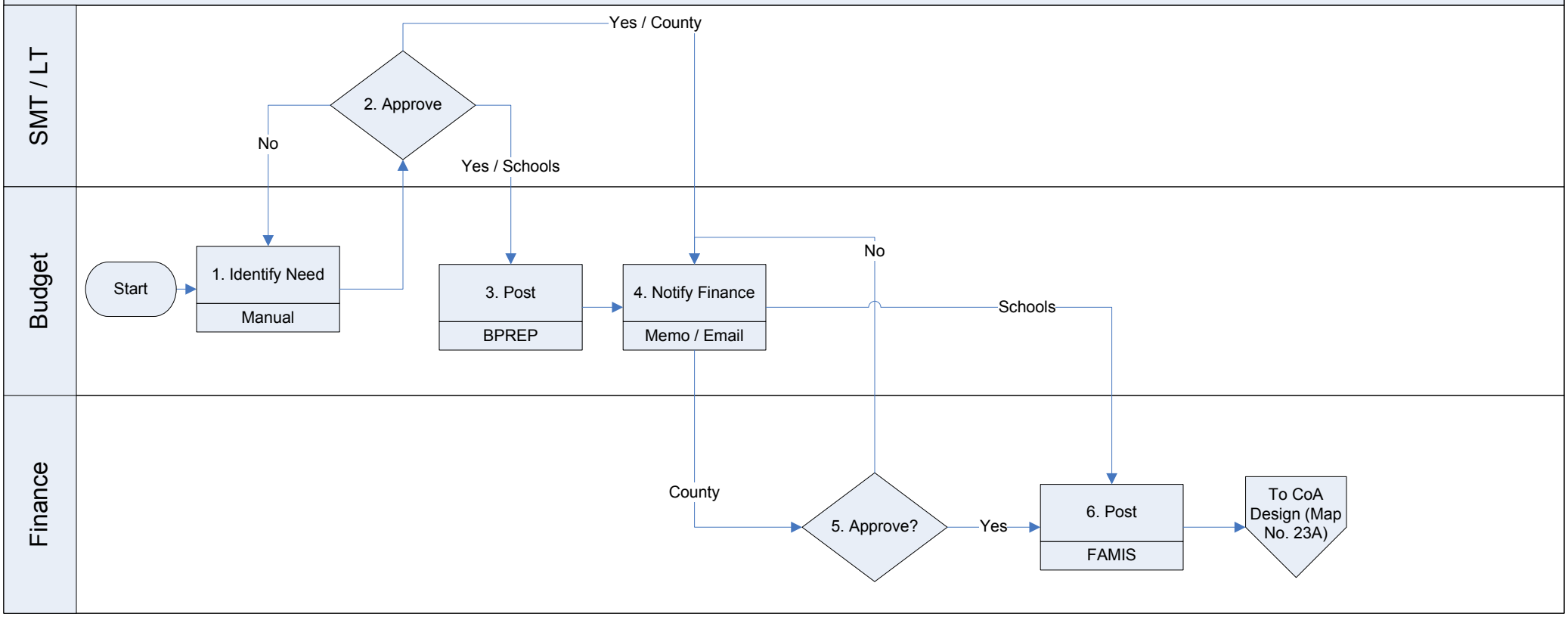
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
BPREP	Budget system

Regulations:
- o

General Ledger [FINAL]
Sub-Process: CoA Design & Maintenance – New Funds

Map Name: GL_COA_BUD
Map No.: 23C



Process Name: General Ledger	**Process Identifier:** GL_COA_BUD
Sub-Process Name: CoA Design and Maintenance – New Funds	**Map Number: 23C**

Sub-Process Purpose and Objectives:

Sub-Process Description:
NOTE: This process is exclusively used for the creation of new funds.

1. Identification of the need for an account change is discussed with agencies by Budget (County). Budget notifies the SMT/LT of the requested change. NOTE: For Schools, all fund changes come from the School Board (LT takes it to the Board for approval) **[MAP SHAPE 1, 2]**
2. In the County, if the request is approved, Budget creates a memo and forwards it to Finance for approval. If Finance approves the request, they update FAMIS. If Finance rejects the request, it goes back to Budget for further discussion. NOTE: For the County, BPREP is updated by an overnight batch job that picks up the change from FAMIS **[MAP SHAPE 2, 4, 5, 6]**
3. In the Schools, Budget updates BPREP and notifies Finance via e-mail of the change and Finance updates FAMIS. **[MAP SHAPE 3, 4, 6]**
4. Once the new fund is established in FAMIS, the process goes to the Department initiated CoA Maintenance Process (Map No. 23A).

Triggers:
- ❑ New fund

Key Process Participants:
- ❑ Budget
- ❑ Finance
- ❑ LT/SMT

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
Updated FAMIS record	FAMIS
Updated BPREP record	BPREP

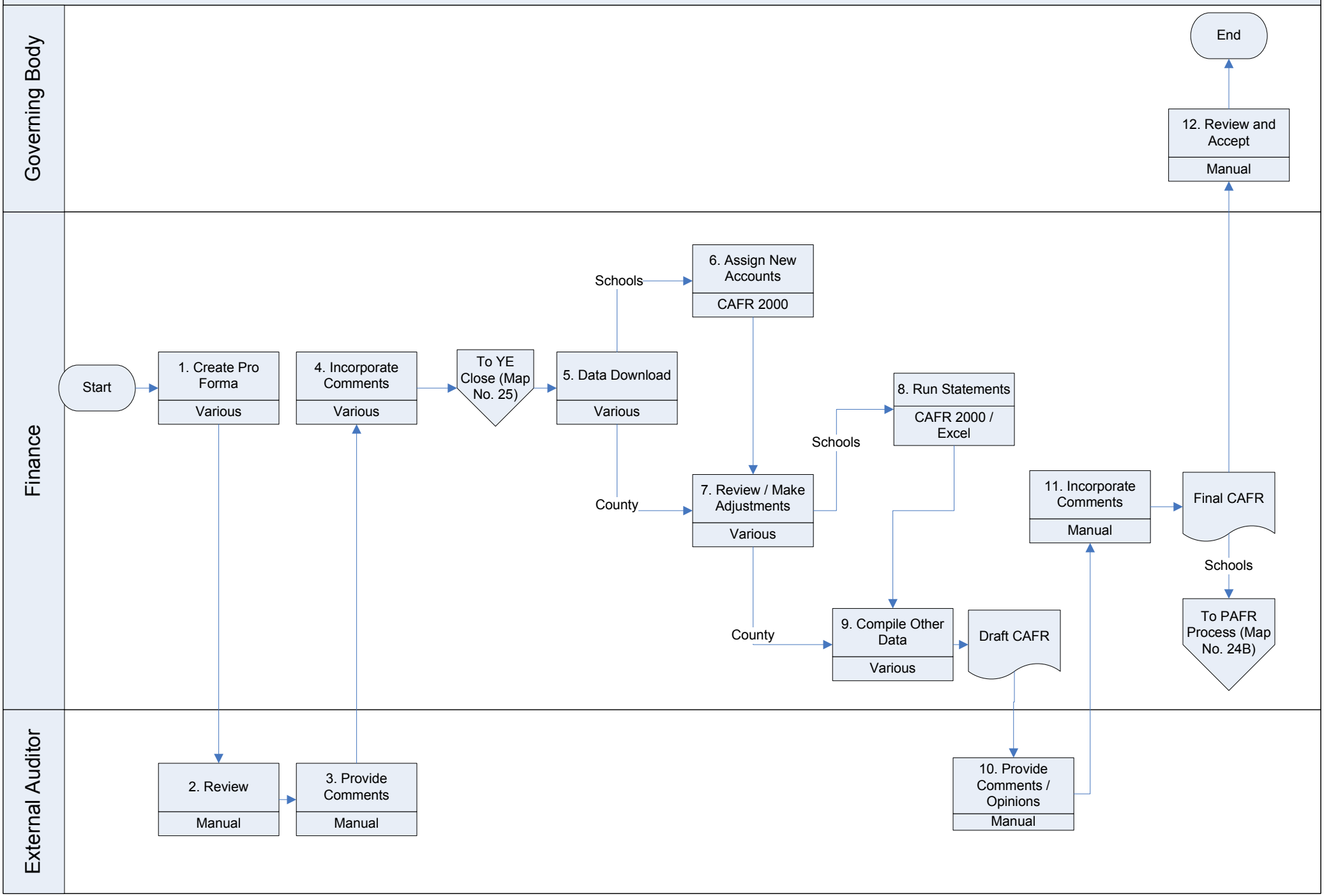
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
BPREP	Budget system

Regulations:
- o

General Ledger [FINAL]
Sub-Process: Financial Reporting – CAFR

Map Name: GL_FIN_RPT_CAFR
Map No.: 24A



Process Name: General Ledger	**Process Identifier:** GL_FIN_RPT_CAFR
Sub-Process Name: Financial Reporting - CAFR	**Map Number:** 24A

Sub-Process Purpose and Objectives: Produce annual CAFR

Sub-Process Description:

1. Set up pro forma (CAFR template) Housing does not do a pro forma (NOTE: This is typically done one to two months before year end). **[MAP SHAPE 1]**
2. Finance sends to external auditor, who provides comments on the format and sends back to Finance. **[MAP SHAPE 2, 3]**
3. Finance incorporates comments and the process proceeds to the Year End Close. **[MAP SHAPE 4]**
4. Schools and Parks download the first extract after period 12 closes, whereas County downloads after Period 13 closes. (NOTE: The download is from FAMIS into DW and then to Excel pre-formatted spreadsheets (they are the same year to year)) **[MAP SHAPE 5]**
5. Schools Finance then import the data to CAFR 2000 and assigns new accounts. **[MAP SHAPE 6]**
6. NOTE: Parks has to perform manual extracts because of shared funds with the County. Housing also uses pre-formatted Excel spreadsheets.
7. Finance performs a review (format and control totals) and adjustment process in Excel (after period 13 for the County, during period 13 for Schools). **[MAP SHAPE 7]**
8. Schools Finance runs statements (CAFR 2000 generates statements in Excel) and checks control totals. County output is directly into InDesign, so there is no step to take for the County at this point. **[MAP SHAPE 8]**
9. Finance obtains and compiles other sources of information (letter of transmittal, budget review, etc.), which includes obtaining component unit data. **[MAP SHAPE 9]**
10. Finance assembles the draft CAFR. Budget, some members of SMT/LT, and some Finance managers conduct a final review, and then the draft CAFR is ready for External Auditor review. (NOTE: Housing and Economic Development Authority have their auditors assist with publishing)
11. The Draft CAFR is forwarded to External Auditor for opinion. **[MAP SHAPE 10]**
12. Finance incorporates the External Auditor's comments and generates the Final CAFR (with auditor's opinion), which is then forwarded to the Board for acceptance. **[MAP SHAPE 11,12]**

NOTE: Park Authority follows a similar process for the production of its own CAFR.

Triggers:

- ❑ Fiscal year end (June 30)

Key Process Participants:

- ❑ Finance
  - County – Financial Reporting Division
  - Schools – General Accounting
- ❑ Governing Body
- ❑ External Auditor

Inputs:

Input	*Format*
Year end	Date event

Outputs:

Output	*Format*
CAFR	Electronic and hard copy

IT Support:

Application/System Name	*Technology Description*
CAFR 2000	Report production
MS Publisher (MS Office Application)	Report production

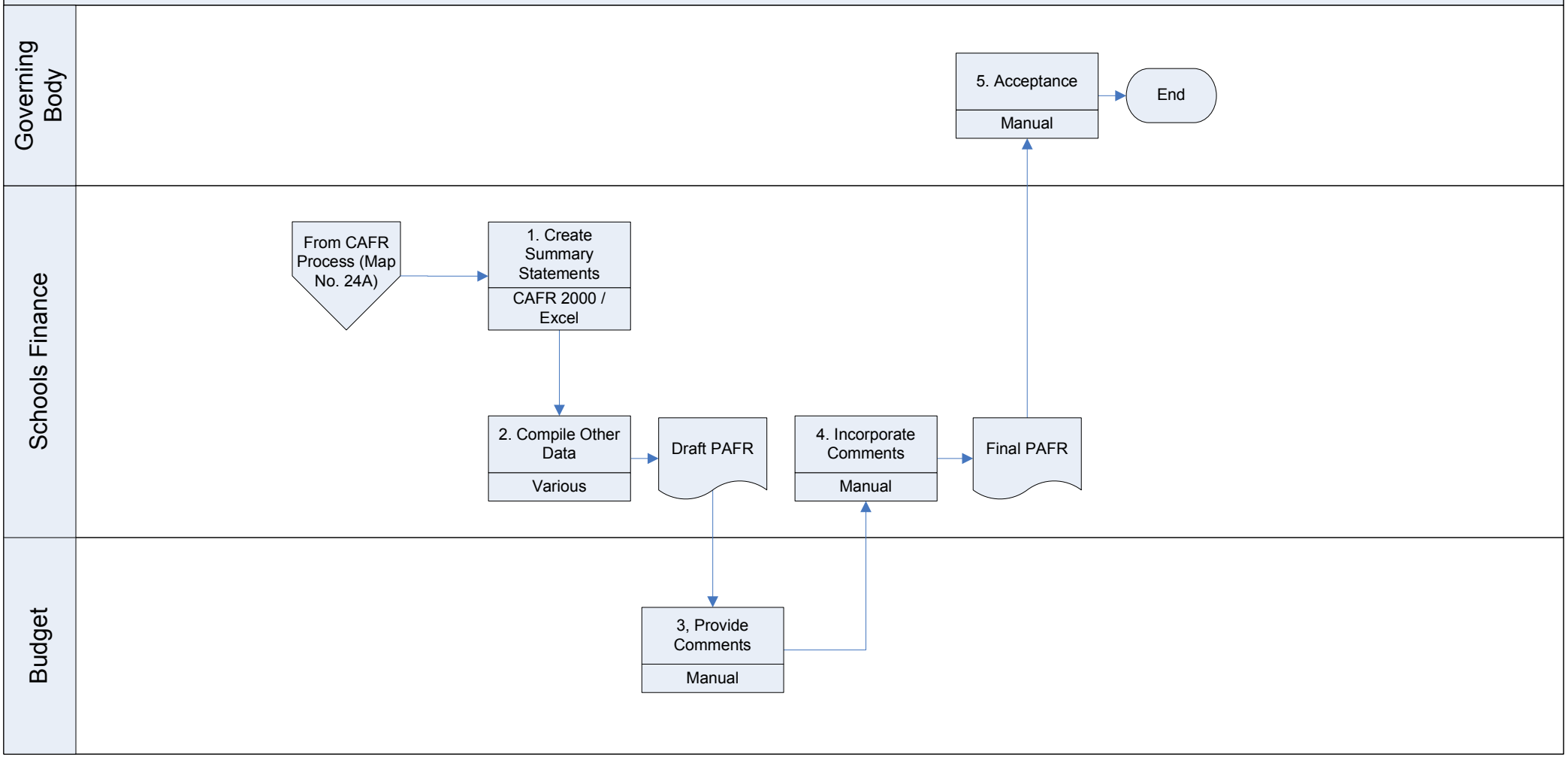
Report Net	Data warehouse
InDesign (Adobe CS 3)	Report production
DART (County Data Warehouse)	Data warehouse
MS Excel	MS Office application
MS Word	MS Office application

Regulations:

- Required to produce two sets of statements based on two different methods of accounting (except Housing and Sewers who are already on full accrual)

General Ledger [FINAL]
Sub-Process: Financial Reporting – PAFR (Schools)

Map Name: GL_FIN_RPT_PAFR
Map No.: 24B



Process Name: General Ledger	**Process Identifier:** GL_FIN_RPT_PAFR
Sub-Process Name: Financial Reporting – PAFR (Schools)	**Map Number:** 24B

Sub-Process Purpose and Objectives: Produce financial statements - Schools

Sub-Process Description:

1. This process starts after the CAFR production (Map 24A).
2. Schools Finance creates statements in Excel (using CAFR 2000 data) and checks control totals. **[MAP SHAPE 1]**
3. Schools Finance obtains and compiles other sources of information (letter of transmittal, program highlights, etc.). **[MAP SHAPE 2]**
4. Schools Finance assembles the draft PAFR and forwards it to Budget for review. **[MAP SHAPE 3]**
5. Schools Finance incorporates the Budget's comments and generates the Final PAFR, which is then forwarded to the board for acceptance. **[MAP SHAPE 4, 5]**

Triggers:

- ❑ Fiscal year end (June 30)

Key Process Participants:

- ❑ Schools Finance
- ❑ Governing Body
- ❑ Budget

Inputs:

Input	*Format*
CAFR	Electronic and hard copy

Outputs:

Output	*Format*
PAFR	Electronic and hard copy

IT Support:

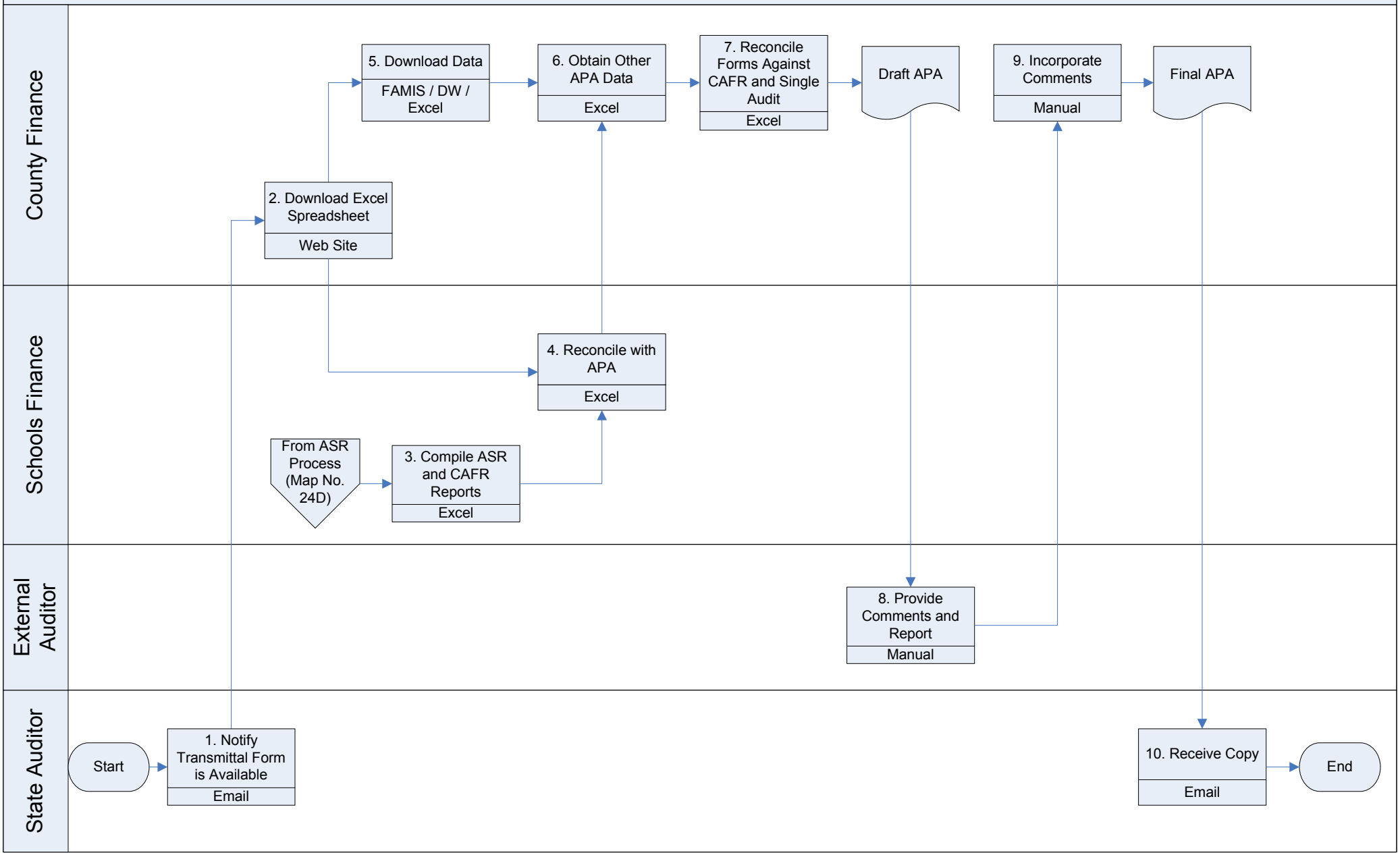
Application/System Name	*Technology Description*
CAFR 2000	Report production
MS Excel	Spreadsheet
MS Word	Word processing

Regulations:

o

General Ledger [FINAL]
Sub-Process: Financial Reporting – APA

Map Name: GL_FIN_RPT_APA
Map No.: 24C



Process Name: General Ledger	**Process Identifier:** GL_FIN_RPT_APA
Sub-Process Name: Financial Reporting – APA	**Map Number:** 24C

Sub-Process Purpose and Objectives: Produce financial statements – Auditor of Public Accounts (APA)

Sub-Process Description:

1. The State auditor notifies the County that the transmittal form is available. **[MAP SHAPE 1]**
2. County Finance downloads the Excel spreadsheet from the Website. **[MAP SHAPE 2]**
3. County Finance downloads data from FAMIS to the Data Warehouse to Excel. **[MAP SHAPE 5]**
4. County Finance obtains other APA data. **[MAP SHAPE 6]**
5. Schools Finance compiles ASR and CAFR reports (from ASR, Map 24D), reconcile the data with APA information for Schools and forward to County Finance. **[MAP SHAPE 3, 4]**
6. County Finance reconciles forms against CAFR and Single Audit and produces the draft APA. **[MAP SHAPE 7]**
7. County Finance sends the draft APA to the External Auditor, who provides report and comments. **[MAP SHAPE 8]**
8. County Finance incorporates the External Auditor's comments and generates the Final APA (with auditor's opinion), with a copy of the report forwarded to the State Auditor. **[MAP SHAPE 9, 10]**

Triggers:

- ❑ Fiscal year end (June 30)

Key Process Participants:

- ❑ Schools Finance
- ❑ County Finance
- ❑ External Auditor
- ❑ State Auditor

Inputs:

Input	*Format*
APA template	Document download from state website

Outputs:

Output	*Format*
APA report	Document download from state website

IT Support:

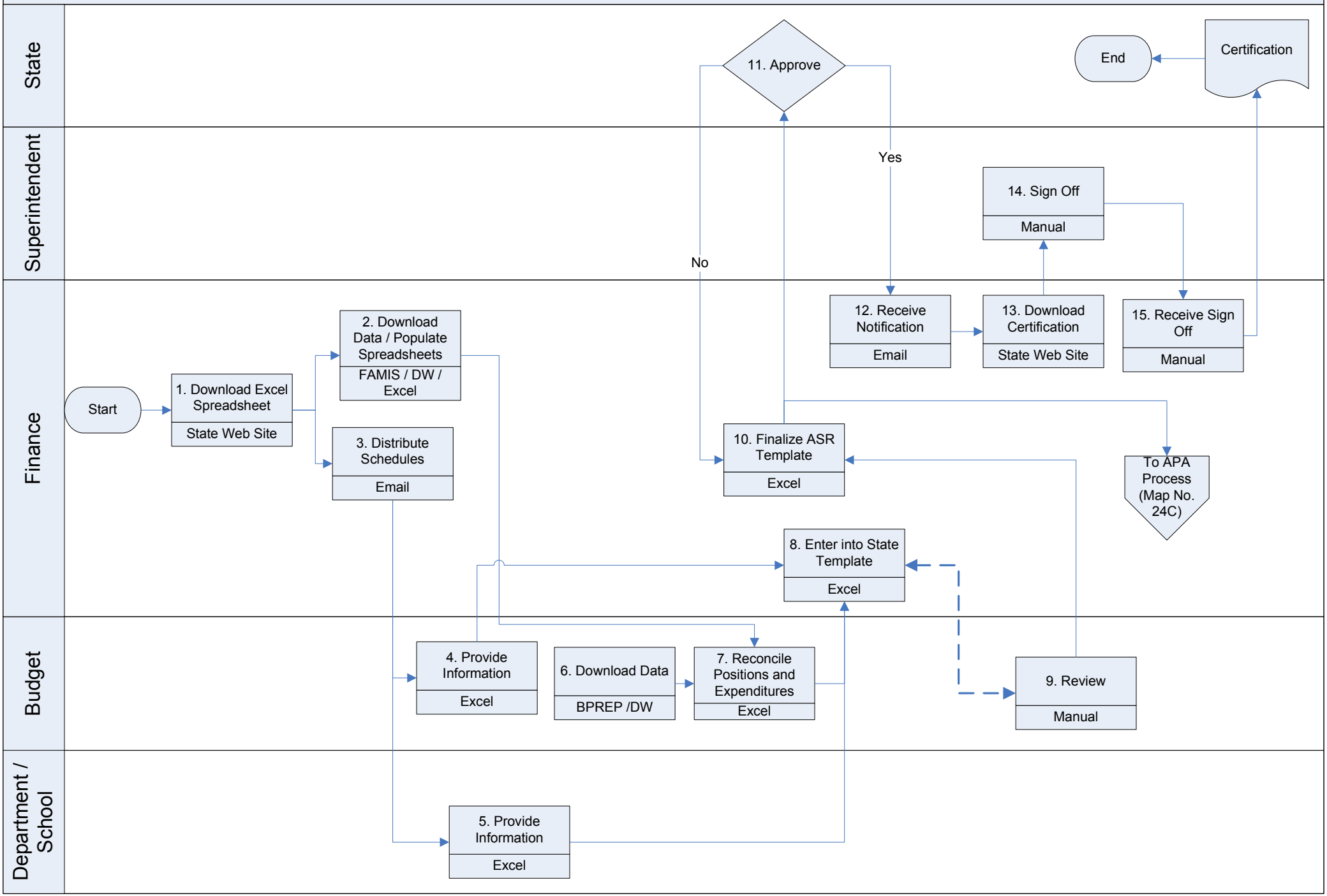
Application/System Name	*Technology Description*
FAMIS	Financial system.
MS Excel	Spreadsheet application
Data Warehouse	SQL

Regulations:

- This is a State mandated annual report
- Code of Virginia Section 15.2-2510

General Ledger [FINAL]
Sub-Process: Financial Reporting – ASR (Schools)

Map Name: GL_FIN_RPT_ASR
Map No.: 24D



Process Name: General Ledger	**Process Identifier:** GL_FIN_RPT_ASR
Sub-Process Name: Financial Reporting – ASR (Schools)	**Map Number:** 24D

Sub-Process Purpose and Objectives: Produce financial statements – Annual School Report (Schools)

Sub-Process Description:

1. Superintendent's Memo (Dept of Education) informs Finance that the formatted spreadsheet is available on the Website.
2. Finance downloads the spreadsheet and distributes schedules to Departments and Budget via email. (NOTE: Download is from FAMIS to the Data Warehouse to Excel)
3. **[MAP SHAPE 1, 2, 3]**
4. Departments and Budget provide the information and data requested to Finance, who enters it into the State Template. **[MAP SHAPE 4, 5, 8]**
5. Meanwhile, Budget downloads data from BPREP. Finance and Budget reconcile the positions and expenditures, and then Finance enters it into the State template. **[MAP SHAPE 6, 7, 8]**
6. Budget and Finance review the Template (iterative). **[MAP SHAPE 9]**
7. Finance finalizes the ASR Template and sends it to the State for approval. (see Map 24C). **[MAP SHAPE 10]**
8. If the State rejects the Template (wrong version of the spreadsheet, or something missing, etc.), they send it back to Finance to correct and resubmit. **[MAP SHAPE 10, 11]**
9. If the State approves the Template, they notify Finance via email. **[MAP SHAPE 12]**
10. Finance downloads certification from State Website, which is then signed by the Superintendent of schools and finally sent to the State. **[MAP SHAPE 13, 14, 15]**

Triggers:

- ❑ Fiscal year end (June 30)

Key Process Participants:

- ❑ Finance
- ❑ Budget
- ❑ Department/School
- ❑ State
- ❑ Superintendent

Inputs:

Input	*Format*
Superintendent's Memo	Electronic

Outputs:

Output	*Format*
Certification	Document download from State Website

IT Support:

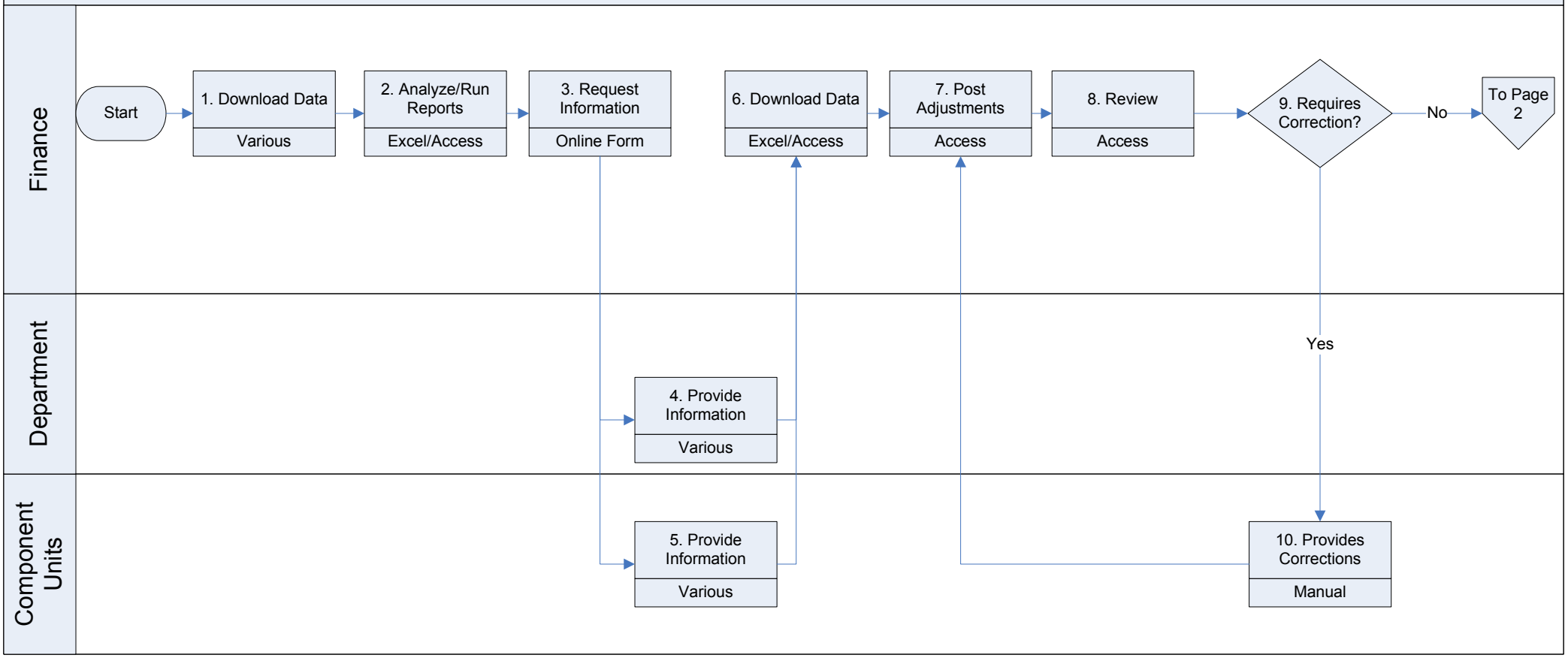
Application/System Name	*Technology Description*
FAMIS	Financial system.
MS Excel	Spreadsheet application
BPREP	Budget preparation system
ReportNet	Cognos

Regulations:

- This is a State mandated annual report
- Code of Virginia Section 22.1-81

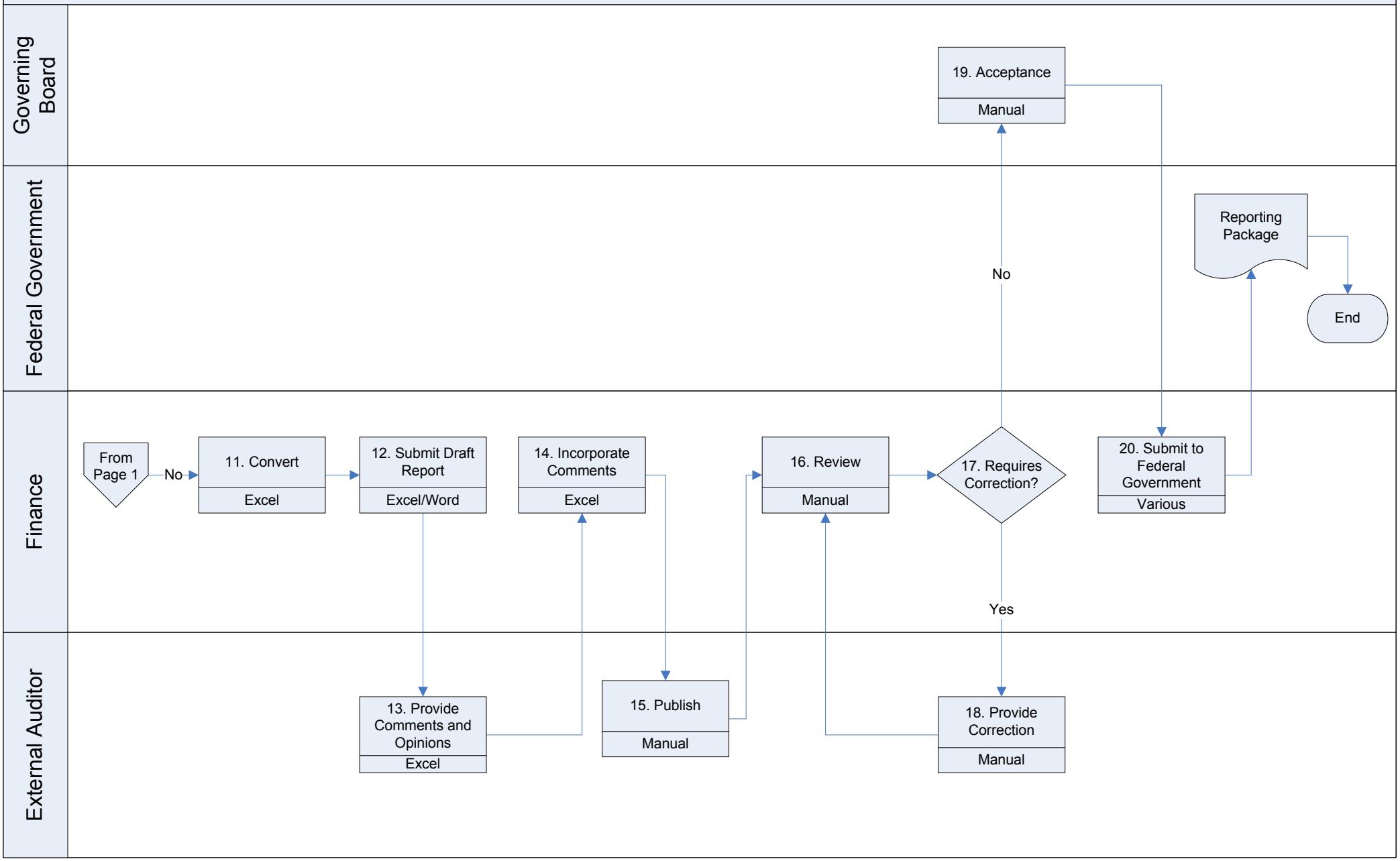
General Ledger [FINAL]
Sub-Process: Financial Reporting – Single Audit

Map Name: GL_FIN_RPT_SINGLE_AUD
Map No.: 24E



General Ledger [FINAL]
Sub-Process: Financial Reporting – Single Audit

Map Name: GL_FIN_RPT_SINGLE_AUD
Map No.: 24E



Process Name: General Ledger	**Process Identifier:** GL_FIN_RPT_SINGLE_AUD
Sub-Process Name: Financial Reporting – Single Audit	**Map Number:** 24E

Sub-Process Purpose and Objectives: Produce financial statements – Single Audit

Sub-Process Description:

1. Finance downloads data into an Excel spreadsheet and uploads to an Access database. **[MAP SHAPE 1]**
2. Finance runs various reports and performs analyses. **[MAP SHAPE 2]**
3. Finance obtains further information from departments and Component Units. (NOTE: Schools goes through these same steps to provide its data to the County for the Single Audit report). **[MAP SHAPE 3, 4, 5]**
4. Finance then downloads data from a SQL database to Excel to Access. (NOTE: Footnotes are in Word). **[MAP SHAPE 6]**
5. In the Access database, Finance makes adjustments as needed. **[MAP SHAPE 7]**
6. Finance conducts an internal review process (from Access reports). **[MAP SHAPE 8]**
7. If Component Unit data requires correction, that information is sent back to the Component Unit. **[MAP SHAPE 9, 10]**
8. The data is converted to Excel and the draft report is downloaded into Excel (from Access). This is considered camera-ready and can be sent to the auditors via email. **[MAP SHAPE 11, 12]**
9. The External Auditor provides opinion and comments. **[MAP SHAPE 13]**
10. Finance incorporates changes as needed and sends back to the External Auditor to prepare and publish the final report. **[MAP SHAPE 14, 15]**
11. Finance reviews and works with the External Auditor to make any final changes. **[MAP SHAPE 16, 17, 18]**
12. If there are no corrections needed, Finance sends the report to the Board for acceptance. (NOTE: Finance also completes the Data Collection Form). **[MAP SHAPE 17, 19]**
13. Once the Board has accepted the final report, Finance submits the Reporting Package (hard copy and electronic files) to the Federal Government. **[MAP SHAPE 20]**

Triggers:

- Fiscal year end (June 30)

Key Process Participants:

- Finance
- Component Unit
- Department
- External Auditor
- Governing Board

Inputs:

Input	*Format*
CFDA data from state	Access table

Outputs:

Output	*Format*
Certification	Document download from state website
Federal Government report	Electronic and hard copy

IT Support:

Application/System Name	*Technology Description*
Document Direct	Electronic reports
DocuAnalyzer	Data mining tool

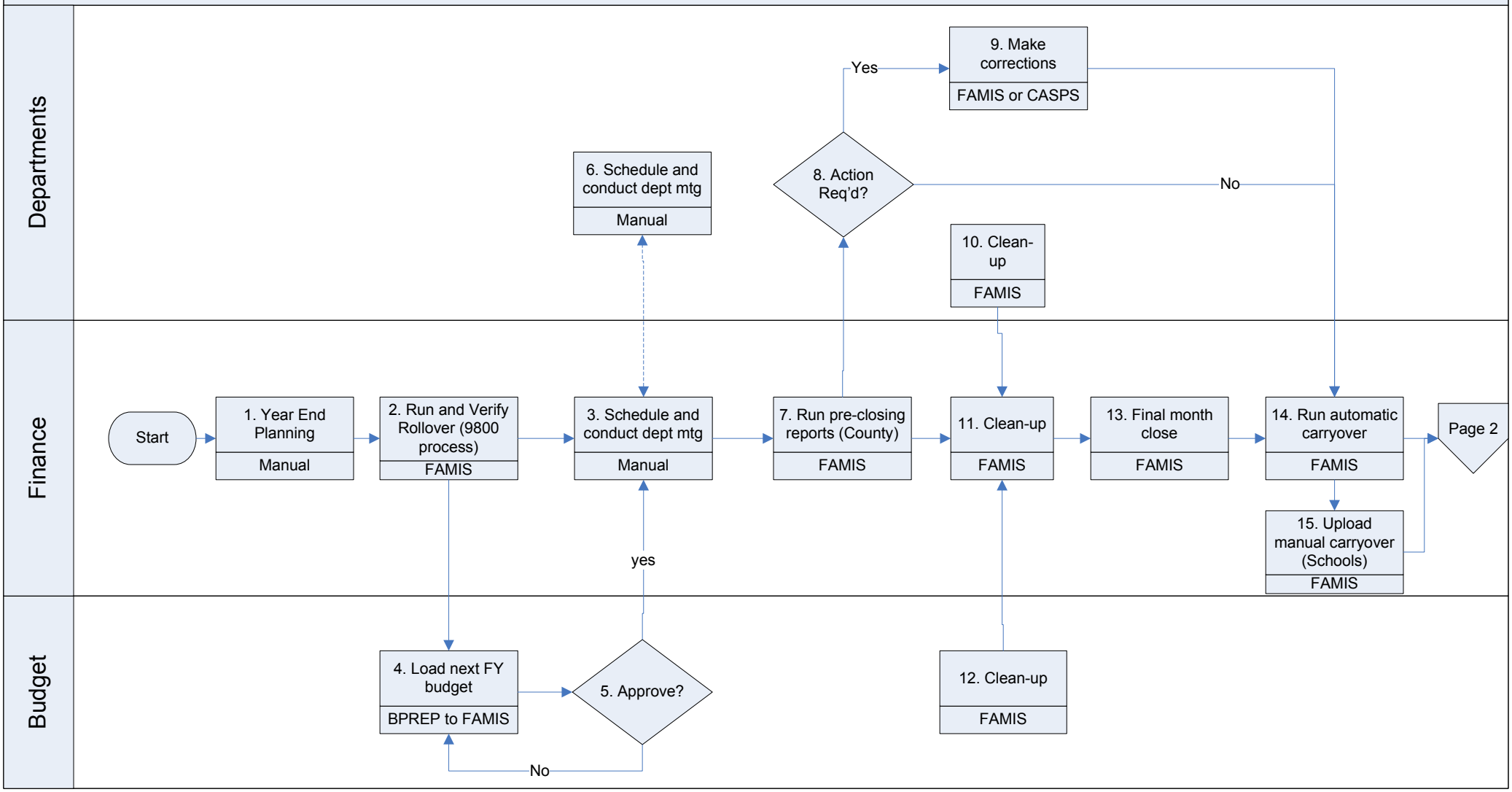
Access	Database	

Regulations:

- This is a Federal mandated annual report
- Single Audit Act of 1984, P.L. 98-502
- Single Audit Act Amendments of 1996, P.L. 104-156

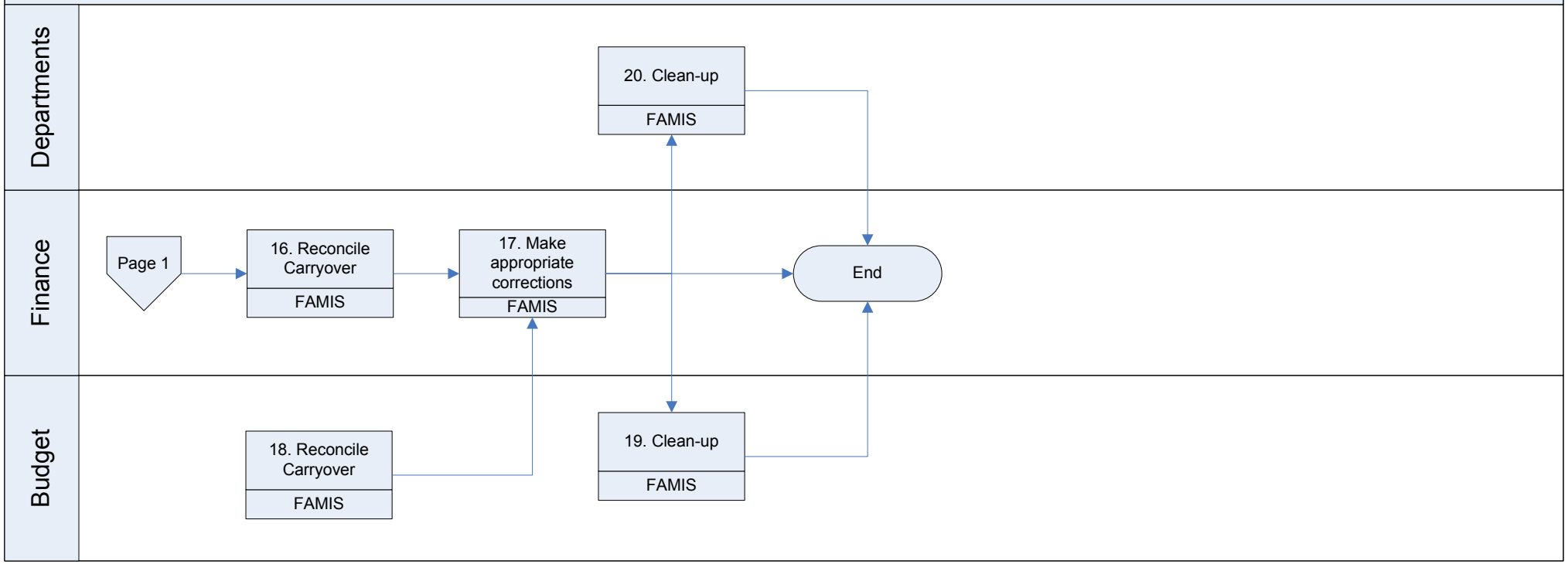
General Ledger [FINAL]
Sub-Process: Period Open/Close – Year End Balances, Encumbrances, and Carryovers

Map Name: GL_PD_OPEN_CLOSE_BAL
Map No.: 25A



General Ledger [FINAL]
Sub-Process: Period Open/Close – Year End Balances, Encumbrances, and Carryovers

Map Name: GL_PD_OPEN_CLOSE_BAL
Map No.: 25A



Process Name: General Ledger	**Process Identifier:** GL_PD_OPEN_CLOSE_BAL
Sub-Process Name: Period Open/Close - Year End Balance, Encumbrances, and Carryovers	**Map Number:** 25A

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. County and Schools planning meetings for fiscal year end begin in February. During these meetings, the closing calendar is established. **[MAP SHAPE 1]**
2. In May, Finance initiates a meeting of all Departments to review items for carryover. FAMIS maintains prior balances which are copied into the next year during the roll process. Finance runs and verifies the rollover process. Rollover Process (9800) must run before BPREP loading next year budget to FAMIS. **[MAP SHAPE 2]**
3. In May, Budget loads the next fiscal year budget from BPREP to FAMIS. This opens the next fiscal year to transaction posting. **[MAP SHAPE 4]**
4. The budget roll is reviewed by Budget and necessary corrections are made. If necessary, the budget is reloaded into FAMIS. **[MAP SHAPE 5,4]**
5. After the budget load is completed, Finance and the Departments begin meeting and open documents are examined to identify the items that are to be carried over. This is an iterative process done by the departments throughout April and May. **[MAP SHAPE 3,6]**
6. County Finance runs pre-closing reports. **[MAP SHAPE 7]**
7. The Departments review the pre-close reports to determine actions required to correct the reports. **[MAP SHAPE 8]**
8. If corrections are necessary they are made in CASPS or FAMIS. If no correction is necessary no additional processing is required at this point. **[MAP SHAPE 9]**
9. Finance, Budget, and the Departments review the pre-closing reports and complete clean-up in FAMIS if necessary. **[MAP SHAPE 10,11,12]**
10. June is closed and month end reports are run. **[MAP SHAPE 13]**
11. Carryover items are first tested before being loaded to FAMIS. Carryover transactions are reviewed and necessary corrections are made. Carryover posting and review is an iterative process that continues until year-end close is run. Clean up steps are completed before carryover process is finalized, e.g., transfer vouchers and amounts less than $1, travel vouchers, credit cards, inter-fund billings, travel budget adjustments, and project clean-up. No posting is done after the month/year-end reports are run. **[MAP SHAPE 14]**
12. After all the clean-up is completed and the year end is closed, the automatic carryover job is run (to document carryover/balances) and grants and projects carryover is run. **[MAP SHAPE 14]**
13. Carryovers requested by Schools are tracked in a sub-system and are done as a manual upload to FAMIS by Schools Finance. **[MAP SHAPE 15]**
14. Carryover reconciliation is done after the automatic carryover by both Schools and County. Appropriate corrections are entered directly into FAMIS. The carryover job is not re-run except in the case of major system errors. **[MAP SHAPE 16,17,18]**
15. The clean-up process continues until all audit adjustments have been entered into FAMIS and reconciled. **[MAP SHAPE 19,20]**

Triggers:	**Key Process Participants:**
❑ Fiscal year end planning	❑ Finance
❑ Carryover review meeting	❑ Budget
❑ Budget load	❑ Departments
❑ Actual fiscal year end	

Inputs:

Input	*Format*
9800 Budget Roll	Electronic
9150 Grants/Project Carryover	Electronic

Outputs:

Output	*Format*
New budget posted to FAMIS	Electronic
Grant/Project encumbrances carried to new year	Electronic

IT Support:

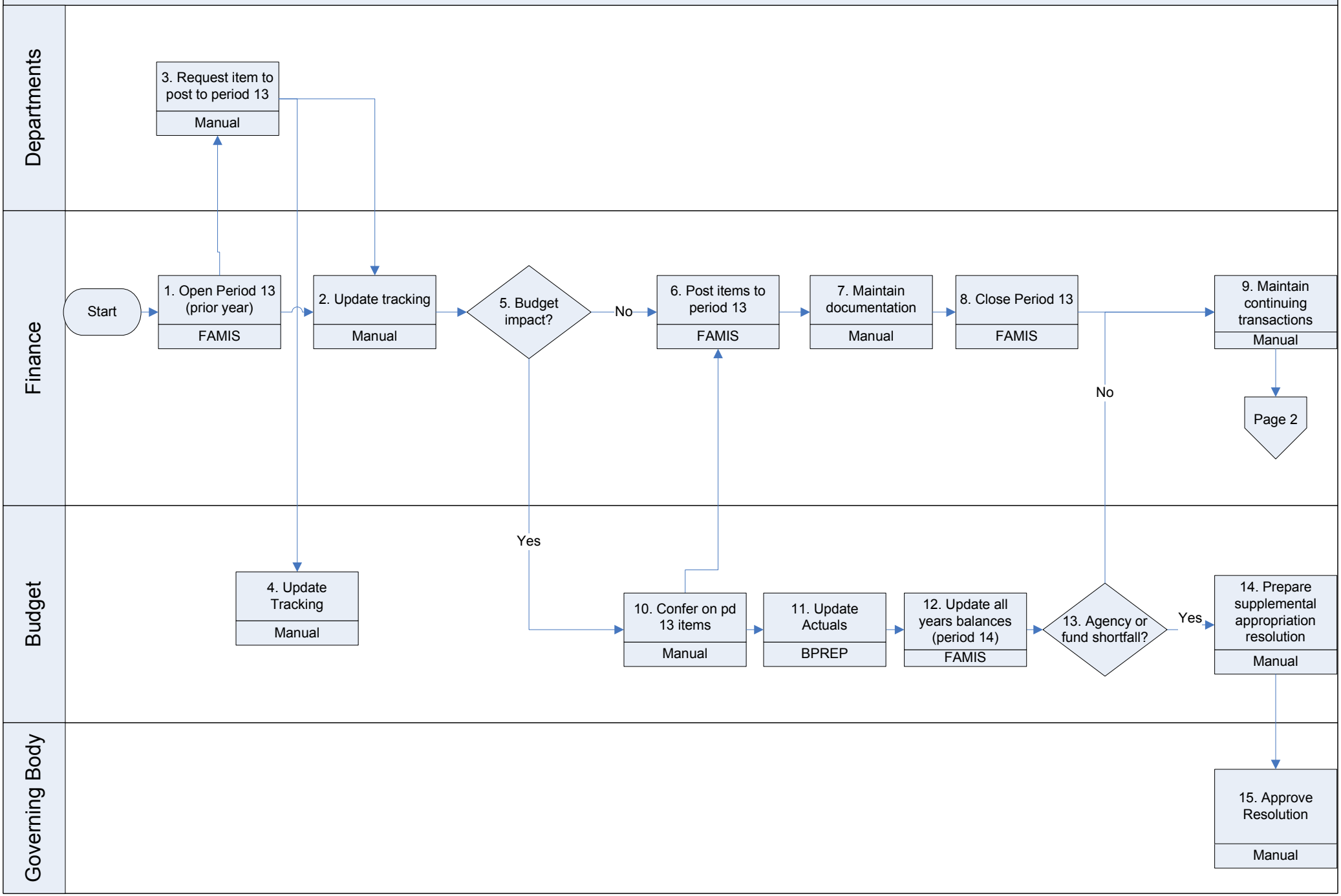
Application/System Name	*Technology Description*
FAMIS	Financial system
BPREP	Budget preparation system
CASPS	Procurement system

Regulations:

o

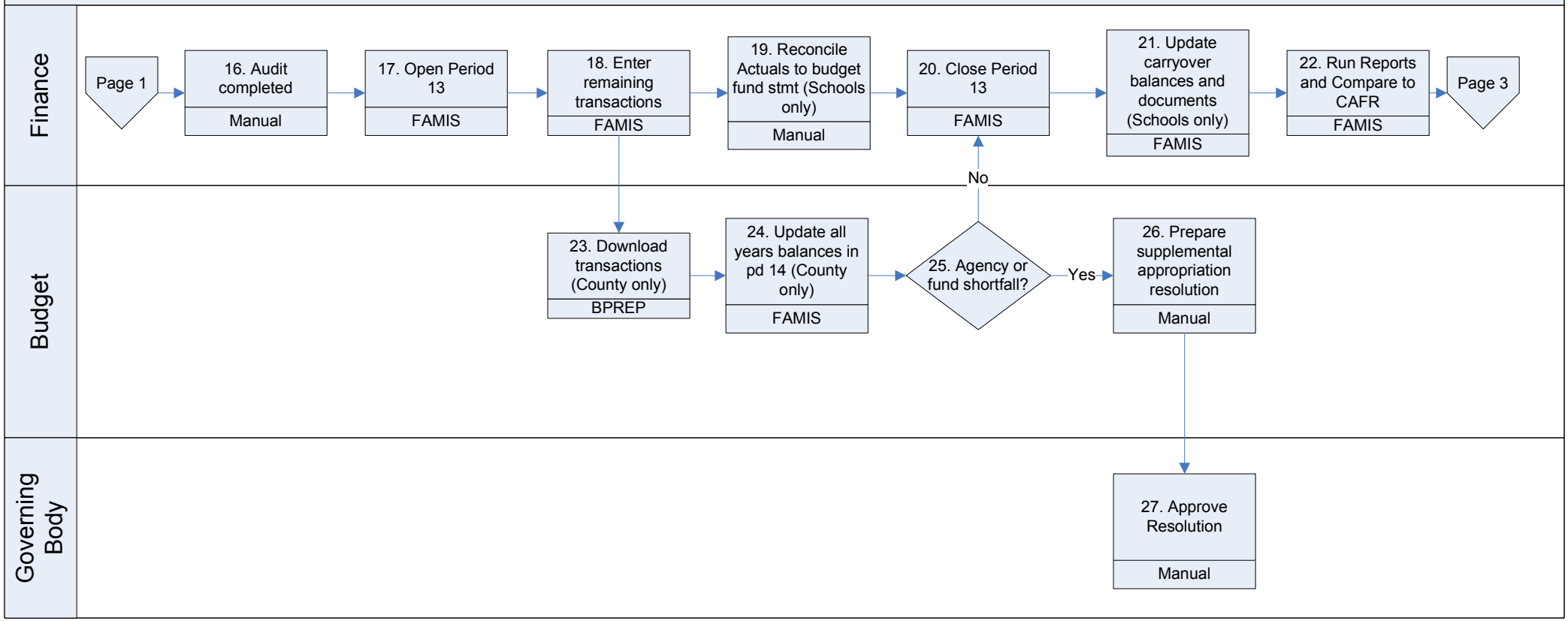
General Ledger [FINAL]
Sub-Process: Period Open/Close - Audit Adjustments

Map Name: GL_PD_OPEN_CLOSE_AUD
Map No.: 25B



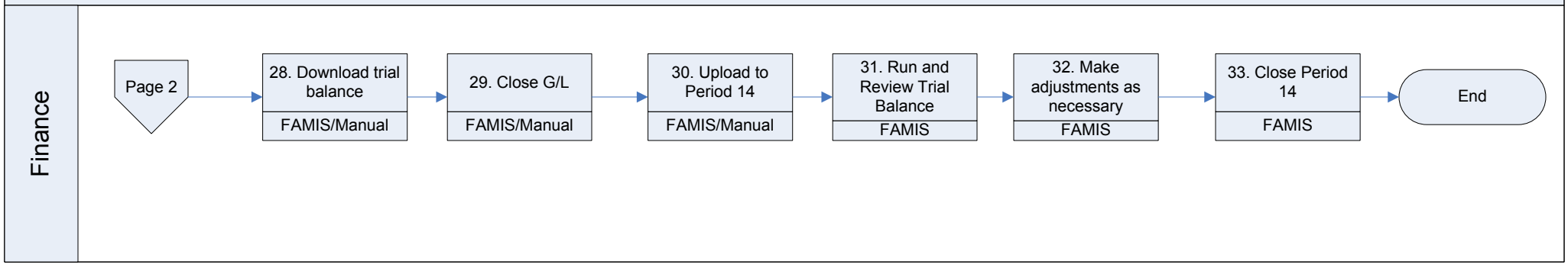
General Ledger [FINAL]
Sub-Process: Period Open/Close - Audit Adjustments

Map Name: GL_PD_OPEN_CLOSE_AUD
Map No.: 25B



General Ledger [FINAL]
Sub-Process: Period Open/Close - Audit Adjustments

Map Name: GL_PD_OPEN_CLOSE_AUD
Map No.: 25B



Process Name: General Ledger	**Process Identifier:** GL_PD_OPEN_CLOSE_AUD
Sub-Process Name: Period Open/Close - Audit Adjustments	**Map Number: 25B**

Sub-Process Purpose and Objectives:

Sub-Process Description:

Page 1 of the Audit Adjustment Process

1. Departments begin to request to post audit adjustments. **[MAP SHAPE 3]**
2. Period 13 is opened by Finance. Note that only a finite number of users are allowed to access this period. The list of Departmental users is maintained by Finance.**[MAP SHAPE 1]**
3. Department entries are created and forwarded to Finance and Budget with a request to have the entries posted. Entries received are tracked on spreadsheets for individual Departments. **[MAP SHAPE 2,4]**
4. Finance and Budget meet to review the audit adjustment requests to identify those which have a budget impact. **[MAP SHAPE 5]**
5. If an entry will have a budget impact it is forwarded to Budget for analysis and processing. Entries with a budget impact are posted to BPREP by Budget and are then forwarded to Finance for posting to FAMIS. **[MAP SHAPE 10,11,6]**
6. If there is no budget impact the entry is posted to FAMIS by Finance without discussion with Budget. **[MAP SHAPE 6]**
7. There is a cutoff date by which adjustments must be submitted for posting to period 13. All period 13 adjustments are made before the auditors arrive. All documentation is maintained for review by Finance and auditors. These adjustments can consist of any number of various types of adjustments. **[MAP SHAPE 7]**
8. Period 13 is closed but Finance continues to accumulate additional entries until final audit entries are made. These adjustments are kept on spreadsheets by Finance for the individual departments. Schools opens and closes period 13 throughout the year end review and audit process as needed. **[MAP SHAPE 8,9]**
9. Meanwhile, Budget, after updating BPREP, updates all year's balances. Note: This is a period 14 Budget adjustment. Budget reviews the new BPREP balances looking for fund or Agency budget shortfalls. **[MAP SHAPE 12,13]**
10. If no fund or Agency budget shortfalls are found, the entries are forwarded to Finance to be tracked for period 13 adjustments. If a budgetary shortfall is found, then a supplemental resolution is prepared for the Governing Body. **[MAP SHAPE 13,9,14]**
11. The Supplemental Resolution is sent to the Governing Body for action. **[MAP SHAPE 15]**

Page 2 of the Audit Adjustment Process

12. The audit ends, period 13 is reopened, and all audit and accumulated additional adjustments are made. Some of these adjustments must also be made in BPREP. School makes entries directly to FAMIS. **[MAP SHAPE 16,17,18]**
13. Finance now does a reconciliation process to reconcile actuals to the budget fund statements for Schools. **[MAP SHAPE 19]**
14. Budget updates all year's balances for period 14 for the County only. **[MAP SHAPE 23,24]**
15. Budget again reviews BPREP looking for fund or Agency budgetary shortfalls. **[MAP SHAPE 25]**
16. If fund or Agency budgetary shortfalls are found, Budget prepares a Supplemental Resolution to send to the Governing Body for action. **[MAP SHAPE 26]**
17. If no fund or Agency budgetary shortfalls are found, Finance is notified that it can close period 13.
18. Finance closes period 13 and updates all carryover balances and documents for the Schools.**[MAP SHAPE 20,21]**
19. Finance runs reports and compares them to the CAFR. **[MAP SHAPE 22]**

Page 3 of the Audit Adjustment Process

20. Finance downloads the trial balance from FAMIS. The G/L is closed and uploaded to period 14 **[MAP SHAPE 28,29,30]**
21. Budget opens period 14 to make balance adjustments from BPREP to FAMIS. The County does this through a job, while Schools does it manually. A new period 14 trial balance is run and reviewed. Finance makes any necessary adjustments and closes period 14. **[MAP SHAPE 31,32,33]**

NOTES:

- Downloads from FAMIS to BPREP are done periodically to look for funds or Agencies with budgetary shortfalls. Agencies or funds that are flagged because of shortfalls require a supplemental resolution to be made to the Governing Body. This is may be required after each uploads for BPREP to FAMIS.
- The download from FAMIS for period 14 adjustments is done in Excel to close the nominal revenue and expenditure accounts. This process creates a file to upload and post to FAMIS. This is done first in a test environment. Resulting transactions are then reviewed by Finance.
- Schools does a reconciliation of actual fund statements to budget actual then update BPREP.
- Housing closes at project and grant detail level. This is a manual process for Housing and is manually posted to FAMIS.
- County closes Gift fund at the project level.

Triggers:

- ❑ Final close of Period 12
- ❑ Final close of Period 13
- ❑ Final close of Period 14
- ❑ Supplemental Resolution

Key Process Participants:

- ❑ Finance
- ❑ Budget
- ❑ Departments
- ❑ Governing Body

Inputs:

Input	*Format*
Period 13 Adjustment Requests	Spreadsheet
Supplemental Resolution	Paper

Outputs:

Output	*Format*
Adjustment entries	Electronic (FAMIS)
Approved Supplemental Resolution	Paper

IT Support:

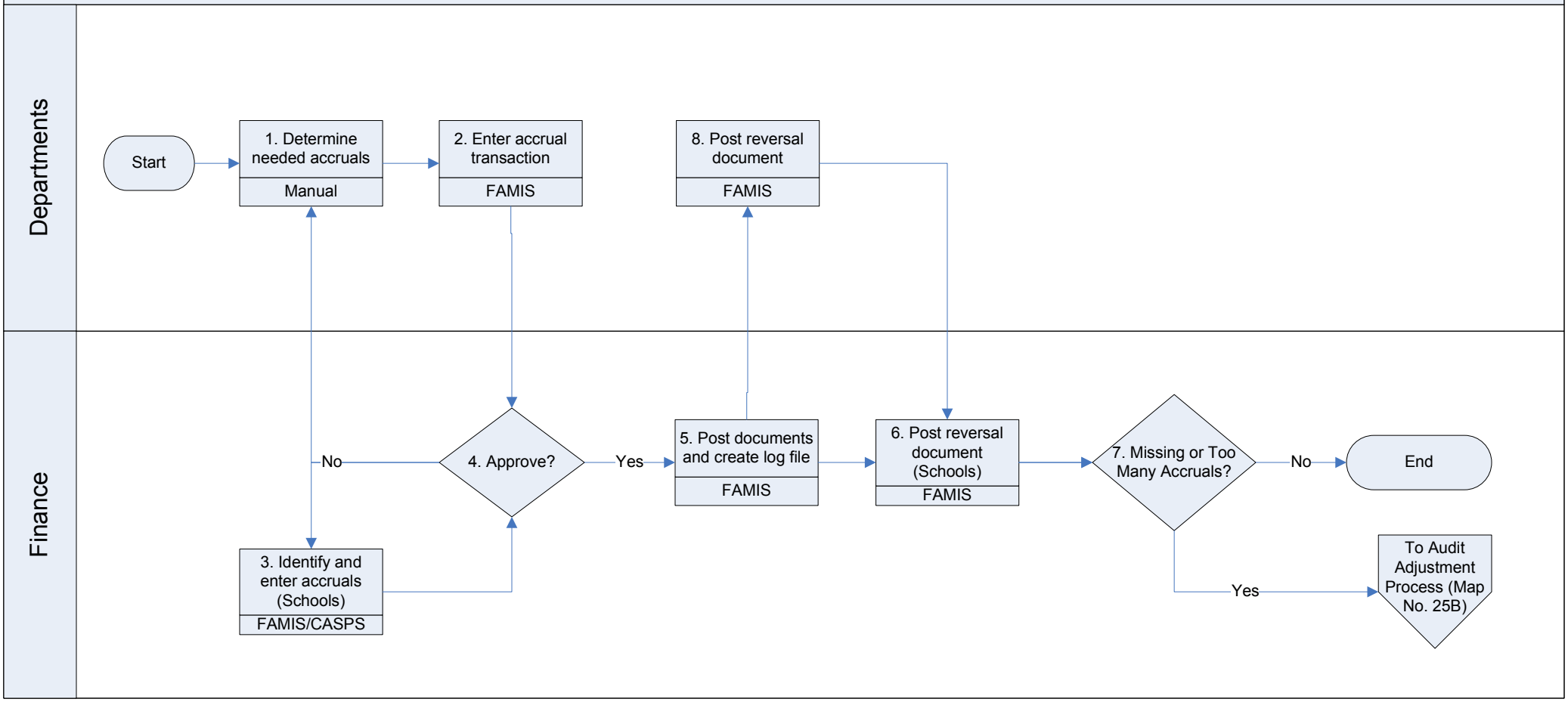
Application/System Name	*Technology Description*
FAMIS	Financial system
BPREP	Budget preparation system
Excel	Spreadsheet

Regulations:

- o Supplemental Appropriation Resolution to Governing Body

General Ledger [FINAL] Map Name: GL_PD_OPEN_CLOSE_ACC_AGENCY

Sub-Process: Period Open/Close - Accruals and Reversals (Agencies) Map No.: 25C



Process Name: General Ledger	**Process Identifier:** GL_PD_OPEN_CLOSE_ACC_AGENCY
Sub-Process Name: Period Open/Close - Accruals and Reversals (Agencies)	**Map Number:** 25C

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A department reviews open documents to determine when the item will be received in order to determine if an accrual needs to be made for the item(s). Some departments have a large number of accruals, e.g., consultants, telephone bills (landline, Blackberry, Pagers, etc.). Each department creates and maintains a log of accruals. **[MAP SHAPE 1]**
2. The departments enter the accrual into FAMIS and forward the entry to Finance for approval and posting. **[MAP SHAPE 2]**
3. Finance reviews the expenses to verify that the accrual is necessary. **[MAP SHAPE 4]**
4. Unapproved accruals are returned to departments for additional documentation. This may result in a negotiation taking place between the departments and Finance to resolve the issue of the necessity or the amount of the accrual. Approved documents are entered into FAMIS by DIT and a backup is sent to Finance. **[MAP SHAPE 1,2,3,5]**
5. After the year end close has been completed, departments prepare entries to reverse all of the prior year accruals. **[MAP SHAPE 8,6]**
6. Finance reviews all transactions to ensure that all/only required accruals are entered in the prior year. **[MAP SHAPE 7]**
7. Missed or over-accruals are accumulated and become adjusting entries in period 13. **[MAP SHAPE 7]**

NOTES**:**
It is the department's responsibility to track accruals after they have been entered into the system.
FCPS accruals are all done centrally.
The Housing Authority enters its own accruals directly into the system. No documentation is required to be sent to Finance.

Triggers:

- ❑ Year end review of documents for required accruals.
- ❑ Year end close
- ❑ Accruals reversed
- ❑ Adjustments accumulated for entry in period 13

Key Process Participants:

- ❑ Departments
- ❑ Finance

Inputs:

Input	***Format***
Accrual log	Excel

Outputs:

Output	***Format***
Accrual adjustments	FAMIS

IT Support:

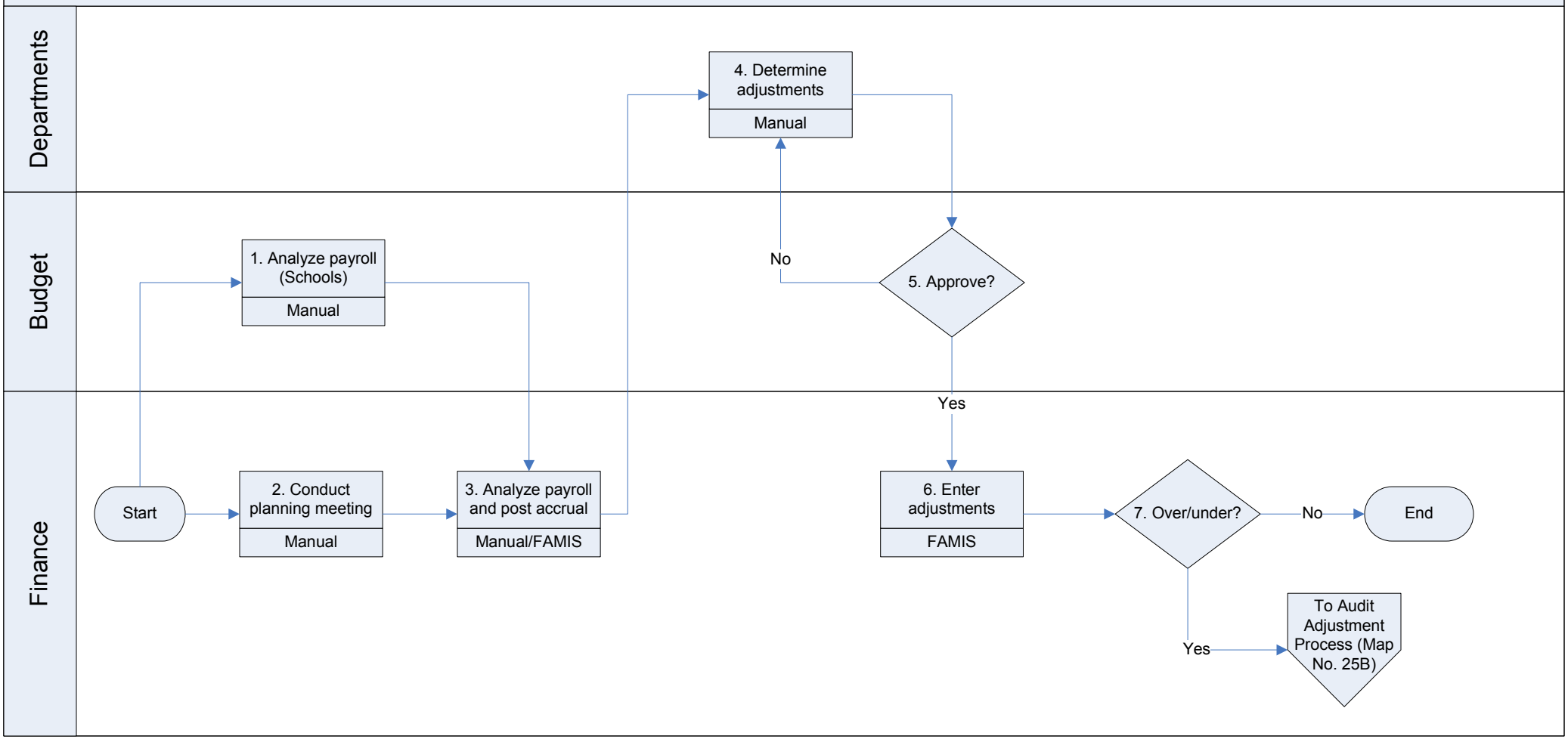
Application/System Name	***Technology Description***
FAMIS	Financial system
CASPS	Purchasing system

Regulations:

o

General Ledger [FINAL] Map Name: GL_PD_OPEN_CLOSE_ACC_PAYROLL

Sub-Process: Period Open/Close - Accruals and Reversals (Payroll) Map No.: 25D



Process Name: General Ledger	**Process Identifier:** GL_PD_OPEN_CLOSE_ACC_PAYROLL
Sub-Process Name: Period Open/Close - Accruals and Reversals - Payroll	**Map Number:** 25D

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. County Finance sets up meetings with Payroll to determine the number of days that should be accrued in the year end payroll accrual. **[MAP SHAPE 2]**
2. Budget analyzes Schools payroll to determine the required year end payroll accrual for Bi-Weekly 2. Actual Bi-Weekly 1 is posted before year-end. **[MAP SHAPE 1]**
3. The accrual entry for payroll 13 is based on actuals. The accrual entry for payroll 14 is based on the corresponding days in payroll 12. **[MAP SHAPE 3]**
4. Departments review payroll 14 accrual and determine if adjustments are necessary. The Departments then forward the requested adjustments to Budget. **[MAP SHAPE 4]**
5. Budget reviews the accrual entry and returns unapproved accrual adjustments to the Departments for revision. Approved accrual adjustments are sent to Finance to post in FAMIS. **[MAP SHAPE 5,4,6]**
6. Finance posts approved payroll accrual adjustments to FAMIS. An analysis is made to verify the accuracy of the accruals. Any exceptions or corrections that are necessary are accumulated and become part of the audit adjustments. **[MAP SHAPE 6,7,8]**

NOTES:
County's payroll 13 is Schools Bi-weekly 1.
DIT generates the reports.

Triggers:

- ❑ Year end payroll accrual

Key Process Participants:

- ❑ Finance
- ❑ Budget
- ❑ Departments

Inputs:

Input	***Format***
Accrual analysis	Manual

Outputs:

Output	***Format***
Payroll accrued	FAMIS

IT Support:

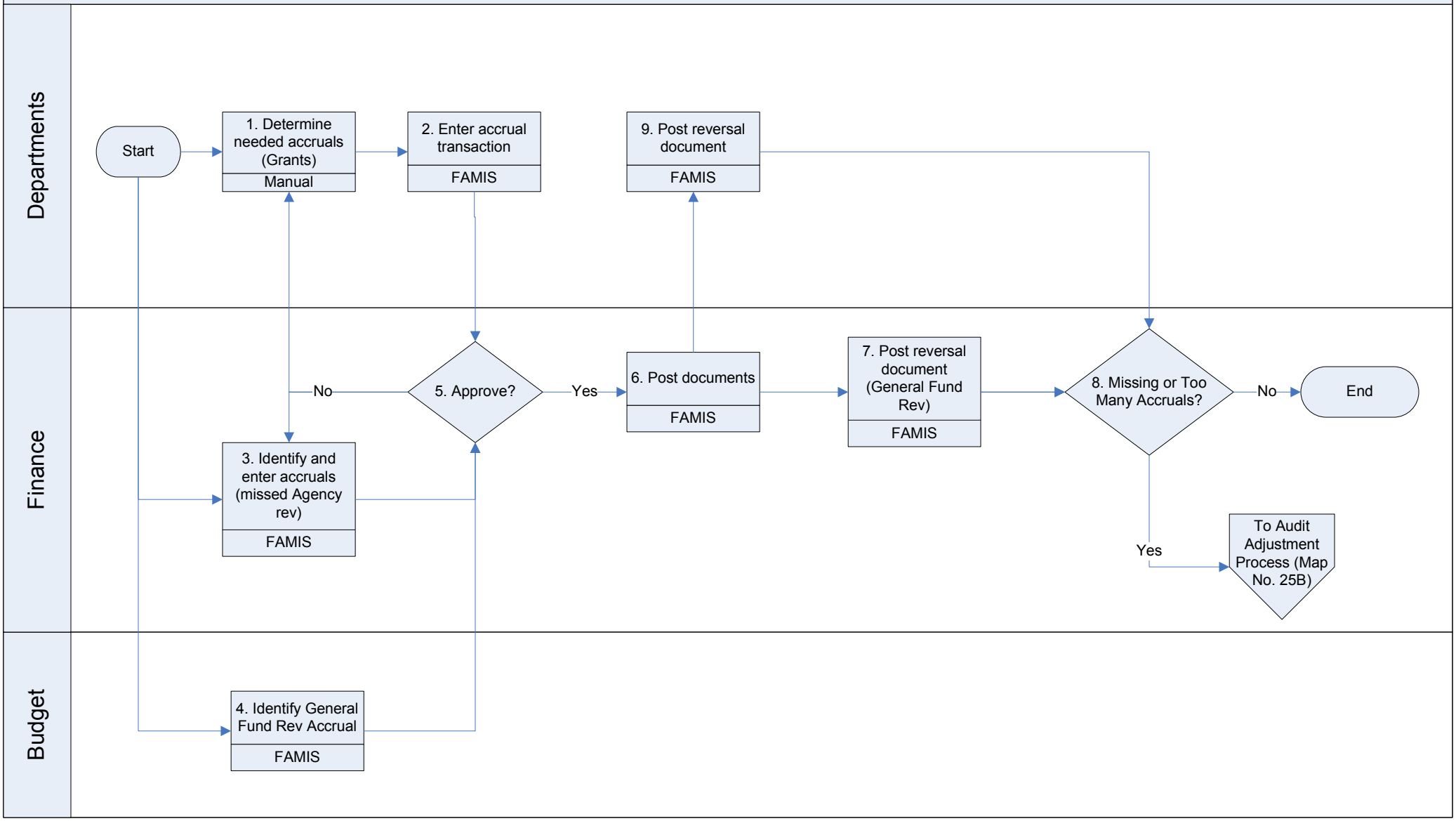
Application/System Name	***Technology Description***
FAMIS	Financial system

Regulations:

o

General Ledger [FINAL] Map Name: GL_PD_OPEN_CLOSE_ACC_REV

Sub-Process: Period Open/Close - Accruals and Reversals (Revenue) Map No.: 25E



Process Name: General Ledger	**Process Identifier:** GL_PD_OPEN_CLOSE_ACC_REV
Sub-Process Name: Period Open/Close - Accruals and Reversals (Revenue)	**Map Number:** 25E

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Departments review grants for revenue that needs to be accrued and enters the transaction into FAMIS. **[MAP SHAPE 1,2]**
2. Finance reviews agency accruals for missed revenues. **[MAP SHAPE 3]**
3. General fund revenue accruals from any Department go to Budget for review. Budget identifies any other general fund revenue (including tax revenue) that needs to be accrued. **[MAP SHAPE 4]**
4. All revenue accruals, Department grants, and Budget general fund revenues are sent to Finance for review, approval, and posting. Unapproved revenue accruals are sent back to the initiating Department for correction or additional documentation. Approved revenue accruals are posted to FAMIS. **[MAP SHAPE 1,5,6]**
5. Year end processing is completed.
6. Departments and Finance complete revenue accrual reversals. Generally, whoever posts the accrual will do the reversal. **[MAP SHAPE 7,9]**
7. Finance reviews accrual reversal entries for any missing or erroneous revenue accruals. Identified missing or corrected revenue accruals are tracked and become audit adjustments. **[MAP SHAPE 8]**

NOTE: Schools accruals are done centrally

Triggers:

- ❑ Year end revenue accruals

Key Process Participants:

- ❑ Finance
- ❑ Budget
- ❑ Departments

Inputs:

Input	***Format***
Grant Revenue Accrual	Spreadsheet
General Revenue Accrual	Spreadsheet

Outputs:

Output	***Format***
Grant accrual entry	FAMIS
General Revenue accrual entry	FAMIS

IT Support:

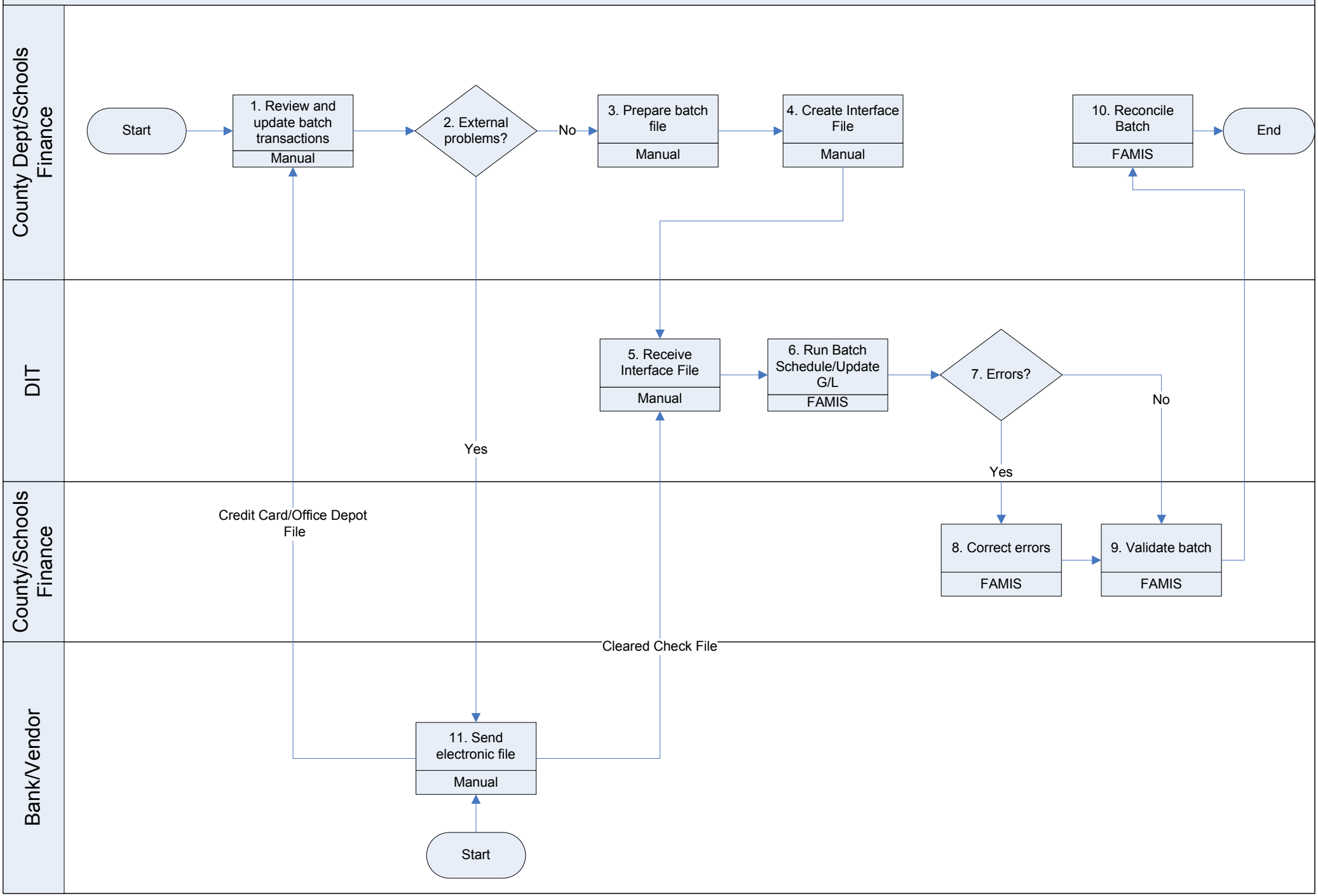
Application/System Name	***Technology Description***
FAMIS	Financial system

Regulations:

o

General Ledger [FINAL]
Sub-Process: Transaction Posting - Batch Posting

Map Name: GL_TRANS_POST_BATCH
Map No.: 26A



Process Name: General Ledger	**Process Identifier:** GL_TRANS_POST_BATCH
Sub-Process Name: Transaction Posting - Batch Posting	**Map Number: 26A**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A batch file is sent from a bank or vendor and is received in a County Department/Schools Finance or DIT. The file(s) is reviewed in the Departments for accuracy. **[MAP SHAPE 1, 2]**
2. If the problems with the file are the result of errors in the data received from the bank/vendor, the file is returned for correction and retransmission. **[MAP SHAPE 2]**
3. If there are no problems with the data the County Department/Schools Finance creates an interface file which is sent to DIT for processing. The cleared check file from the bank(s) is sent directly to DIT as an interface file. **[MAP SHAPE 3, 4, 5, 11]**
4. This file may be formatted for entry to FAMIS by either the Department or by Finance. The batch must be reviewed before being transmitted to finance. If the mapped text file is incorrect it must be sent back to the originator for correction. Some Departments have personnel who are capable of correcting a mapped text file. The School and County have different mapping programs. School Departments may send their entries to Finance in a spreadsheet which is then formatted and loaded into the interface file. The P-Card uploads are done weekly.
5. A clean file is loaded into the FAMIS interface file. Some batch interfaces can be automatically uploaded to FAMIS while others must be manually loaded. **[MAP SHAPE 6]**
6. Running the interface is a job file transmitted to DIT. The batch interface is run overnight according to a job schedule established by DIT. Departments or Schools Finance that send DIT an email disclosing the number of records and the amount of the batch are sent an email from County Finance verifying the number of records and amount that have interfaced. **[MAP SHAPE 6, 7]**
7. Some jobs will error out during run and must be fixed by Finance with input from other Departments. If there are no errors in the batch interface to the G/L, the batch is validated. If there are errors, the errors are corrected and posted to FAMIS directly. **[MAP SHAPE 7, 8]**
8. After the batches have been validated, they are reconciled by the Department. **[MAP SHAPE 9, 10]**

NOTE: There are large interfaces for certain agencies and sub-systems, including DAHS (Harmony) and FCRHA (Yardi).

Triggers:

- ❑ Electronic file received
- ❑ Cleared check file

Key Process Participants:

- ❑ County/Schools Finance
- ❑ County Departments/Schools Finance
- ❑ DIT
- ❑ Bank/Vendor

Inputs:

Input	***Format***
Vendor/Bank electronic file	Electronic

Outputs:

Output	***Format***
Batch transactions	FAMIS

IT Support:

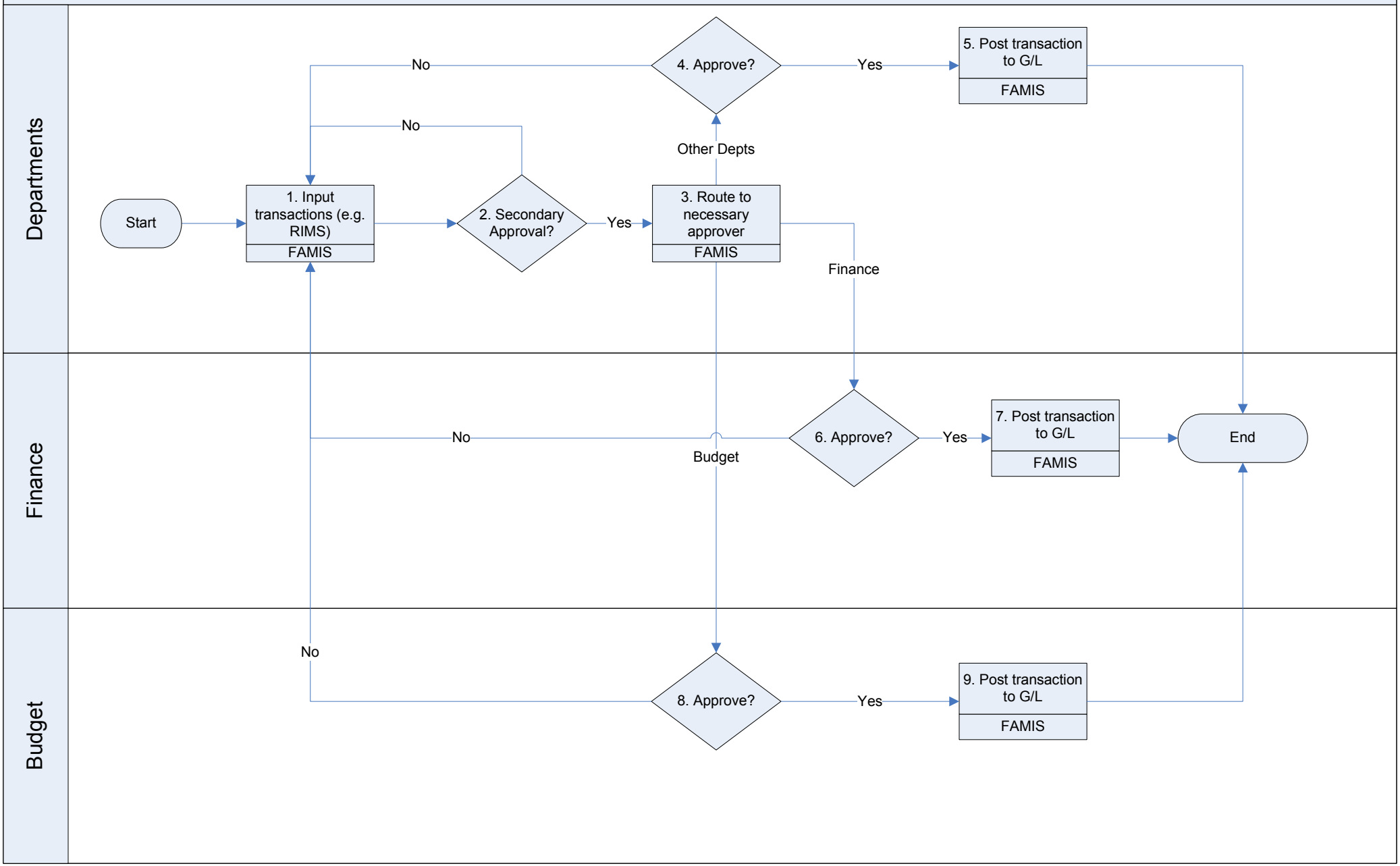
Application/System Name	***Technology Description***
FAMIS	Financial system
Excel	Spreadsheet

Regulations:

o

Process: General Ledger [FINAL]
Sub-Process: Transaction Posting - Manual Posting

Map Name: GL_TRANS_POST_MANUAL
Map No.: 26B



Process Name: General Ledger	**Process Identifier:** GL_TRANS_POST_MANUAL
Sub-Process Name: Transaction Posting - Manual Posting	**Map Number:** 26B

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. The RIMS input screens within FAMIS are used to post manual entries. **[MAP SHAPE 1]**
2. Entries are routed by FAMIS to an identified approver. There is always an initiator and a secondary approver. Entries are always approved within the Department first. **[MAP SHAPE 2]**
3. If the entry is not approved at the secondary level it is returned to the initiator for revision. **[MAP SHAPE 1, 2]**
4. If the entry is approved at the secondary level within the Department it is routed to the next level for approval. These additional approvals may be from within the Department or by another Department. If a document is not approved at an approval level it is returned to the previous level for clarification. However, for an entry to be changed it must be returned to the original initiator to make the change. **[MAP SHAPE 1, 3, 4, 6, 8]**
5. Certain entries must be sent back to Finance depending on document type and dollar amount (to be delineated during validation).
6. Approved entries are posted to GL. **[MAP SHAPE 5, 7, 9]**

Triggers:

- ❑ Entry needs to be entered into FAMIS

Key Process Participants:

- ❑ Finance
- ❑ Departments
- ❑ Budget

Inputs:

Input	*Format*
RIMS	Electronic

Outputs:

Output	*Format*

IT Support:

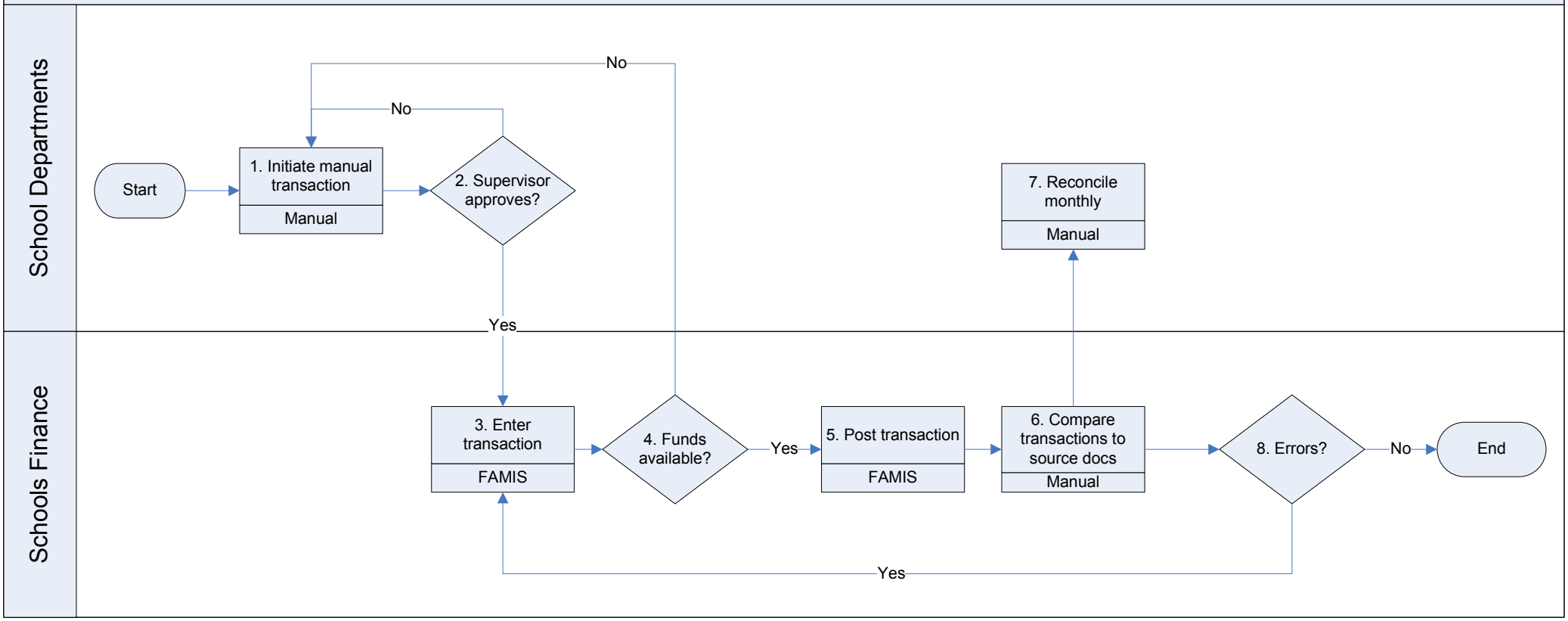
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

General Ledger [FINAL]
Sub-Process: Transaction Posting - Schools Direct Posting

Map Name: GL_TRANS_POST_SCHOOL_DIR
Map No.: 26C



Process Name: General Ledger	**Process Identifier:** GL_TRANS_POST_SCHOOL_DIR
Sub-Process Name: Transaction Posting - School Direct Posting	**Map Number:** 26C

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A School Department creates a manual entry transaction. **[MAP SHAPE 1]**
2. The manual transaction is sent to their supervisor for approval. **[MAP SHAPE 2]**
3. If the entry is not approved it is returned to the initiator for revision. If the entry is approved it is forwarded to Schools Finance for entry into FAMIS. **[MAP SHAPE 1,2,3]**
4. The entry received in Schools Finance is checked for funds availability. If there are insufficient funds available for the transaction the entry is returned to the originator for further action. If there is sufficient funding the entry is posted in FAMIS. **[MAP SHAPE 1, 4, 5]**
5. Posted transactions are compared to original documents the day following posting. If an error is found it are corrected immediately by Schools Finance. Additionally, a monthly reconciliation is done in the initiating School Department. **[MAP SHAPE 5, 6,7, 8]**

Triggers:

- School Department need manual entry in FAMIS

Key Process Participants:

- School Finance
- School Departments

Inputs:

Input	*Format*
Manual document	Paper

Outputs:

Output	*Format*
FAMIS entry	FAMIS

IT Support:

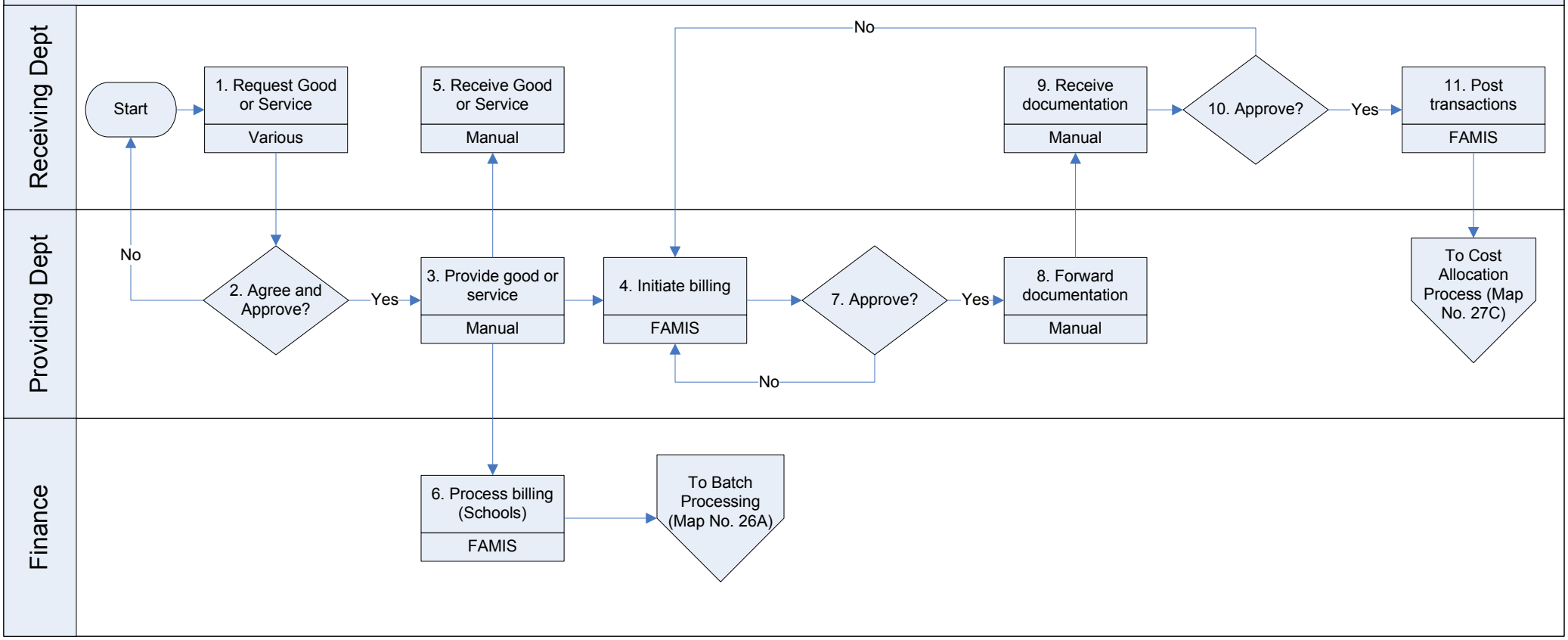
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

General Ledger [FINAL]
Sub-Process: Movement of Funds and Expenditures - Chargeback, Internal Service Charges, Interagency Billings

Map Name: GL_MOV_CHGBACK
Map No.: 27A



Process Name: General Ledger	**Process Identifier:** GL_MOV_CHGBACK
Sub-Process Name: Movement of Funds and Expenditures - Charge Back/Internal Service Charges/Interagency Billings	**Map Number: 27A**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A Receiving Department sends a request for goods or service to a Providing Department. **[MAP SHAPE 1]**
2. The Providing Department reviews the request to determine if it can/will provide the service to the requesting agency or department. If the request is denied, the Providing Department notifies the Requesting Department. **[MAP SHAPE 2]**
3. If the request is approved, the good/service is provided and the Receiving Department receives the good/service. **[MAP SHAPE 2, 3, 5]**
4. Schools Finance receives the bill from the Providing Department and enter it into FAMIS, charging the school department and crediting the Providing Department. This is done through batch processing (see batch processing map 26A). **[MAP SHAPE 6]**
5. The Providing Department must approve the provision of the service. In most situations approval for a service must be given before the service is provided. However, in some situations approval for a service may come after the service is provided. **[MAP SHAPE 2,3]**
6. The Providing Department produces a document in FAMIS to bill the Receiving Department. **[MAP SHAPE 6]**.
7. The IB document is reviewed, and if approved, sent to the Receiving Department. **[MAP SHAPE 7, 8, 9]** *Note: A second approval is required in FAMIS to insure that an appropriate level of segregation of duties is maintained.*
8. The Providing Department may send an email to the Receiving Department advising them that the good/service has been provided and that a bill will follow.
9. The IB document is received in the Receiving Department and reviewed for approval. Various levels of review and approval required in Receiving Department **[MAP SHAPE 9, 10]**
10. The Receiving Department reviews the IB. If approved, it is posted in FAMIS. If it is not approved it is returned to the Providing Department for correction. **[MAP SHAPE 4, 10, 11]**
11. The Receiving Department may further distribute the charges among other agencies/departments through the Cost Allocation process.
12. It is possible that multiple departments are billed on one IB for goods/services provided.
13. Schools use a clearing account to receive/charge the County. The Schools can see into the County FAMIS instance but cannot receive the document from it. Therefore, the Schools must create a new document in Schools FAMIS that is then processed through the school accounting system. (This is because the two instances, County, Schools, are not able to talk to one another.) See Sweeps Map 27D

Triggers:

- ❑ Good/service requested
- ❑ Good/service provided
- ❑ Good/service billed
- ❑ Billing document received

Key Process Participants:

- ❑ Finance
- ❑ Providing Department
- ❑ Receiving Department

Inputs:

Input	*Format*
Request for a good/service	Various
Good/service billed	Electronic

Outputs:

Output	*Format*

IT Support:

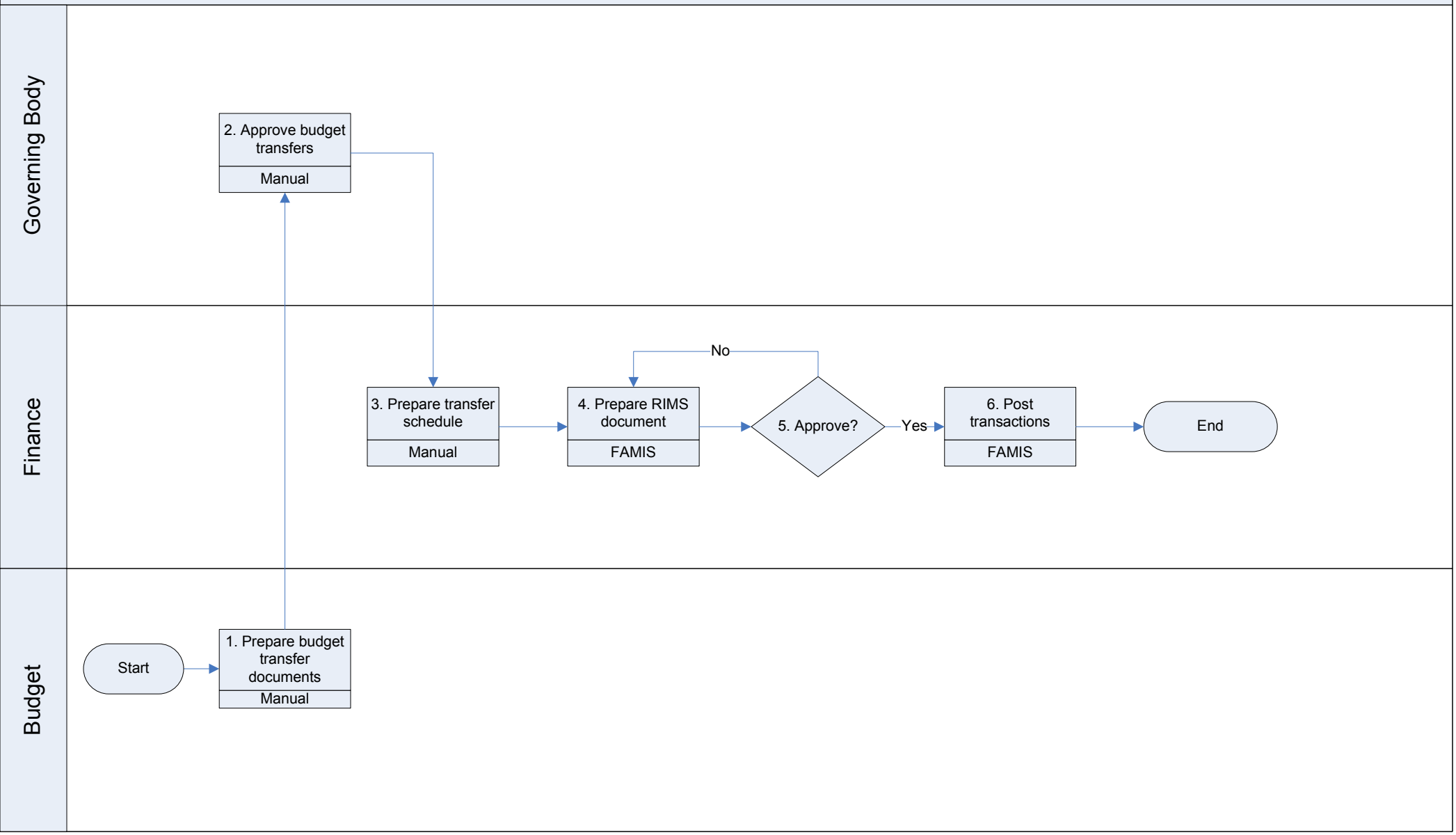
Application/System Name	*Technology Description*
County FAMIS	Financial system
Schools FAMIS	Financial system

Regulations:

o

General Ledger [FINAL]
Sub-Process: Movement of Funds and Expenditures - Budget Transfers

Map Name: GL_MOV_BUDGET_TRANS
Map No.: 27B



Process Name: General Ledger	**Process Identifier:** GL_MOV_ BUDGET_TRANS
Sub-Process Name: Movement of Funds and Expenditures - Budget Transfers	**Map Number: 27B**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. DMB creates a document, a Budget Transfer Request, which is sent to the Governing Body. Schools send their Budget Transfer Request to the County which includes the request to the Governing Body with the County documents. **[MAP SHAPE 1, 2]**
2. The Governing Body reviews and approves the budget transfers. The document is sealed by the Clerk to the Governing Body and sent to Finance to prepare the transfer schedule. **[MAP SHAPE 2, 3]**
3. A RIMS document is prepared for entry into FAMIS. **[MAP SHAPE 4]**
4. The document is reviewed for approval. If it is not approved, the document is returned to the originator for correction. **[MAP SHAPE 4, 5]**
5. Approved documents are posted in FAMIS. **[MAP SHAPE 5, 6]**

Triggers:

- ❑ Budget Transfer Request

Key Process Participants:

- ❑ Finance
- ❑ Budget
- ❑ Governing Body

Inputs:

Input	*Format*
Budget Transfer Request	Paper

Outputs:

Output	*Format*
RIMS Document	FAMIS

IT Support:

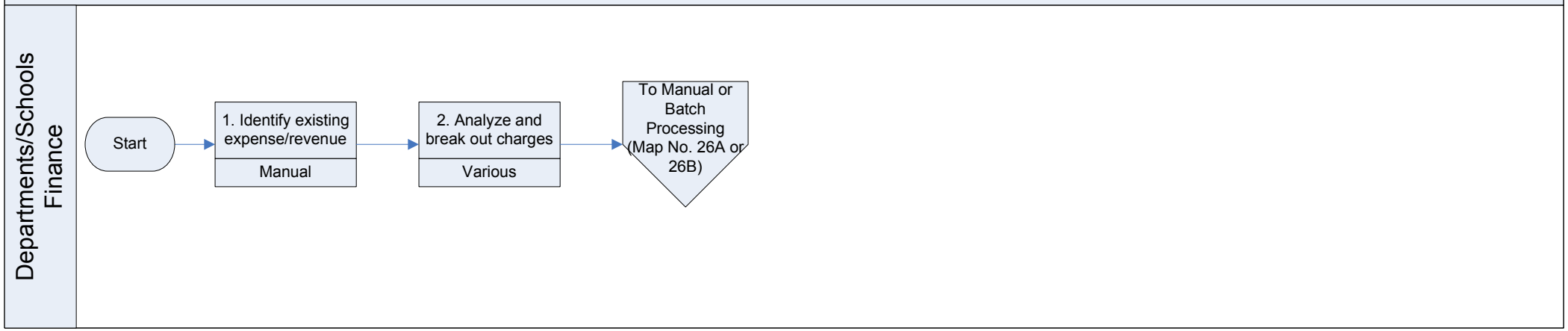
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

General Ledger [FINAL]
Sub-Process: Movement of Funds and Expenditures - Allocation/Cost Distributions

Map Name: GL_MOV_ALLOC
Map No.: 27C



Process Name: General Ledger	**Process Identifier:** GL_MOV_ ALLOC
Sub-Process Name: Movement of Funds and Expenditures - Allocations/Cost Distributions	**Map Number: 27C**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A department identifies an existing revenue or expense needs to be allocated amongst multiple accounts and/or agencies. **[MAP SHAPE 1]**
2. The department reviews the charges and determines the amounts to be allocated to the various accounts. Schools Finance processes cost allocations centrally. **[MAP SHAPE 2]**

(See Batch/Manual entry process maps 26A and 26B)

Triggers:

- Expenses/revenues that needs to be allocated.

Key Process Participants:

- Departments
- School Finance

Inputs:

Input	*Format*
Document	Electronic

Outputs:

Output	*Format*
Excel Document	Paper

IT Support:

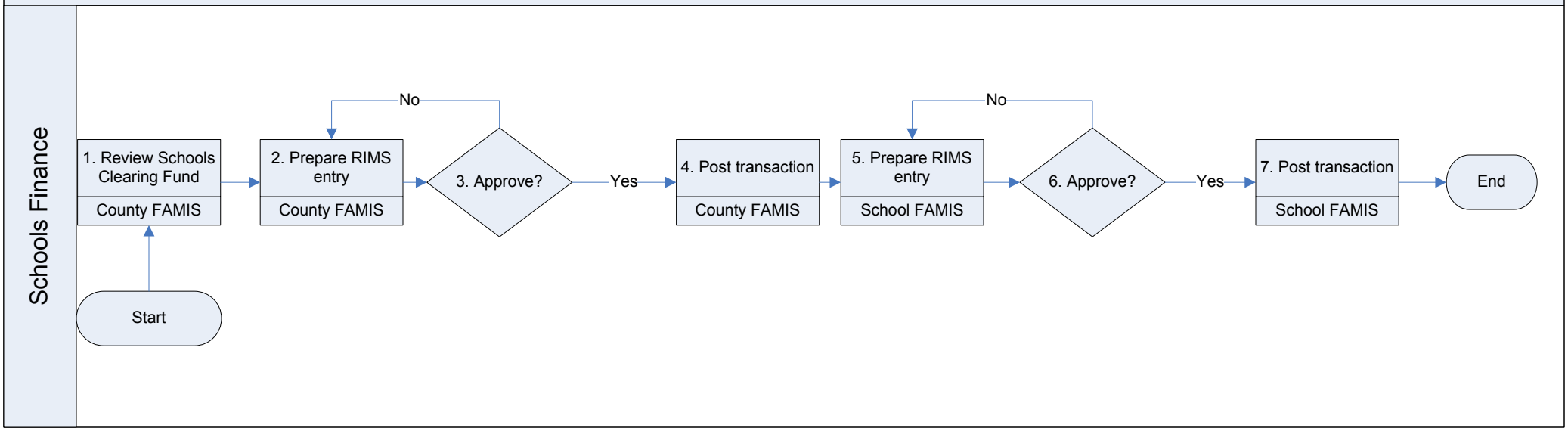
Application/System Name	*Technology Description*
FAMIS	Financial System
Excel	Spreadsheet

Regulations:

o

General Ledger [FINAL]
Sub-Process: Movement of Funds and Expenditures - Schools Clearing Fund/Sweeps (Schools)

Map Name: GL_MOV_SCH_CLR
Map No.: 27D



Process Name: General Ledger	**Process Identifier:** GL_MOV_SCH_CLR
Sub-Process Name: Movement of Funds and Expenditures - School Clearing Fund/Sweeps (Schools)	**Map Number: 27D**

Sub-Process Purpose and Objectives:

Sub-Process Description:

NOTE: Any transfer between the County and the Schools is referred to as sweeps. A sweep can be initiated by either Schools or the County. Since the County FAMIS system and the Schools FAMIS system cannot exchange data, it is necessary for Schools to "sweep" the County FAMIS system's Schools Clearing Account.

1. The Schools reviews the School's Clearing Fund in the County FAMIS system. **[MAP SHAPE 1]**
2. A RIMS entry is prepared to move the entry from the Schools Clearing Fund to the Clearing Account (199998) in County FAMIS and forwarded to Schools Finance staff for review. **[MAP SHAPE 2]**
3. The RIMS entry is reviewed by Schools Finance. If the entry is not approved it is returned to the originator for correction. If the entry is approved it is posted in the County FAMIS. **[MAP SHAPE 2, 3, 4]**
4. A RIMS entry is prepared in Schools FAMIS to record the entry in the Clearing Account (199998) and distribute it to the appropriate School/Department and forwarded to Schools Finance staff for review. **[MAP SHAPE 5]**
5. The RIMS entry is reviewed by Schools Finance. If the entry is not approved it is returned to the originator for corrections. If the entry is approved it is posted into Schools FAMIS. **[MAP SHAPE 5, 6, 7]**

NOTE: The ICM entry goes directly to the Clearing Account in County FAMIS.

Triggers:
- ❑ Review Schools Clearing account in County FAMIS

Key Process Participants:
- ❑ Schools Finance

Inputs:

Input	*Format*
RIMS entry, County FAMIS	Electronic
RIMS entry, Schools FAMIS	Electronic

Outputs:

Output	*Format*

IT Support:

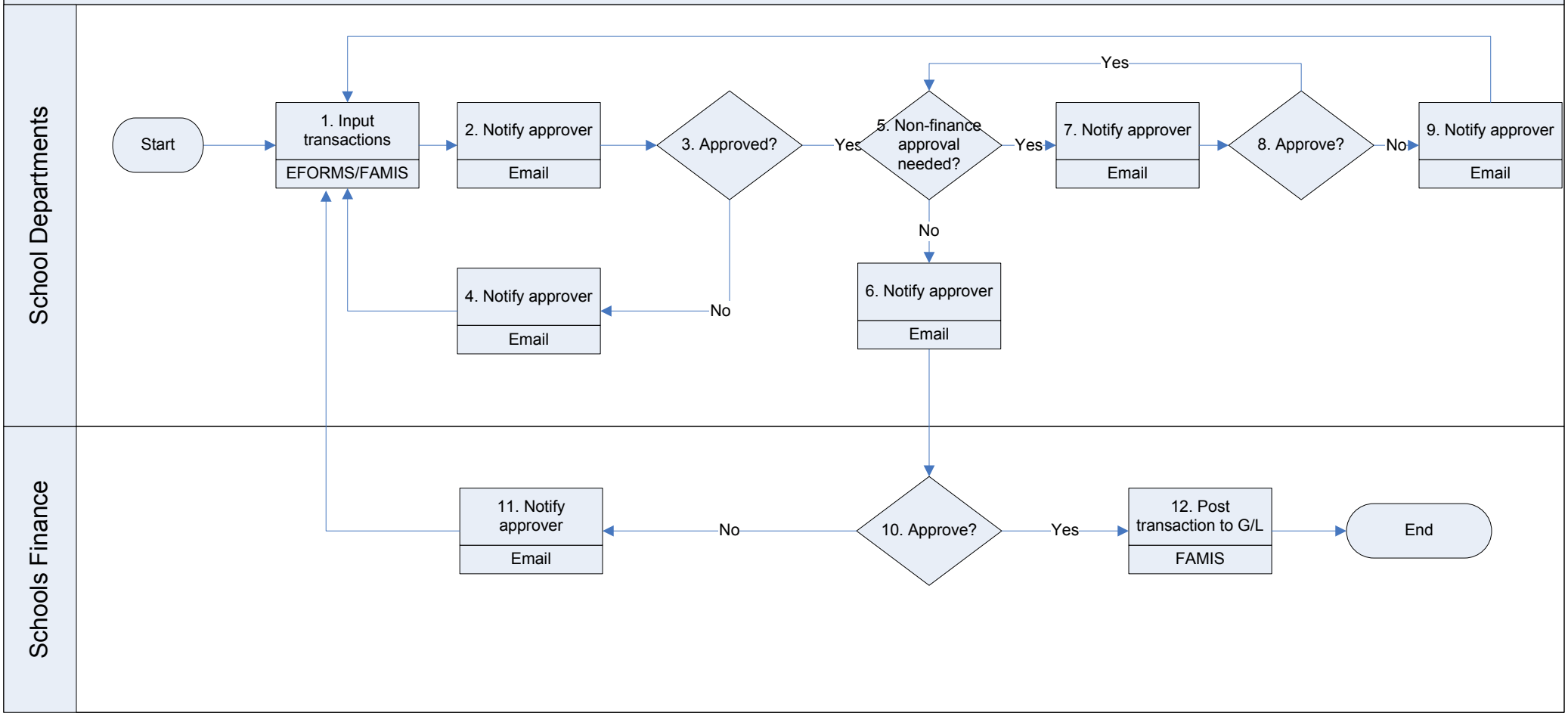
Application/System Name	*Technology Description*
County FAMIS	Financial system
School FAMIS	Financial system

Regulations:

o

Process: General Ledger [FINAL]
Sub-Process: Movement of Funds and Expenditures - EFORMS (Schools)

Map Name: GL_MOV_EFORMS
Map No.: 27E



Process Name: General Ledger	**Process Identifier:** GL_MOV_EFORMS
Sub-Process Name: Movement of Funds and Expenditures – EFORMS (Schools)	**Map Number: 27E**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. EFORMS is a Web (GUI) front end to the FAMIS system used in the Schools. EFORMS follows the same approval path and approval hierarchy as the underlying FAMIS process which is essentially the same process as the manual entry process. (See TRANS_POST_MANUAL, Map 26B). The primary notification process for EFORM is through email.
2. An EFORMS document is created and inputted in the initiating department. The first approver is notified by email that there is a document awaiting action (at each of these steps an email is sent to the appropriate recipient notifying them that there is a document waiting for action). **[MAP SHAPE 1, 2]**
3. The approver reviews the document and approves or rejects it. If the document is approved it moves to the next approver. If it is rejected it is returned to the originator. **[MAP SHAPE 1, 3, 5]**
4. If a non-finance approval is required, then the approver is notified via e-mail. **[MAP SHAPE 7]**
5. If the non-finance reviewer approves the document it is forwarded to Finance for posting. If the document is rejected it is returned to the initiator for action. **[MAP SHAPE 1, 6, 7, 8, 9]**
6. If non-finance approval is not required, the Finance approver is notified via e-mail and the document is sent to Finance for approval. **[MAP SHAPE 5, 6, 10]**
7. Finance reviews, and either approves or rejects, the document. If the document is rejected, it is returned to the originator. If the document is approved it is posted to the G/L in FAMIS. **[MAP SHAPE 10, 11, 12]**

Triggers:

- EFORMs document is initiated.

Key Process Participants:

- School Department
- School Finance

Inputs:

Input	*Format*
EFORMS	Web based

Outputs:

Output	*Format*

IT Support:

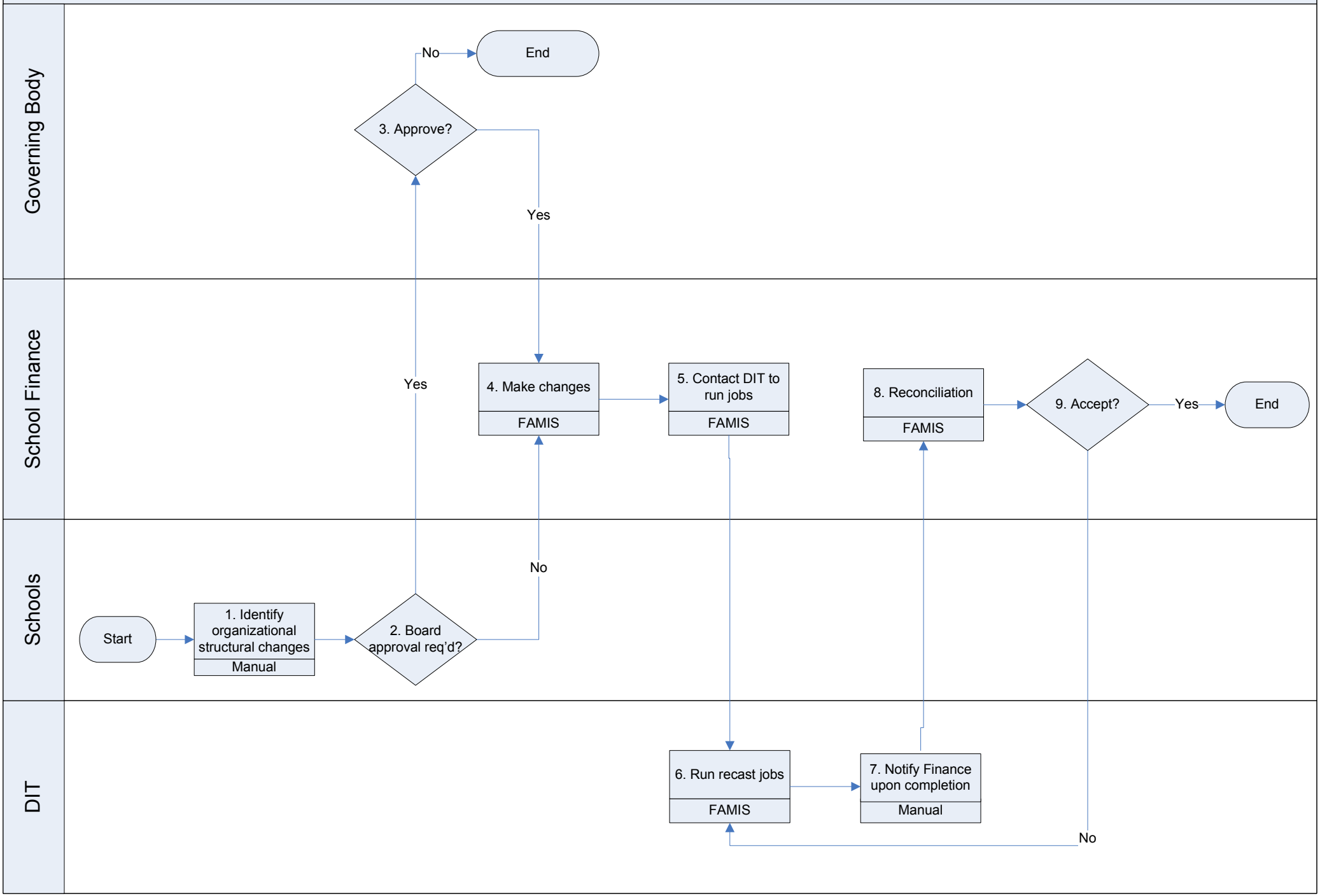
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

General Ledger [FINAL]
Sub-Process: Movement of Funds and Expenditures - Recast (Schools)

Map Name: GL_MOV_RECAST
Map No.: 27F



Process Name: General Ledger	**Process Identifier:** GL_ MOV_RECAST
Sub-Process Name: Movement of Funds and Expenditures - Recast (Schools)	**Map Number: 27F**

Sub-Process Purpose and Objectives:

Sub-Process Description:

NOTE: RECAST is often initiated as the result of the Governing Body requiring a change in the way the school system is organized. If the RECAST is the result of school organizational change it can be initiated by a department or division. A RECAST can be done in either BPREP or FAMIS. RECAST is a process that takes all the changes that need to be made in a FAMIS or BPREP table and moves and reorganizes them to a new the FAMIS or BPREP tables. There are different RECAST programs to affect changes in FAMIS and BPREP. This is accomplished by making changes to the index codes and other transactional codes. The RECAST process moves transactions from one organization and account to another organization and account.

The RECAST process involves the running of a series of jobs to affect the organization and financial changes desired. DIT shuts down and backs up the system in preparation for the RECAST process to be run. Finance reviews and reconciles the data between each step in the RECAST process. If the data is okay, Finance notifies DIT to run the next job in the process. If at any point the data are not correct or if a job fails to run, the system must be restored and the process started again.

1. The need for an organizational change in the schools is identified. If the nature of the organizational change requires Governing Body approval a request is sent to them for review and approval or rejection. **[MAP SHAPE 1, 2, 3]**
2. If the Governing Body rejects the requested organizational change the process ends. If the change is approved or if no Governing Body approval is required the request to make the organizational change is forwarded to Finance with appropriate instructions for moving cost centers and accounts. **[MAP SHAPE 2, 3, 4]**
3. Finance notifies DIT that the RECAST process needs to be run. DIT shuts down and backs up the system and runs the RECAST jobs. **[MAP SHAPE 5, 6]**
4. Upon completion of the job, DIT notifies Finance that the job is completed and that the data needs to be reviewed. Finance reviews and reconciles the RECAST data. **[MAP SHAPE 7, 8]**
5. Finance reviews the data. If there are errors and the data is not acceptable Finance notifies DIT who restores the system and the job is run again. If the RECAST data is acceptable the process ends. **[MAP SHAPE 6, 9]**

Triggers:

- ❑ Organizational changes

Key Process Participants:

- ❑ Governing Body
- ❑ School Finance
- ❑ Schools
- ❑ County DIT

Inputs:

Input	*Format*
Organizational changes	Manual

Outputs:

Output	*Format*
Revised organization structure and data	FAMIS/BPREP

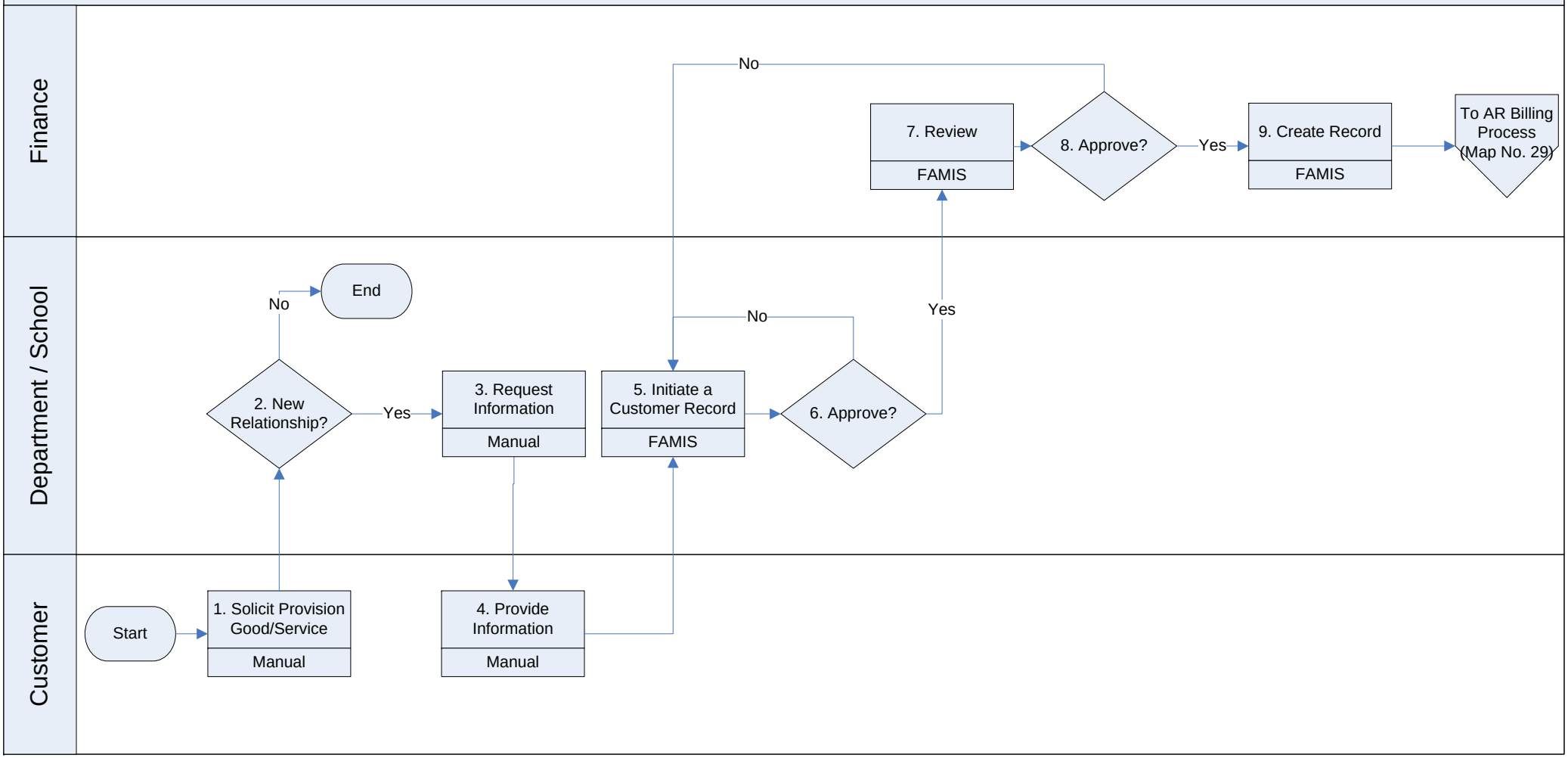
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

Accounts Receivable/Revenues [FINAL] Map Name: AR_CUST_CREATE
Sub-Process: Customer File – Create Map No.: 28A



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_CUST_CREATE
Sub-Process Name: Create Customer File – Create	**Map Number: 28A**

Sub-Process Purpose and Objectives: Create a new customer record

Sub-Process Description:
NOTE: Most customer records, but not all, are kept in the vendor file in FAMIS.
NOTE: Schools does not use the AR module in FAMIS.

1. Two possible event triggers – either the Department/School provides a good or service according to a contract, or a request to create a customer record is initiated prior to the anticipated delivery of a good or service. For the map, we are using the customer trigger. **[MAP SHAPE 1]**
2. If the customer is new, the Department/School obtains the required information from the customer and initiates a new record in FAMIS. **[MAP SHAPE 2,3,4,5]**
3. There is generally (but not always) an internal approval required. **[MAP SHAPE 6]**
4. NOTE: At the Schools, the customer record is generally created after the good or service is provided, but at the County, they sometimes create the customer record prior to receiving the good or service.
5. Finance then reviews for completeness and approves the customer record. If the record is not complete, the Department/School is notified to provide the remaining information. **[MAP SHAPE 7,8]**
6. Finance posts the record in FAMIS. **[MAP SHAPE 9]**

NOTE: There are some exceptions. Housing (FCHRA) has its own routing/approval process. Other Departments using systems outside of FAMIS include the Library, FIDO (inspections), the Health Department, ParkNet, CSB (medical billing), Office for Children and potentially many others. These will be captured in requirements.

Triggers:
- ❑ Provision of good or service
- ❑ Request from customer

Key Process Participants:
- ❑ Department/School
- ❑ Customer
- ❑ Finance

Inputs:

Input	*Format*
Request for new record	Manual

Outputs:

Output	*Format*
New customer record	FAMIS

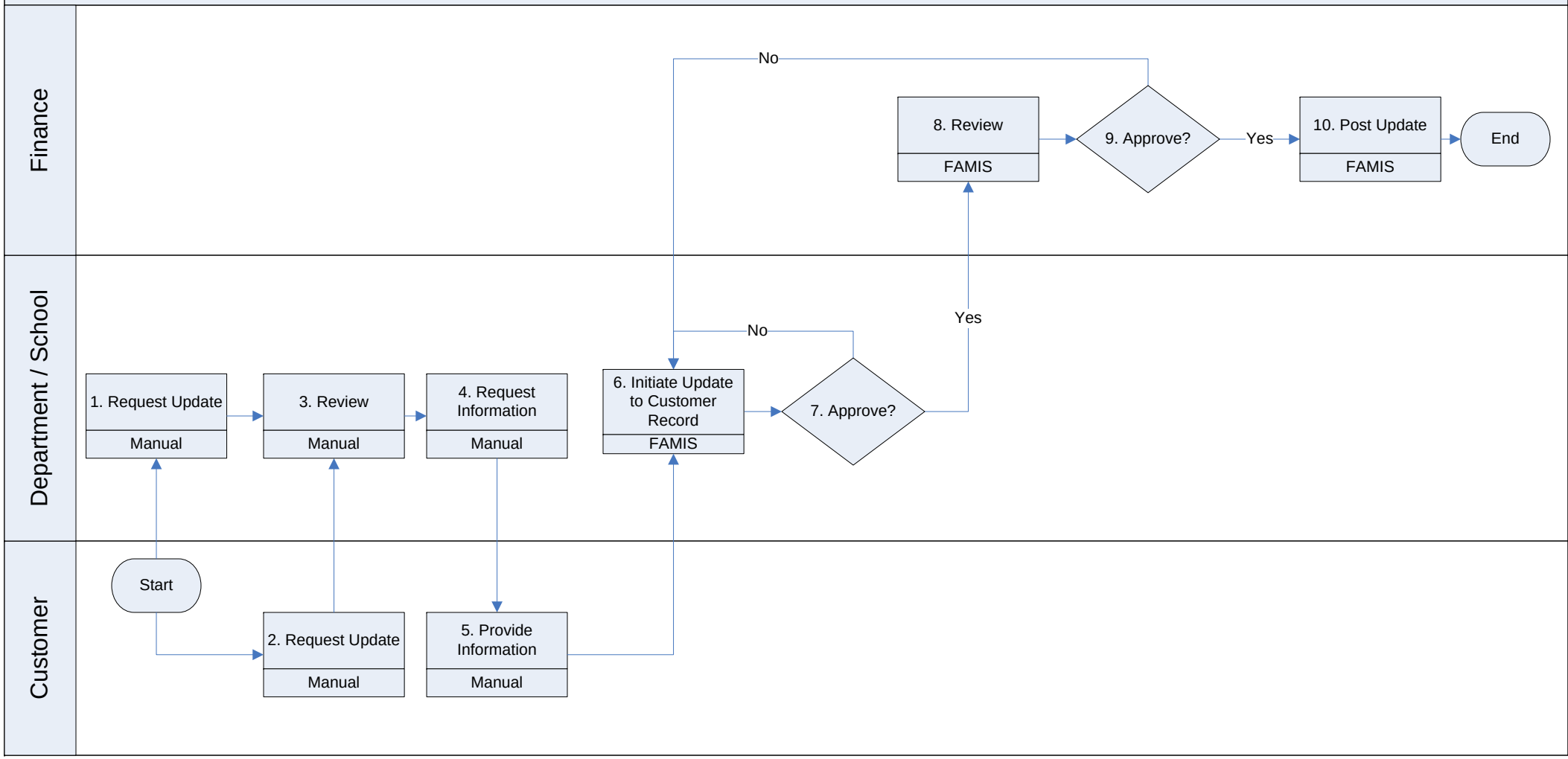
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:
- o ATB (Accounting Technical Bulletin)

Accounts Receivable/Revenues [FINAL]
Sub-Process: Customer File – Maintain

Map Name: AR_CUST_MAINT
Map No.: 28B



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_CUST_MAINT
Sub-Process Name: Maintain Customer File	**Map Number: 28B**

Sub-Process Purpose and Objectives: Update customer records

Sub-Process Description:

1. Either the Department/School or the customer can request an update to the customer record (e.g. address change) **[MAP SHAPE 1, 2]**
2. Department/School reviews the request, obtains further information, and initiates the update in FAMIS. **[MAP SHAPE 3, 4, 5, 6]**
3. Department/School then approves the update. **[MAP SHAPE 7]**
4. Finance reviews and approves the change. **[MAP SHAPE 8, 9]**
5. Finance updates the record in FAMIS. **[MAP SHAPE 10]**

NOTE: Maintenance includes inactivation of a customer record, which is requested by an Department/School to Finance via email and then follows the same steps as any other maintenance activity.

Triggers:

- ❑ Request from Department/School
- ❑ Request from customer

Key Process Participants:

- ❑ Department/School
- ❑ Customer
- ❑ Finance

Inputs:

Input	*Format*
Customer request	Manual
Department/School initiated	Manual

Outputs:

Output	*Format*
Updated customer record	FAMIS

IT Support:

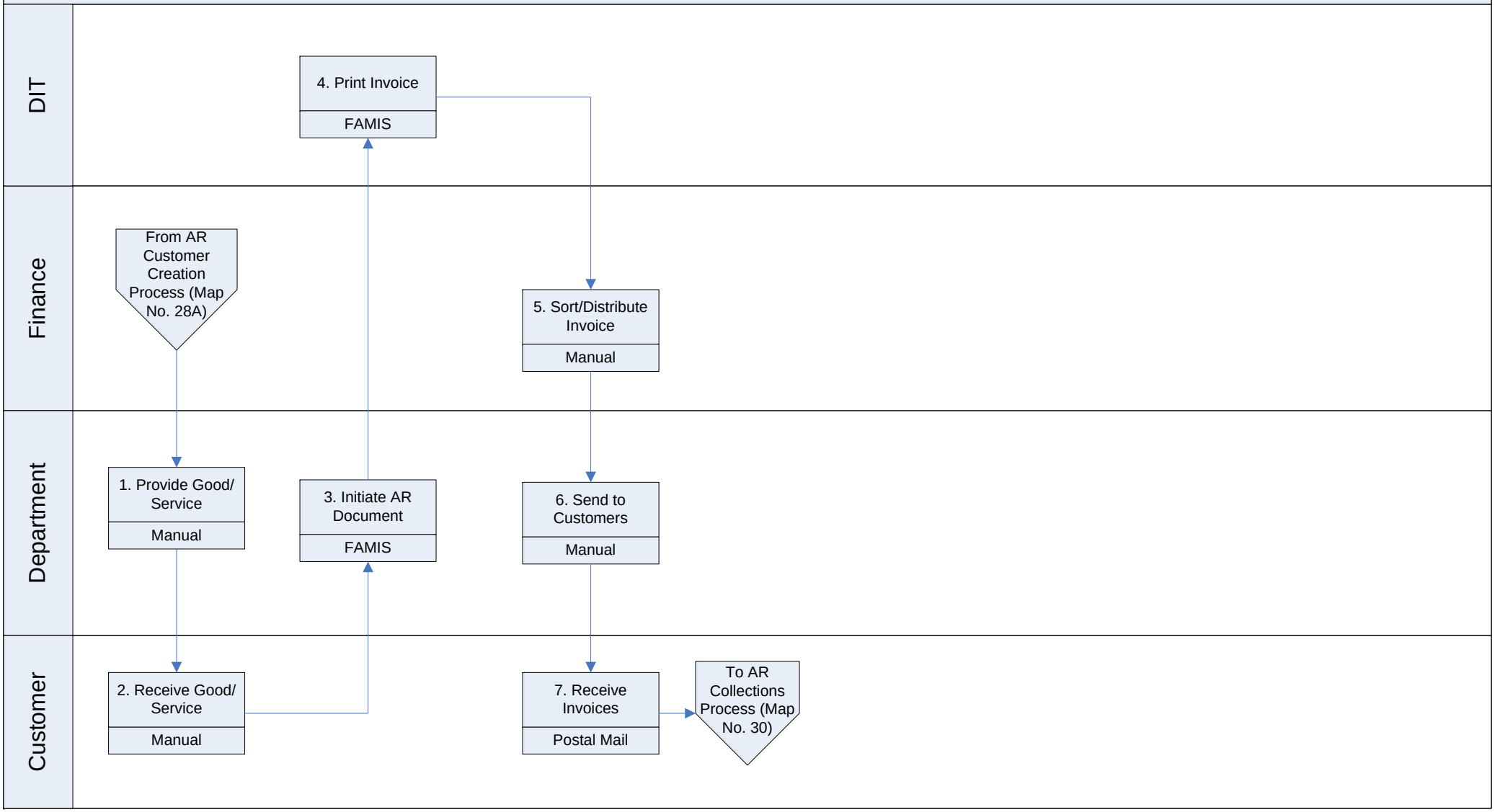
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

- ATB (Accounting Technical Bulletin)

Accounts Receivable/Revenues [FINAL]
Sub-Process: Billing – FAMIS (County)

Map Name: AR_BILL_FMS
Map No.: 29A



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_BILL_FMS
Sub-Process Name: Billing – FAMIS (County)	**Map Number: 29A**

Sub-Process Purpose and Objectives: Centralized creation of invoices for customer payment (County)

Sub-Process Description:

1. Department provides good or service. **[MAP SHAPE 1, 2]**
2. NOTE: Billing can occur at any time (daily, weekly, monthly, quarterly, etc.).
3. Department(s) initiates AR document in FAMIS (Note: There is an approval process in FAMIS when an AR document is initiated). **[MAP SHAPE 3]**
4. DIT prints the invoices centrally, and Finance collects those and distributes them to the Department. **[MAP SHAPE 4, 5]**
5. Department sends invoice and supporting documentation to the customer. **[MAP SHAPE 6, 7]**
6. Process goes to collections. (Map No. 30)

Triggers:

- ❑ Good or service provided

Key Process Participants:

- ❑ Department
- ❑ DIT
- ❑ Finance
- ❑ Customer

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
Invoice	Manual (paper)

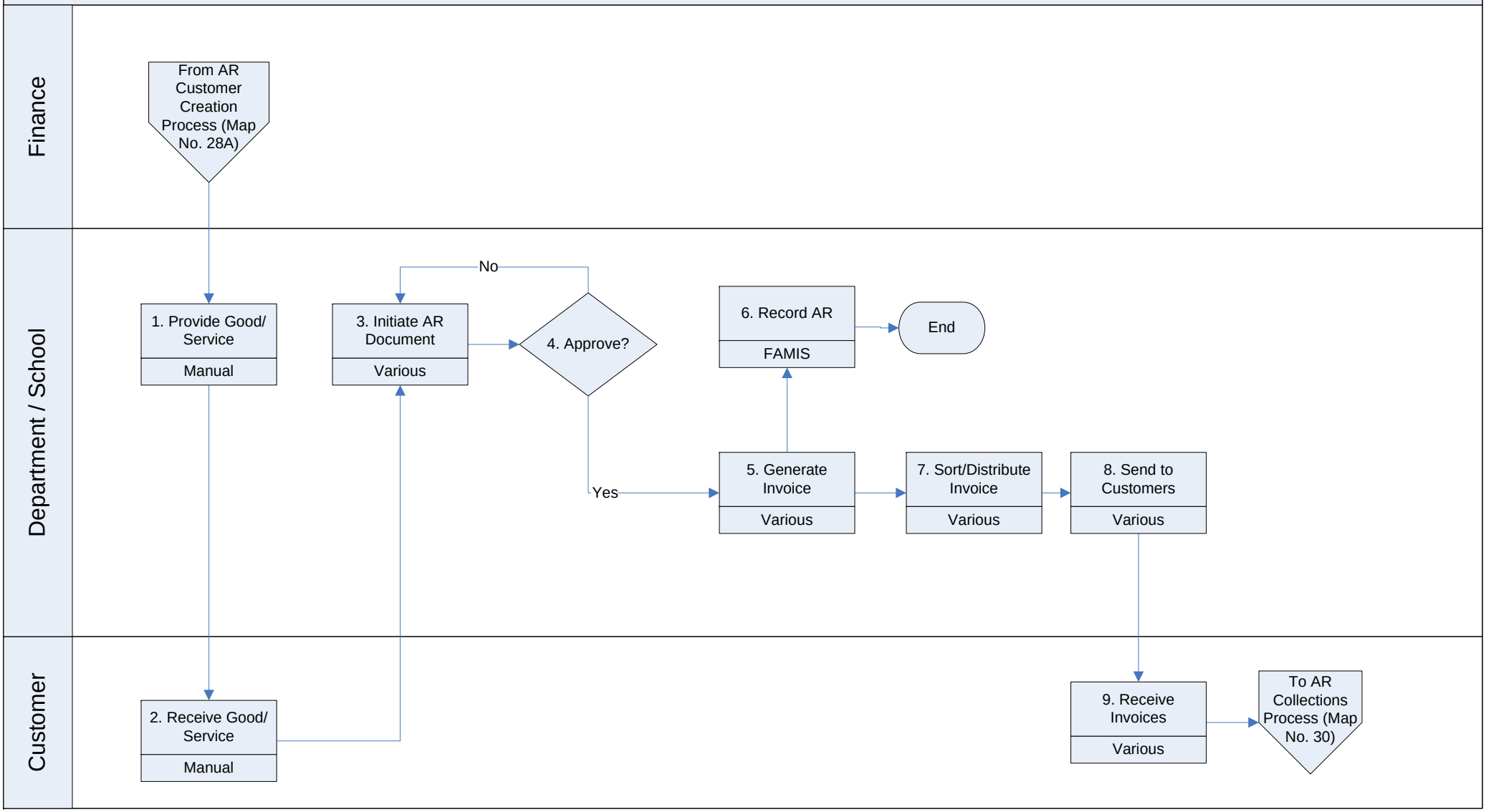
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

Accounts Receivable/Revenues [FINAL] Map Name: AR_BILL_DEPT
Sub-Process: Billing – Departmental Map No.: 29B



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_BILL_DEPT
Sub-Process Name: Billing - Departmental	**Map Number: 29B**

Sub-Process Purpose and Objectives: Create invoices for customer payment

Sub-Process Description:
NOTE: Various departments (Parks, Public Works, Schools, Housing, Adult Continuing Education) have their own billing software and do not use the centralized FAMIS process mapped (Map No. 29A).

1. Department provides good or service to customer. **[MAP SHAPE 1, 2]**
2. NOTE: Billing can occur at any time (daily, weekly, monthly, quarterly, etc.)
3. Department initiates AR document in their system; invoices could be paper or electronic. **[MAP SHAPE 3]**
4. Department approves and generates the invoice. **[MAP SHAPE 4, 5]**
5. For some departments, an AR document is recorded in FAMIS at the same time the invoice is generated. Other Departments interface to FAMIS after the cash is collected. **[MAP SHAPE 6]**
6. NOTE: Family Services uses an outside vendor for billing.
7. Department sorts and distributes invoices to customers. **[MAP SHAPE 7, 8, 9]**
8. Process goes to collections (Map No. 30).

Triggers:
- ❑ Good or service provided

Key Process Participants:
- ❑ Department
- ❑ Customer
- ❑ Finance

Inputs:

Input	*Format*
N/A	

Outputs:

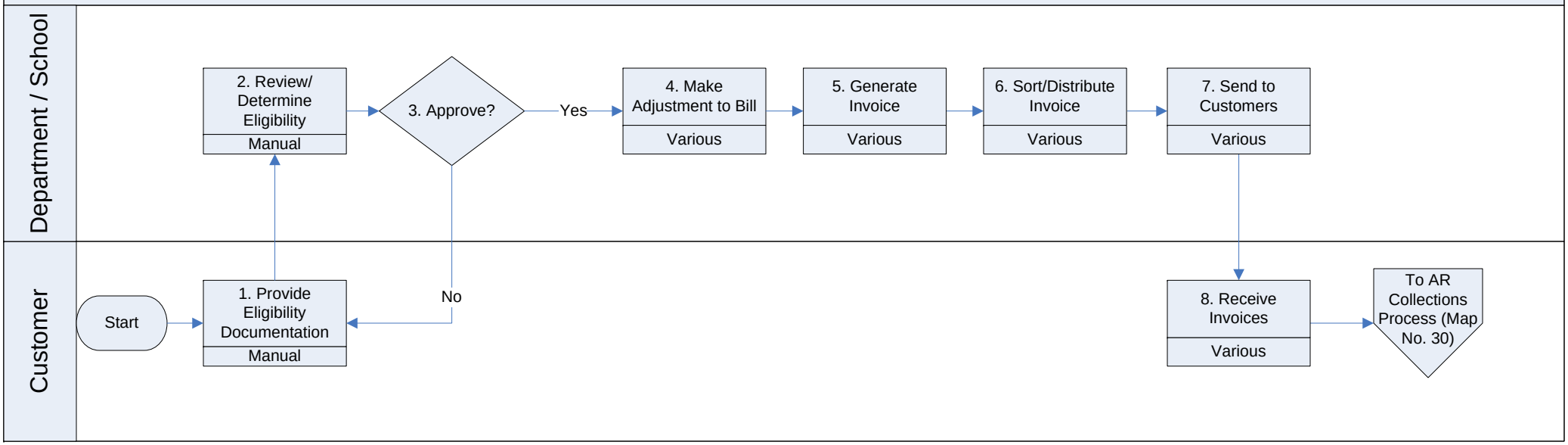
Output	*Format*
Invoice	Paper or electronic

IT Support:

Application/System Name	*Technology Description*
COBRA EAS	Health/Medical billing application
YARDI	Billing application

Regulations:
- o

Accounts Receivable/Revenues [FINAL] Map Name: AR_BILL_ADJ
Sub-Process: Billing – Adjustments Map No.: 29C



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_BILL_ADJ
Sub-Process Name: Billing – Adjustments	**Map Number: 29C**

Sub-Process Purpose and Objectives: Make adjustments to periodic or advance bills

Sub-Process Description:
NOTE: This process applies to adjustments made to invoices that are billed in advance of services being provided.

1. Customer provides eligibility, income or other documentation. **[MAP SHAPE 1]**
2. Department reviews the document and determines eligibility. **[MAP SHAPE 2]**
3. Department approves the billing adjustments. **[MAP SHAPE 3]**
4. NOTE: Adjustments can happen at any point in the process. If the adjustment is within the current billing cycle, it is reflected on the current period bill. If current period invoices have been prepared, then the adjustment is reflected on the invoice for the next billing period.
5. Department makes adjustments to the invoice. **[MAP SHAPE 4]**
6. Invoice is generated and for some departments (Parks, Fire and Rescue) the AR is recognized in FAMIS. **[MAP SHAPE 5]**
7. NOTE: Ambulance billing is handled by a third party for Fire and Rescue.
8. Department sorts and distributes invoices to customers (electronically or manually). **[MAP SHAPE 6, 7, 8]**
9. Process goes to collections (Map No. 30).

Triggers:
- ❑ Good or service provided

Key Process Participants:
- ❑ Department / School
- ❑ Customer

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
Invoice	Electronic or manual

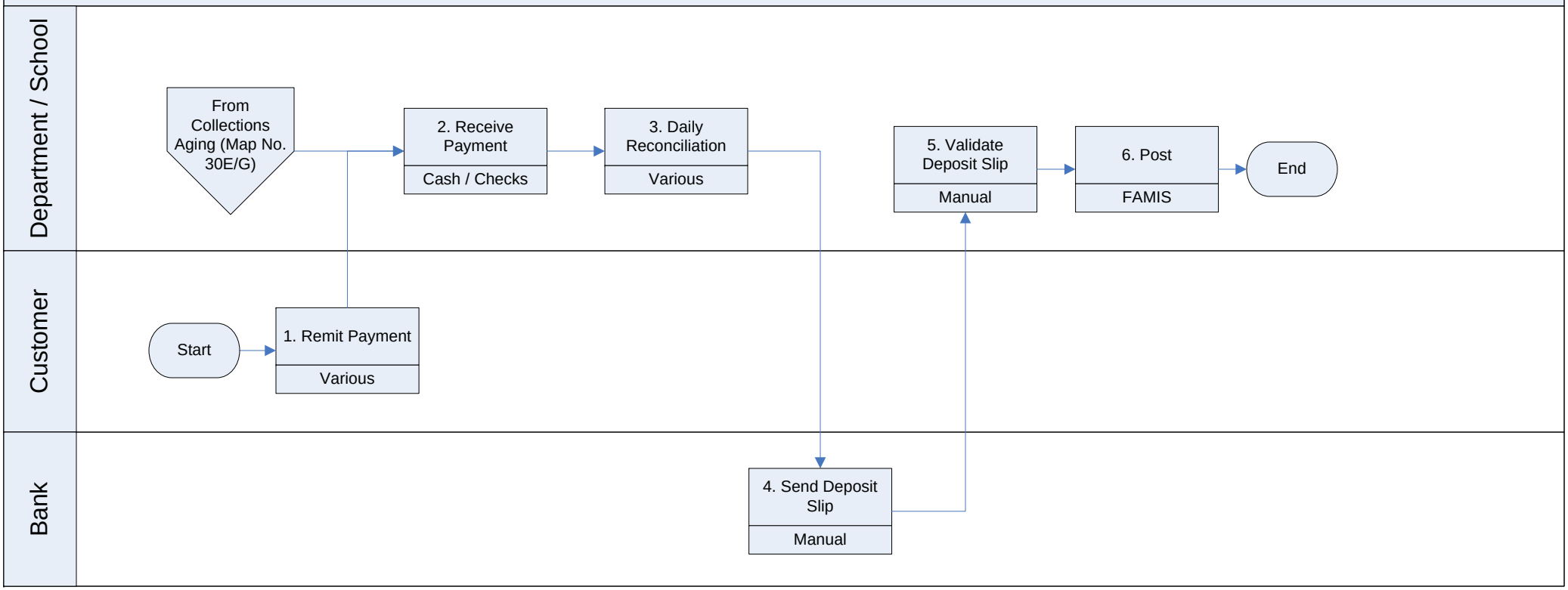
IT Support:

Application/System Name	*Technology Description*
COBRA EAS	Health/Medical billing application
FAMIS	Financial system

Regulations:
o

Accounts Receivable/Revenues [FINAL]
Sub-Process: Collections – Cash/Check

Map Name: AR_COLL_CASH
Map No.: 30A



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_COLL_CASH
Sub-Process Name: Collections – Cash/Check	**Map Number:** 30A

Sub-Process Purpose and Objectives:

Sub-Process Description:

NOTE: Customers can pay cash, check, credit card, electronically, walk-up, lockbox, mail, or wire transfer. Banks can receive payments via lockbox, credit cards, wire transfer, ACH, or electronic check. Finance can receive cash, wire transfers or checks. Departments receive payments via cash, checks or credit cards.

1. Customer remits payments to department or school. **[MAP SHAPE 1,2]**
2. Daily reconciliation – reports are generated that match customer, invoice and payment to reconcile cash received on a daily basis. Schools finance keeps a log of payments (Excel spreadsheet) and does the daily reconciliation for schools. **[MAP SHAPE 3]**
3. Funds are deposited to the bank by Finance (Schools/Food Service) or Department (County). **[MAP SHAPE 4]**
4. Bank provides a report of deposits (deposit slips) to Finance (Schools) or the Department (County). **[MAP SHAPE 5]**
5. Transactions are posted to FAMIS and the receivable is liquidated. **[MAP SHAPE 6]**

NOTE: Food Service and Adult Education and other types of point of sale transactions have multiple reconciliation steps (collection site and centrally).
NOTE: DTA and Food Service do not receive or validate deposit slips – they receive credit/debit notices for any discrepancies.
NOTE: Some employee payments are made via payroll deduction.

Triggers:
- ❑ Customer payment

Key Process Participants:
- ❑ Department/School
- ❑ Customer
- ❑ Bank

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
N/A	

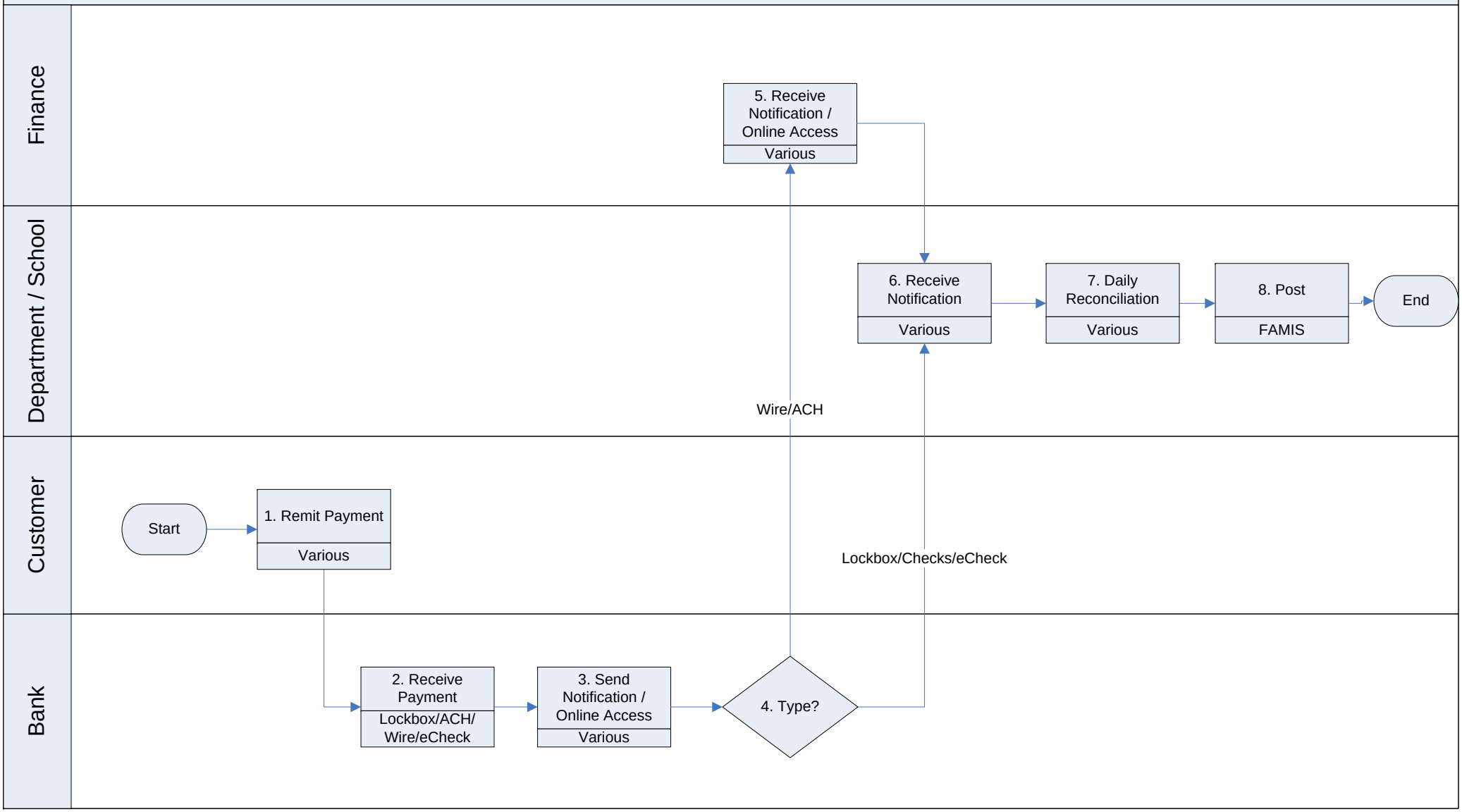
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:
- o

Accounts Receivable/Revenues [FINAL]
Sub-Process: Collections – Lockbox/ACH/Wire/eCheck

Map Name: AR_COLL_LOCKBOX
Map No.: 30B



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_COLL_LOCKBOX
Sub-Process Name: Collections – Lockbox/ACH/Wire/eCheck	**Map Number:** 30B

Sub-Process Purpose and Objectives:

1. Customer remits payment to bank (lockbox, wire, checks, eChecks). **[MAP SHAPE 1, 2]**
2. Bank sends notification of lockbox, check, and eCheck deposits to Department/School, or the Department/Schools have online access to check deposits themselves. Finance receives notification of wire and ACH payments and then notifies the Department. **[MAP SHAPE 3, 4, 5, 6]**
3. The Department/School performs daily reconciliation and posts to FAMIS. **[MAP SHAPE 7, 8]**

NOTE: Family Services receives an electronic file from the bank which is posted directly to their customer file (third party processing).
NOTE: School payroll uses COBRA EAS and posts transactions separately to each individual customer account manually.
NOTE: Notification of EDI wires comes from the State rather than the bank.
NOTE: On the County side, eChecks are typically processed at County websites by our customers. This is done through front end Govolution software. Govolution then batches the eChecks and forwards to Bank of America for processing. Thus, County customers do not remit payments directly to Bank of America by eCheck at a bank branch or at the Bank's website

Triggers:
- ❑ Customer payment

Key Process Participants:
- ❑ Customer
- ❑ Bank
- ❑ Department
- ❑ Finance

Inputs:

Input	***Format***
Customer payment to the bank	Lockbox, wire, ACH, eChecks

Outputs:

Output	***Format***
N/A	

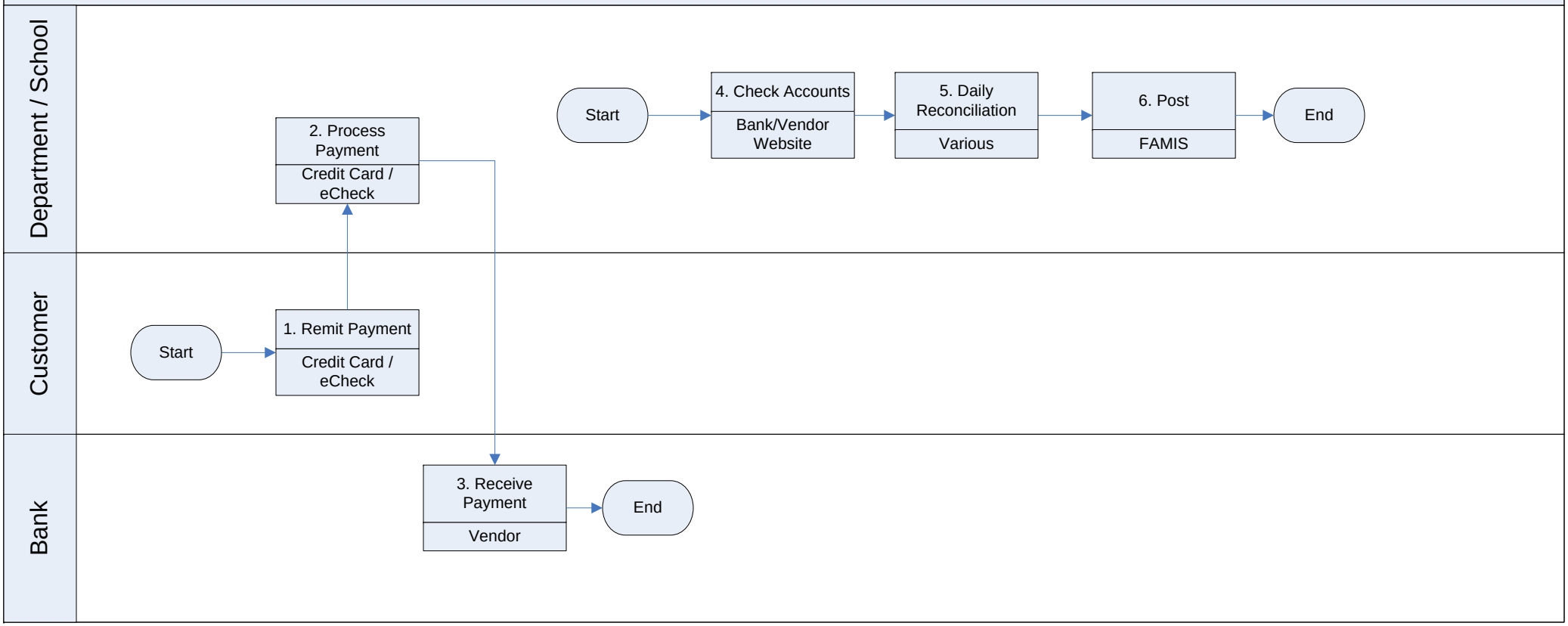
IT Support:

Application/System Name	***Technology Description***
COBRA EAS	Schools AR
FAMIS	Financial system

Regulations:
- o

Accounts Receivable/Revenues [FINAL]
Sub-Process: Collections – Credit Card/eCheck

Map Name: AR_COLL_CCARD
Map No.: 30C



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_COLL_CCARD
Sub-Process Name: Collections – Credit Card/eCheck	**Map Number:** 30C

Sub-Process Purpose and Objectives:

1. Customer remits payment via credit card and the Department processes it. **[MAP SHAPE 1, 2]**
2. Bank receives payment from credit card network. **[MAP SHAPE 3]**
3. Department checks bank account or Govolution (County) via Website (daily). **[MAP SHAPE 4]**
4. Department/School reconciles deposits. **[MAP SHAPE 5]**
5. Department/School posts to FAMIS. **[MAP SHAPE 6]**

NOTE: Family Services uses Govolution as the front end for eCheck processing.
NOTE: DTA processes Discover card payments in a very similar fashion to a debit card.

Triggers:
- ❑ Customer payment

Key Process Participants:
- ❑ Customer
- ❑ Bank
- ❑ Department/School

Inputs:

Input	***Format***
Customer payment to the bank	Credit Card

Outputs:

Output	***Format***
N/A	

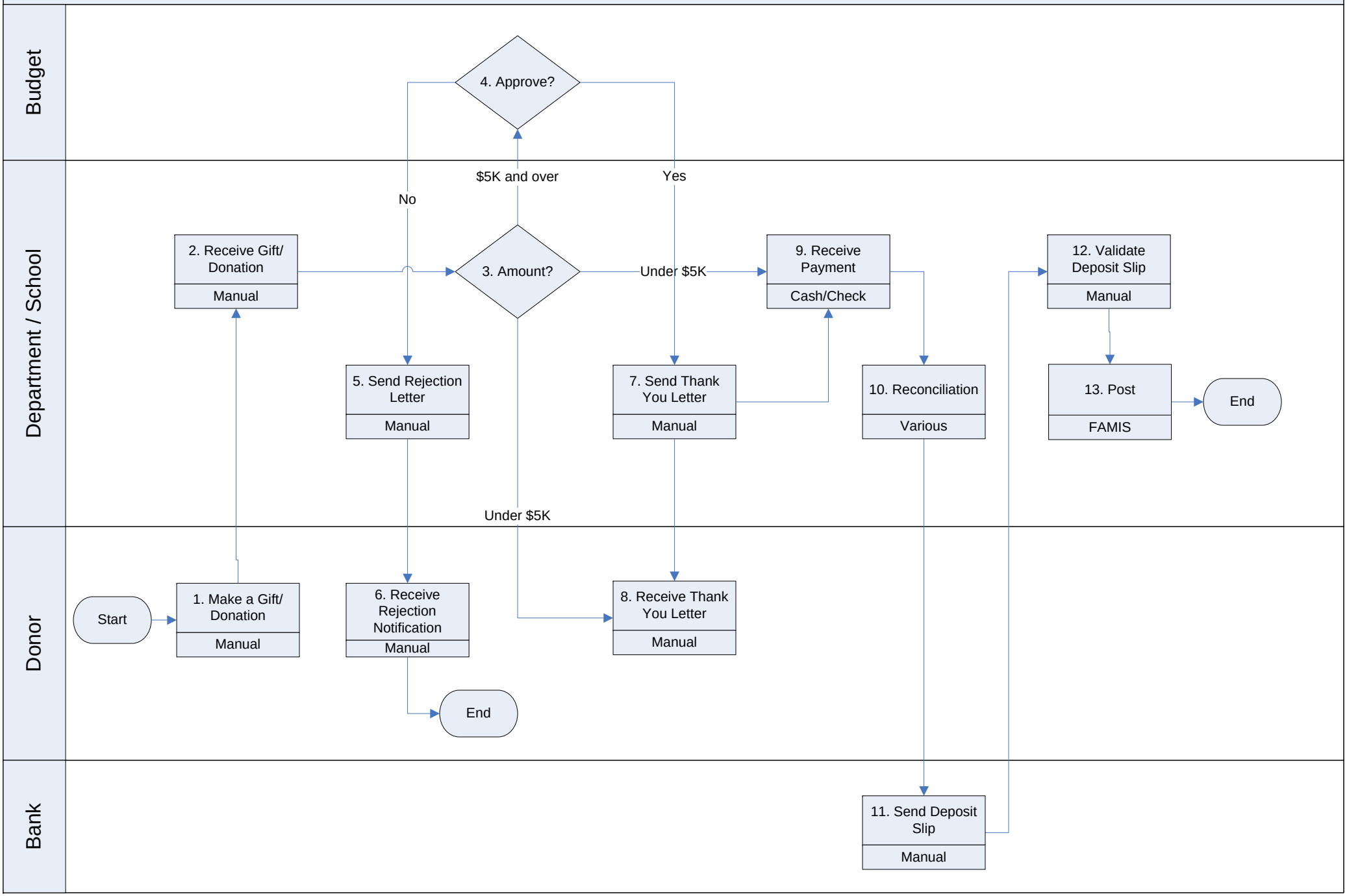
IT Support:

Application/System Name	***Technology Description***
COBRA EAS	Schools AR
FAMIS	Financial system
Govolution	eCheck processing vendor Website

Regulations:
o

Accounts Receivable/Revenues [FINAL]
Sub-Process: Collections – Gifts/Donations

Map Name: AR_COLL_GIFT
Map No.: 30D



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_COLL_GIFT
Sub-Process Name: Collections – Gifts/Donations	**Map Number:** 30D

Sub-Process Purpose and Objectives:

Sub-Process Description:
NOTE: If the gift requires a new gift fund (new project code), the Department sets that up through the project set up process.

1. Donor makes a cash donation to the Department. **[MAP SHAPE 1, 2]**
2. If the gift is $5,000 and over, the Budget Department must approve (Schools approval is through Business and Industry, and their threshold may be different). If the gift is restricted, it is classified differently than general donations. Schools threshold for routing is $1,000. **[MAP SHAPE 3, 4]**
3. Regardless of whether the gift is accepted or denied, notification is sent to the Department, and the Department notifies the donor with a rejection or thank you letter. **[MAP SHAPE 5, 6, 7, 8]**
4. If the gift is under $5,000 or it is approved by Budget, the Department receives the payment, reconciles the funds, and deposits it with the bank. **[MAP SHAPE 9, 10]**
5. Department validates the deposit, matching the deposit slip with the payment. **[MAP SHAPE 11, 12]**
6. Department posts the gift to FAMIS. **[MAP SHAPE 13]**

Triggers:
- ❑ Donation or gift

Key Process Participants:
- ❑ Budget
- ❑ Donor
- ❑ Department/School
- ❑ Bank

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
N/A	

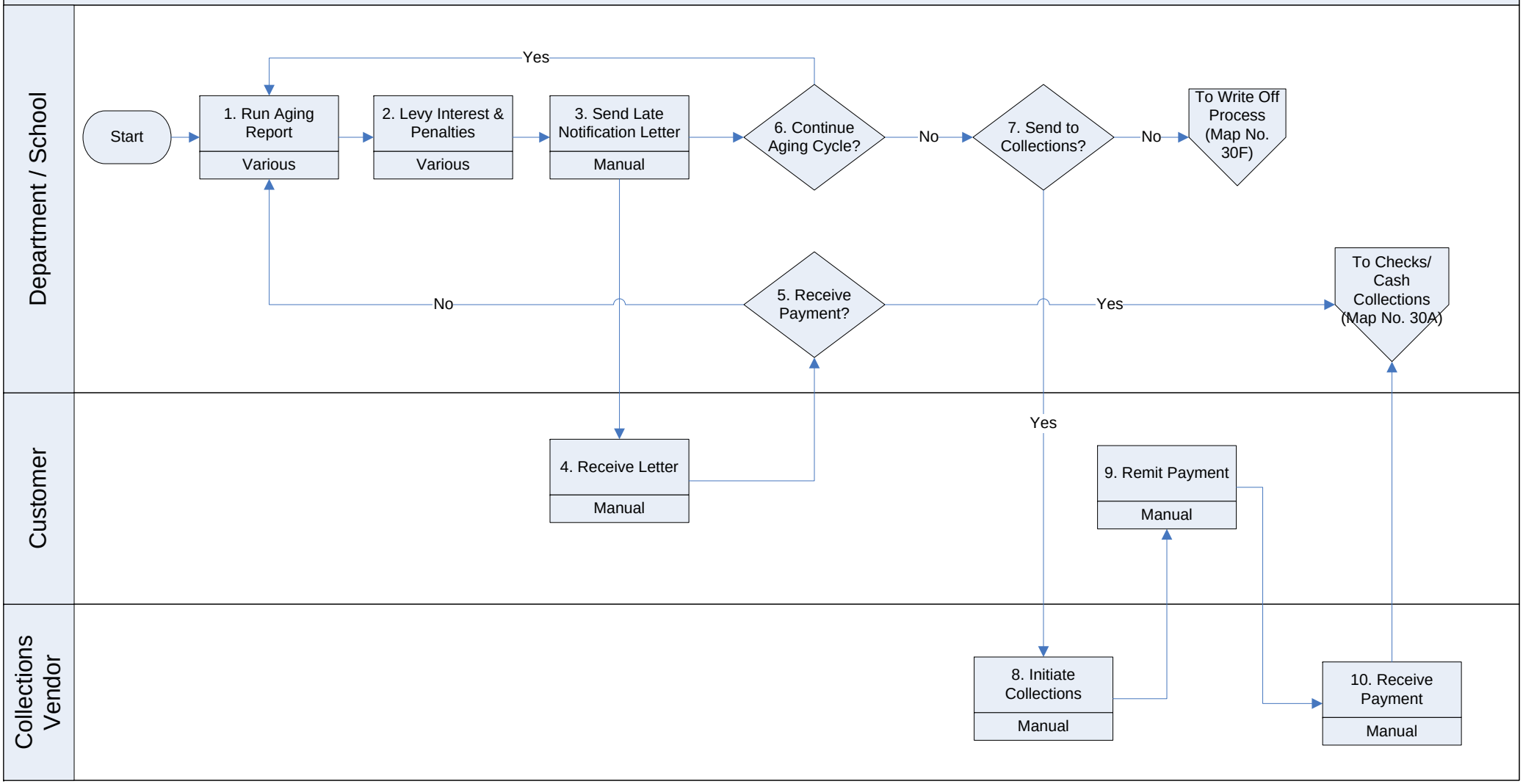
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:
- o Both County and Schools have a policy governing gifts and donations.

Accounts Receivable/Revenues [FINAL]
Sub-Process: Collections – Aging (Non-Tax)

Map Name: AR_COLL_AGE_NONTAX
Map No.: 30E



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_COLL_AGE_NONTAX
Sub-Process Name: Collections – Aging (Non-Tax)	**Map Number:** 30E

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. The Department runs an aging report (not always from FAMIS, generally from the Department's own system) for its receivables once per month. **[MAP SHAPE 1]**
2. Interest and penalties are levied according to how late the receivable is. According to Virginia state law, invoice and letters must state that penalties or interests will be levied. **[MAP SHAPE 2]**
3. The Department sends the appropriate letter to the customer, which the customer may pay from. **[MAP SHAPE 3, 4, 5]**
4. If the receivable is past the collections threshold (typically 120 days), the Department may decide to send the receivable to the collections vendor. **[MAP SHAPE 6, 7]**
5. The Collection vendor initiates the collection process and receives customer payment. Payments are then remitted to the Department along with payment detail. Some collection vendors deduct their fee from the payment directly, others send the entire amount and the Department pays the collection vendor a monthly fee. **[MAP SHAPE 8, 9, 10]**

NOTE: Health, Fire and Rescue cannot deny services based on open receivables.
NOTE: Schools do not have a collection agency, other than Food Services which skip the letters and use a collection agency for NSF checks. That collection agency is paid by the NSF fee that is assessed.
NOTE: We are not mapping the disputed invoice process.
NOTE: Family Services and Health offer a payment plan option for customers.

Triggers:

- ❑ N/A

Key Process Participants:

- ❑ Finance
- ❑ Department
- ❑ Collection Vendor
- ❑ Customer

Inputs:

Input	***Format***
Aging Report	Various

Outputs:

Output	***Format***
N/A	

IT Support:

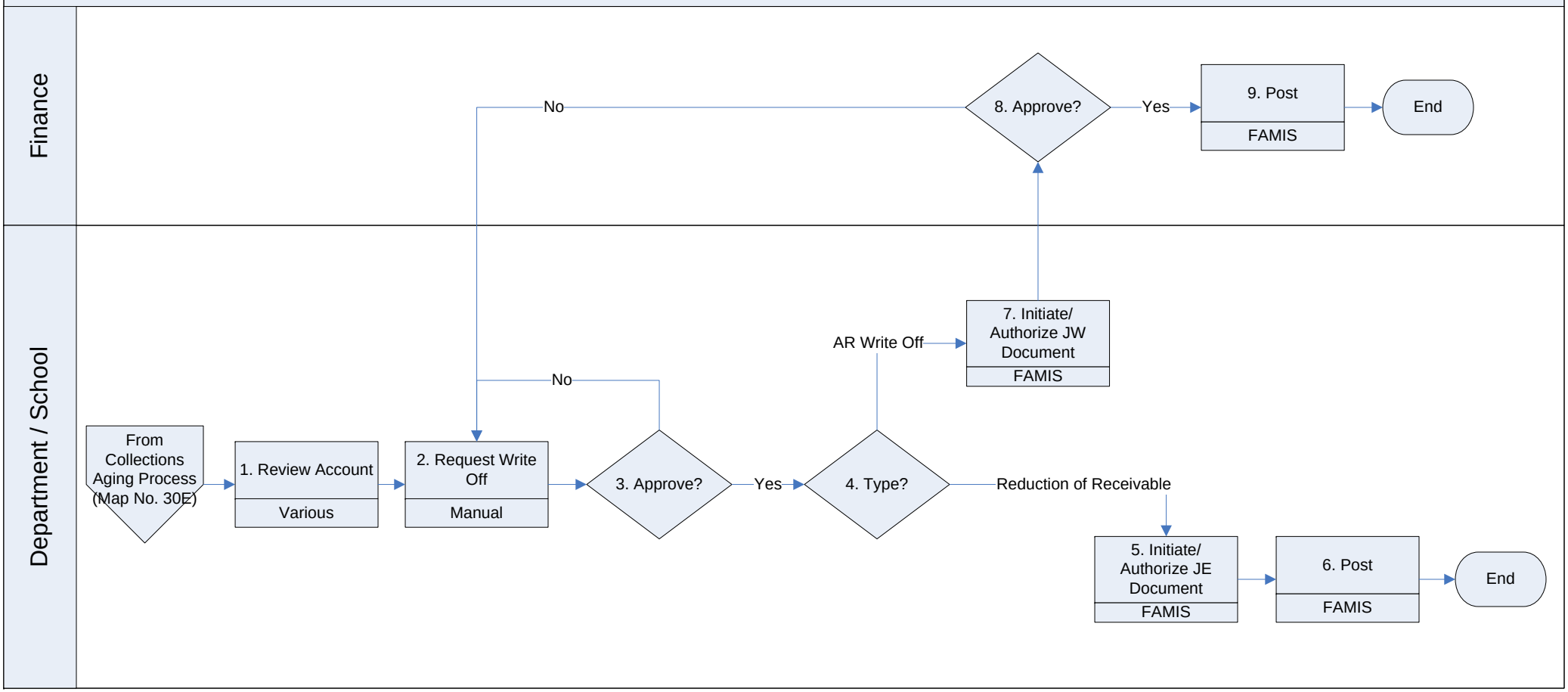
Application/System Name	***Technology Description***
FAMIS	Financial system
Departmental systems	Various

Regulations:

- o There are several laws and policies governing aging and collections

Accounts Receivable/Revenues [FINAL]
Sub-Process: Collections – Write Off (Non-Tax)

Map Name: AR_COLL_WRITEOFF
Map No.: 30F



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_COLL_WRITEOFF
Sub-Process Name: Collections – Write Off (Non-Tax)	**Map Number:** 30F

Sub-Process Purpose and Objectives: Write-off delinquent accounts

Sub-Process Description:

1. The Department identifies accounts eligible for write-off, and reviews account for mailings and letters and other information. **[MAP SHAPE 1]**
2. The Department requests the write-off via memo to a Supervisor. **[MAP SHAPE 2]**
3. If the Supervisor rejects the request, it is sent back to the Department initiator to adjust and resubmit. **[MAP SHAPE 2, 3]**
4. If the Supervisor approves the write-off request, and it is for an account established in FAMIS, a JW document is initiated and authorized and it goes to Finance for approval. If the write-off is a receivable reduction, the Department creates and authorizes a JE document in FAMIS and the Department posts to FAMIS. NOTE: For Schools, a JE is created and posted in FAMIS by Finance. **[MAP SHAPE 3, 4, 5, 6, 7]**
5. If Finance rejects the request, it is sent back to the Department initiator to adjust and resubmit. **[MAP SHAPE 2, 8]**
6. If Finance approves the write-off, it is posted to FAMIS. **[MAP SHAPE 8, 9]**

NOTE: For Departments not using FAMIS and only using their own subsystem, they review, approve, and mark the account as a write-off without a FAMIS posting. Schools have a similar process for marking an account as delinquent.
NOTE: If an ambulance bill or Medicare/Medicaid is partial-paid, the unpaid portion is written-off (receivable reduction) according to state law. These do not require director level approval.
NOTE: If the County is notified of a bankruptcy or hardship case, the account must be written off.

Triggers:
- ❑ N/A

Key Process Participants:
- ❑ Department/School
- ❑ Finance

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
N/A	

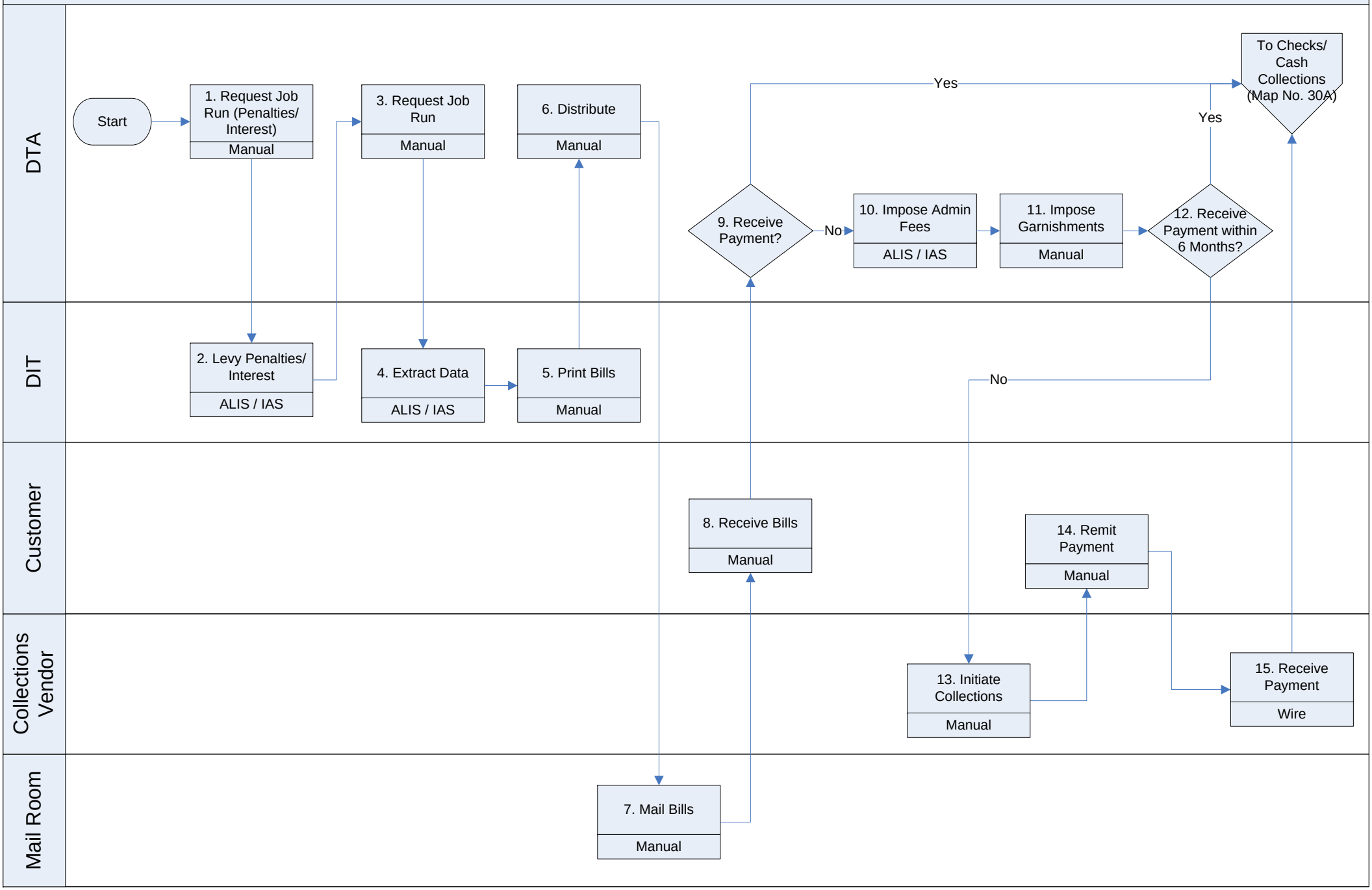
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
Departmental systems	Various

Regulations:
- o There is a policy governing write-offs

Accounts Receivable/Revenues [FINAL]
Sub-Process: Collections – Aging (Tax)

Map Name: AR_COLL_AGE_TAX
Map No.: 30G



Process Name: Accounts Receivable/Revenues	**Process Identifier:** AR_COLL_AGE_TAX
Sub-Process Name: Collections – Aging (Tax)	**Map Number:** 30G

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. DTA asks DIT to run a job that calculates 10% late fee and applies to delinquent tax bills (in both ALIS and IAS). **[MAP SHAPE 1, 2]**
2. DTA asks DIT to run delinquent tax bills from ALIS and IAS. DIT extracts data at least 30 days prior to due date. **[MAP SHAPE 3,4]**
3. DIT prints the bills (DTA reviews prior to final printing). **[MAP SHAPE 5]**
4. DTA receives the bills and forwards to the mail room to mail to the customer. **[MAP SHAPE 6, 7, 8]**
5. DTA has an escalating series of actions they can take – adding administrative and other fees and interest (monthly), working with employer to establish garnishments, work with bank, send report to Finance so that they can seize the unclaimed property, etc. **[MAP SHAPE 9, 10, 11]**
6. After six months, the account is sent to collections vendor and/or sent to the County attorney for judgment action. **[MAP SHAPE 12]**
7. Collections vendor initiates collection activities and receives payments. Customer is billed the full tax amount as well as a collection fee (see Collections – Cash/Check Map No. 30A). Collection vendor takes their fee prior to remitting the tax amount to the County. **[MAP SHAPE 13, 14, 15]**

NOTE: There are manual journal entries to FAMIS for delinquent tax receivables (penalties, fees, and interest).
NOTE: After 5 years for personal property, and 20 years for real estate, the account is automatically written off via a batch job in FAMIS.

Triggers:

- N/A

Key Process Participants:

- DTA
- DIT
- Customer
- Collection Vendor
- Mail Room

Inputs:

Input	***Format***
N/A	

Outputs:

Output	***Format***
N/A	

IT Support:

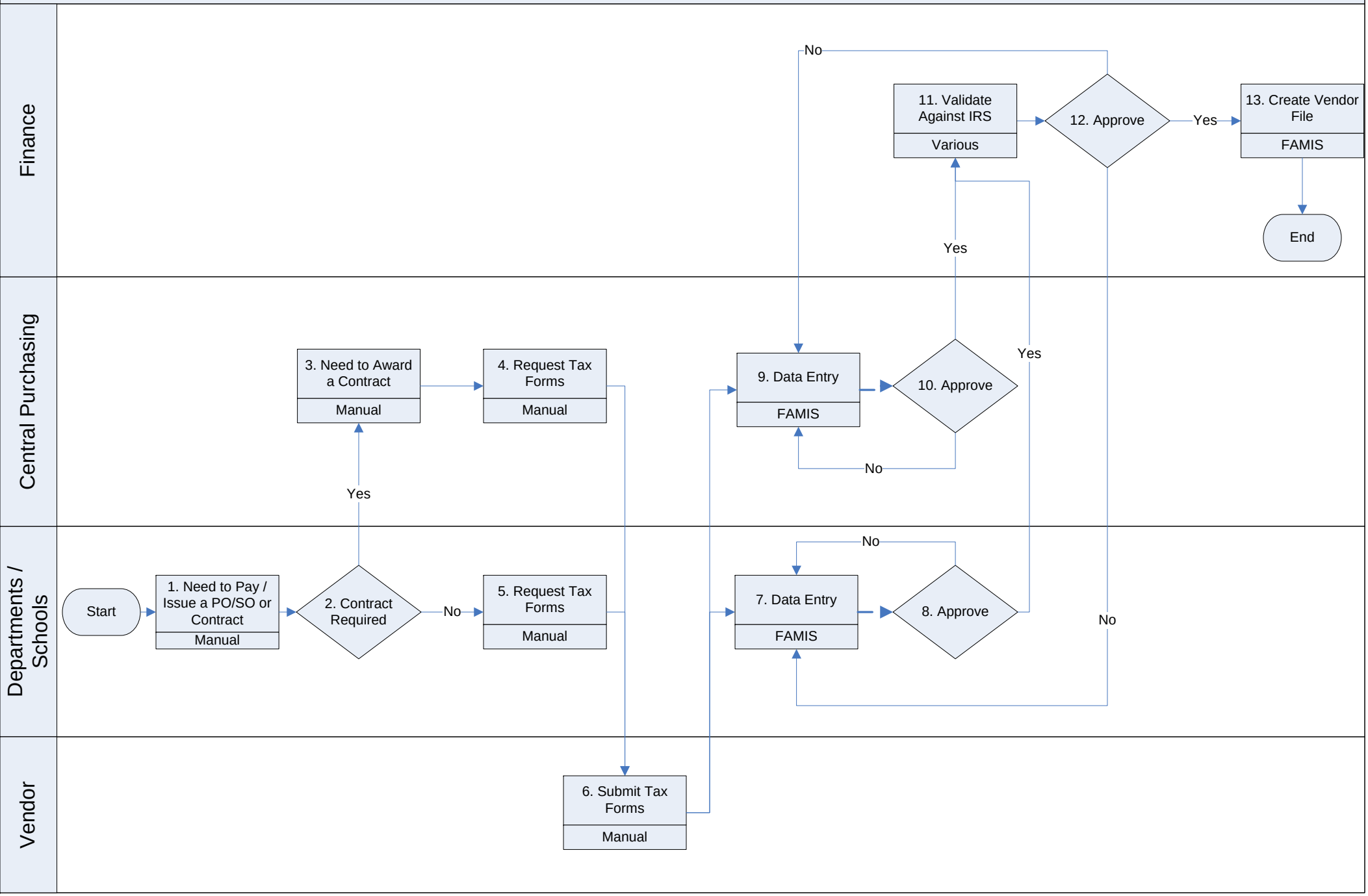
Application/System Name	***Technology Description***
ALIS	Personal property tax system
IAS	Real state system
FAMIS	Financial system

Regulations:

o

Accounts Payable [FINAL]
Sub-Process: Vendor Maintenance – Create Vendor Record

Map Name: AP_VM_CREATE
Map No.: 31A



Process Name: Accounts Payable	**Process Identifier:** AP_VM_CREATE
Sub-Process Name: Vendor Maintenance – Create Vendor Record	**Map Number:** 31A

Sub-Process Purpose and Objectives: Add a new vendor record to the vendor file in FAMIS

Sub-Process Description:

1. Departments need to pay or issue a PO, SO, or award a contract. **[MAP SHAPE 1, 2, 3]**
2. If the vendor is not already set up in the system, the Department or Central Purchasing must obtain a W-9 or other tax information from the vendor. Some Departments (e.g. retirement and payroll) do not have to go through Central Purchasing for contracts, as they have the authority to do it themselves. **[MAP SHAPE 4, 5, 6]**
3. Data is entered into FAMIS to initiate the vendor record, and another person reviews/approves for data accuracy. **[MAP SHAPE 7, 8, 9, 10]**
4. If approved (other than Housing and Schools employees and ACH vendors), Finance has a second level of review/approval and validates vendor information against the IRS. If there are problems in the Finance review, the errors return to the initiator to be addressed. **[MAP SHAPE 11, 12]**
5. If Finance approves, the vendor record is created in FAMIS. Harmony and Yardi systems are also updated. **[MAP SHAPE 13]**

NOTE: Vendors do not need to be set up in FAMIS in order to bid on a contract. Vendors can register through eVA and submit their bids to the County. If the bid results in a PO, SO, or contract, the vendor must be set up in FAMIS.
NOTE: The vendor file is shared between Schools and County (see next note), but the routing and approvals are different.
NOTE: Schools act as a Department/agency for the purposes of vendor file maintenance (no separate processes once the vendor creation is initiated).
NOTE: Source documents are stored on laser fiche by Finance

Triggers:
- ❑ Need to pay PO, SO, or award contract
- ❑ Vendor is not in the system
- ❑ Vendor record is initiated

Key Process Participants:
- ❑ Departments
- ❑ Central Purchasing
- ❑ Finance

Inputs:

Input	*Format*
Vendor information	Manual, IRS forms

Outputs:

Output	*Format*
Vendor Record	FAMIS

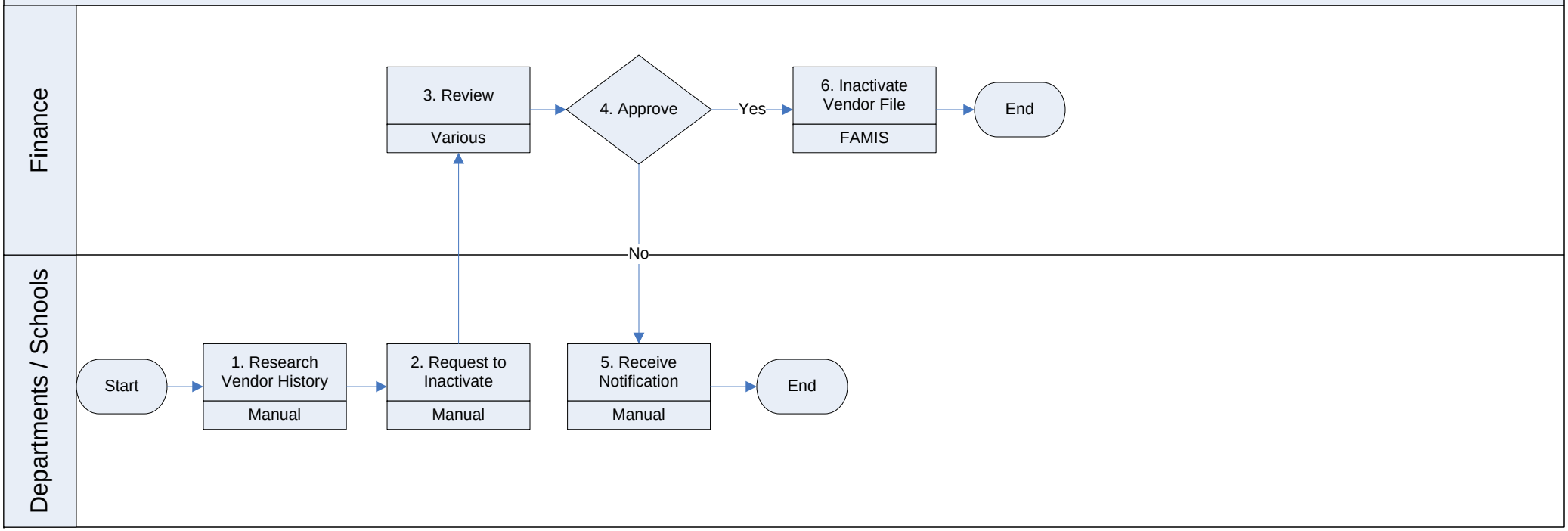
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
Harmony	Human Services case management system
Yardi	Housing case management system
Laser fiche	Electronic storage

Regulations:
- ATB – Accounting Technical Bulletin

Accounts Payable [FINAL]
Sub-Process: Vendor Maintenance – Inactivate Vendor Record

Map Name: AP_VM_INACT
Map No.: 31B



Process Name: Accounts Payable	**Process Identifier:** AP_VM_INACT
Sub-Process Name: Vendor Maintenance– Inactivate Vendor Record	**Map Number:** 31B

Sub-Process Purpose and Objectives: Inactivate a vendor record in FAMIS

Sub-Process Description:

1. A new Accounting Technical Bulletin describes a new process for Departments to initiate a request to mark a vendor inactive. The Department must conduct research to verify vendor history, etc. before a request can be sent to Finance to mark a vendor as inactive. **[MAP SHAPE 1, 2]**
2. Finance reviews to see if other Departments (both Schools and County) are using that vendor. **[MAP SHAPE 3]**
3. If the vendor is not used, then Finance marks the record as inactive in FAMIS. **[MAP SHAPE 4, 6]**
4. If the vendor is used elsewhere, Finance notifies the Department that the request is denied. **[MAP SHAPE 4, 5]**

Triggers:

- Department request to inactivate a vendor

Key Process Participants:

- Departments
- Finance

Inputs:

Input	*Format*
Vendor data	Various
Request to inactivate a vendor	Various, manual

Outputs:

Output	*Format*
Vendor record updated	FAMIS

IT Support:

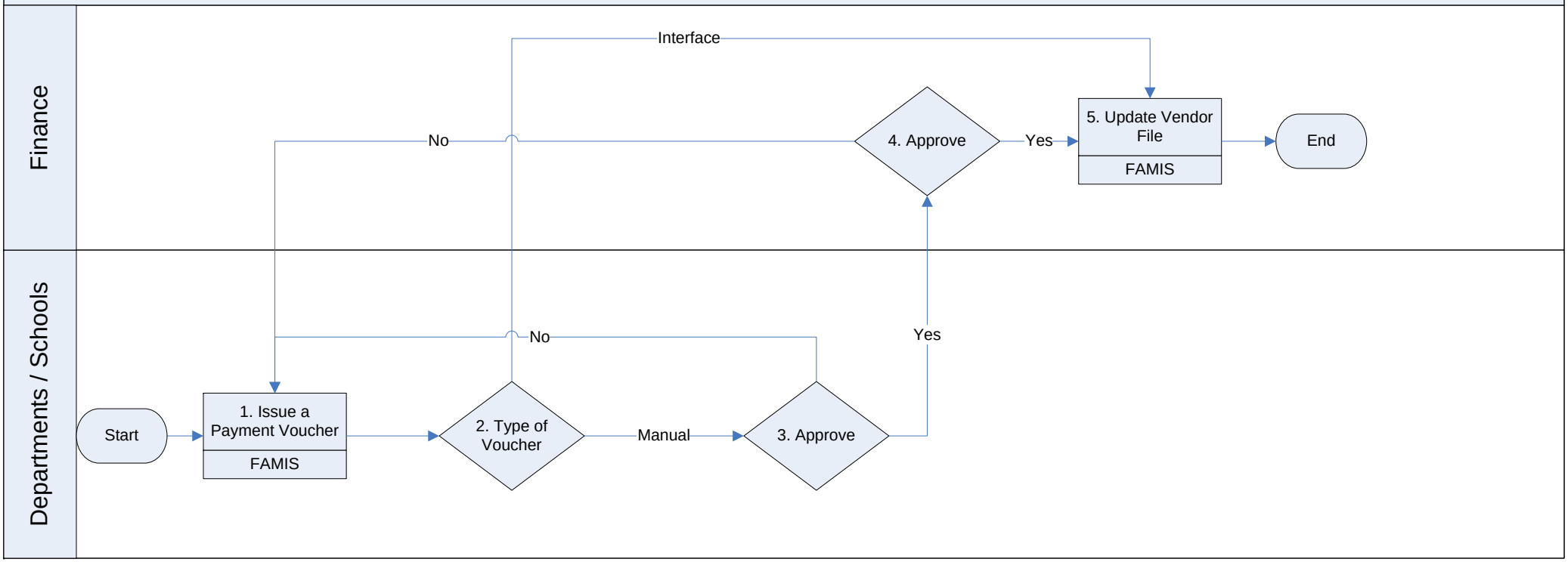
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

- ATB – Accounting Technical Bulletin

Accounts Payable [FINAL]
Sub-Process: Vendor Maintenance – Create One-Time Vendor

Map Name: AP_VM_ONE_TIME
Map No.: 31C



Process Name: Accounts Payable	**Process Identifier:** AP_VM_ONE_TIME
Sub-Process Name: Vendor Maintenance – Create One-Time Vendor	**Map Number:** 31C

Sub-Process Purpose and Objectives: Create a vendor in order to process a one-time payment voucher

Sub-Process Description:

1. A Department initiates a one-time vendor payment voucher in FAMIS. **[MAP SHAPE 1]**
2. The Department reviews and approves the payment. If the voucher goes through the system interface, then the record is updated automatically.**[MAP SHAPE 2, 5]**
3. If it is a manual voucher, it goes to Finance for approval after a level of internal approval. **[MAP SHAPE 3, 4]**
4. If approved, the vendor is created within Finance. Vendors are marked as 'permanent' and there is no system control that would prevent re-use. **[MAP SHAPE 5]**

NOTE: Schools one-time vendor vouchers do not go through County Finance. They go through Schools Finance and then are entered in the vendor file.

Triggers:

- Receipt of a one-time payment voucher

Key Process Participants:

- Departments
- Finance

Inputs:

Input	*Format*
One time payment voucher	Electronic

Outputs:

Output	*Format*
Vendor record is created	FAMIS

IT Support:

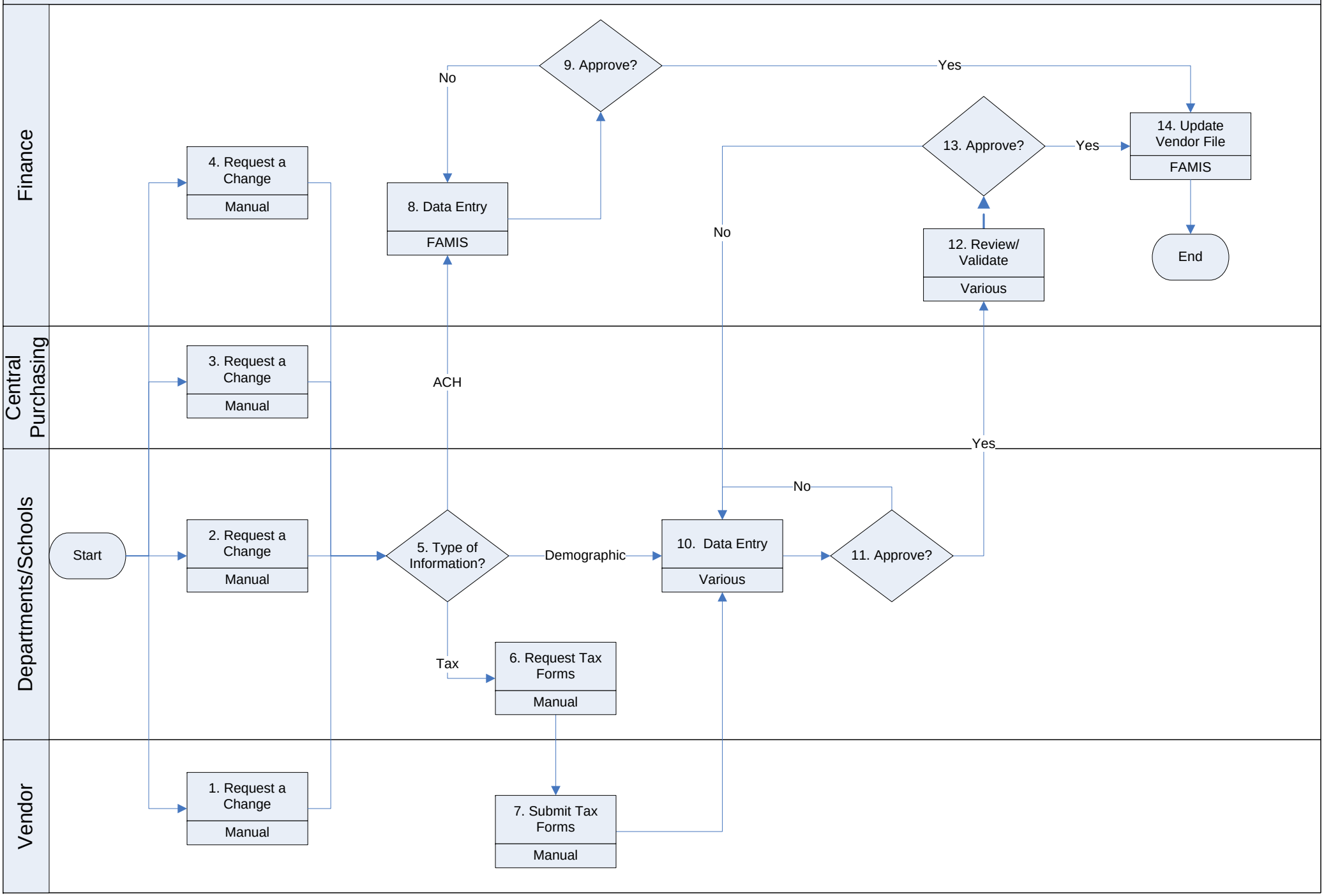
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

- ATB – Accounting Technical Bulletin

Accounts Payable [FINAL]
Sub-Process: Vendor Maintenance – Update Vendor Record

Map Name: AP_VM_UPDATE
Map No.: 31D



Process Name: Accounts Payable	**Process Identifier:** AP_VM_UPDATE
Sub-Process Name: Vendor Maintenance – Update Vendor Record	**Map Number:** 31D

Sub-Process Purpose and Objectives: Update the vendor record with new information

Sub-Process Description:

1. The Department that pays the vendor is responsible for initiating the change upon receipt of information or notice that a change needs to be made. This can come from a variety of sources including Finance (i.e. check was not cashed), Central Purchasing, returned mail, vendor formal notice, etc.**[MAP SHAPE 1, 2, 3, 4]**
2. There are separate processes for tax updates, demographic updates, and ACH updates. **[MAP SHAPE 5]**
3. ACH updates for the County (including employees) are done through Finance. Schools handle their own employee ACH updates directly in FAMIS. For the County, an internal review of the change must occur before the vendor file is updated in FAMIS. **[MAP SHAPE 8, 9, 14]**
4. Departments complete demographic updates. After data entry and an internal review process, the initiated update moves to Finance. **[MAP SHAPE 10, 11]**
5. If a tax update is needed (name, tax id, or tax status), the Department must validate the new information with the vendor by requesting tax forms. Once validated, the Department enters updated information in various systems. After an internal review process, the initiated update moves to Finance. **[MAP SHAPE 6, 7, 10, 11]**
6. Finance receives approved changes (tax or demographic), and reviews and updates the vendor file in FAMIS. If not approved by Finance, the changes return to the initiating Department. If tax information is changing, Finance validates the new information with the IRS. All ACH updates except for Schools employees and minor clerical changes to vendor records are both initiated and approved within Finance. **[MAP SHAPE 12, 13, 14]**

NOTE: Source documentation is stored in laser fiche by Finance.

Triggers:

- ❑ A need to change a vendor record is identified

Key Process Participants:

- ❑ Departments
- ❑ Finance
- ❑ Vendor
- ❑ Central Purchasing

Inputs:

Input	***Format***
Update information	Various, paper
Tax forms	Manual (paper)
ACH enrollment forms	Manual (paper)
Vendor invoices	Manual (paper)
Return mail notices	Manual (paper)
Vendor-initiated e-mails	Electronic

Outputs:

Output	***Format***
Updated Vendor Record	FAMIS

IT Support:

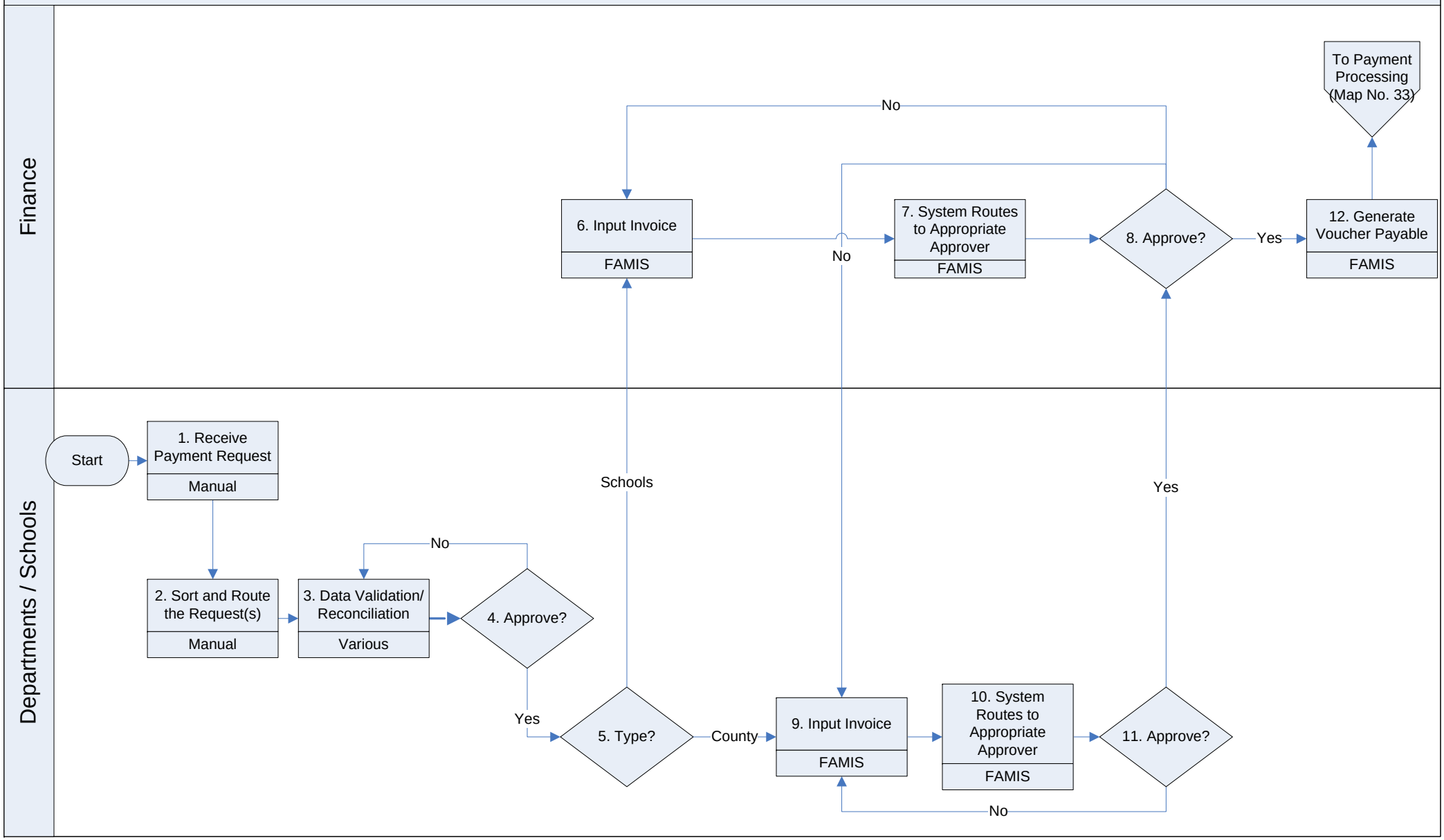
Application/System Name	***Technology Description***
FAMIS	Financial system
Harmony	Human Services case management system
Yardi	Housing case management system

Regulations:

- o ATB – Accounting Technical Bulletin

Accounts Payable [FINAL]
Sub-Process: Voucher Processing – Direct Payment

Map Name: AP_VP_DIRECT
Map No.: 32A



Process Name: Accounts Payable	**Process Identifier:** AP_VP_DIRECT
Sub-Process Name: Voucher Processing – Direct Payment	**Map Number: 32A**

Sub-Process Purpose and Objectives: Process direct pay voucher

Sub-Process Description:

1. Request for payments are received in the Department. Human Services OT's follow the same path, but do not have invoices. Other departments also have examples where the source document is not necessarily an invoice. **[MAP SHAPE 1]**
2. The Department sorts and routes the request and performs an internal validation/reconciliation process. **[MAP SHAPE 2, 3]**
3. The request is routed to a Department supervisor. If the request is rejected, it goes back to the initiator to correct and resubmit. **[MAP SHAPE 3, 4]**
4. At Schools, if the request is approved, the approved hard copy is routed to AP (Finance) to input the payment request into FAMIS. **[MAP SHAPE 4, 5, 6]**
5. At the County, if the request is approved, the Department is responsible for entering the payment request into FAMIS. **[MAP SHAPE 4, 5, 9]**
6. Once the payment request has been entered into FAMIS, the system automatically routes the request to the appropriate approver based on dollar value and approver authorization levels. **[MAP SHAPE 7, 10]**
7. If the request is rejected, it is sent back to the person who entered the payment request into FAMIS for correction and resubmitted. At Schools, if the request is approved the voucher payable is generated in FAMIS. At the County, if the request is approved at the Department level, it will require another level of approval from Finance before the voucher payable is generated. **[MAP SHAPE 6, 8, 9, 11, 12]**

NOTE: Reimbursement for Employee Local Travel follows the Direct Pay process.

Triggers:

- ❑ PO/SO based voucher types
- ❑ FAMIS initiated direct payments (non-local travel, local travel, online travel (schools only) vendor invoice based)
- ❑ Uploads (electronic format)

Key Process Participants:

- ❑ Departments / Schools
- ❑ Finance

Inputs:

Input	***Format***
Vendor invoice	Manual
Revenue refund payment requests	Manual
Other internally-initiated documents from departments (i.e., Deposit Refunds from permits; Tax Refunds from DTA, non-Harmony welfare-related payments, etc.)	Manual

Outputs:

Output	***Format***

IT Support:

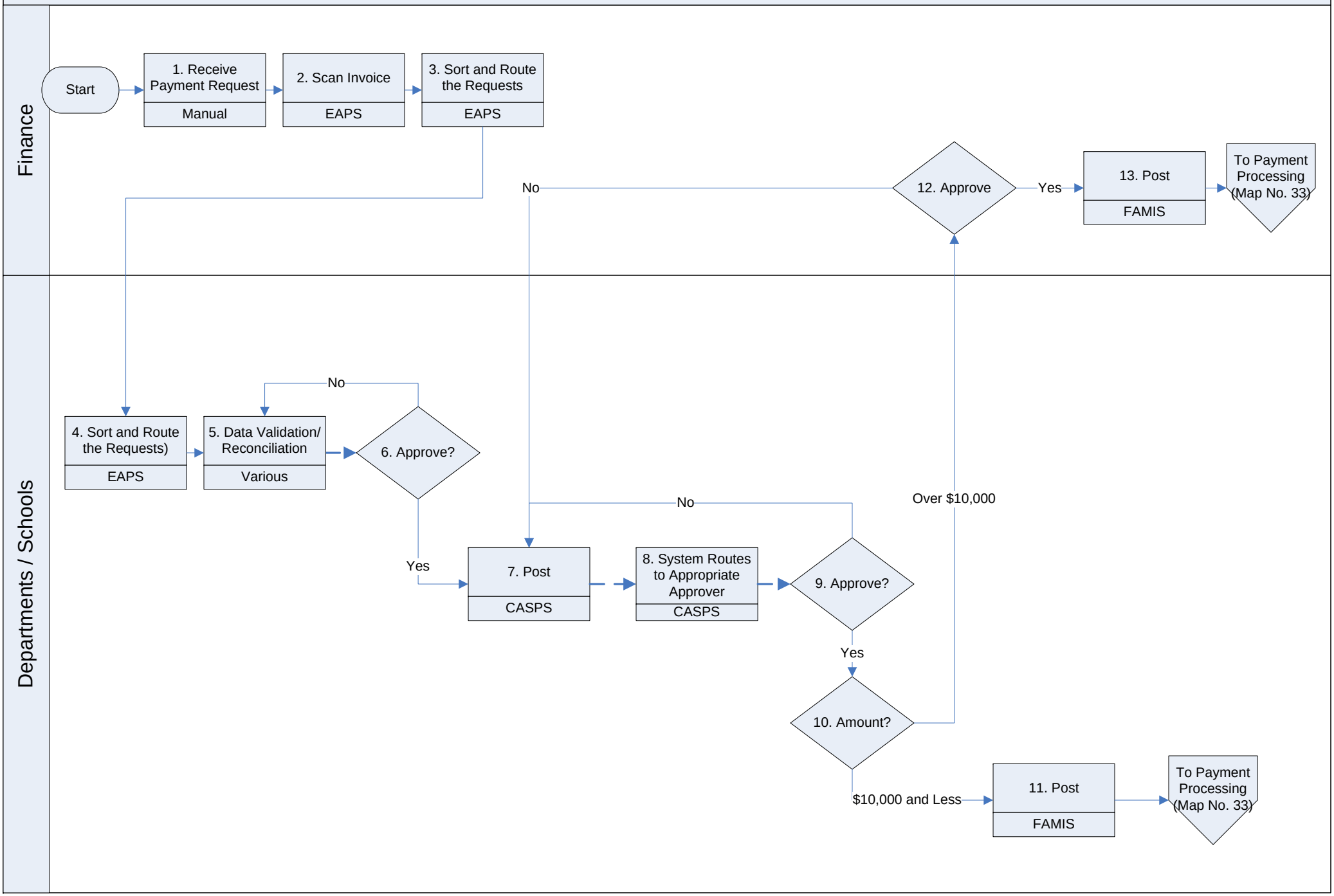
Application/System Name	***Technology Description***
FAMIS	Financial system

Regulations:

o

Accounts Payable [FINAL]
Sub-Process: Voucher Processing – EAPS Voucher Processing

Map Name: AP_VP_EAPS
Map No.: 32B



Process Name: Accounts Payable	**Process Identifier:** AP_VP_EAPS
Sub-Process Name: Voucher Processing – Electronic Accounts Payable System (EAPS)	**Map Number: 32B**

Sub-Process Purpose and Objectives: Process voucher from EAPS

Sub-Process Description:

1. Payment requests/invoices are all centrally received in Finance from the mailroom (non-compliant vendor invoices are couriered to Finance). **[MAP SHAPE 1]**
2. Finance scans the invoice into EAPS and the system sorts and routes the request to the proper Department. **[MAP SHAPE 2, 3]**
3. The Department sorts and routes the request and performs an internal validation/reconciliation process. The Department has a supervisor perform an approval (this step may vary by department, but the essential function is the same). **[MAP SHAPE 4, 5, 6]**
4. If the request is rejected, it goes back to the initiator to correct and resubmit. If the request is approved, a Coordinator posts to CASPS **[MAP SHAPE 6, 7]**
5. Once the payment request has been entered into CASPS, the system automatically routes the request to the appropriate approver based on dollar value and approver authorization levels. CASPS approval and routing only occurs in some departments In others, there is not an additional approval step within CASPS before the over/under $10,000 decision is made as to routing to Finance AP. **[MAP SHAPE 8]**
6. If the request is rejected, it is sent back to the initial posting process in CASPS. If the request is approved, and the dollar amount is less $10,000, it will post directly for payment in FAMIS. If the dollar amount is $10,000 or more, the request must be sent to Finance for approval (Parks and Housing have different rules). **[MAP SHAPE 7, 9, 10, 11]**
7. If the request is rejected by Finance, it is sent back to the initial posting process in CASPS. If the request is approved, Finance will post directly for payment in FAMIS. **[MAP SHAPE 7, 12, 13]**

NOTE: Dollar amount approval tiers: 10K to 100K has separate approval (Finance). 100K to 1M has a separate approval. Over 1M has separate approval.
NOTE: Due to rejected documents, EAPS, CASPS, and FAMIS may not contain the same data where documents were altered during the CASPS approval and routing processes.

Triggers:
- ❑ Voucher Types – EAPS initiated, PO/SO/BP based
- ❑ Schools only includes PO/SO payments

Key Process Participants:
- ❑ Departments / Schools
- ❑ Finance

Inputs:

Input	*Format*
Vendor invoice	Manual
Request for payment	

Outputs:

Output	*Format*
Voucher	FAMIS

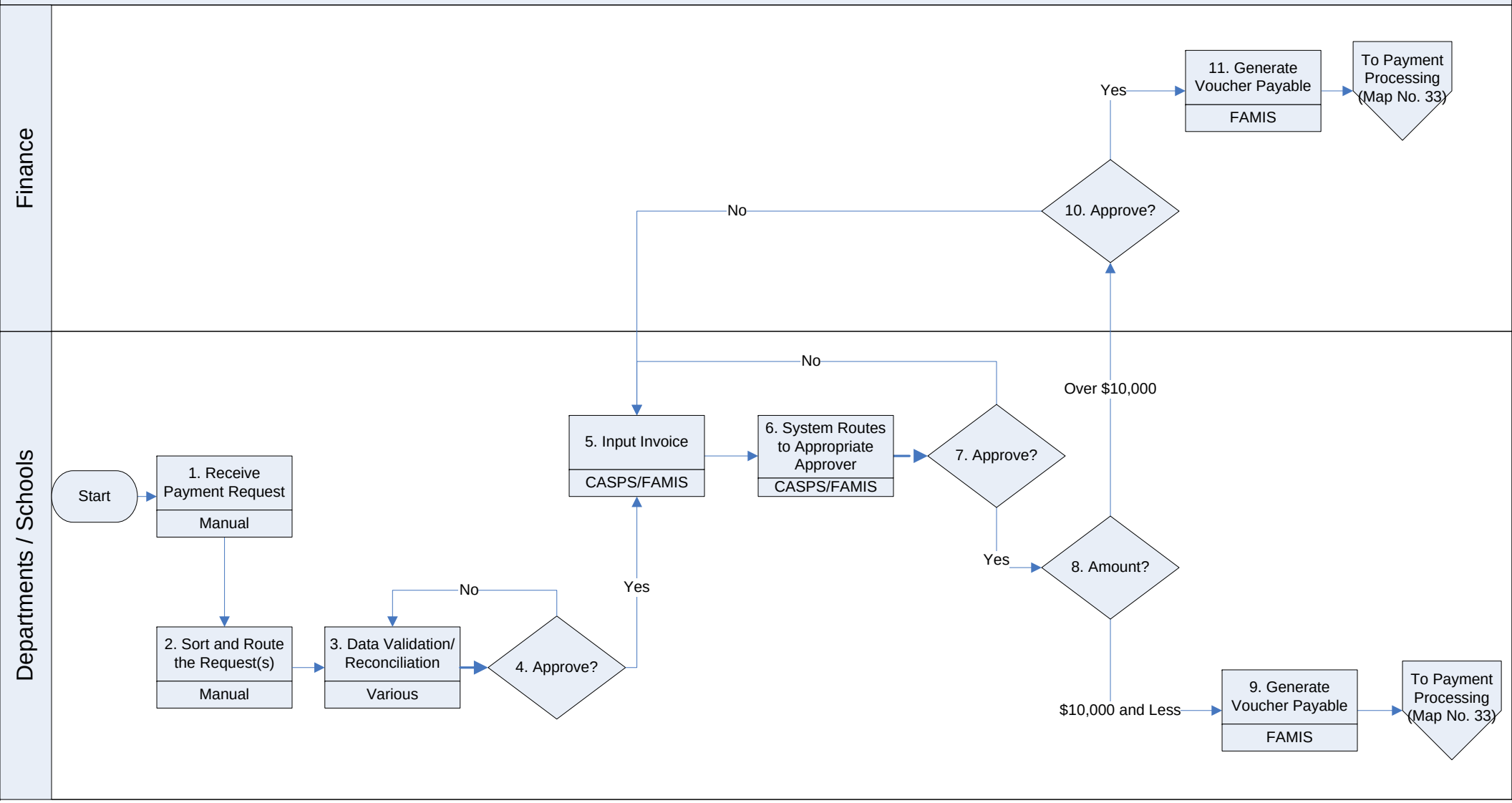
IT Support:

Application/System Name	*Technology Description*
EAPS	Electronic accounts payable system (Prodagio software)
CASPS	Purchasing system
FAMIS	Financial system

Regulations:
- o

Accounts Payable [FINAL]
Sub-Process: Voucher Processing – Encumbrance Processing

Map Name: AP_VP_MANUAL
Map No.: 32C



Process Name: Accounts Payable	**Process Identifier:** AP_VP_MANUAL
Sub-Process Name: Voucher Processing – Encumbrance Processing	**Map Number: 32C**

Sub-Process Purpose and Objectives: Process voucher manually

Sub-Process Description:

1. Payment request/invoices are received in the Department. Schools have centralized receipt and validation in their Finance area. *NOTE: The source document for a voucher is not necessarily an invoice. Human Services and the Police Department both have examples of that. Schools also have a different entry point for certain examples.* **[MAP SHAPE 1]**
2. The Department sorts and routes the request and performs an internal validation/reconciliation process. **[MAP SHAPE 2, 3]**
3. The request is routed to a Department supervisor. If the request is rejected, it goes back to the initiator to correct and resubmit. If the request is approved, the Department inputs the request into CASPS and FAMIS **[MAP SHAPE 3, 4, 5]**
4. Once the payment request has been entered into CASPS and FAMIS, the system automatically routes the request to the appropriate approver based on dollar value and approver authorization levels. **[MAP SHAPE 6, 7, 8, 10]**
5. If the request is rejected, it is sent back to the initial posting process in CASPS/FAMIS. If the request is approved, and the dollar amount is less $10,000, it will post directly for payment in FAMIS. The encumbrance balance is automatically liquidated after final FAMIS approval of the payment voucher. If the dollar amount is $10,000 or more, the request must be sent to Finance for approval (Parks and Housing have different rules). **[MAP SHAPE 5, 7, 8, 9, 10]**
6. If the request is rejected by Finance, it is sent back to the initial posting process in CASPS/FAMIS. If the request is approved, Finance will post directly for payment in FAMIS. The encumbrance balance is automatically liquidated after final FAMIS approval of the payment voucher. **[MAP SHAPE 5, 10, 11]**

NOTE: Dollar amount approval tiers: 10K to 100K has separate approval (Finance). 100K to 1M has a separate approval. Over 1M has separate approval.
NOTE: Departments have their own databases (Human Services has WebR for CASPS invoice). Parks tracks exceptions in a separate database. Police use Excel spreadsheet as their own encumbrance accounting system. DIT has a separate system as well called FACTS)
NOTE: For Schools, After Step 4, all activities occur in the "Finance/Central AP" swim lane with one exception - the Department of Facilities and Transportation Services can process payments up to $5,000 in FAMIS."

Triggers:
- ❑ Voucher Types – PO/SO based; CASPS initiated
- ❑ Financial contract initiated payments
- ❑ Pre-pays

Key Process Participants:
- ❑ Departments / Schools
- ❑ Finance

Inputs:

Input	*Format*
Vendor invoice	Manual

Outputs:

Output	*Format*

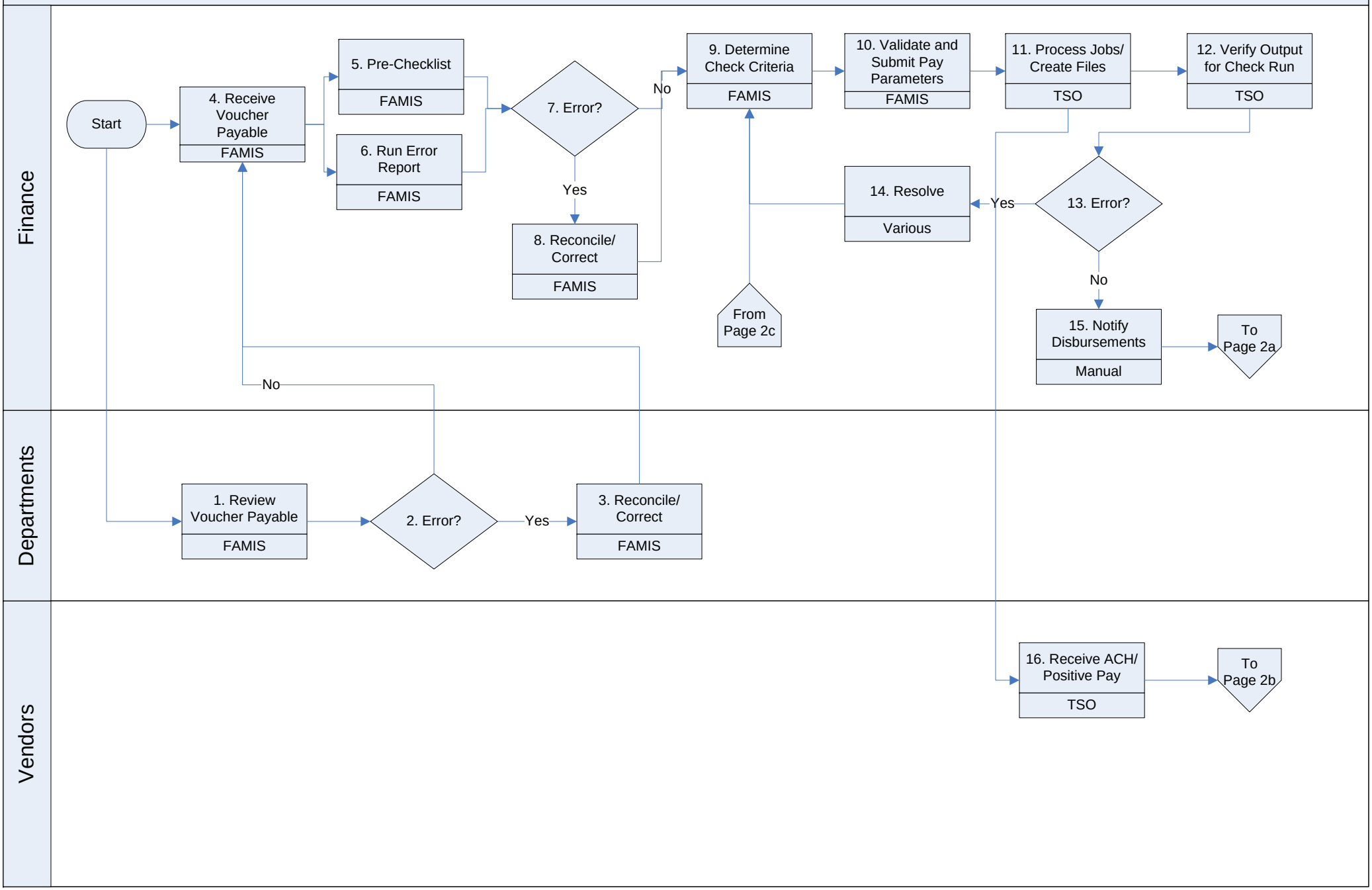
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
CASPS	Purchasing system

Regulations:
- o

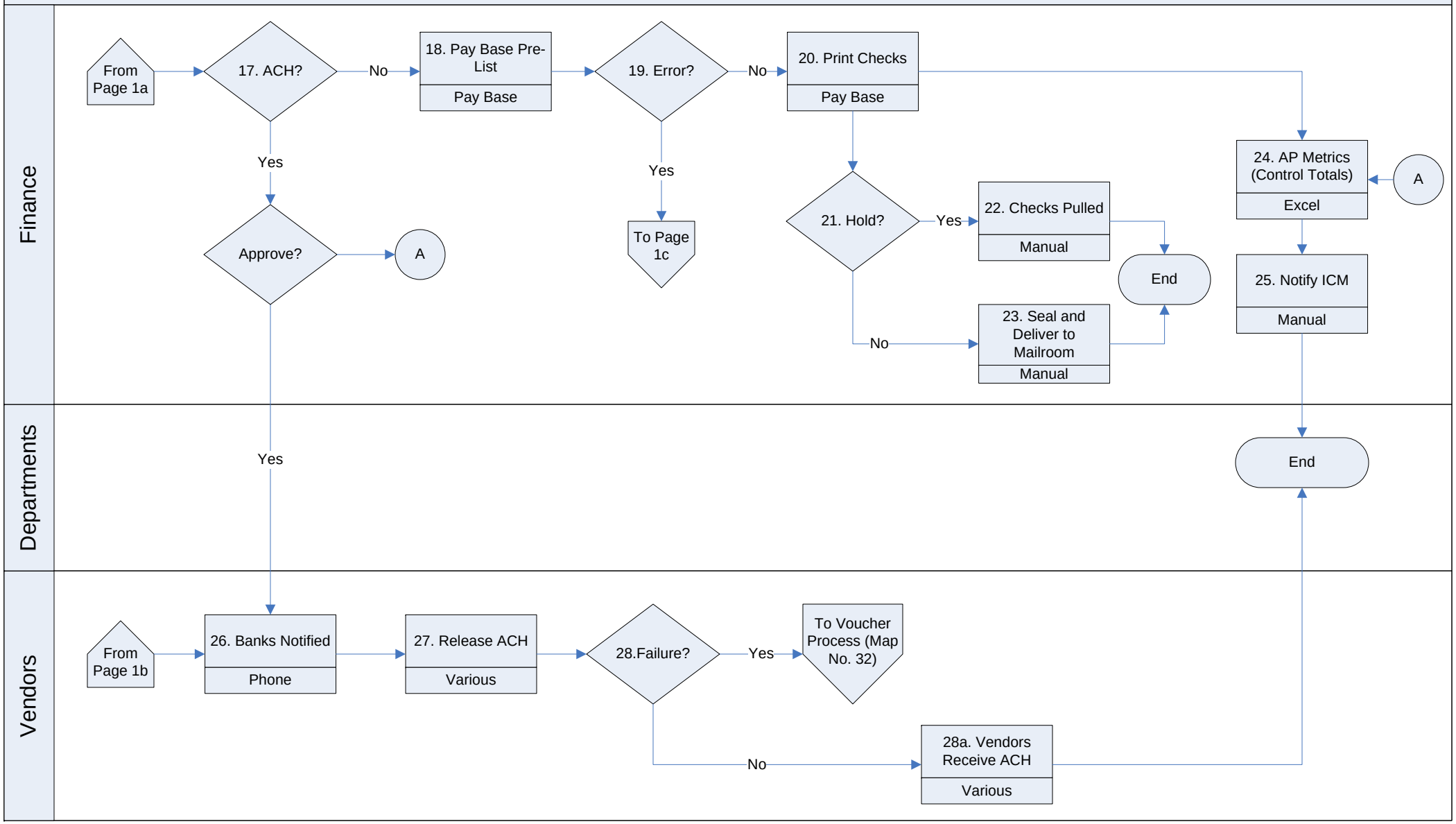
Accounts Payable [FINAL]
Sub-Process: Payment Processing – Checks and ACH

Map Name: AP_PAY_CHECK
Map No.: 33A



Accounts Payable [FINAL]
Sub-Process: Payment Processing – Checks and ACH

Map Name: AP_PAY_CHECK
Map No.: 33A



Process Name: Accounts Payable	**Process Identifier:** AP_PAY_CHECK
Sub-Process Name: Payments Processing – Checks and ACH	**Map Number:** 33A
Sub-Process Purpose and Objectives: Process Checks and ACH payments	

Sub-Process Description:

1. Finance receives vouchers payable. **[MAP SHAPE 4]**
2. The system generates a pre check list. County Finance receives an electronic error report; Schools manually looks for errors. If errors or problems exist, Finance can either reconcile the error or stop/skip payment and address the error later. **[MAP SHAPE 5, 6,7,8]**
3. Concurrently, Departments review vouchers payable, reconcile errors, and notify Finance of any problems for their attention. **[MAP SHAPE 1, 2, 3]**
4. Finance manually selects and enters parameters for the check run (Select Date, Check Date, Process Option (indicates check or ACH), Bank Number, Beginning Check Number, Transaction Code (indicates check or ACH), and Fiscal Period). **[MAP SHAPE 9]**
5. Finance validates the parameters and submits the check run. FAMIS/TSO processes the job. Files are created and check information is posted to FAMIS. **[MAP SHAPE 10, 11]**
6. The ACH file, positive pay files, check disbursements file, and other files are automatically sent to the bank, printer, Pay Base etc. Vendors are notified via email that they will be receiving an ACH payment. **[MAP SHAPE 11, 16]**
7. Finance verifies the output of the check run on Document Direct. Finance compares the output and dollar amounts against the original pre list. **[MAP SHAPE 12]**
8. If errors exist, Finance notifies DIT. The job can then be cancelled/cleared by DIT, or the error can be reconciled/resolved. If cancelled, the vouchers then move back into determination of parameters for the check run. **[MAP SHAPE 13, 14, 9]**
9. If no errors exist, the Disbursements section is notified with a check report, an ACH report, and a check hold report. **[MAP SHAPE 15]**
10. If it is an ACH payment, the County Disbursements section or Schools AP section contacts the bank via a phone system to authorize release of payment (note that the bank has already received the file from TSO, but they hold it until payments are confirmed by Finance). The bank releases the ACH. If an individual transaction fails, the bank notifies Finance for reconciliation. The failed transaction would return to the voucher process. **[MAP SHAPE 17, 26, 27, 28, 28a]**
11. If it is not an ACH payment, Disbursements creates a Pay Base pre list and reviews/verifies totals. If there is a major error, the check run job is cancelled and the process returns to the parameter determination step. **[MAP SHAPE 18, 19, 9]**
12. If no errors exist, Disbursements prints checks and notifies Finance. Finance updates AP metrics (or log in Excel) to track ACH, wire, and check run totals for reporting purposes. ICM is notified of control totals. **[MAP SHAPE 20, 24, 25]**
13. Disbursements manually pulls hold checks, which are placed at front desk for pick up. All other checks are signed, sealed, and mailed. Note that checks are not mailed for a day or two later for positive pay purposes. **[MAP SHAPE 21, 22, 23]**

NOTE: Hold checks or special hold checks require creation of a supplemental positive pay report to notify the bank to honor the check. This only applies to those checks released the same or next day - not all hold checks.

Triggers:
- System generates pre check list
- Notification from FAMIS System Administrator

Key Process Participants:
- Finance Department
- Departments
- Vendor (Bank of America)

Inputs:

Input	*Format*
System generates pre check list	Manual (paper)

Outputs:

Output	*Format*
ACH payment	Online
Checks mailed	Manual (paper)

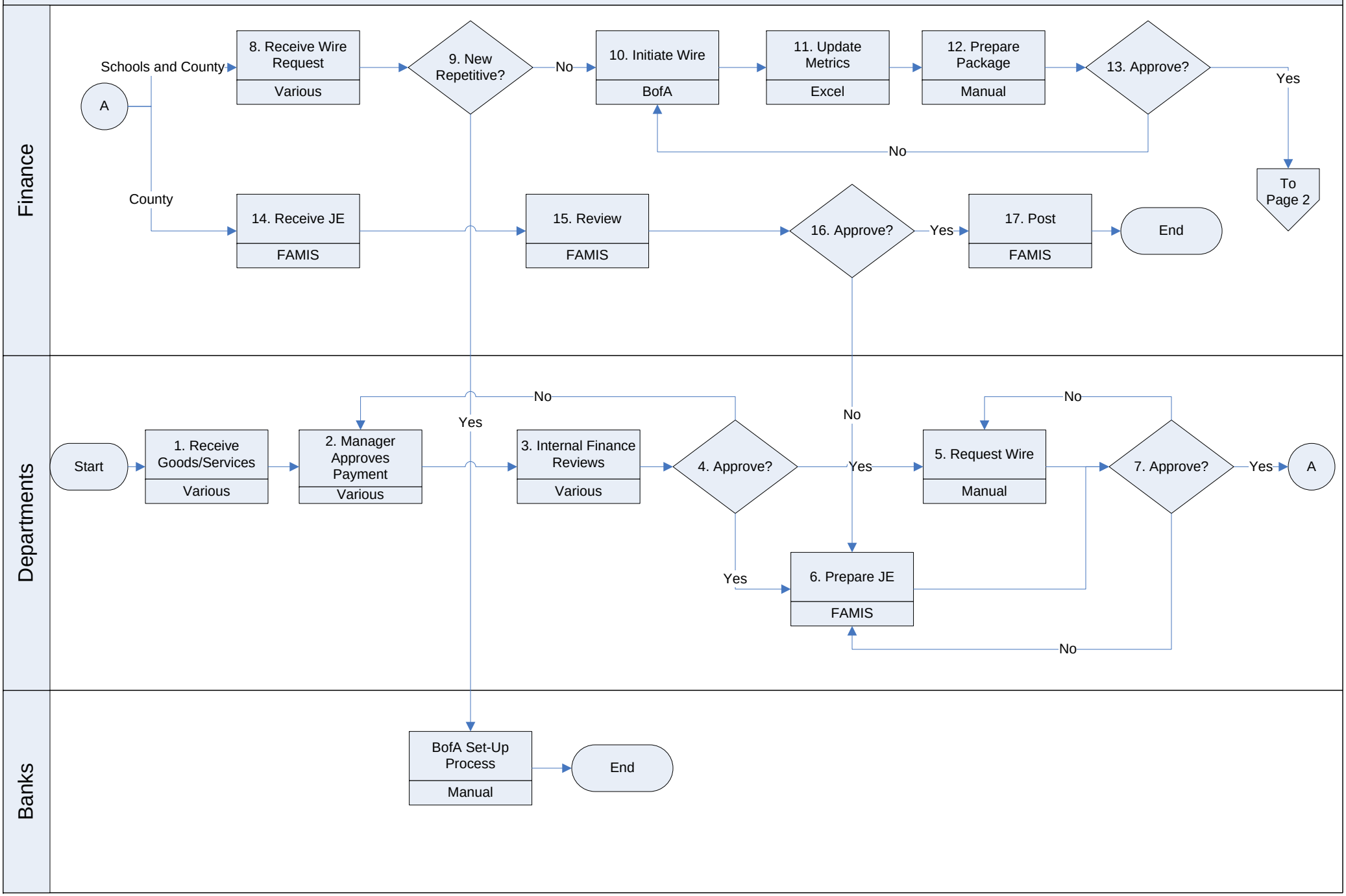
IT Support:

Application/System Name	*Technology Description*
TSO	Time Sharing Options – mainframe system – to verify check run output
Pay Base	Payments system
FAMIS	Financial system
Excel	Spreadsheet

Regulations:
- o

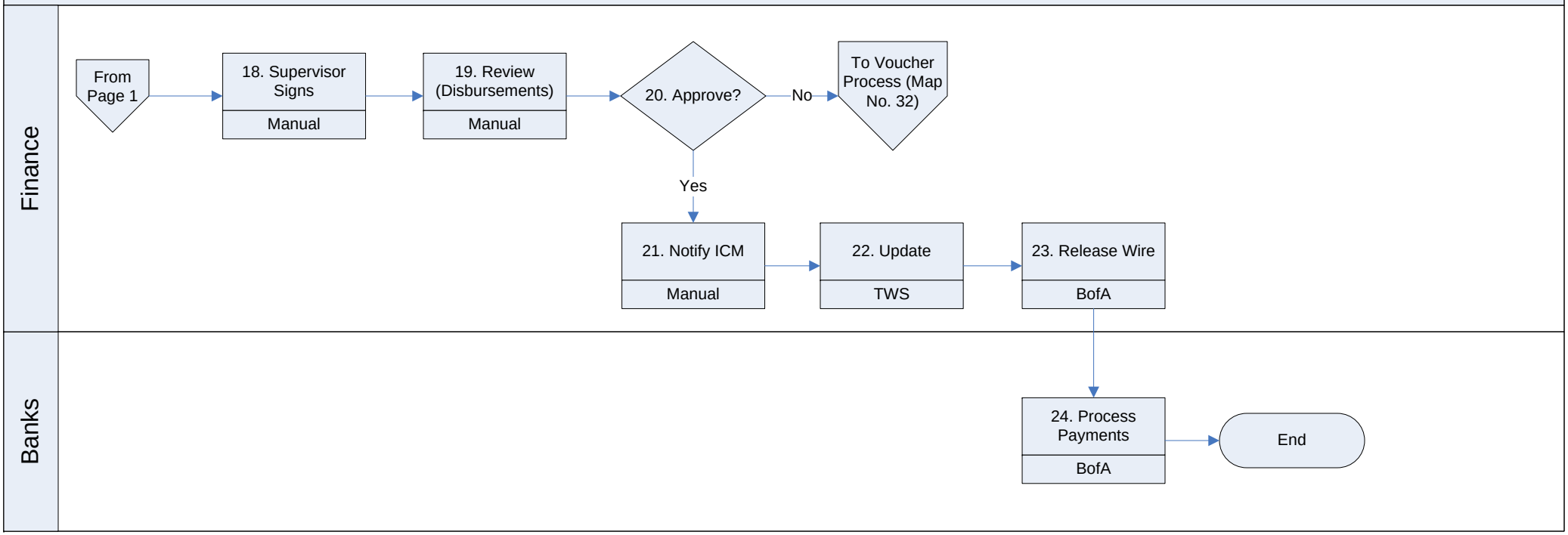
Accounts Payable [FINAL]
Sub-Process: Payment Processing – Wire

Map Name: AP_PAY_WIRE
Map No.: 33B



Accounts Payable [FINAL]
Sub-Process: Payment Processing – Wire

Map Name: AP_PAY_WIRE
Map No.: 33B



Process Name: Accounts Payable	**Process Identifier:** AP_PAY_WIRE
Sub-Process Name: Payment Processing – Wire	**Map Number:** 33B

Sub-Process Purpose and Objectives: Process wire payments

Sub-Process Description:

1. A Department receives notification of receipt of services/merchandise and initiates wire transfer. **[MAP SHAPE 1]**
2. A manager reviews and approves the payment. The Department's internal Finance Office validates the transfer information and accompanying documents. If not approved, the request returns to the manager. **[MAP SHAPE 2, 3]**
3. When approved, the Department's Finance Office inputs a journal entry (JE) in FAMIS and submits a request for a wire on a manual form. The JE is reviewed internally. If it is not approved, the request returns to the initiator. If the JE is approved, documentation is sent to the central Finance Department. **[MAP SHAPE 4, 5, 6, 7]**
4. Central Finance receives the wire request package (paper documents from FCPS and paper documents and FAMIS JE transaction from County). (Note that Schools departments prepare and post their own JEs). **[MAP SHAPE 8, 14]**
5. Finance reviews the documentation. Finance initiates the wire transfer in the Bank of America system, updates the metrics/log in Excel, and creates a package which is sent to a Finance supervisor, routed based on dollar amount approval thresholds. Note that if the request is for a new repetitive wire, it requires a wire template set up process with the bank. **[MAP SHAPE 9, 10, 11, 12]**
6. The supervisor has final review and approval that proper parameters were set. If not approved, the request goes back to the initiator to address any errors. If approved, the supervisor signs the routing slip, and the documentation is sent to Disbursements Finance. **[MAP SHAPE 13, 10, 18]**
7. Disbursements signs on to the Bank of America system to approve the wire. If not approved, the request returns back to the voucher process. When approved, ICM is notified. **[MAP SHAPE 19, 20, 21]**
8. ICM inputs info into the Treasury Work Station. The following day, the wire is released through the Bank of America system for processing. **[MAP SHAPE 22, 23, 24]**
9. The FAMIS JE routes within Finance based on dollar value for approval and posting in addition to the paper documentation package being prepared and routed. Finance AP is the final approver of the FAMIS transaction, but the BoA transaction passes from Finance AP as initiator, to Finance Disbursements as approver, then to Finance ICM for final release. The same day that the wire is released, the County J E is reviewed and approved to post based on dollar thresholds. If it fails, the JE returns to the initiator. **[MAP SHAPE 15, 16, 17, 6]**
10. Finance checks to see that release has occurred and notifies departments by email that wires have been sent. The process ends. **[MAP SHAPE 23]**

NOTE: For a large wire transfer, ICM is notified to ensure that cash is available for the payment.

Triggers:

- ❑ Wire transfer initiated

Key Process Participants:

- ❑ Finance
- ❑ Departments
- ❑ Bank

Inputs:

Input	*Format*
Wire request	Paper form

Outputs:

Output	*Format*
Wire transfer	Electronic
Journal entry posted	FAMIS

IT Support:

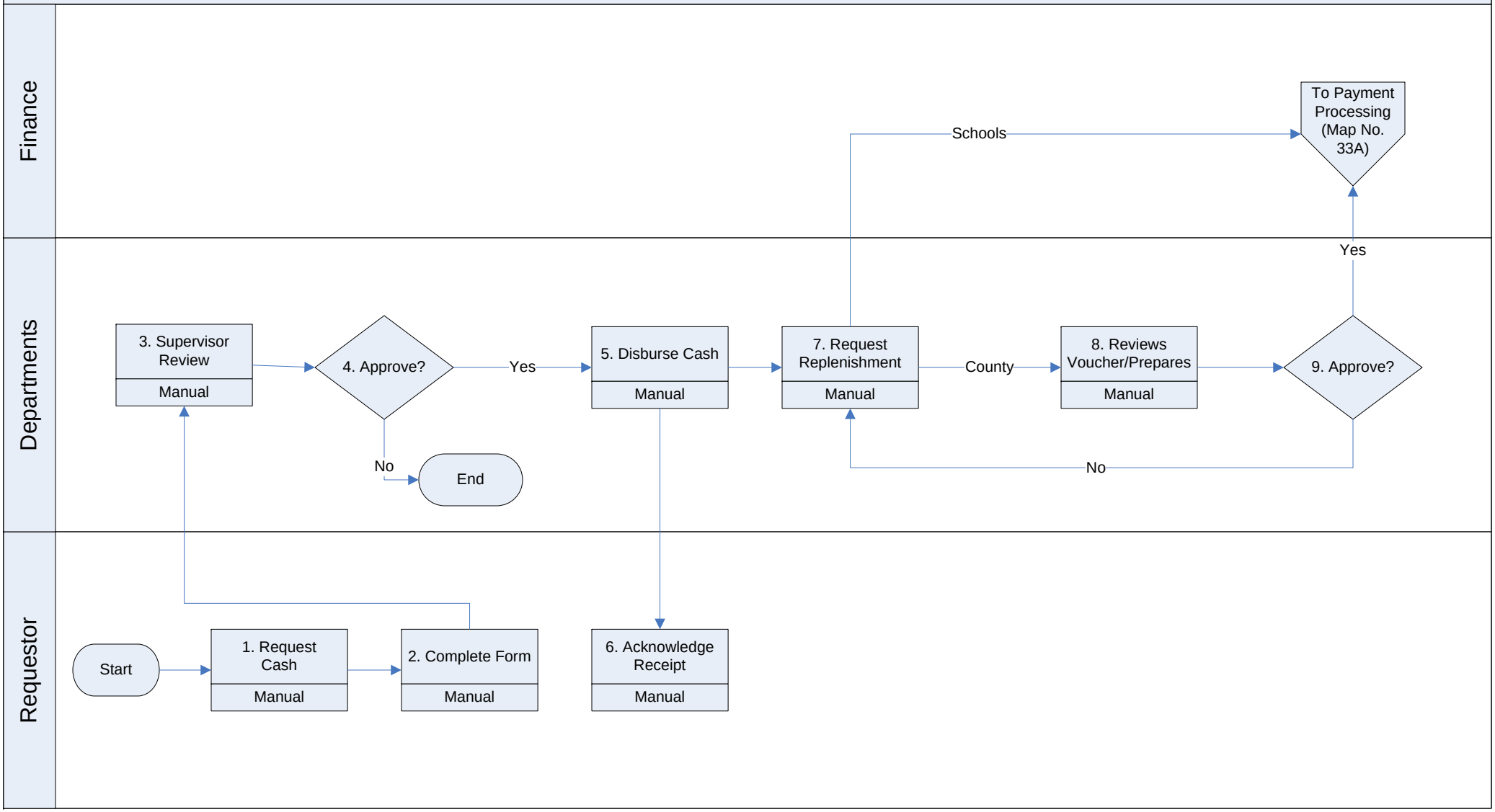
Application/System Name	*Technology Description*
TWS	Treasury Work System
FAMIS	Financial system
Bank of America	Bank wire system
Excel	Spreadsheet

Regulations:

o

Accounts Payable [FINAL]
Sub-Process: Payment Processing – Petty Cash Management

Map Name: AP_PAY_PETTY
Map No.: 33C



Process Name: Accounts Payable	**Process Identifier:** AP_PAY_PETTY
Sub-Process Name: Payment Processing – Petty Cash Management	**Map Number:** 33C

Sub-Process Purpose and Objectives: Process petty cash payments

Sub-Process Description:

1. An employee incurs an expense under $100 (under $200 for Schools). The employee completes a form and submits receipt(s) to request cash. A supervisor reviews and approves the request. If not approved, the process ends. **[MAP SHAPE 1, 2, 3, 4]**
2. When approved, the receipts and form are submitted to the Department's petty cash custodian. The Department petty cash custodian disburses cash to employees. Employees sign off to acknowledge receipt of the funds. **[MAP SHAPE 5, 6]**
3. When a dollar threshold of petty cash is reached, a petty cash replenishment request is entered into FAMIS by the petty cash custodian. After the Department preparation and approval of a voucher payable, the request and documentation is forwarded to the Checks/ACH payment process. If not approved, it returns to the initiator. **[MAP SHAPE 7, 8, 9]**
4. For Schools, a separate bank account is used for petty cash and a voucher is required. Schools Replenishment requests move directly to the Checks/ACH payment process. **[MAP SHAPE 7]**
5. Following the AP process for the County, a hold check is issued to the County Department petty cash custodian, who cashes it to replenish the fund.

NOTE: For Schools, petty cash is hand written checks. For the County, petty cash is a cash box.
NOTE: If a petty cash request is over $100 (over $200 for Schools) or another policy is violated, a higher level paper approval process is required by the Department director and the Director of Finance before AP will process the replenishment.
NOTE: If a Department wants to set up a new petty cash fund or increase the amount of an existing fund, the request is initiated, Accounting Operations Section seeks approval from the Director of Finance, and the request is sent to AP for payment.

Triggers:
- ❑ An employee incurs an expense and submits a form for cash reimbursement
- ❑ Department reaches designated threshold of petty cash on hand

Key Process Participants:
- ❑ Requester
- ❑ Department
- ❑ Finance

Inputs:

Input	*Format*
Petty cash request form	Manual (paper)
Replenishment request	FAMIS

Outputs:

Output	*Format*
Requester is reimbursed with petty cash	Manual
Petty cash fund is replenished	Manual

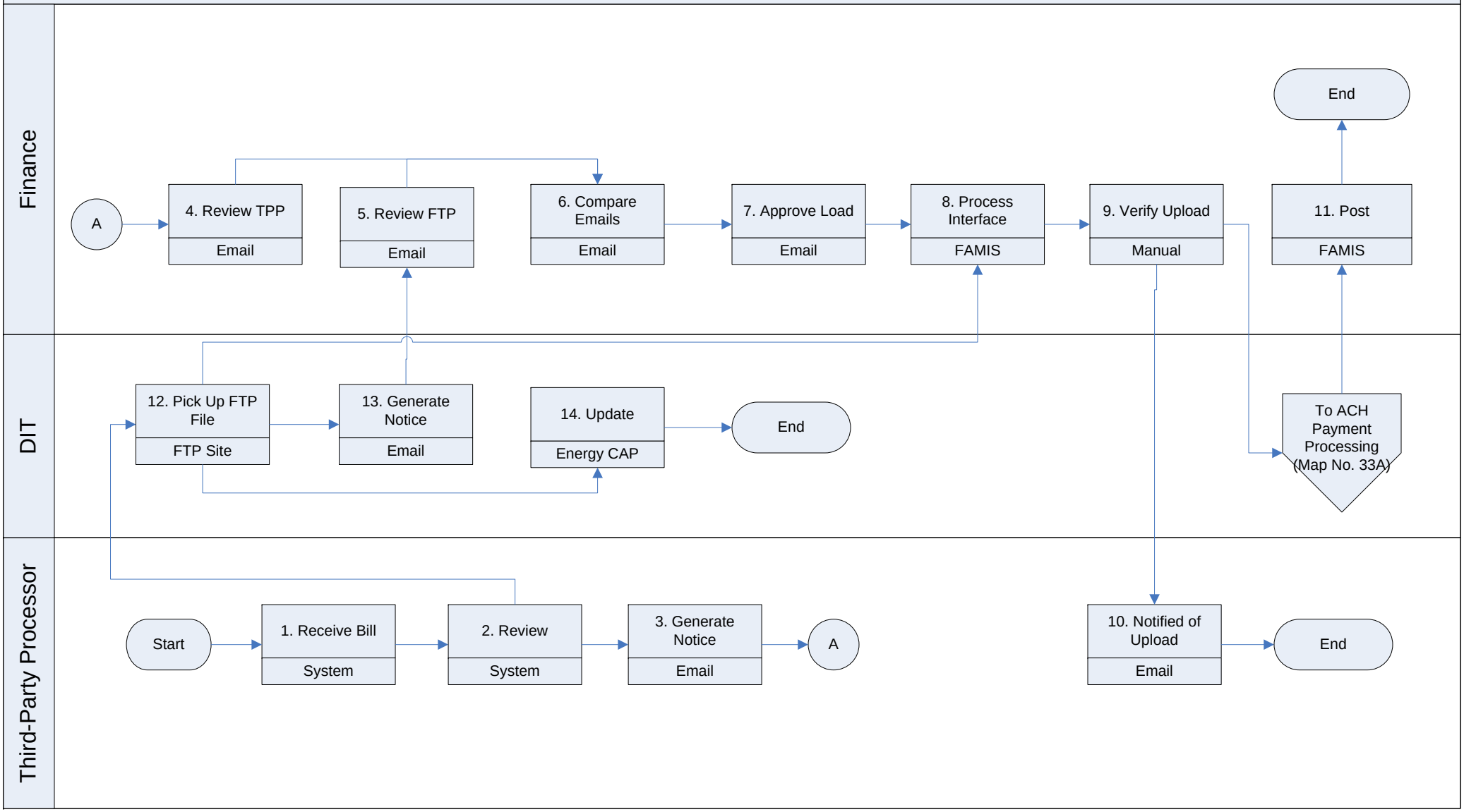
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:
- o

Accounts Payable [FINAL]
Sub-Process: Payment Processing – Utility Processing (Gas & Electricity)

Map Name: AP_PAY_UTILITY
Map No.: 33D



Process Name: Accounts Payable	**Process Identifier:** AP_PAY_UTILITY
Sub-Process Name: Payment Processing – Utility Processing (Gas & Electricity)	**Map Number:** 33D

Sub-Process Purpose and Objectives: Process utility payments

Sub-Process Description:

1. Note that for Schools, utilities processing follows the direct pay process. For the County, utilities processing is outsourced. This map is for the County process.
2. The Third Party Processor (TPP) receives and reviews utility bills. Files are sent to DIT by FTP (including payment file and energy cap file), which is picked up by Finance in a nightly sweep. The file is converted to a different format. **[MAP SHAPE 1, 2, 12]**
3. Finance receives two emails. 1) The TPP generates an email notice for Finance that includes what is in the file that was sent to DIT. 2) DIT also generates an email for Finance to indicate what was received in the file from the TPP. These emails include control totals for comparison and verification. DIT updates Energy Cap **[MAP SHAPE 3, 13, 14]**
4. Finance compares and verifies the control totals from the two emails. Finance submits approval (with an "okay to load" email) to process the interface which uploads the TPP file to FAMIS by nightly batch. **[MAP SHAPE 4, 5, 6, 7, 8]**
5. The number of records and total dollars uploaded are compared against both original emails to ensure that the correct amount was uploaded to FAMIS. The TPP is notified of the upload. The file and the two emails then move into the ACH process. **[MAP SHAPE 9, 10]**
6. The payment is posted to FAMIS. **[MAP SHAPE 11]**

NOTE: Gas and electricity run as financial contract payments.

Triggers:

- ❑ Utility bills are received by Third Party Processor
- ❑ Third Party Processor submits file to DIT. Two emails are sent to Finance.

Key Process Participants:

- ❑ Third Party Processor
- ❑ DIT
- ❑ Finance

Inputs:

Input	*Format*
File from Third Party Processor	FTP

Outputs:

Output	*Format*
Payment posted to FAMIS	FAMIS

IT Support:

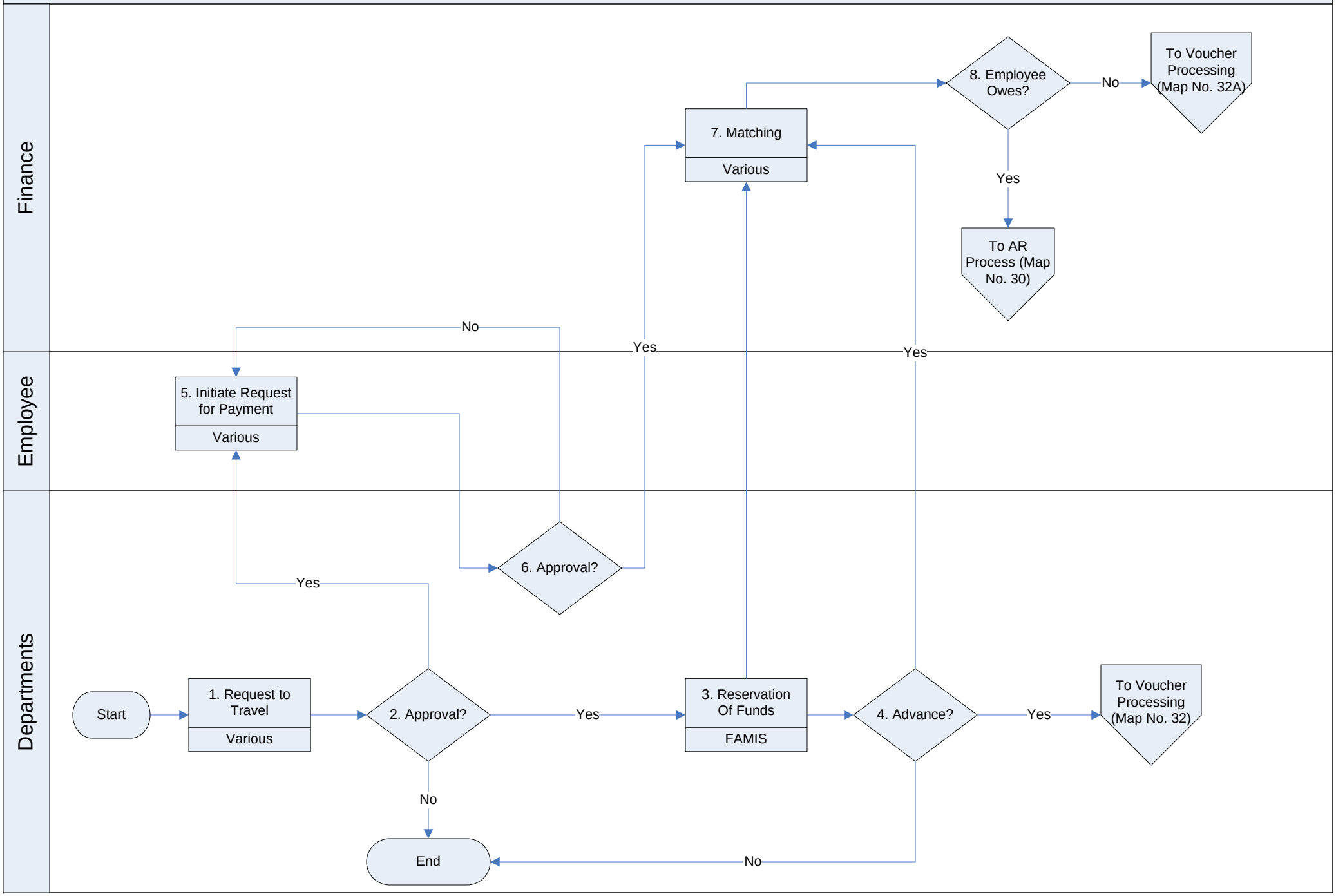
Application/System Name	*Technology Description*
FAMIS	Financial system
Energy CAP	Utility system
FTP Site	Internet-based data transfer site

Regulations:

o

Accounts Payable [FINAL] Map Name: AP_PAY_EMPREIMB

Sub-Process: Payment Processing – Employee Reimbursements (Non-Local Travel) Map No.: 33E



Process Name: Accounts Payable	**Process Identifier:** AP_PAY_EMPREIMB
Sub-Process Name: Payment Processing – Employee Reimbursements (Non-Local Travel)	**Map Number:** 33E

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. An employee submits a request to travel in an Excel form. A supervisor reviews and approves the request. An AT (authorization to travel) reservation of funds document is created in FAMIS by the Department **[MAP SHAPE 1,2,3]**
2. The AT (TA for Schools) documentation is sent to Finance for later reference.
3. If a travel advance is required, the Departments initiate advance request vouchers (for per diems). The voucher is created in FAMIS (with references to the AT) and is processed like a financial contract, through the voucher payable process. **[MAP SHAPE 4]**
4. The employee travels.
5. The employee initiates a request for payment and submits receipts and documentation of expenses. When the documentation is complete and the supervisor approves, the request is sent to Finance. **[MAP SHAPE 5,6]**
6. Finance validates the request against the AT and any travel advance received by the employee and then creates a travel voucher in Excel (or in the online travel system in Schools). If the employee owes the County, this moves into the AR collection process. If the County owes the employee, the voucher moves into the payment process. **[MAP SHAPE 7,8]**

NOTE: Local travel and tuition reimbursements follow the direct payment process and require the submission of a specific form.
NOTE: Schools have a subsystem for employee reimbursements (a batch upload interface file) while the County uses a manual input and routing for reimbursements.
NOTE: For some Departments, employee reimbursement follows the same process as mass payments.
NOTE: Schools use an Online Travel program where travelers can request a reimbursement of local travel expenses as well as approval and reimbursement of non-local travel expenses.

Triggers:

- ❑ Employee requests to travel

Key Process Participants:

- ❑ Employee
- ❑ Department
- ❑ Finance

Inputs:

Input	*Format*
Request to travel form	Excel
AT (Authorization to Travel)	FAMIS
Advance request vouchers	FAMIS

Outputs:

Output	*Format*
Employee reimbursement	

IT Support:

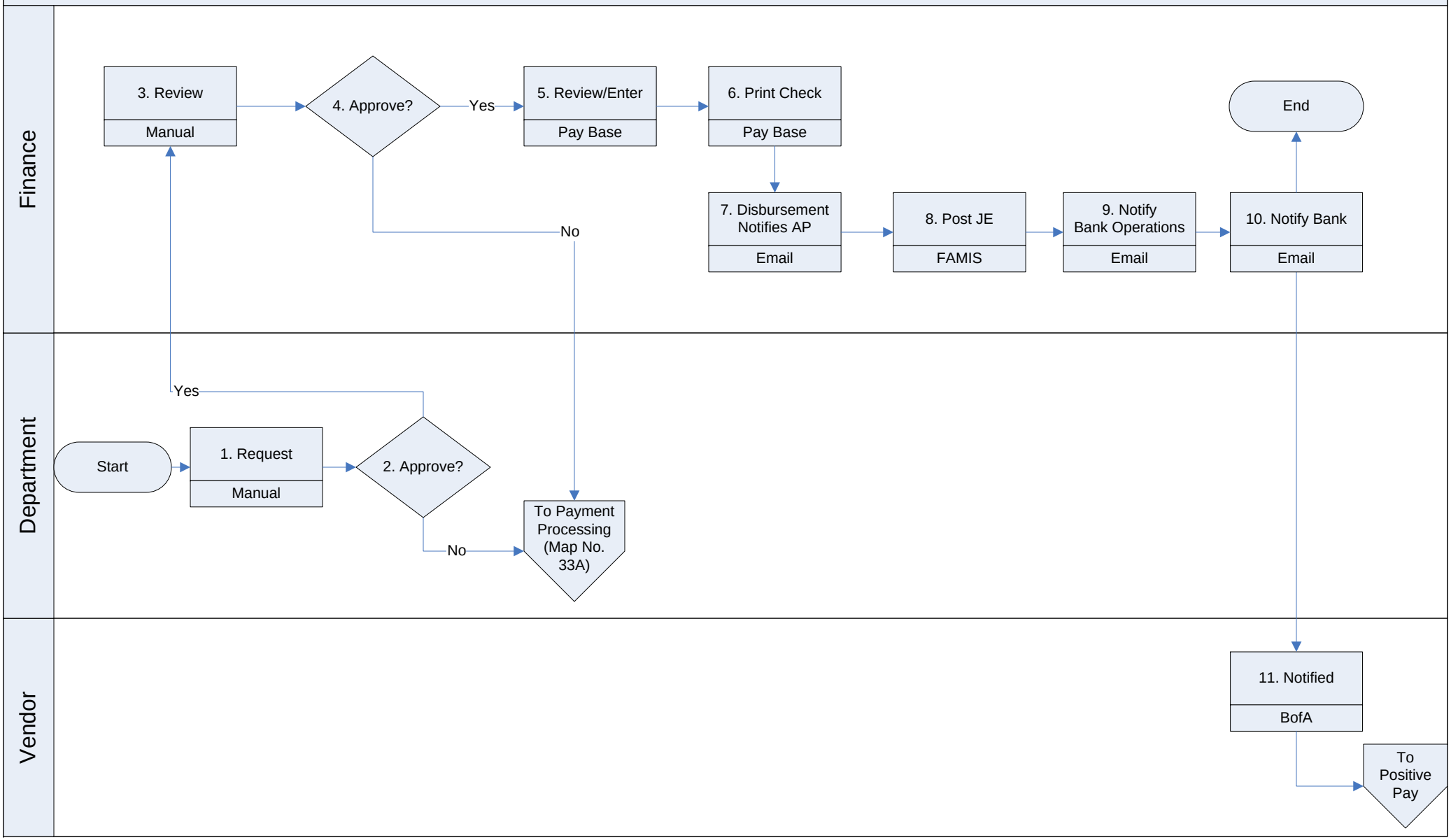
Application/System Name	*Technology Description*
Online travel system	For Schools, interfaces by batch to FAMIS similar to mass payment process
FAMIS	Financial system

Regulations:

o

Accounts Payable [FINAL]
Sub-Process: Payment Processing – On Site Payment (Manual Checks)

Map Name: AP_PAY_MANUAL
Map No.: 33F



Process Name: Accounts Payable	**Process Identifier:** AP_PAY_MANUAL
Sub-Process Name: Payment Processing – On Site Payment (Manual Checks)	**Map Number:** 33F

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A Department completes a manual check request form and attaches the appropriate documentation. Internal approval (agency director or designee) is required. If not approved, the payment would have to be processed though the normal payment process. **[MAP SHAPE 1, 2]**
2. Approved requests are sent to Finance for review of the need for the manual check. If there is another method to make the payment, the request is processed accordingly. If no other method is available, the manual check is processed. The AP Manager makes the final approval of the manual check request. **[MAP SHAPE 3, 4]**
3. The request and documentation is sent to Disbursements (Finance) for review and verification. Disbursements manually enter the approved request into Pay Base. A check is generated out of Pay Base. **[MAP SHAPE 5, 6]**
4. Finance (AP) is notified of the check number used. AP sends email notifications about check numbers for the next day's check run and posts a journal entry to record the manual check in FAMIS. **[MAP SHAPE 7, 8]**
5. The check information is sent to the Bank Operations Team, which notifies the bank for positive pay purposes. The process ends. **[MAP SHAPE 9, 10, 11]**

NOTE: Schools Accounts Payable does not issue manual checks.

Triggers:

- ❑ Manual check request form is submitted

Key Process Participants:

- ❑ Departments
- ❑ Finance
- ❑ Vendor

Inputs:

Input	***Format***
Manual check request form	Manual (paper)

Outputs:

Output	***Format***
Manual check is printed	Manual (paper)

IT Support:

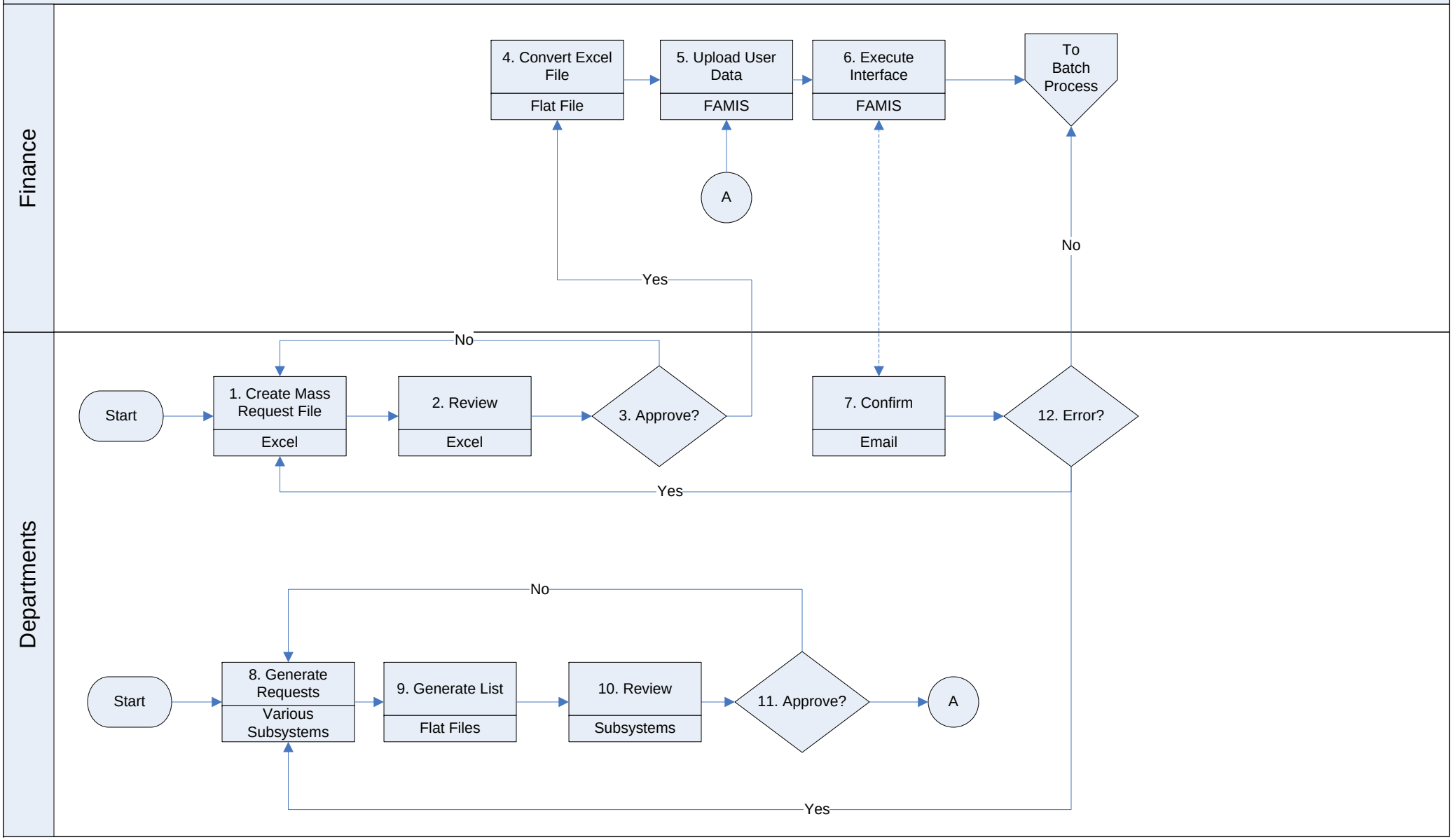
Application/System Name	***Technology Description***
Pay Base	Payment system
FAMIS	Financial system

Regulations:

o

Accounts Payable [FINAL]
Sub-Process: Payment Processing – Mass Pay

Map Name: AP_PAY_MASSPAY
Map No.: 33G



Process Name: Accounts Payable	**Process Identifier:** AP_PAY_MASSPAY
Sub-Process Name: Payment Processing – Mass Payments	**Map Number:** 33G

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Departments create a mass payment request file in Excel and a mass payment list from various subsystems. **[MAP SHAPE 1, 8, 9]**
2. There is an internal review and approval process before the file/list of requests is sent to Finance. **[MAP SHAPE 2, 3, 10, 11]**
3. If it is an Excel file, Finance converts it to a flat file and uploads the file to the FAMIS user data file. The interface is then executed within FAMIS (the batch file is created). The batch file moves into the nightly batch process. **[MAP SHAPE 4, 5, 6]**
4. After the interface is executed, control totals are sent to Departments via a confirmation email. Back and forth communication occurs between Finance and Departments. If there are any discrepancies, the Department has to re-send the Excel mass update file to Finance. **[MAP SHAPE 7, 12, 1]**
5. If the request came from a flat file rather than Excel, the FAMIS user data file is uploaded, and this follows the same process as the Excel file as listed above. **[MAP SHAPE 5, 6, 7, 12, 8]**

Triggers:

- Departments submit mass payment request file

Key Process Participants:

- Finance
- Departments

Inputs:

Input	*Format*
Mass payment request file	Excel, flat file

Outputs:

Output	*Format*
Mass payment file is uploaded, interface to FAMIS is executed	FAMIS

IT Support:

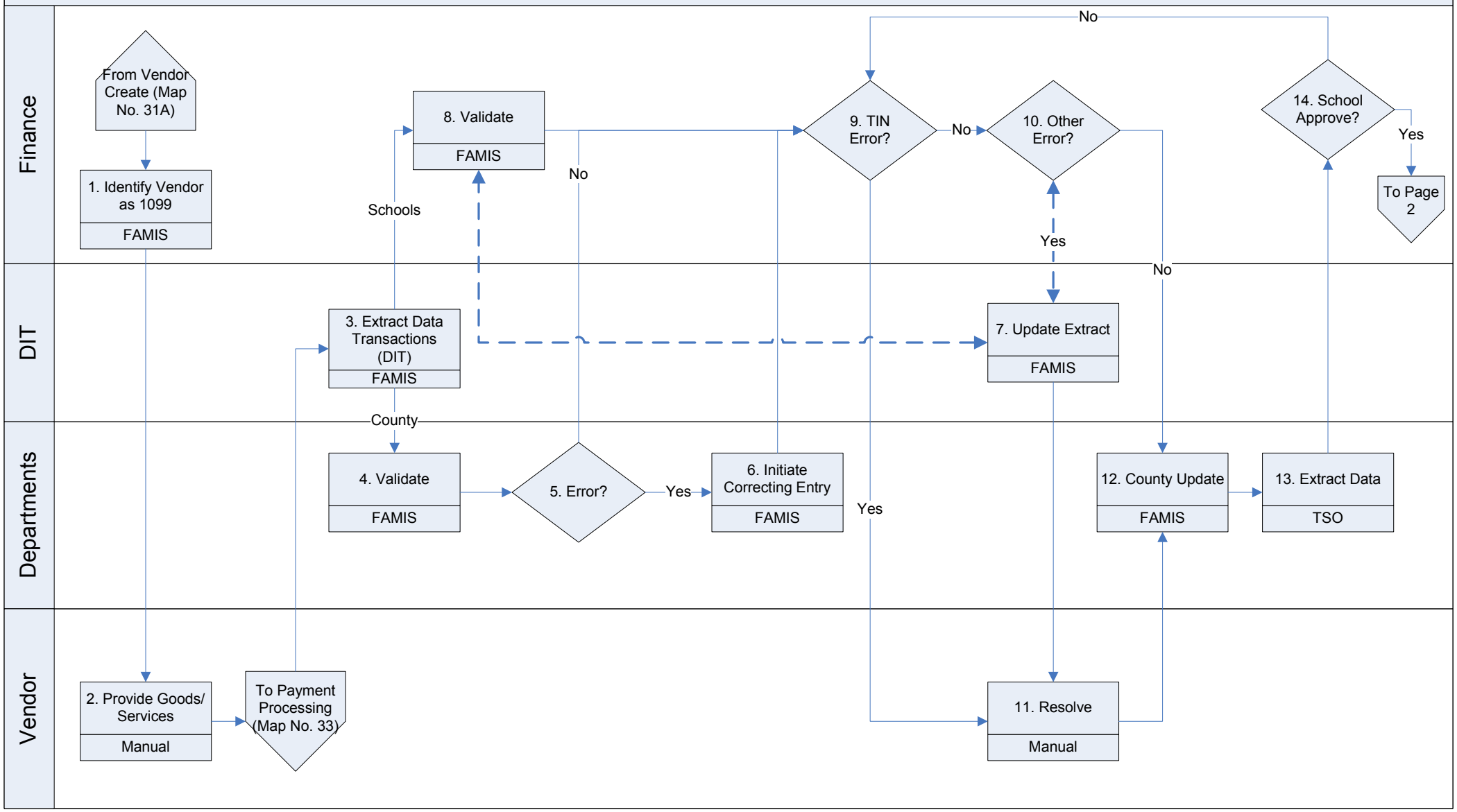
Application/System Name	*Technology Description*
Excel	Spreadsheet
FAMIS	Financial system

Regulations:

o

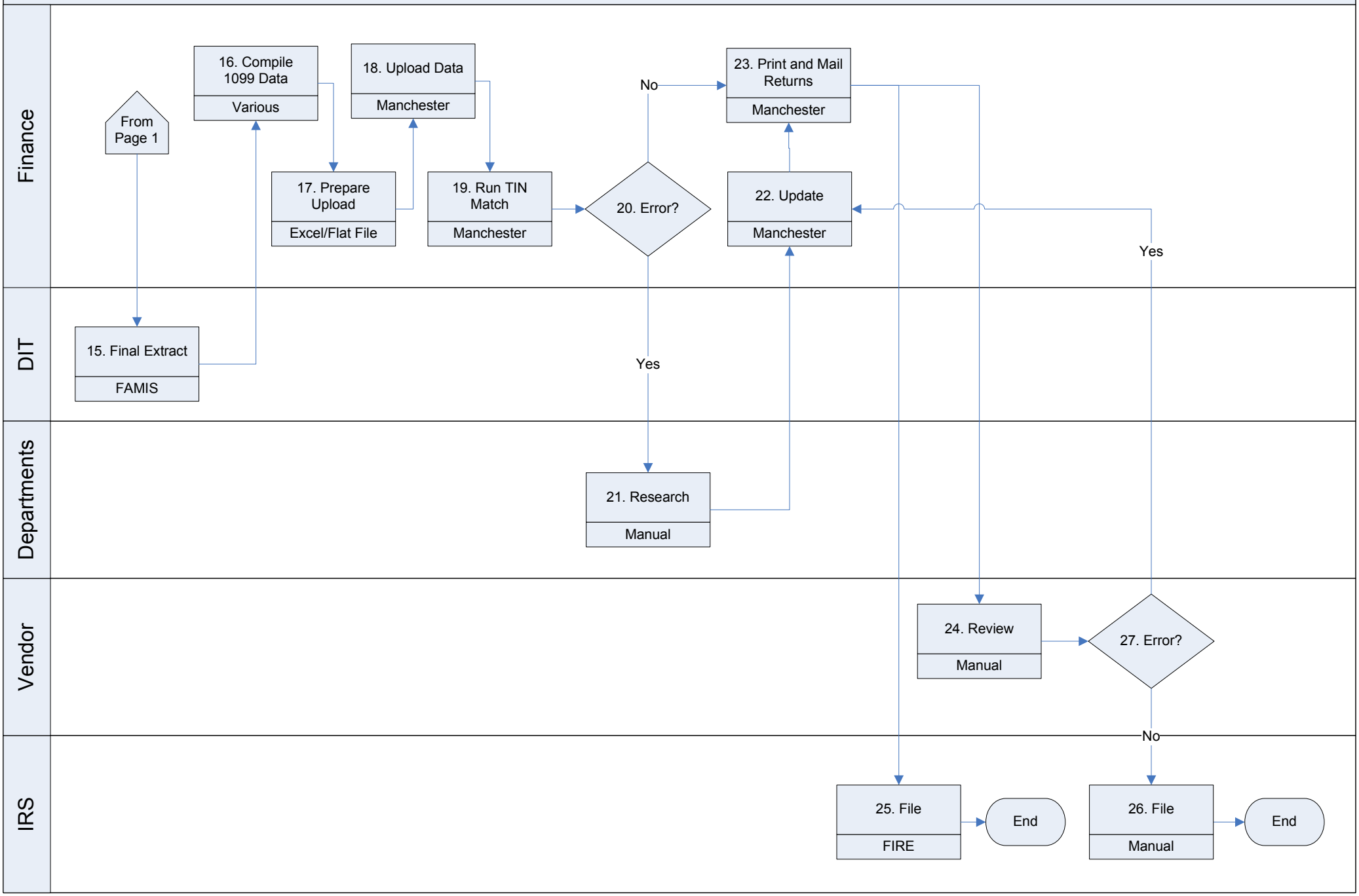
Accounts Payable [FINAL]
Sub-Process: 1099 Processing

Map Name: AP_1099
Map No.: 34



Accounts Payable [FINAL]
Sub-Process: 1099 Processing

Map Name: AP_1099
Map No.: 34



Process Name: Accounts Payable	**Process Identifier:** AP_1099
Sub-Process Name: 1099 Processing	**Map Number:** 34

Sub-Process Purpose and Objectives: Process and report 1099 vendors

Sub-Process Description:

1. Once a vendor is created in FAMIS, they are identified and flagged as 1099 reportable based on W-9 or other forms. **[MAP SHAPE 1]**
2. The vendor provides some good or service and the AP Payment process is initiated. **[MAP SHAPE 2]**
3. County DIT extracts data from FAMIS (based on flagged vendors or pre-identified sub-object code) for Schools and Housing 1098's. County Finance accesses data from FAMIS via DART for County 1099's. **[MAP SHAPE 3]**
4. County Departments receive and review/validate transaction data. If there is an error, the Department reconciles errors and updates FAMIS with a correcting entry. **[MAP SHAPE 4, 5 ,6]**
5. The Schools Finance Office receives data and reviews all transactions internally with some discussions with Departments and/or Vendors. Then another extract is run for Schools (NOTE: This is an iterative, ongoing process throughout the year). **[MAP SHAPE 7, 8]**
6. County Finance does a tax identification number match (TIN match) and solicits information updates from vendors if needed (W-9 request). **[MAP SHAPE 9, 11]**
7. If another error exists, such as a vendor/line item that should be reported in 1099 but is not present in the extract, DIT can manually include (or exclude) the vendor/line item in an updated extract. Again, this is an iterative process throughout the year. **[MAP SHAPE 10, 7]**
8. Once all errors are resolved, County Departments initiate and approve a correcting journal entry for errors related to current fiscal year. Prior fiscal year errors are changed manually by County Finance. **[MAP SHAPE 12]**
9. Schools extract a file in Excel. The file is reviewed by County Finance, and if approved, a final file is extracted by DIT and sent to County Finance to compile. **[MAP SHAPE 13, 14, 15]**
10. County Finance gathers and compiles the Schools file, County file, P-Card files, third party vendor data, and data from other Departments/entities (payroll, Human Services, Reston Community Center, Housing, Shaffer, etc.). After data manipulation and transfer to Excel, the data is uploaded into Manchester Prime. **[MAP SHAPE 16, 17, 18]**
11. Another TIN match is run on all records above designated thresholds. The error records are emailed to Departments, other entities, and Schools for research of errors and submission of corrections. Corrections are made within Manchester. **[MAP SHAPE 19, 20, 21, 22]**
12. 1099 returns are printed from Manchester and mailed to the vendor for review. These returns are ideally correct, but changes may need to be made later. **[MAP SHAPE 23, 24]**
13. A customer service hotline is set up for vendors to call with questions about 1099s and report errors. County Finance investigates the claim and makes any necessary corrections manually within Manchester. FAMIS is updated appropriately, but this is not always completed. **[MAP SHAPE 24, 27, 22]**
14. The 1099s are filed via an upload process to the IRS. **[MAP SHAPE 25, 26]**

NOTE: The Housing Department's 1098 process is similar, with discussion and reconciliation of errors with County Finance in an iterative process.
NOTE: Process is similar for 1042-S's for foreign entities with U.S. Sourced Income.

Triggers:
- 1099 eligible vendor provides service/good

Key Process Participants:
- Department of Finance
- Department of Information Technology (DIT)
- Departments
- Vendor
- IRS

Inputs:

Input	*Format*
Extract file from FAMIS	Flat file
Manually reported items from DHR	
Items from the P-Card program	

Outputs:

Output	*Format*
1099 forms sent	Manual (paper)
Filing of 1099s with IRS	Electronic

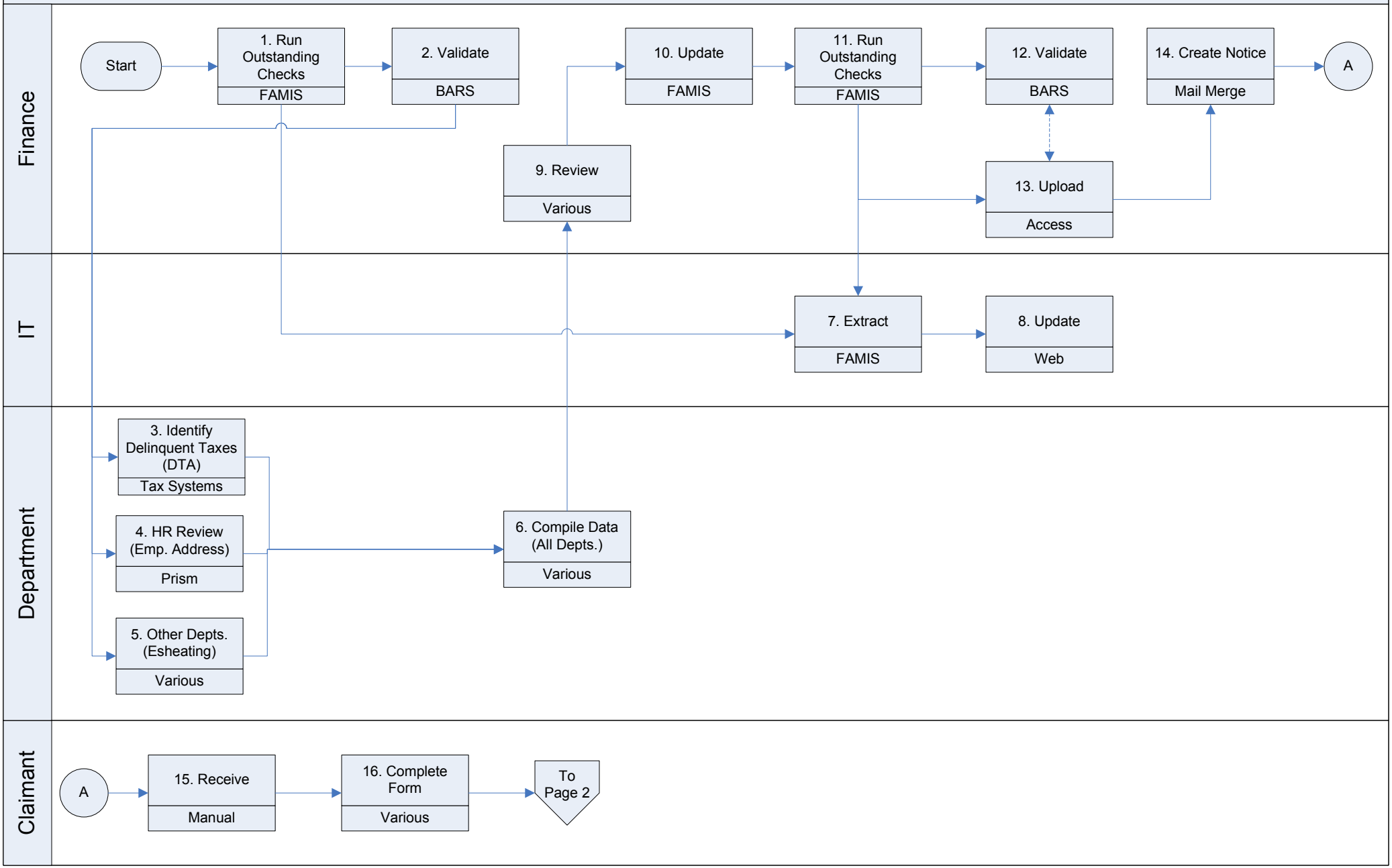
IT Support:

Application/System Name	*Technology Description*
FAMIS	County and Schools financial system
Manchester Prime	Consolidation of records, thresh holding, printing of forms and filing tax data
LPS	Loan Processing System – Housing for 1098. Interfaced with FAMIS
Harmony	Case management and financial transactions for Human Services
FIRE	
Laserfiche	

Regulations:
- IRS regulations, tax code

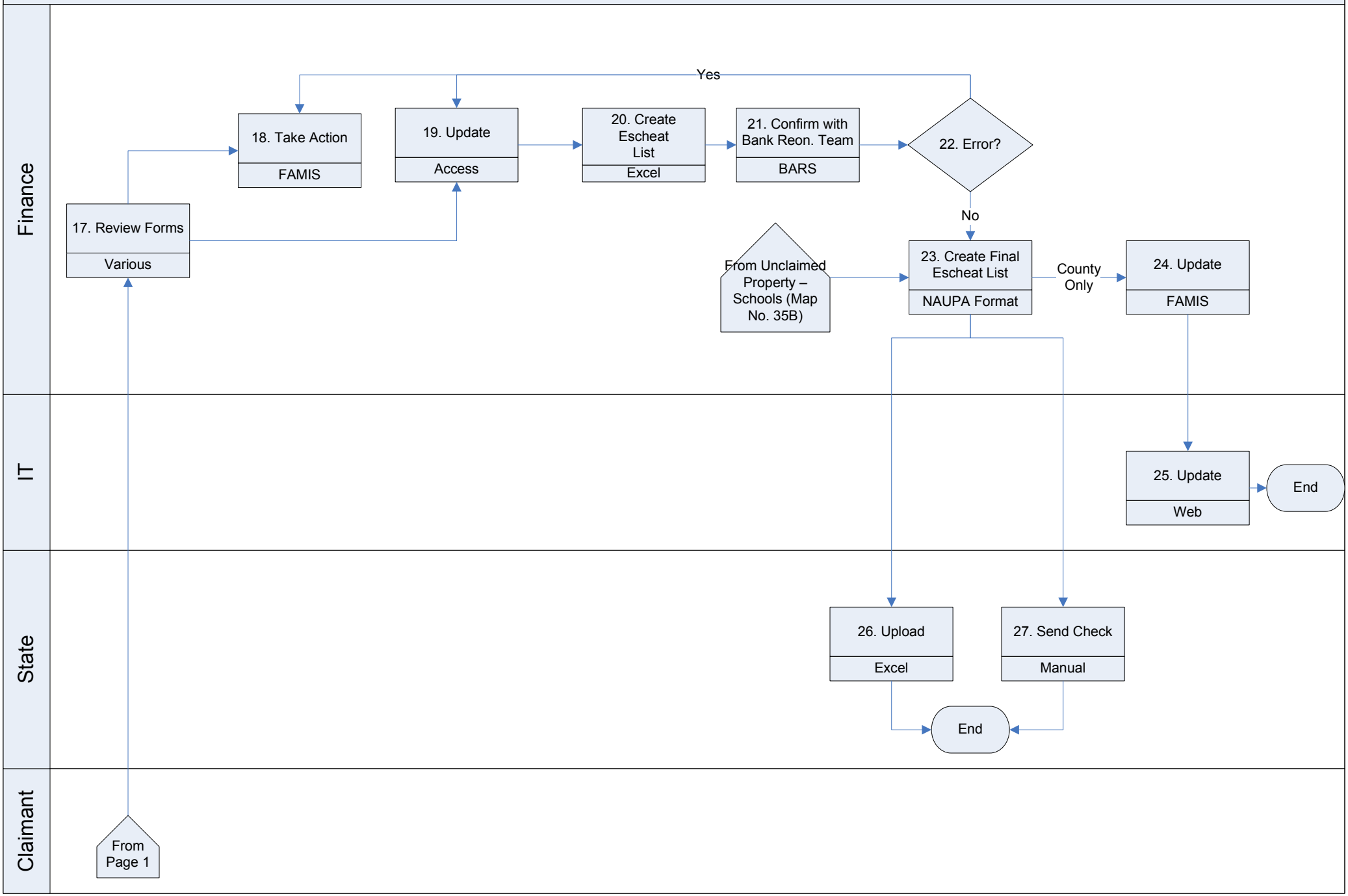
Accounts Payable [FINAL]
Sub-Process: Unclaimed Property – County

Map Name: AP_UNCLAIM_PROP_CNTY
Map No.: 35A



Accounts Payable [FINAL]
Sub-Process: Unclaimed Property – County

Map Name: AP_UNCLAIM_PROP_CNTY
Map No.: 35A



Process Name: Accounts Payable	**Process Identifier:** AP_UNCLAIM_PROP_CNTY
Sub-Process Name: Unclaimed Property – County	**Map Number:** 35A

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. County Finance runs a list from FAMIS of all outstanding checks (January). **[MAP SHAPE 1]**
2. The list is sent to the Bank Reconciliation Section Manager for validation against BARS. **[MAP SHAPE 2]**
3. DIT extracts the outstanding check file from FAMIS and updates the Web site quarterly with outstanding checks filtered for Directors, Board of Supervisors, etc. Claimants submit claims on website. Website submissions are received in an Unclaimed Property mailbox, which is reviewed and validated daily for claims. A letter stating approval or denial is sent to the Claimant. Approved claims are processed and new checks are issued. **[MAP SHAPE 7, 8]**
4. DTA provides a listing of delinquent accounts and Finance IT staff compares this listing with FAMIS outstanding checks in an Access database. From the outstanding check list, Finance extracts the delinquent tax items and sends them to DTA (Tax Administration) and HR (Human Resources). DTA and HR use various tax systems and PRISM to identify delinquent taxes and employee addresses and active employees. Department data is compiled and sent to Finance. **[MAP SHAPE 3, 4, 6]**
5. Simultaneously, the list is also sent to other departments such as the Parks Authority for reviewing. **[MAP SHAPE 5]**
6. Departments review/research the outstanding checks, try to resolve them, and report findings to Finance. Finance acts upon the findings by updating FAMIS with cancel/reissues, stop/no reissue, etc. These updates can be done manually or through a batch process. **[MAP SHAPE 3, 4, 5, 9, 10]**
7. A new outstanding check list is run after six months. This is again validated against BARS. Finance reviews outstanding check list and creates separate excel worksheets for the following four categories: 1. Current year Letters-VA 2. Current year Letters-other states 3. Current year-to be escheated 4. Current year-not reportable. **[MAP SHAPE 11, 12]**
8. Finance IT creates and updates an Access database of outstanding checks, which is used as a case management tool for tracking attempted resolution of issues. Finance validates the new outstanding check list against the database. **[MAP SHAPE 13]**
9. Finance creates a mail merge for due diligence notices. The data is filtered so that Directors, Board of Supervisors, etc. do not receive notices. The notices are printed and mailed. (Printing, folding, and mailing is done at the Mail Services). In addition, a separate notification letter is sent to payees for funds that are not ready for escheatment but are outstanding for states that have a longer withholding period. **[MAP SHAPE 14]**
10. Claimants receive notices. They complete a paper form and return it to Finance (by fax, email, or website). **[MAP SHAPE 15, 16]**
11. Finance receives returned mail from incorrect addresses and forms from claimants. Postal returns are researched to try to find good addresses. Constant research occurs on postal returns, non-responses, and large dollar value outstanding checks throughout the year. **[MAP SHAPE 17]**
12. Finance takes action on the returned forms and updates the Access database and FAMIS. **[MAP SHAPE 18, 19]**
13. Finance creates an escheat list of all unresolved outstanding checks in Excel. The list is again compared to BARS. **[MAP SHAPE 20, 21]**
14. If no errors exist, a final escheat list is created. At this time, the Schools escheat list is sent to County Finance. County Excel file is formatted and coded with required fields for the "NAUPA Standard Electronic File Format". County and Schools files are merged. **[MAP SHAPE 22, 23]**
15. Finance requests that AP cut a check to the State. State required AP-1 form is completed. Check and AP-1 form are prepared for Director of Finance's signature. The escheat list is electronically uploaded to the State system with user ID and password. Check and completed AP-1 form are mailed to Commonwealth of Virginia - Division of Unclaimed Property. **[MAP SHAPE 26, 27]**
16. FAMIS is updated for County information and DIT updates the website. **[MAP SHAPE 24,25]**

Triggers:
- Outstanding check list run from FAMIS

Key Process Participants:
- Departments
- Finance IT
- Finance
- Claimant
- State

Inputs:

Input	*Format*
Outstanding check list	FAMIS
Forms received from claimants	Manual (paper)
Website Hits	Electronic

Outputs:

Output	*Format*
Escheat list and check submitted to state	Electronic

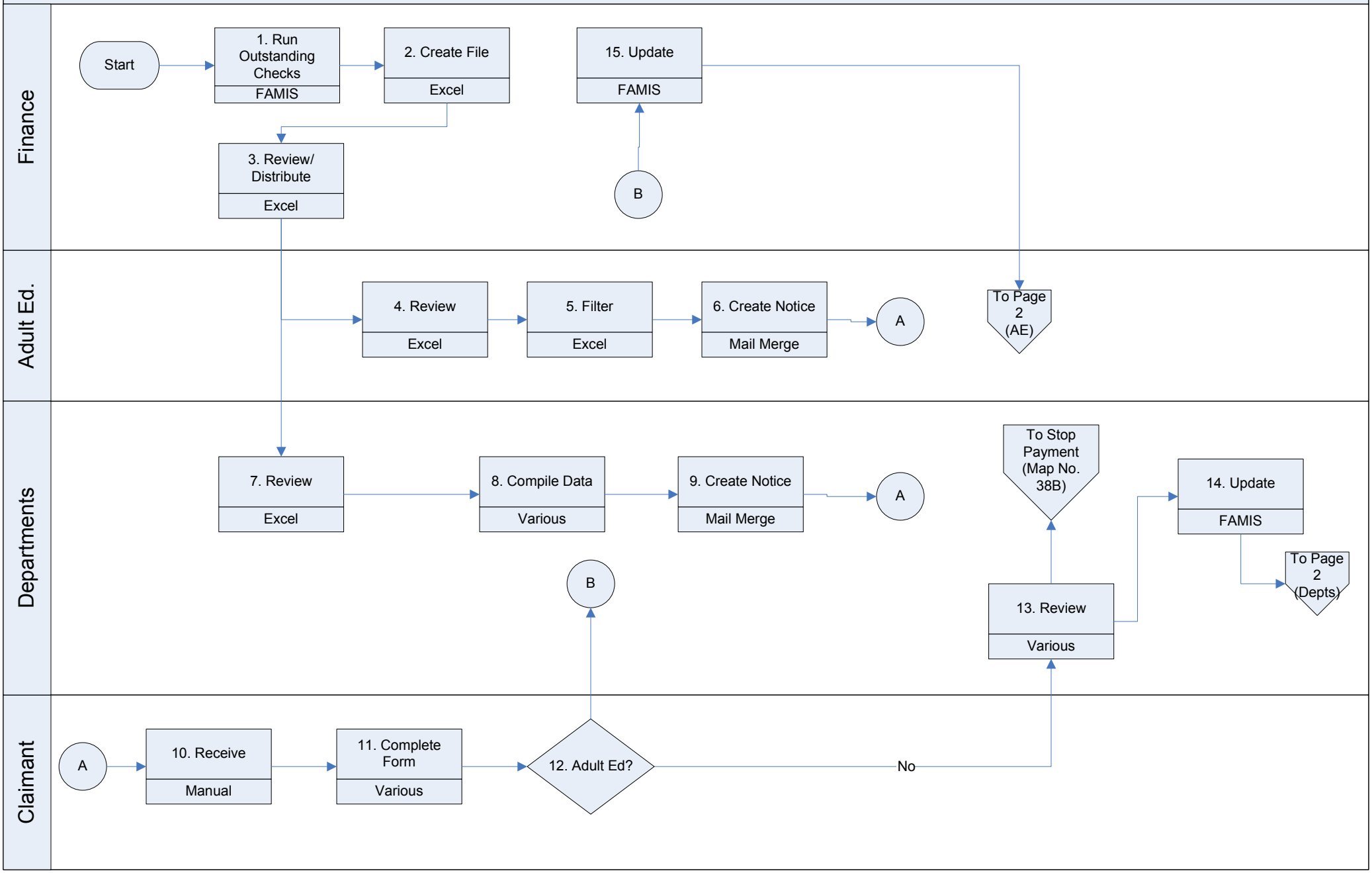
IT Support:

Application/System Name	*Technology Description*
Tax systems	Various
FAMIS	Financial system
PRISM	Human resource system
BARS	Bank reconciliation tool
Access/Excel	Database/Spreadsheets

Regulations:
- Different states have different dormancy periods and different due diligence requirements. Therefore, Finance needs to know the Unclaimed Property Laws of all the States and needs to follow the separate State law requirements.

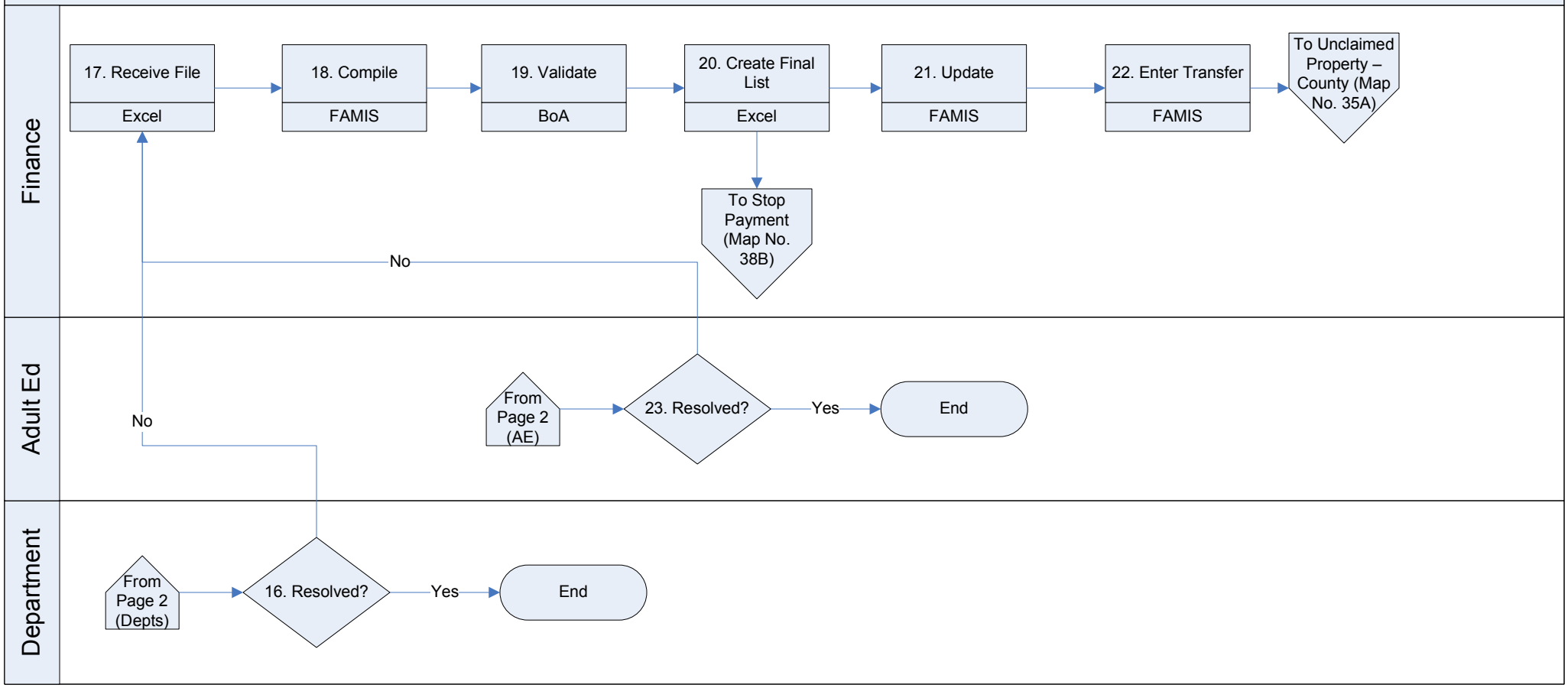
Accounts Payable [FINAL]
Sub-Process: Unclaimed Property – Schools

Map Name: AP_UNCLAIM_PROP_SCH
Map No.: 35B



Accounts Payable [FINAL]
Sub-Process: Unclaimed Property – Schools

Map Name: AP_UNCLAIM_PROP_SCH
Map No.: 35B



Process Name: Accounts Payable	**Process Identifier:** AP_UNCLAIM_PROP_SCH
Sub-Process Name: Unclaimed Property – Schools	**Map Number:** 35B

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Annually, Finance runs a list from FAMIS of all checks outstanding. An Excel file of the data is created. **[MAP SHAPE 1, 2]**
2. From the list, Finance reviews and distributes the outstanding check data to the appropriate departments (AP, food services, payroll, etc.). **[MAP SHAPE 3]**
3. Departments review and research their outstanding checks. Each department does its own due diligence process (filter the checks based on dollar amount, complete a mail merge, send letters, communicate with claimants, complete stop payments/reissues requests, and send escheat list to Finance). **[MAP SHAPE 7, 8, 9, 10]**
4. Claimants receive notice, complete a form, and return the form to the department for review and update of FAMIS. When issues are resolved and checks are claimed, the process ends. **[MAP SHAPE 10, 11, 13, 14, 16]**
5. Note that most departments (payroll, food services, and others) do their own stop payment and reissues, while Adult Education sends these requests to Finance. Finance updates FAMIS with stop payments and reissues for Adult Education. When issues are resolved and checks are claimed, the process ends. **[MAP SHAPE 4, 5, 6, 10, 11, 12, 15, 23]**
6. Departments send a final escheat spreadsheet of all unresolved cases to Finance. Finance compiles data to submit to the State. **[MAP SHAPE 17, 18]**
7. Finance compares the list against the bank reconciliation in the Bank of America system. Any errors are researched. **[MAP SHAPE 19]**
8. A final escheat list is created in Excel. Stop payments and reissues are completed in FAMIS. FAMIS is updated. **[MAP SHAPE 20, 21]**
9. The final Schools escheat list is sent to the County and the funds are transferred through interagency transfer in FAMIS. This merges with the end of the County Unclaimed Property process. **[MAP SHAPE 22]**

NOTE: County and Schools file the escheat list together because they have the same tax ID number.
NOTE: Finance does not perform the Stop Payment Process for Schools Payroll. Schools Payroll is responsible for the Stop Payment Process with respect to all payroll checks and all vendor checks issued by Payroll.

Triggers:

- ❑ Outstanding check list run from FAMIS

Key Process Participants:

- ❑ Departments
- ❑ Finance
- ❑ Claimant
- ❑ State

Inputs:

Input	***Format***
Outstanding check list	FAMIS

Outputs:

Output	***Format***
Escheat list sent to County Finance	Excel

IT Support:

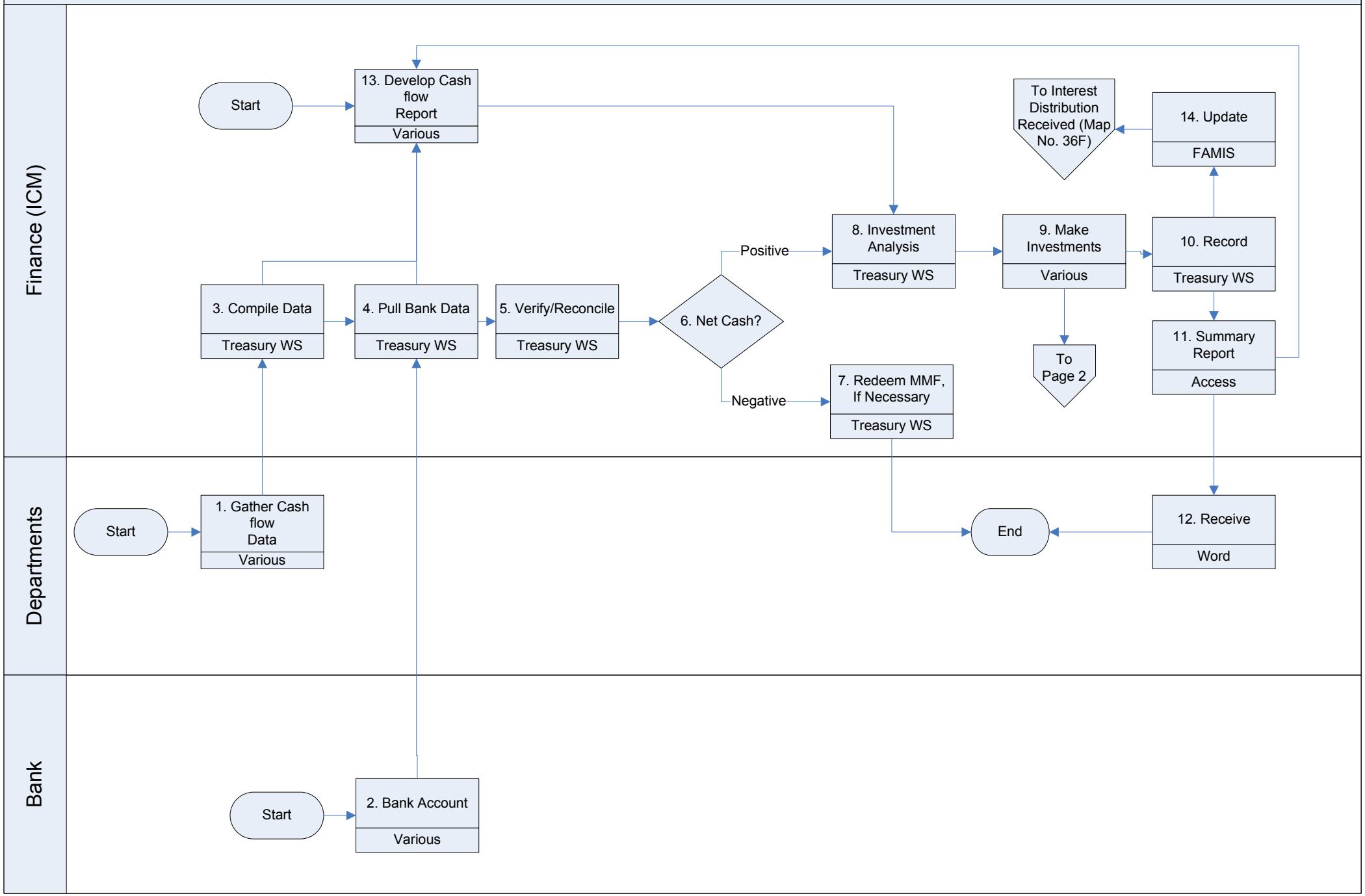
Application/System Name	***Technology Description***
FAMIS	Financial system
Excel	Spreadsheet

Regulations:

- State laws for due diligence

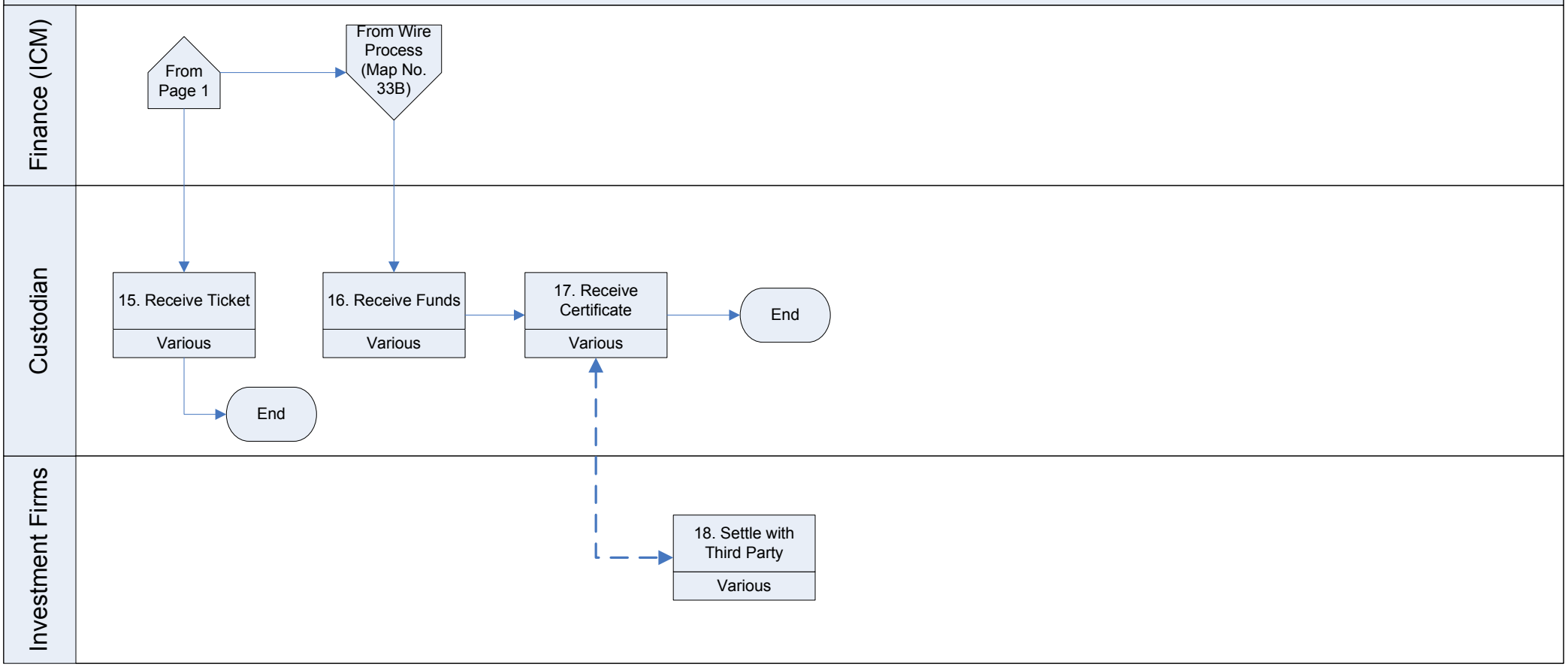
Treasury Management [FINAL]
Sub-Process: Cash Management – Investments (Pooled Portfolio)

Map Name: TM_CASH_INVEST_POOL
Map No.: 36A



Treasury Management [FINAL]
Sub-Process: Cash Management – Investments (Pooled Portfolio)

Map Name: TM_CASH_INVEST_POOL
Map No.: 36A



Process Name: Treasury Management	**Process Identifier:** TM_CASH _INVEST _POOL
Sub-Process Name: Cash Management – Investments (Pooled Portfolio)	**Map Number:** 36A

Sub-Process Purpose and Objectives: Invest pooled cash

Sub-Process Description:

1. Departments gather cash flow data and send it to the Finance Office (Investment and Cash Management). Finance tracks this cash flow data throughout the year within Treasury Workstation. Access is used to create a report of cash flow trends. **[MAP SHAPE 1, 3, 13]**
2. Prior day and current day transaction data is extracted from the bank system, which is loaded into Treasury Workstation in an automated job every the morning. Note that many bank accounts feed into one concentration account for the County and Schools. **[MAP SHAPE 2, 4]**
3. Finance runs high level reports from the bank system to verify and reconcile the beginning balances, etc. in Treasury Workstation. **[MAP SHAPE 5]**
4. Treasury workstation calculates net cash position for the day based on the bank activity. **[MAP SHAPE 6]**
5. If the net cash position is negative, money market investments are redeemed to cover the shortfall, if necessary. **[MAP SHAPE 7]**
6. If the net cash position is positive, Finance researches investment options (look at Bloomberg, the market, cash flow report, interest rates, investment policies, Code of Virginia, types of investments, known upcoming outflows, etc.). The investment decision is made and the money is invested. **[MAP SHAPE 8, 9]**
7. An Investment ticket is created, signed within Finance, and faxed to the investment custodian who settles the transaction. Finance wires funds to the custodian to cover investments, and the custodian wires funds to settle the investment with institutions or firms. The custodian holds the investments. (NOTE: This process reverses when an investment matures) **[MAP SHAPE 15, 16, 17, 18]**
8. Investment information is entered into Treasury Workstation. A system generated journal entry (including all sweeps, investments, interest income, disbursements, etc.) is uploaded to FAMIS. **[MAP SHAPE 10, 14]**
9. Finance creates a management report through Access and Treasury Workstation which is exported into Word. Narrative detail of the day's investment activity is included in the report. **[MAP SHAPE 11]**
10. The management report (Word) is distributed to senior management and certain Department managers. **[MAP SHAPE 12]**
11. Finance (Accounting Operations) completes periodic custodian account reconciliations by reconciling Treasury Work Station, custodian statements, and FAMIS.

NOTE: County ICM handles investments for the both the County and Schools
Retirement in both County and Schools does its own investments, using a separate system.

Triggers:

- Daily transaction data from bank is fed into Treasury Workstation

Key Process Participants:

- Finance (ICM)
- Bank
- Departments
- Investment Custodian
- Investment Firms

Inputs:

Input	*Format*
Department cash flow data	Various
Bank transaction data	Electronic

Outputs:

Output	*Format*
Invested funds	Various
Management report	Word

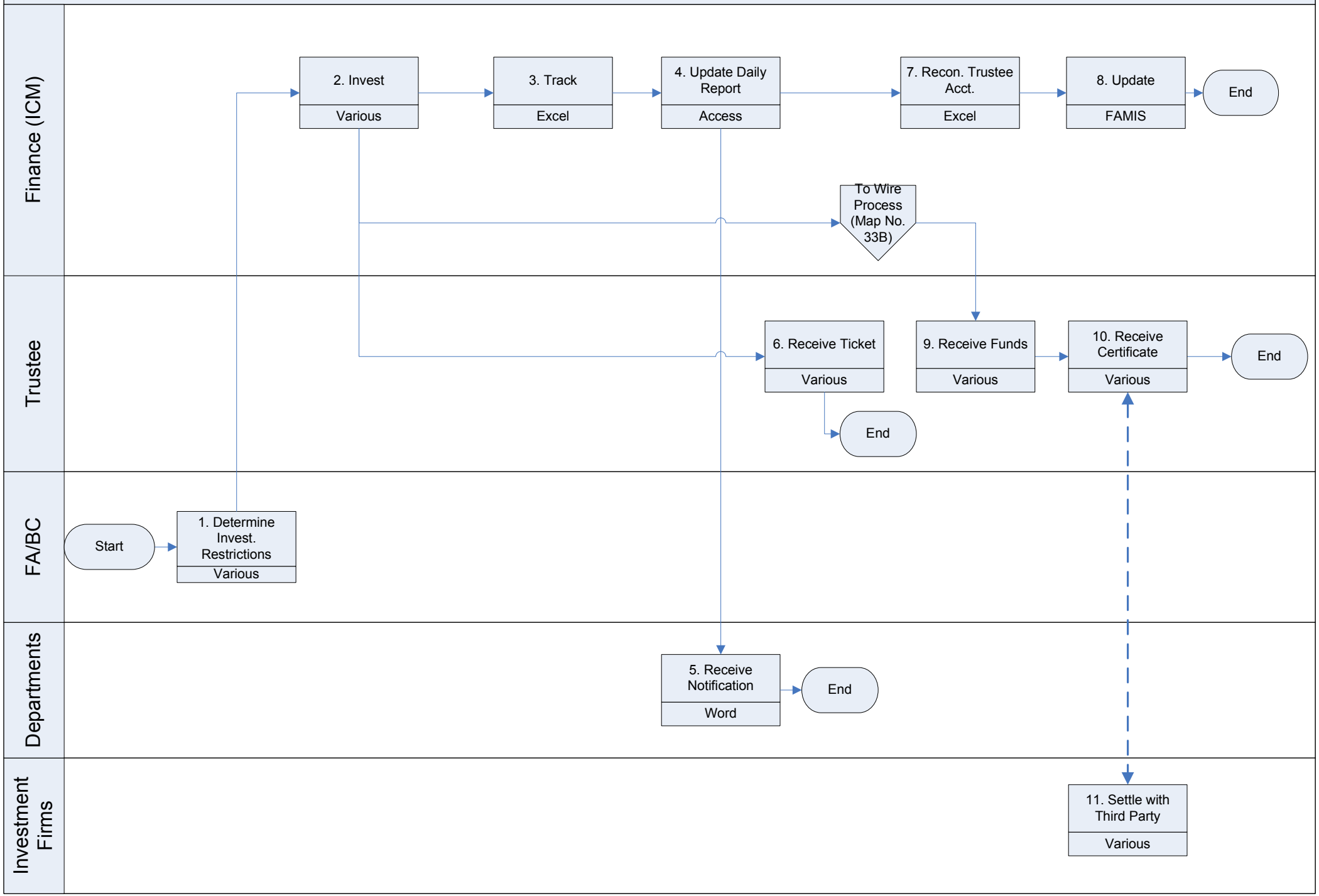
IT Support:

Application/System Name	*Technology Description*
Treasury Workstation	Treasury management system
Access	Database: reports of cash flow from Treasury Workstation data and management report data
Excel	Spreadsheet: tracking data and transactions
Word	Word Processing: creating management report
Bloomberg	Investment research tool

Regulations:

- Investment policy
- Virginia state code

Treasury Management [FINAL] Map Name: TM_CASH_INVEST_RESTRICT
Sub-Process: Cash Management - Investments (Restricted Portfolio) Map No.: 36B



Process Name: Treasury Management	**Process Identifier:** TM_CASH_INVEST _RESTRICT
Sub-Process Name: Cash Management – Investments (Restricted Portfolio)	**Map Number:** 36B

Sub-Process Purpose and Objectives: Invest restricted funds for Departments

Sub-Process Description:

1. Bond documents identify investment rules, requirements, and restrictions, as determined by bond counsel and/or financial advisors. **[MAP SHAPE 1]**
2. Finance (Investments and Cash Management) makes investments, following bond document instructions. **[MAP SHAPE 2]**
3. An Investment ticket is created, signed within Finance and faxed to the trustee who settles the transaction. Finance wires funds to the trustee to cover investments, and the trustee wires funds to settle the investment with institutions or firms. The trustee holds the investments. The trustee keeps the money upon maturity (NOTE: One investment has a required reserve – interest earned or balance above a minimum balance requirement is returned to the County by wire and is then distributed to the appropriate Department) **[MAP SHAPE 6, 9, 10, 11]**
4. Finance tracks restricted pool investment data in Excel **[MAP SHAPE 3]**
5. Restricted pool transactions are reported in the daily pooled investment management report. **[MAP SHAPE 4]**
6. Appropriate Departments receive reports of investments made and investment status. **[MAP SHAPE 5]**
7. Finance (Financial Reporting division) completes a trustee account reconciliation and inputs a journal entry of investment activity and interest income into FAMIS. **[MAP SHAPE 7, 8]**

Triggers:

- ❑ Bond documents specify investment restrictions
- ❑ Investment is made

Key Process Participants:

- ❑ FA/BC
- ❑ Finance (ICM)
- ❑ Trustee
- ❑ Departments
- ❑ Investment Firms

Inputs:

Input	*Format*
Bond documents	Paper, various

Outputs:

Output	*Format*
Investment is made	Various
Investment status reports	Excel, Word

IT Support:

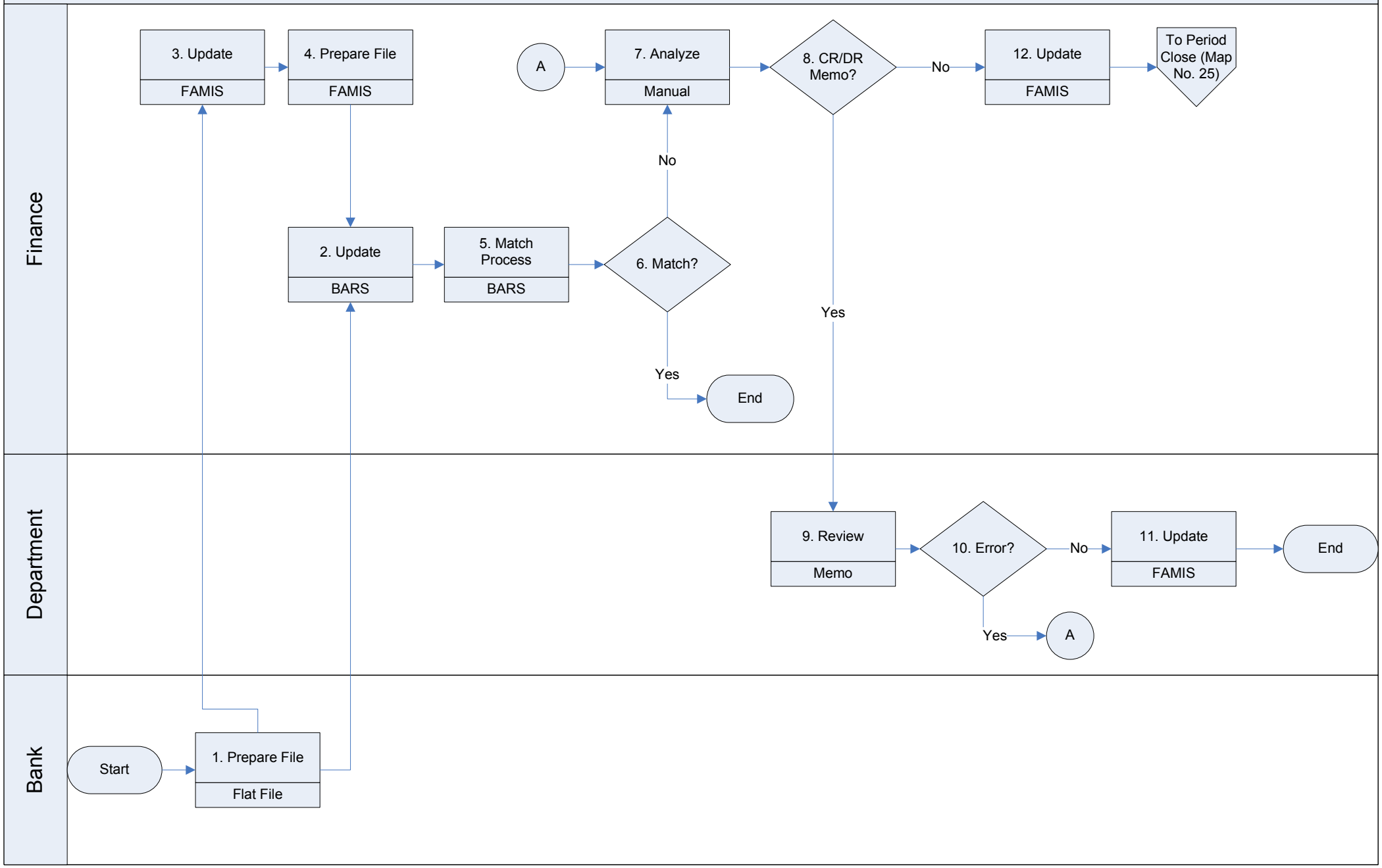
Application/System Name	*Technology Description*
Excel	Spreadsheet: tracking of restricted portfolio investments
Bloomberg	Investment research tool
Word	Word Processing: summary reports for management
FAMIS	Financial system

Regulations:

- Investment policy
- Virginia state code
- Bond counsel/financial advisor restrictions

Treasury Management [FINAL] Map Name: TM_CASH_BANK_RECON_BARS

Sub-Process: Cash Management – Bank Reconciliation (BARS - County) Map No.: 36C



Process Name: Treasury Management	**Process Identifier:** TM_CASH _BANK_RECON_BARS
Sub-Process Name: Cash Management – Bank Reconciliation (BARS – County)	**Map Number:** 36C

Sub-Process Purpose and Objectives: Automated bank reconciliation

Sub-Process Description:

1. Note that for the County only, the in-house developed BARS program completes automated bank reconciliations.
2. BARS retrieves data from the bank and FAMIS (from flat file) daily. Simultaneously, the bank file is also automatically uploaded into FAMIS. **[MAP SHAPE 1, 2, 3, 4]**
3. Using certain keys (check number, amount, etc.), data from FAMIS and the bank is matched automatically (on average 80% of transactions are matched). If the transactions are matched, the process for that transaction ends. **[MAP SHAPE 5, 6]**
4. Unmatched transactions are analyzed and are matched manually by Finance (bank reconciliation division) using the BARS Access database. **[MAP SHAPE 7]**
5. Unmatched credit/debit memos are sent to the appropriate Departments. **[MAP SHAPE 8]**
6. The Departments review and research these items. If the bank information is found to be correct, the Departments complete a correcting journal entry in FAMIS. **[MAP SHAPE 9, 10, 11]**
7. If the bank is found to be incorrect, Finance confers/coordinates with the bank to research and reconcile the differences. Finance makes any required journal entries to FAMIS after this process. **[MAP SHAPE 10, 7, 12]**
8. Monthly, consolidated entries for credit card charges are made by either Finance or Departments.
9. At the end of the month, Finance verifies that their work is correct. This process then moves into the period closing process.

Triggers:

- ❑ BARS retrieves transaction data from FAMIS and the bank
- ❑ BARS completes automated matching process

Key Process Participants:

- ❑ Finance
- ❑ Bank
- ❑ Departments

Inputs:

Input	*Format*
Bank and FAMIS transaction data	Electronic

Outputs:

Output	*Format*
Correcting journal entries	FAMIS
Reconciled accounts	Manual

IT Support:

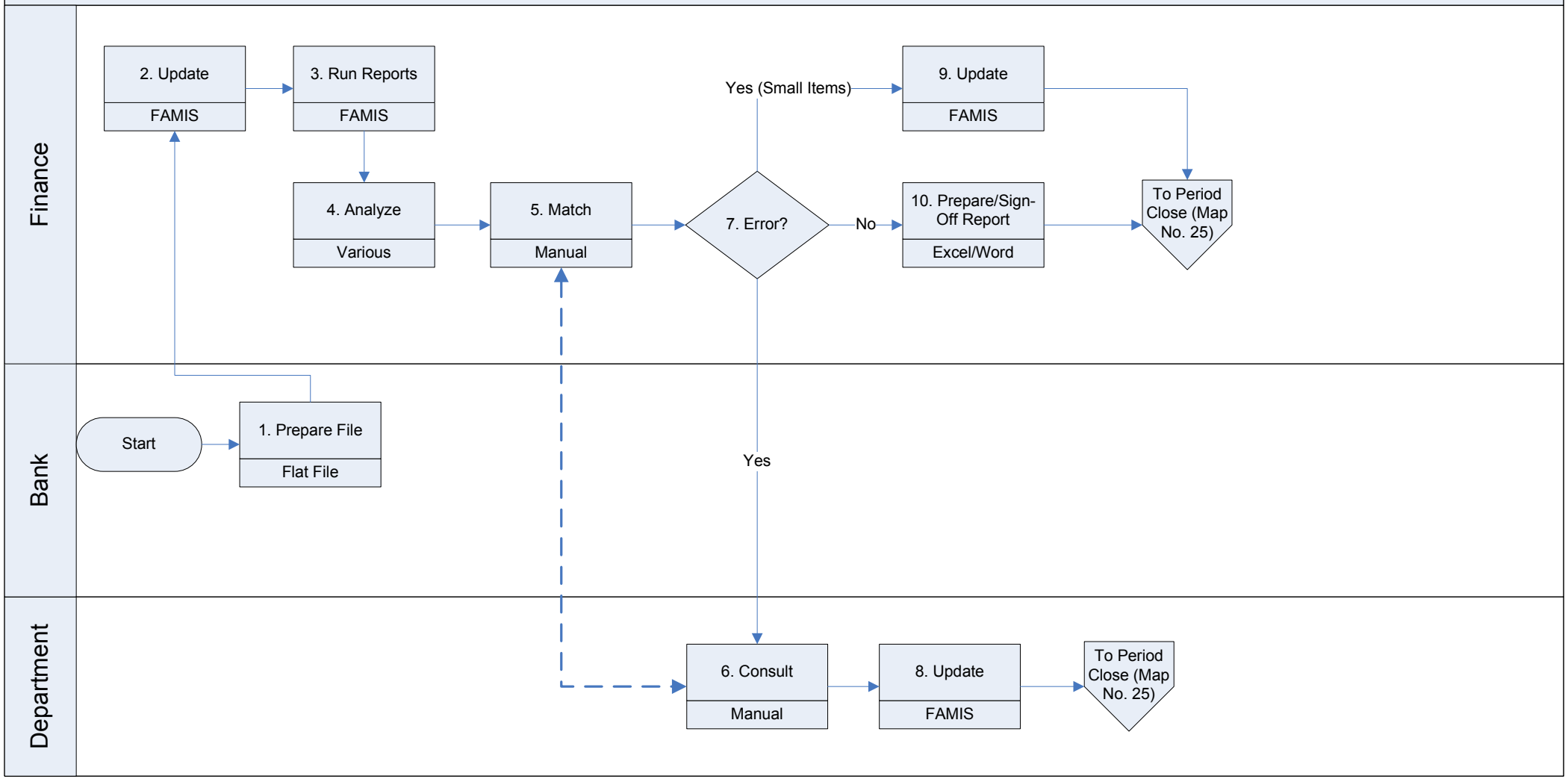
Application/System Name	*Technology Description*
Access	Database
Excel	Spreadsheet
BARS	Bank account reconciliation system. Access-based (County only)

Regulations:

- ▪

Treasury Management [FINAL] Map Name: TM_CASH_BANK_RECON_MANUAL

Sub-Process: Cash Management – Bank Reconciliation (Manual) Map No.: 36D



Process Name: Treasury Management	**Process Identifier:** TM_CASH_BANK_RECON_MANUAL
Sub-Process Name: Cash Management – Bank Reconciliation (Manual)	**Map Number:** 36D

Sub-Process Purpose and Objectives: Manual bank reconciliation

Sub-Process Description:
NOTE: This process pertains to County non-Bank of America accounts and all School accounts.

1. FAMIS is updated with information from the bank (disbursements only). **[MAP SHAPE 1, 2]**
2. Finance runs reports within FAMIS. **[MAP SHAPE 3]**
3. The reports are analyzed and manually matched against bank statements monthly (from data warehouse or Report Max). **[MAP SHAPE 4, 5]**
4. Some Departments (ex: food service) provide input during the match process. **[MAP SHAPE 6]**
5. For small errors, Finance makes adjustments in FAMIS. For large errors, the initiating Department is notified. Departments research large items and make adjustments in FAMIS. For the County, all adjustments are made by Departments, not by Finance. For Schools, Finance notifies Payroll of any errors (both small and large items) with respect to the Payroll Bank Account. The Payroll Department researches all items and makes adjustments in FAMIS for both small errors and large errors. The bank also performs research on errors. **[MAP SHAPE 7, 9, 6, 8]**
6. Once all items are matched and there are no errors, Finance prepares a report in Excel that is reviewed and approved by internal supervisors. The report is sent by memo to the Comptroller. **[MAP SHAPE 10]**

Triggers:
- ❑ Bank information is uploaded to FAMIS
- ❑ Reports are run from FAMIS

Key Process Participants:
- ❑ Finance
- ❑ Bank
- ❑ Departments

Inputs:

Input	*Format*
Reports from bank and FAMIS	Electronic

Outputs:

Output	*Format*
Transactions reconciled	Manual

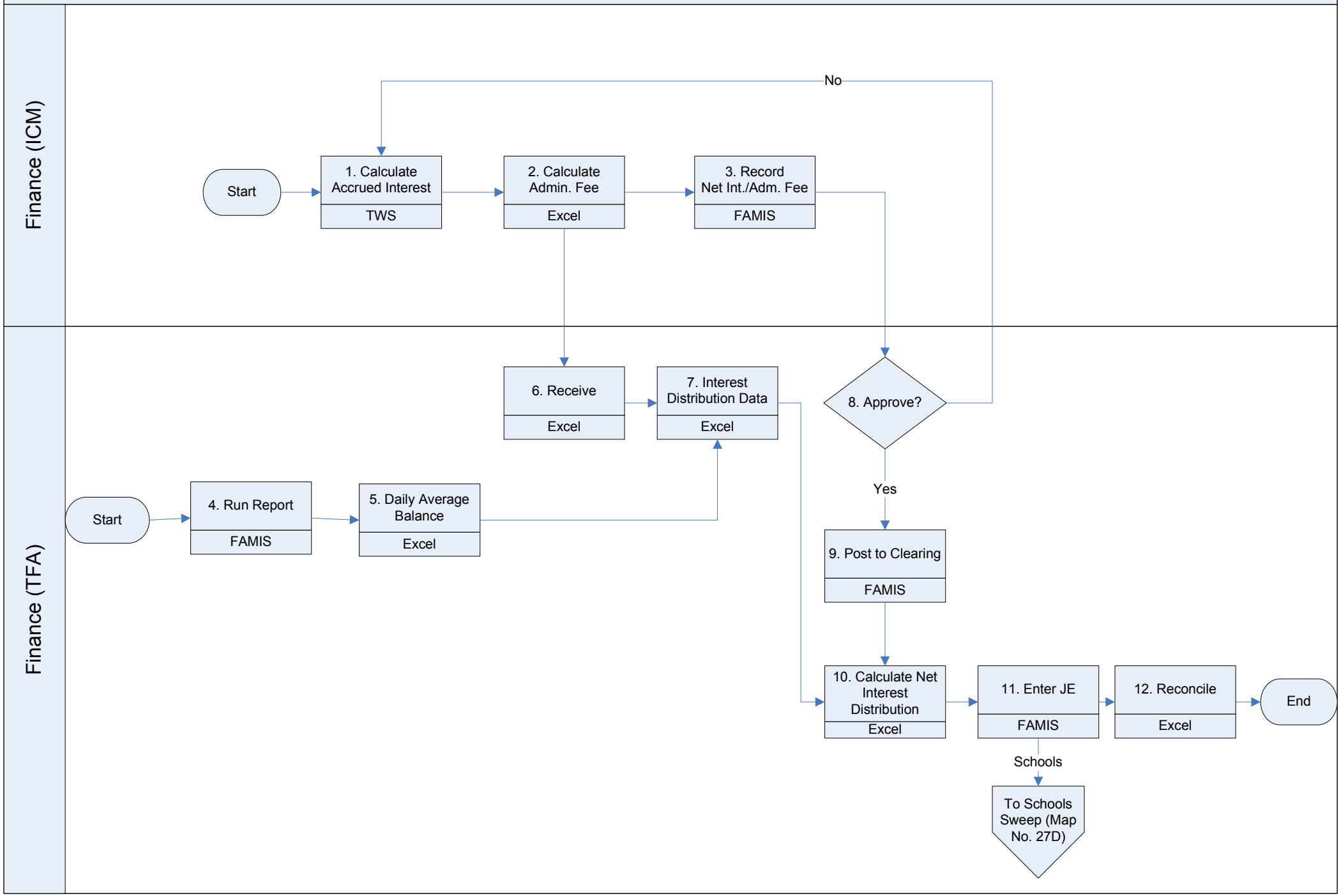
IT Support:

Application/System Name	*Technology Description*
Excel	Spreadsheet – bank reconciliation report
DART/Report Net	Retrieving transaction data
FAMIS	Financial system

Regulations:
- ▪

Treasury Management [FINAL]
Sub-Process: Cash Management – Earned Interest Distribution (Pooled)

Map Name: TM_CASH_INT_DIST
Map No.: 36E



Process Name: Treasury Management	**Process Identifier:** TM_CASH _INT_DIST
Sub-Process Name: Cash Management – Earned Interest Distribution (Pooled)	**Map Number:** 36E

Sub-Process Purpose and Objectives: Distribute earned interest to individual funds

Sub-Process Description:

1. Daily, Treasury Fund Accounting (TFA) downloads a report of average daily balances of Equity in Pooled Cash to Excel from both County FAMIS and Schools FAMIS. This spreadsheet is used to track average daily balances of all portfolios. **[MAP SHAPE 4, 5]**
2. Treasury Workstation generates an accrued interest earned report for the accounting period. The custodian also submits a market value report for the accounting period. Investments and Cash Management (ICM) calculates the administration fee (the charge for ICM services) in Excel, based on market value and the interest reports. Note that three investments in the pooled portfolio are set aside for revenue stabilization. Interest on these investments is backed out prior to calculation of the admin fee and is recorded separately. **[MAP SHAPE 1, 2]**
3. ICM records net interest income and the admin fee in a journal entry to FAMIS. **[MAP SHAPE 3]**
4. The journal entry is sent to TFA for final review and approval. If not approved, the journal entry returns to ICM for recalculation. If approved, the entry is posted to a clearing account in FAMIS. **[MAP SHAPE 8, 1, 9]**
5. TFA compiles the ICM interest income and admin fee data in an interest distribution spreadsheet. **[MAP SHAPE 6, 7]**
6. TFA calculates net interest distribution based on the average daily balances tracked in Excel. **[MAP SHAPE 10]**
7. A journal entry is manually entered and posted in FAMIS to record distribution of interest to individual funds. TFA creates reconciliation spreadsheets for manual reconciliation of accounts. **[MAP SHAPE 11, 12]**
8. After TFA posts the final distribution to FAMIS, Schools post their portion of interest from the sweep process.

NOTE: Departments track their interest income in separate spreadsheets and complete their own reasonableness tests of income distribution.
NOTE: Schools and Departments distribute interest income from fund level into separate accounts, such as scholarship funds and grants/projects as needed

Triggers:
- ❑ End of the accounting period
- ❑ Interest is earned

Key Process Participants:
- ❑ Finance (Treasury Fund Accounting and Investments and Cash Management)
- ❑ Department

Inputs:

Input	*Format*
Average daily balance report and spreadsheet	Excel
Accrued interest earned report	Excel

Outputs:

Output	*Format*
Earned income distributed to funds	FAMIS entry

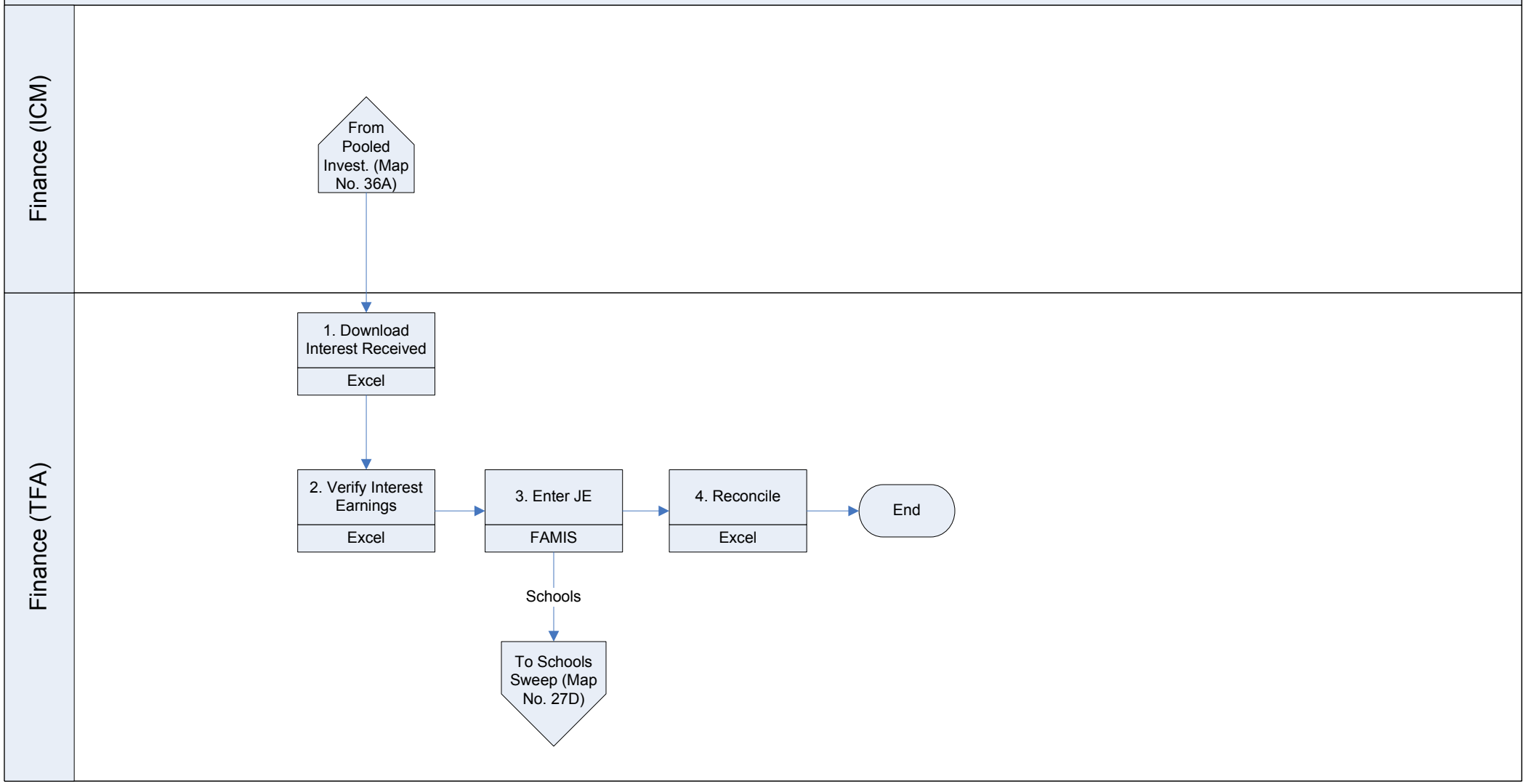
IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
Excel	Spreadsheet – tracking average daily balances and calculating admin fee
TWS	Treasury Work Station

Regulations:
- Board of Supervisors determines which funds get interest as not all funds get interest

Treasury Management [FINAl]
Sub-Process: Cash Management – Interest Received Distribution (Pooled)

Map Name: TM_CASH_INT_REC
Map No.: 36F



Process Name: Treasury Management	**Process Identifier:** TM_CASH _INT_REC
Sub-Process Name: Cash Management – Interest Received Distribution	**Map Number:** 36F
Sub-Process Purpose and Objectives: Distribute interest income	

Sub-Process Description:

1. From pooled investment process, Investments and Cash Management (ICM) generates a report of interest received (maturities, interest, purchases), which is uploaded to FAMIS nightly.
2. Treasury Fund Accounting (TFA) downloads an interest receivable trial balance at month end from FAMIS to Excel. **[MAP SHAPE 1]**
3. TFA verifies interest earnings and checks the balance in the interest received clearing account **[MAP SHAPE 2]**
4. TFA makes a manual journal entry for allocating the interest received to all individual funds on the basis of their interest receivable balances. **[MAP SHAPE 3]**
5. Schools record its interest income through the sweep process.
6. TFA reconciles data among Treasury Workstation, Excel, and FAMIS **[MAP SHAPE 4]**

Triggers:

- Interest is received

Key Process Participants:

- Finance (ICM)
- Finance (TFA)

Inputs:

Input	*Format*
Interest received report	FAMIS

Outputs:

Output	*Format*
Interest income recorded	FAMIS

IT Support:

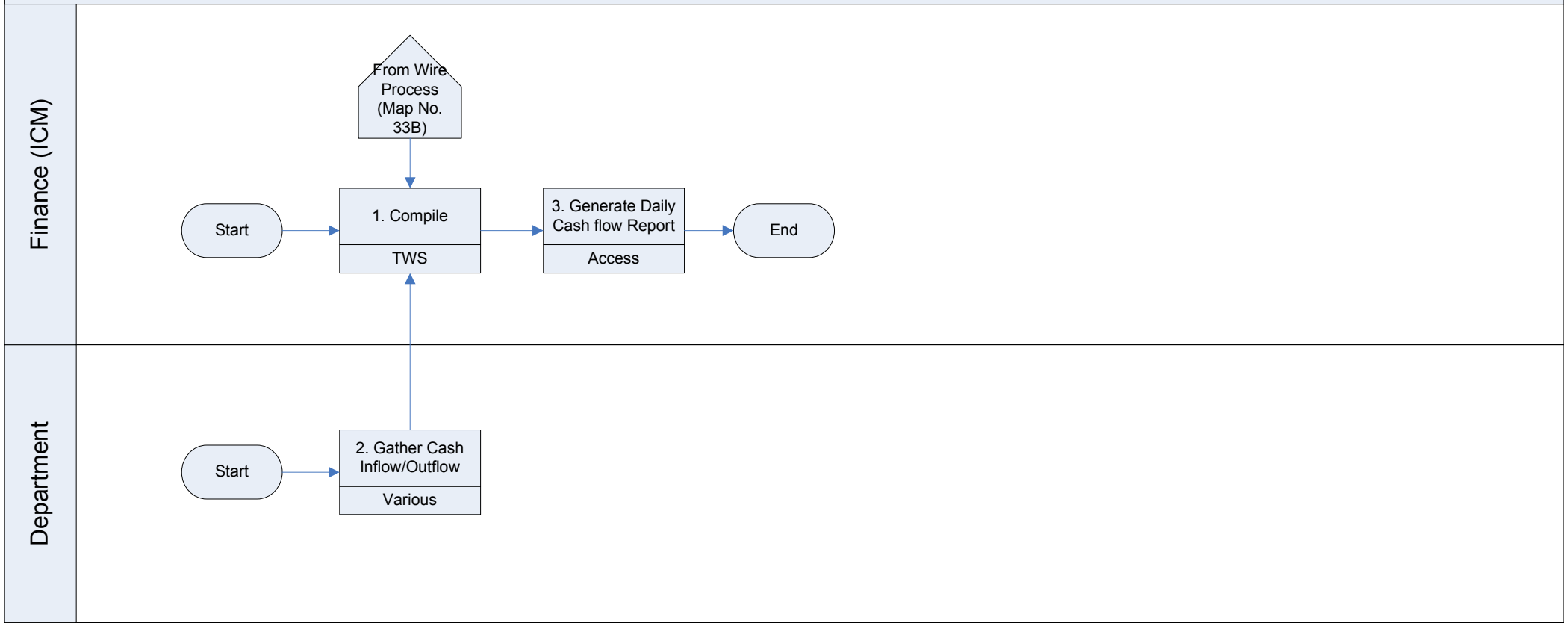
Application/System Name	*Technology Description*
Excel	Spreadsheet – interest receivable trial balance
Treasury Workstation	Treasury system
FAMIS	Financial system

Regulations:

o

Treasury Management [FINAL]
Sub-Process: Cash Management – Forecasting

Map Name: TM_CASH_FORECAST
Map No.: 36G



Process Name: Treasury Management	**Process Identifier:** TM_CASH _FORECAST
Sub-Process Name: Cash Management – Forecasting	**Map Number:** 36G

Sub-Process Purpose and Objectives: Prepare forecast of major cash inflows and outflows

Sub-Process Description:

1. Investment and Cash Management (ICM) manually compiles and inputs cash inflow and outflow information into the Treasury Workstation system whenever data is submitted by Departments (including salaries and payroll dates, debt service and bond sales, retirement pay dates, tax revenues, and ingoing and outgoing short term wires and ACH). **[MAP SHAPE 1, 2]**
2. Cash flow info from Treasury Workstation is downloaded into Access to create a daily cash flow report. **[MAP SHAPE 3]**
3. The Access cash flow report goes out as far as there are maturities and/or cash flow information

Triggers:

- Departments submit cash inflow and outflow information

Key Process Participants:

- Finance (ICM)
- Departments

Inputs:

Input	*Format*
Cash flow information	Various

Outputs:

Output	*Format*
Daily cash flow report	Access

IT Support:

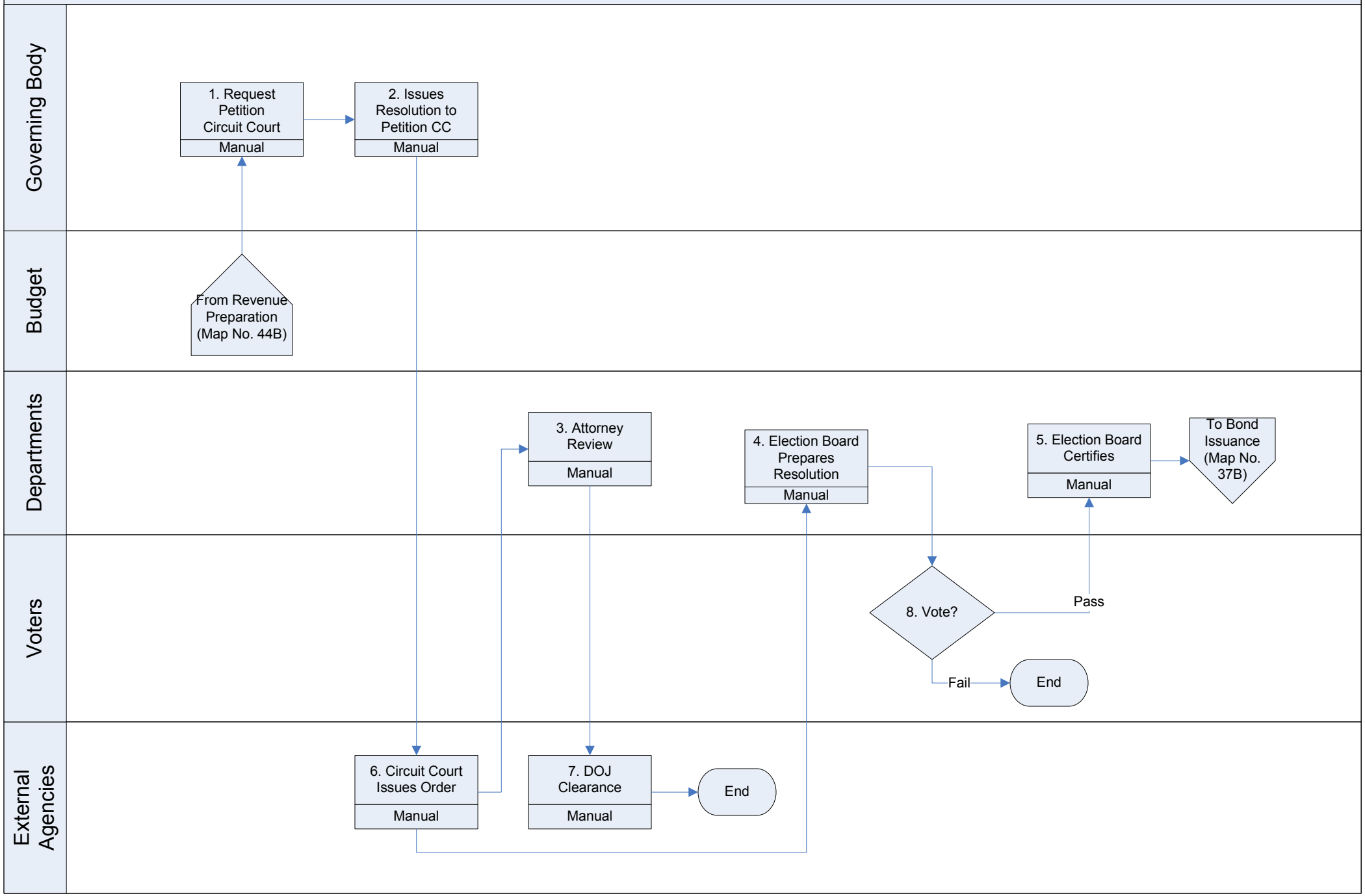
Application/System Name	*Technology Description*
Treasury Workstation	Treasury management system
Access	Database: daily cash flow report

Regulations:

o

Treasury Management [FINAL]
Sub-Process: Debt Management – Bond Authorization (General Obligation)

Map Name: TM_DEBT_BOND_AUTH
Map No.: 37A



Process Name: Treasury Management	**Process Identifier:** TM_DEBT_BOND_AUTH
Sub-Process Name: Debt Management – Bond Authorization (General Obligation)	**Map Number:** 37A

Sub-Process Purpose and Objectives: Bond authorization process

Sub-Process Description:

1. The process starts with the development of the Five Year CIP Plan by Budget.
2. A list of projects for which debt is to be issued in the upcoming year is sent to the Governing Body for approval and a request to petition the Circuit Court for an election. **[MAP SHAPE 1]**
3. The Governing Body issues the petition to the Circuit Court. **[MAP SHAPE 2]**
4. The County Court orders an election to be held. **[MAP SHAPE 6]**
5. The County Attorney reviews the election order from the Circuit Court. **[MAP SHAPE 6, 3]**
6. The County Attorney sends the election order to the Department of Justice for review and clearance. **[MAP SHAPE 7]**
7. Simultaneously with the Circuits Courts sending the election order to the County Attorney it is also sent to the Board of Election for ballot preparation. **[MAP SHAPE 6, 4]**
8. The Board of Elections puts the debt authorization resolution on the ballot. **[MAP SHAPE 8]**
9. If the voters do not pass the bond issue resolution the process ends. **[MAP SHAPE 8]**
10. If the voters pass the bond issue resolution, the Board of Elections certifies the vote and the bonds can be issued. **[MAP SHAPE 5]**

Triggers:

- ❑ CIP Plan
- ❑ Request for petition to the Circuit Court
- ❑ Review by County Attorney
- ❑ Review by DOJ
- ❑ Action of Voters
- ❑ Certification by Board of Elections

Key Process Participants:

- ❑ Governing Body
- ❑ Budget
- ❑ Departments
- ❑ Voters
- ❑ External Agencies

Inputs:

Input	*Format*
CIP Plan	Document
Circuit Court petition	Document
DOJ review	Document
Vote	Ballot

Outputs:

Output	*Format*
Debt issue projects	Document
Order for an election	Document
Resolution passes or fails	Bond issue if passed

IT Support:

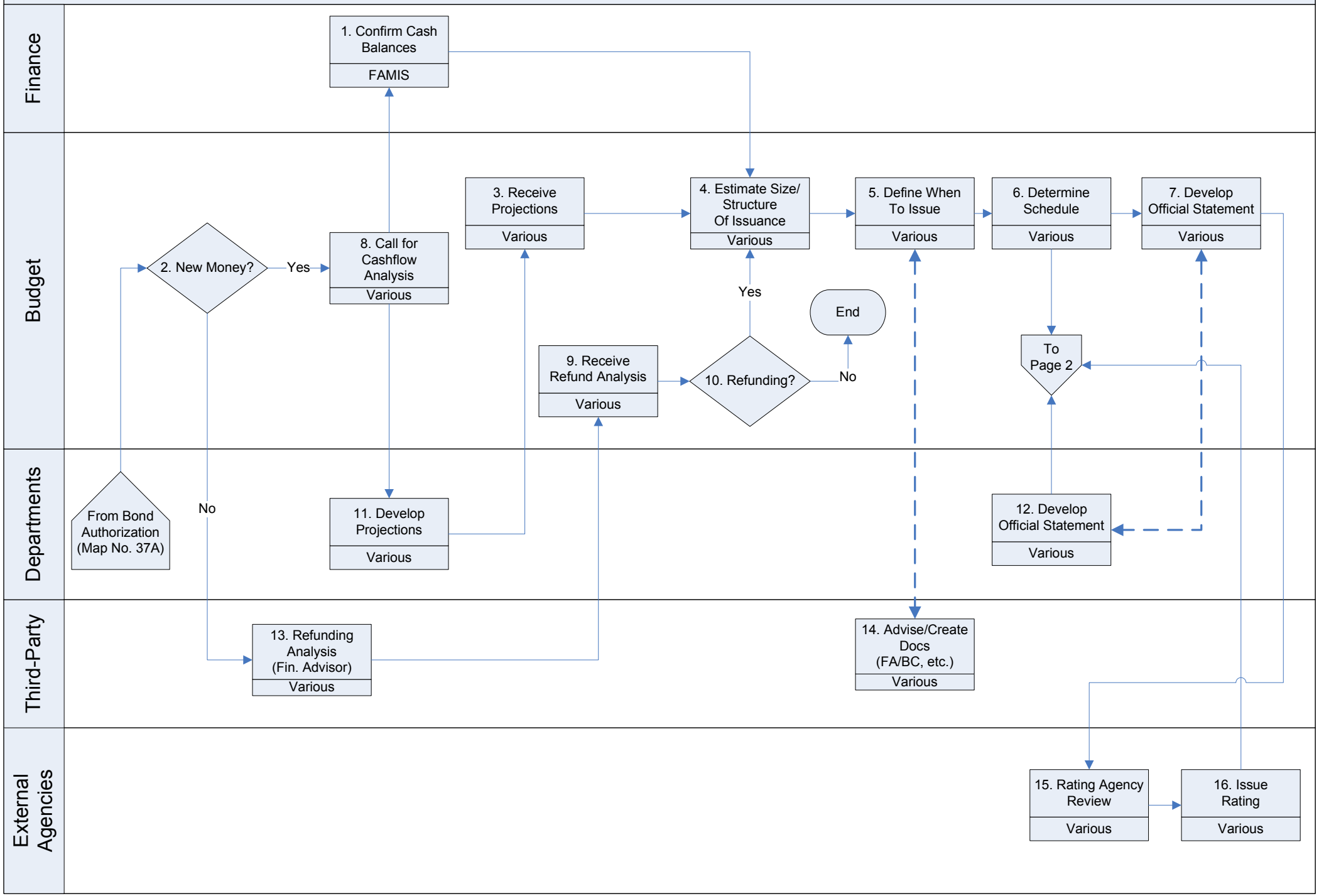
Application/System Name	*Technology Description*
NA	

Regulations:

o

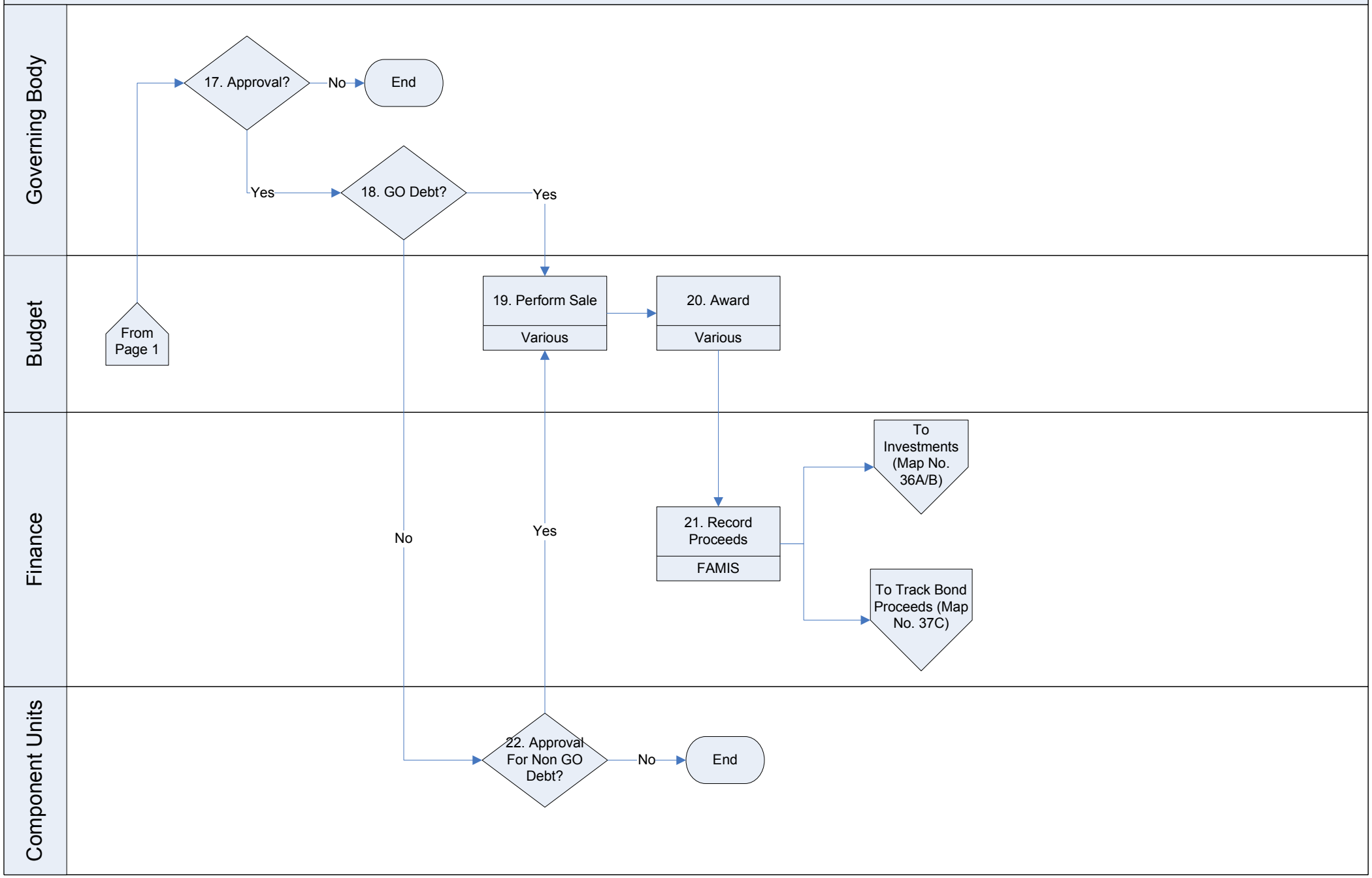
Treasury Management [FINAL]
Sub-Process: Debt Management – Bond Issuance

Map Name: TM_DEBT_BOND_ISSUE
Map No.: 37B



Treasury Management [FINAL]
Sub-Process: Debt Management – Bond Issuance

Map Name: TM_DEBT_BOND_ISSUE
Map No.: 37B



Process Name: Treasury Management	**Process Identifier:** TM_DEBT_ BOND_ISSUE
Sub-Process Name: Debt Management – Bond Issuance	**Map Number:** 37B
Sub-Process Purpose and Objectives: Process for issuing debt	

Sub-Process Description:

1. Budget reviews the cash needs. **[MAP SHAPE 2]**
2. Simultaneously, Budget requests the Financial Advisor to do an analysis to determine if there are any refunding opportunities for existing debt. **[MAP SHAPE 13]**
3. The Financial Advisor performs the refunding analysis and sends the report to Budget. **[MAP SHAPE 9]**
4. If the report determines that there are no viable refunding opportunities that process ends. **[MAP SHAPE 10]**
5. If new money is needed, Budget requests a cash flow analysis from the Departments. **[MAP SHAPE 8]**
6. The Budget cash flow analysis request is sent to the various Departments requesting them to develop their cash flow projections. **[MAP SHAPE 11]**
7. Meanwhile, Budget has sent a request to Finance to confirm all fund cash balances. **[MAP SHAPE 1, 4]**
8. Department projections are sent back to Budget. **[MAP SHAPE 3, 4]**
9. If the Financial Advisor determines there is a refunding opportunity of an existing bond issue, that information is provided to Budget. **[MAP SHAPE 10, 4]**
10. Budget reviews all of these inputs to determine the approximate size and structure of the debt issue. **[MAP SHAPE 4]**
11. Budget, in conjunction with the Financial Advisor and Bond Counsel, determine when to issue the bonds. **[MAP SHAPE 5, 14]**
12. Based on the approximate issue date an issuance schedule is established. **[MAP SHAPE 6]**
13. Budget works with the various Departments to develop the Official Statement. **[MAP SHAPE 7, 12]**
14. After the Official Statement has been developed it is sent to the Rating Agencies for review. **[MAP SHAPE 15]**
15. The Rating Agency reviews the Official Statement and supporting documents and assigns a rating to the bond issue. **[MAP SHAPE 16]**
16. Budget sends the developed Official Statement to the Governing Body for review. **[MAP SHAPE 17]**
17. If the Governing Board does not approve the Official Statement, the process ends. **[MAP SHAPE 17]**
18. If the Governing Body approves the Official Statement, Budget proceeds with the sale of the bonds. **[MAP SHAPE 18]**
19. If the bond issue is a General Obligation Bond, the bond sale takes place. **[MAP SHAPE 18, 19]**
20. If the bond is a non-general obligation bond, permission for the sale is requested from the specific Component Unit. **[MAP SHAPE 18, 22]**
21. If the Component Unit does not approve the bond issue, that process ends. **[MAP SHAPE 22]**
22. If the Component Units approves the bond sale, the bonds are sold. **[MAP SHAPE 22, 19]**
23. Budget awards the bonds to the most responsive bidder. **[MAP SHAPE 20]**
24. The bond proceeds go to Finance for investment. **[MAP SHAPE 21]**

Triggers:
- ❑ Debt to be issued
- ❑ Approval by Governing Board
- ❑ Cash flow projections developed
- ❑ Determine issue size, structure and schedule
- ❑ Develop Official Statement
- ❑ Review by Rating Agencies
- ❑ Perform sale
- ❑ Invest proceeds

Key Process Participants:
- ❑ Governing Body
- ❑ Budget
- ❑ Finance
- ❑ Component Units
- ❑ Third Parties
- ❑ External Agencies
- ❑ Departments

Inputs:

Input	***Format***
Cash needs projections	Various/Electronic
Issue schedule	Paper
Official Statement/Continuing Disclosure Document	Paper
Rating Agency Review	Various
Bonds Sold	Electronic

Outputs:

Output	***Format***
Bond issue size	Electronic
Bond rate	Various
Proceeds invested	Various

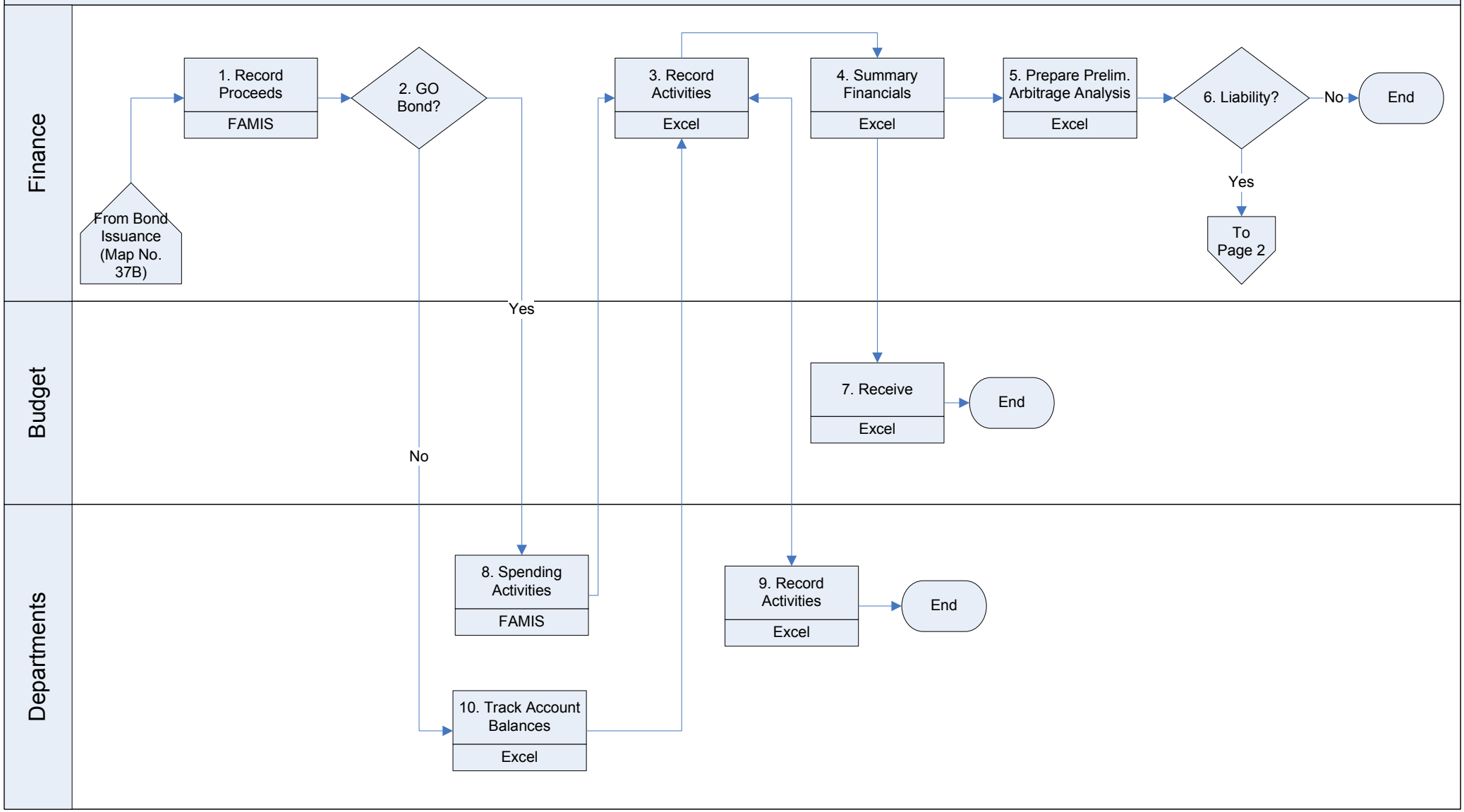
IT Support:

Application/System Name	***Technology Description***
FAMIS	County financial system

Regulations:
- o

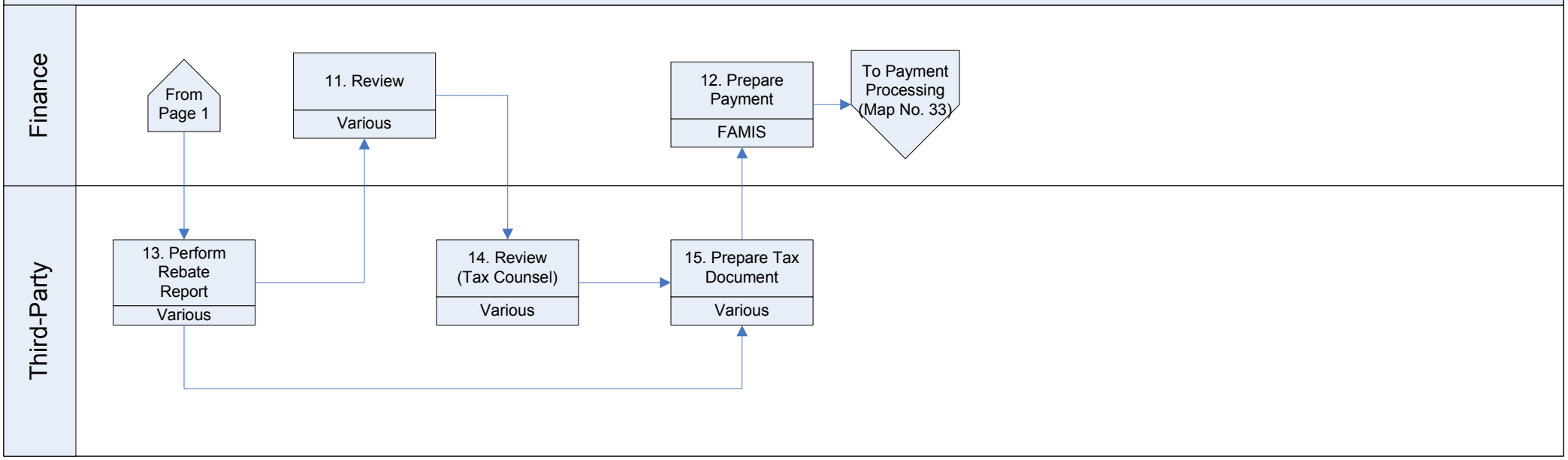
Treasury Management [FINAL]
Sub-Process: Debt Management – Tracking Bond Proceeds

Map Name: TM_DEBT_BOND_TRACK
Map No.: 37C



Treasury Management [FINAL]
Sub-Process: Debt Management – Tracking Bond Proceeds

Map Name: TM_DEBT_BOND_TRACK
Map No.: 37C



Process Name: Treasury Management	**Process Identifier:** TM_DEBT_BOND _TRACK
Sub-Process Name: Debt Management – Tracking Bond Proceeds	**Map Number:** 37C

Sub-Process Purpose and Objectives: Process for tracking bond proceeds

Sub-Process Description:

1. Bond proceeds are received and recorded by Finance. **[MAP SHAPE 1]**
2. If the bond proceeds are from a GO bond, the Departments record spending activities in FAMIS. **[MAP SHAPE 2, 8]**
3. If the bond proceeds were for bonds other than GO bonds, the Departments track account balances in Excel. **[MAP SHAPE 2, 10]**
4. Most spending activity is obtained by Finance directly from FAMIS and then analyzed and keyed into an Excel spreadsheet. A few key projects require additional information from the Departments. **[MAP SHAPE 8, 10, 3]**
5. Activity is recorded in Excel spreadsheets by the Departments as well. **[MAP SHAPE 9]**
6. Finance forwards the summary financial statements prepared to Budget. **[MAP SHAPE 4, 7]**
7. Finance further uses the spending and investment information provided by the Departments in the preparation of the preliminary arbitrage analysis. **[MAP SHAPE 5]**
8. Using this data Finance determines if there is a potential arbitrage liability. **[MAP SHAPE 6]**
9. If there is not a potential arbitrage liability, the process ends. **[MAP SHAPE 6]**
10. If there is a potential liability, all of the spending and investing data is sent to a third party that specializes in arbitrage liability analysis for review and calculation of the liability and the tax required to be paid. **[MAP SHAPE 13, 15]**
11. A copy of the third party arbitrage analysis and liability report and tax computation is sent to Finance for review. **[MAP SHAPE 11, 12]**
12. Finance sends a copy of the analysis and liability report to tax council for review. **[MAP SHAPE 14]**
13. Finance prepares the liability tax documents for payment. **[MAP SHAPE 12]**

Triggers:

- ❑ Spending activity
- ❑ Investing activity
- ❑ Arbitrage tax liability calculation

Key Process Participants:

- ❑ Finance
- ❑ Budget
- ❑ Departments
- ❑ Third Party Providers

Inputs:

Input	*Format*
Spending activity	FAMIS
Investing activity	Excel

Outputs:

Output	*Format*
Arbitrage liability	Excel
Arbitrage liability tax payment	FAMIS

IT Support:

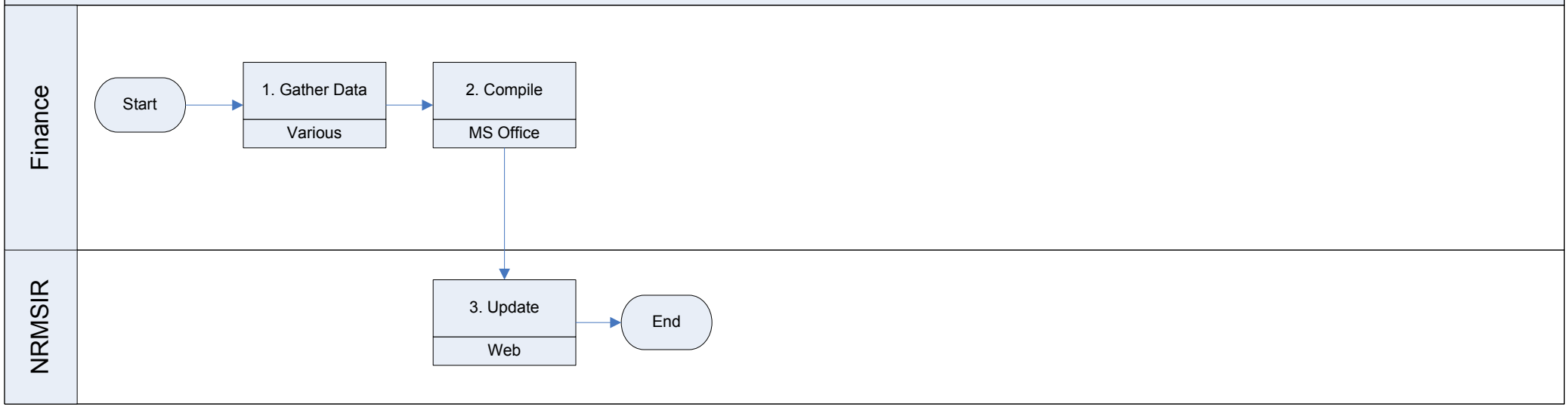
Application/System Name	*Technology Description*
FAMIS	County financial system
Excel	Spreadsheet

Regulations:

- o Arbitrage Rules

Treasury Management [FINAL]
Sub-Process: Debt Management – Continuing Disclosure

Map Name: TM_DEBT_CONT_DISC
Map No.: 37D



Process Name: Treasury Management	**Process Identifier:** TM_DEBT_CONT_DISC
Sub-Process Name: Debt Management – Continuing Disclosure	**Map Number:** 37D

Sub-Process Purpose and Objectives: Continuing disclosure process

Sub-Process Description:

1. After debt is issued, continuing disclosure must be made. Finance collects and compiles the required information in the appropriate formats in Excel and Word. Some of the data Finance needs to compile for the continuing disclosure is obtained from several different outside parties, internal County departments, and component units. **[MAP SHAPE 1, 2]**
2. The completed Continuing Disclosure Statement is published to the NRMSIR Web site. **[MAP SHAPE 3]**

- ❑ Bond issue
- ❑ Continuing disclosure requirement

Key Process Participants:

- ❑ Finance
- ❑ NRMSIR

Inputs:

Input	*Format*
Bond issue	Electronic

Outputs:

Output	*Format*
Continuing Disclosure Statement	Electronic

IT Support:

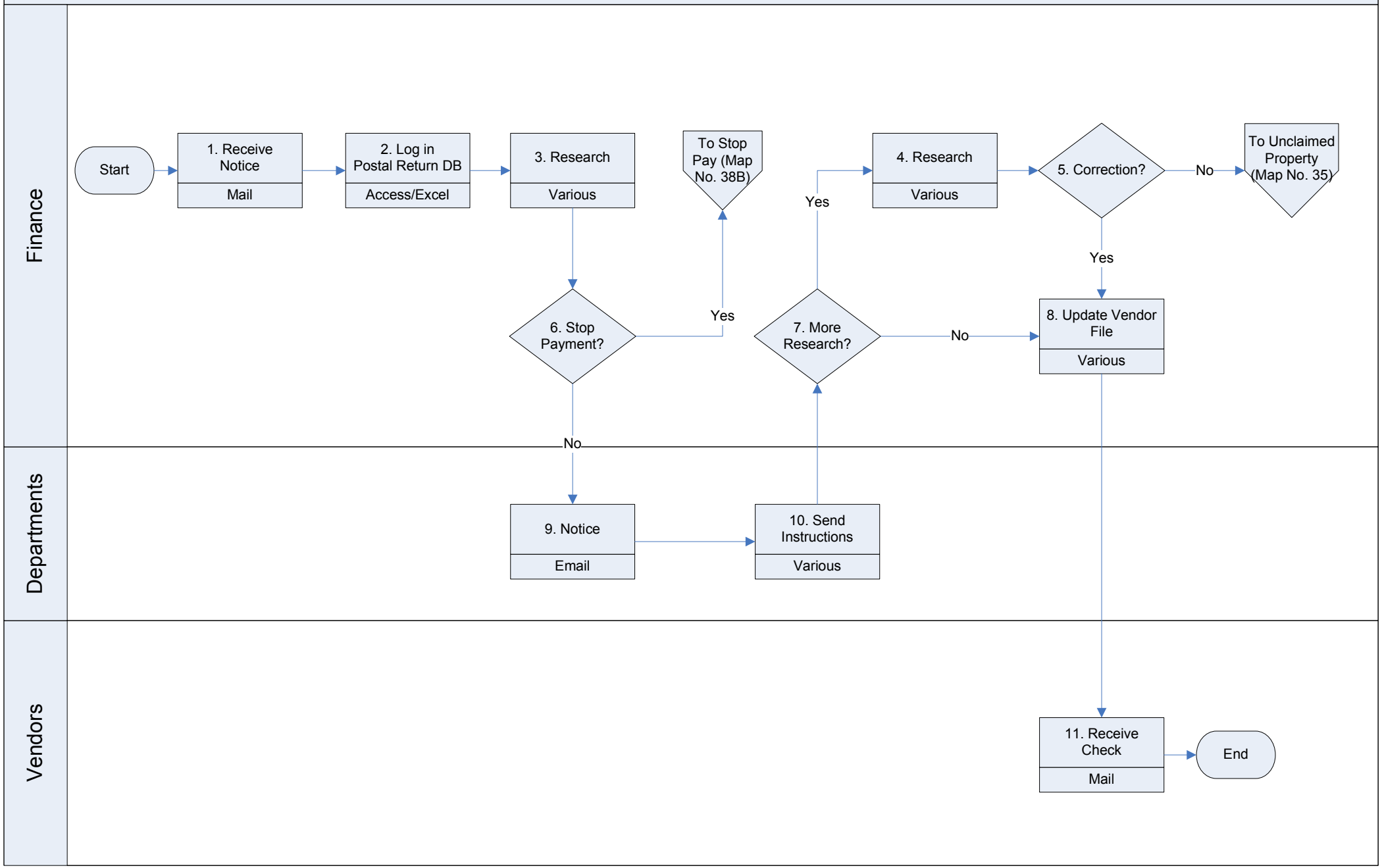
Application/System Name	*Technology Description*
Excel	Spreadsheet software
Word	Word processing software

Regulations:

- NRMSIR

Treasury Management [FINAL]
Sub-Process: Bank Exceptions – Postal Returns

Map Name: TM_BANK_POST_RTN
Map No.: 38A



Process Name: Treasury Management	**Process Identifier:** TM_BANK_POST_RTN
Sub-Process Name: Bank Exceptions – Postal Returns	**Map Number:** 38A

Sub-Process Purpose and Objectives: Returned check process

Sub-Process Description:

1. Finance receives undeliverable mail from the USPS returned to the County or School. Checks are also returned to Finance by a vendor because the check stub does not provide enough information for vendor to properly record the funds. **[MAP SHAPE 1]**
2. Information about the returned mail is keyed into a tracking data base (postal return database). In the County, this is an Access database program; in the Schools it is an Excel spreadsheet. **[MAP SHAPE 2]**
3. Finance determines from which Department the check originated. The County sends an email to the initiating Department notifying them that a check has been returned from a vendor and the Department conducts the research. The Schools send a copy of the check back to AP for research. **[MAP SHAPE 3]**
4. If Finance determines that a stop payment is necessary they perform the stop payment (Map No. 38B). If Finance cannot make that decision, the check is sent to the appropriate County Department or AP in the Schools, for additional research. **[MAP SHAPE 6, 9]**
5. The Department does the research and sends instructions to Finance as to how the returned check should be handled. **[MAP SHAPE 10]**
6. Finance receives the additional information from the Department and determines if it needs to do additional research. **[MAP SHAPE 7]**
7. If the information received by Finance is a new address for the vendor, the vendor record is corrected and the check is re-mailed to the vendor. **[MAP SHAPE 7, 8, 11]**
8. If Finance is not satisfied that the correct vendor address has been found, it may perform additional research. **[MAP SHAPE 7, 4]**
9. If Finance's additional research satisfies them that a correct vendor address has been found, the vendor record is updated and the check is re-mailed to the vendor. Note, Finance will not update an address without written verification from the payee. **[MAP SHAPE 5, 8, 11]**
10. If Finance determines that the correct vendor address is not found or that there is some other reason why the check is not returnable, it goes to the unclaimed property process (Map No. 35). **[MAP SHAPE 5]**

Triggers:

- ❑ Check is returned from a vendor
- ❑ Research findings

Key Process Participants:

- ❑ Finance
- ❑ Department
- ❑ Vendor

Inputs:

Input	***Format***
Returned checks	Mail

Outputs:

Output	***Format***
Revised address	Mail
Stop payment	Electronic

IT Support:

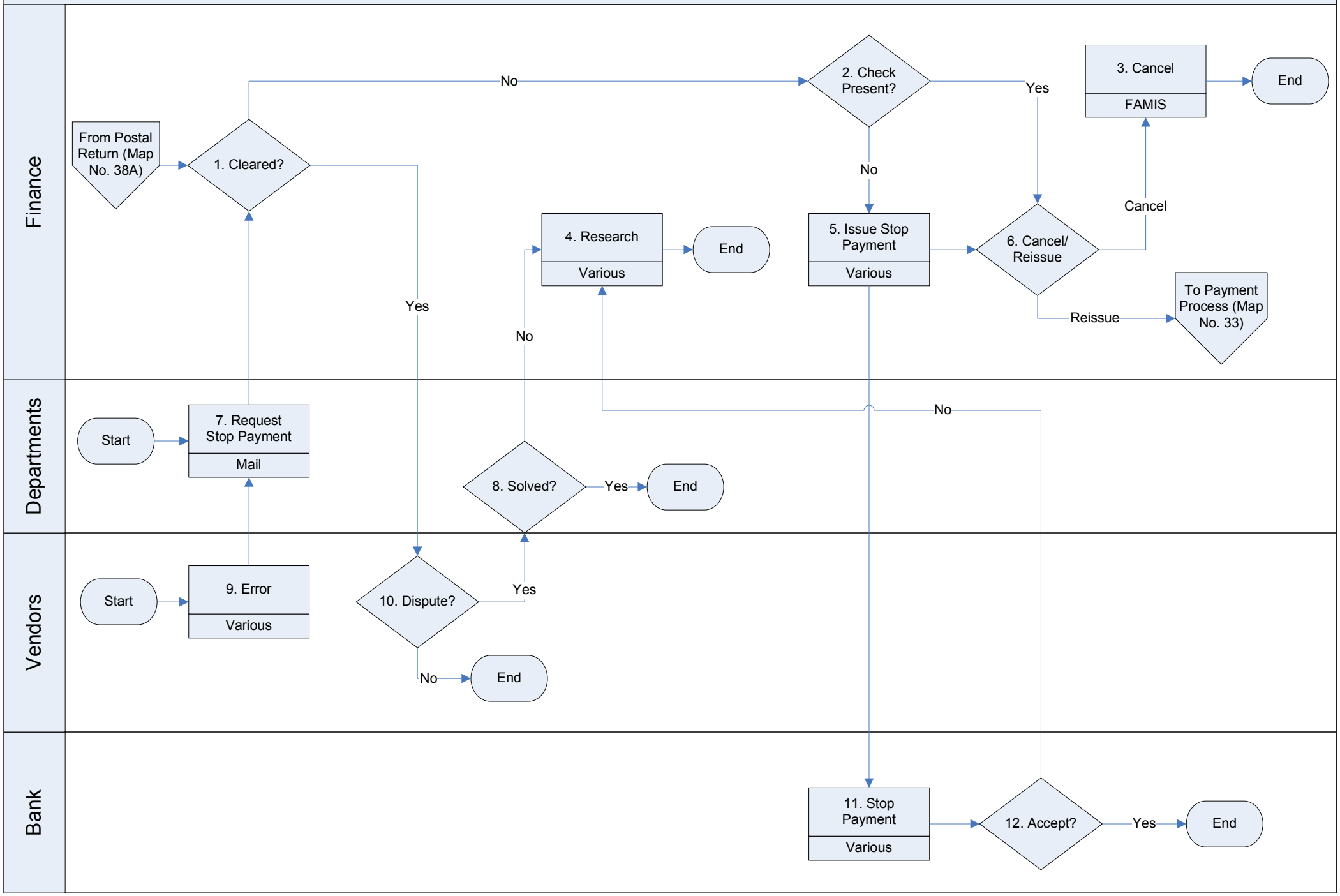
Application/System Name	***Technology Description***
Access	Database
Excel	Spreadsheet

Regulations:

o

Treasury Management [FINAL]
Sub-Process: Bank Exceptions – Stop Payment

Map Name: TM_BANK_STOP_PAY
Map No.: 38B



Process Name: Treasury Management	**Process Identifier:** TM_BANK_STOP_PAY
Sub-Process Name: Bank Exceptions – Stop Payment	**Map Number:** 38B

Sub-Process Purpose and Objectives: Stop payment process

Sub-Process Description:

1. Finance receives a request to perform a stop payment from the returned mail process (1), by a request from a Department (2) or directly from a vendor (3). **[MAP SHAPE 7, 9]**
2. Finance researches whether the check has been cleared. **[MAP SHAPE 1]**
3. If Finance finds that the check has not cleared the bank, it then checks to see if the check is still in-house. **[MAP SHAPE 2]**
4. If the check is still in-house, Finance either cancels the check or cancels and reissues the check (Map No. 33). **[MAP SHAPE 6, 3]**
5. If the check has not cleared the bank and is not still in-house, Finance requests the bank to stop payment on the check. **[MAP SHAPE 5]**
6. The bank receives the stop payment request and determines if it can honor the request. **[MAP SHAPE 11]**
7. If the bank can accept the stop payment request it issues a stop payment. If it cannot honor the request the bank advises Finance why it could not perform the stop payment. **[MAP SHAPE 12, 4]**
8. If the check has been cleared by the bank, Finance notifies the Department, who notifies the vendor that it is denying the requested stop payment because the check has been cleared by the bank. **[MAP SHAPE 10]**
9. If the vendor does not dispute the notification by Finance that the stop payment request is denied and the process ends. **[MAP SHAPE 10]**
10. If the vendor disputes the receipt of funds from the bank, it becomes an issue between the vendor and the Department. **[MAP SHAPE 8]**
11. If the vendor and the Department resolve the dispute, the process ends. **[MAP SHAPE 8]**
12. If the dispute is not resolved, it is sent to Finance for additional research. **[MAP SHAPE 4]**
13. Finance then follows the process of reviewing its un-mailed checks and stopping payment or cancelling and reissuing. **[MAP SHAPE 2, 5, 11, 6, 3]**

NOTE: Finance does not perform the Stop Payment Process for Schools Payroll. Schools Payroll is responsible for the Stop Payment Process with respect to all payroll checks and all vendor checks issued by Payroll.

Triggers:

- ❑ Stop payment request
- ❑ Returned check
- ❑ Check in-house
- ❑ Bank stop payment request decision

Key Process Participants:

- ❑ Bank
- ❑ Finance
- ❑ Department
- ❑ External Vendor

Inputs:

Input	*Format*
Stop payment request	Various
Check cancel/reissue	Electronic

Outputs:

Output	*Format*
Stop payment fulfillment	Electronic
Check cancelled	Electronic
Check reissue	Electronic/Paper

IT Support:

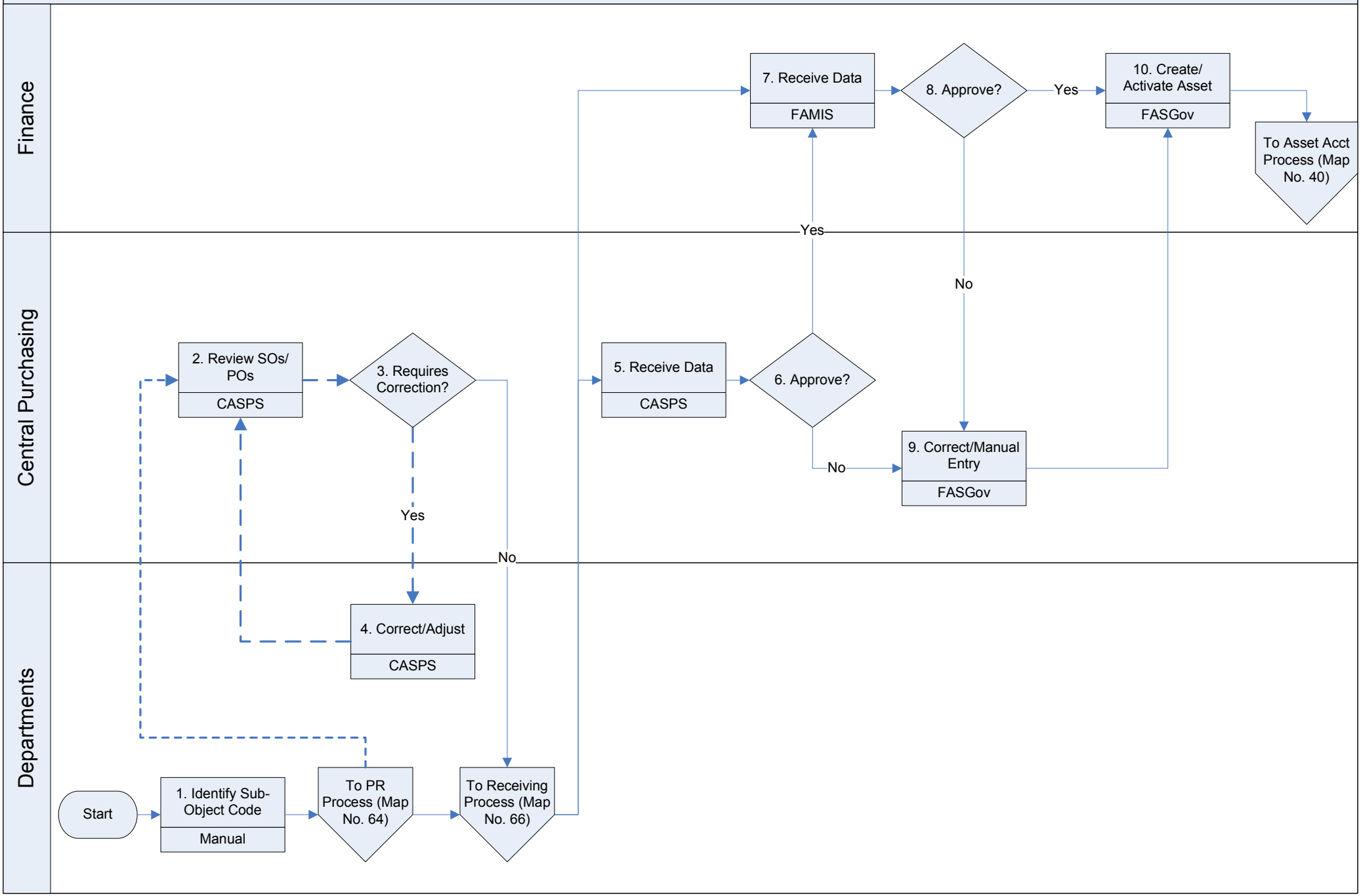
Application/System Name	*Technology Description*
FAMIS	County financial system

Regulations:

- o

Assets [FINAL]
Sub-Process: Acquisition/Tracking – Create Asset

Map Name: ASSET_CREATE
Map No.: 39A



Process Name: Assets	**Process Identifier:** ASSET_CREATE
Sub-Process Name: Acquisition/Tracking – Create Asset	**Map Number: 39A**

Sub-Process Purpose and Objectives: Create new fixed asset record for a purchased asset

Sub-Process Description:
NOTE: Fixed Assets may be identified at budget time (some budget items are identified as assets in the departmental line item budget). Capital projects are budgeted as a whole – not item by item.

1. The Department identifies the proper sub-object code and ensures that adequate funds are available in the correct sub-object code in the requisition process (both capital and non-capital). See requisition process. Decision on which sub object code to use is involved, and must include equipment (Y/N), is it more than $5K and do we have to account for it (Y/N), is it part of a larger asset class (e.g. a building), and is it a replacement (maintenance item) or a new item (capital). **[MAP SHAPE 1]**
2. Central Purchasing reviews SO's and PO's to identify equipment and capital assets being purchased with an invalid sub-object code. If not correct, Central Purchasing requests the Department to re-code (administrative change to an existing purchase order). If the department does not recode, Central Purchasing monitors receipt of the asset and upon receipt requests an IMR01 for manual entry of the asset into FASGov. **[MAP SHAPE 2, 3, 4, 9]**
3. Department fills out an asset tag (including identification on the equipment) during the receiving process.
4. Once the asset has been received, Central Purchasing receives the data from CASPS via the FASGov "hold file" to review and approve. When the invoice is paid Finance receives data from FAMIS via the FASGov "hold file" to review and approve. **[MAP SHAPE 5, 7]**
5. If non-financial data is incorrect, it is corrected by Central Purchasing and sent to Finance to create the asset in FASGov. **[MAP SHAPE 6, 9, 10]**
6. Finance compares the data received from FAMIS with the data received from Central Purchasing. If Finance finds that the data is correct an asset record is created in FASGov. If discrepancies are noted, Finance and Central Purchasing resolve the discrepancies and take appropriate action. **[MAP SHAPE 6, 7, 8, 9, 10]**

NOTE: Schools run a monthly report to identify purchases over $5K that were not charged to a capital account. Those are then dealt with on a case by case basis.
NOTE: Capital assets purchased on a P-card are only identified on the FAMIS extract (they won't match up to anything). These are then manually added in FASGov (MAP SHAPE 9).
NOTE: Capital purchases from school activity funds are not recorded in FAMIS, and therefore are not recognized as fixed assets through this documented process. They are captured as fixed/"found" assets at year-end during the audit process.
NOTE: Seized assets (cars, houses) are typically not recognized as assets because they are sold or auctioned in less than a year.
NOTE: Park Authority and Housing have access to their own instances of FASGov and make updates to it and FAMIS accordingly.

Triggers:
- ❑ Purchasing process

Key Process Participants:
- ❑ Department
- ❑ Central Purchasing
- ❑ Finance

Inputs:

Input	*Format*
Budget	Manual
Purchasing documents	Manual

Outputs:

Output	*Format*
Asset records	FASGov and FAMIS

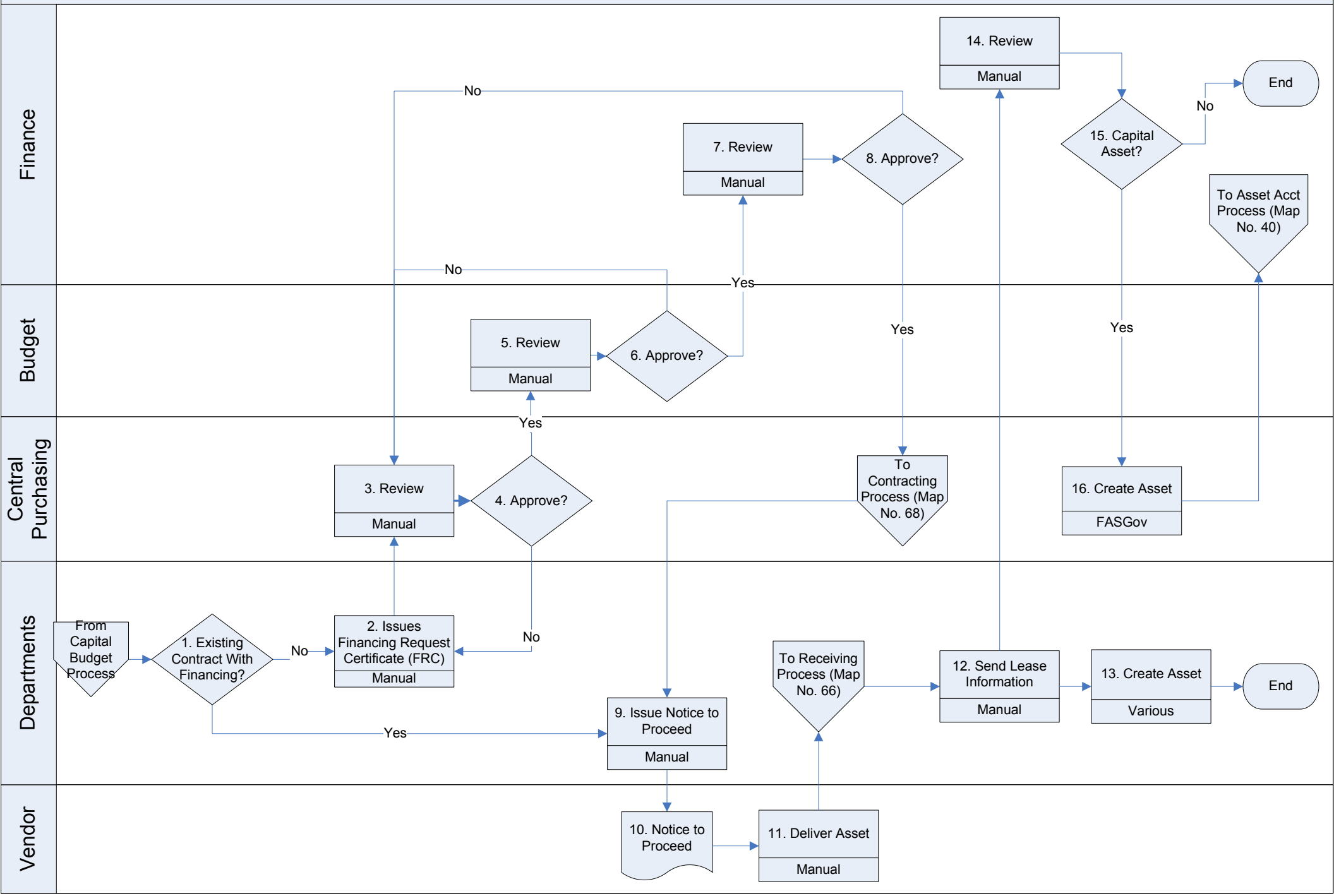
IT Support:

Application/System Name	*Technology Description*
FASGov	Capital asset system
FAMIS	Financial system
CASPS	Purchasing system

Regulations:
o

Assets [FINAL]
Sub-Process: Acquisition/Tracking – Leasing Assets

Map Name: ASSET_LEASE
Map No.: 39B



Process Name: Assets	**Process Identifier:** ASSET_LEASE
Sub-Process Name: Acquisition/Tracking – Asset Leasing	**Map Number: 39B**

Sub-Process Purpose and Objectives: Record leased assets in the capital assets system

Sub-Process Description:
Note: Leases are used for both equipment (capital or non-capital) and real estate. This process map is for lease to own (capital lease), not operating leases. Real estate capital leases will be covered in debt management process map.

1. The Department reviews if there is an existing contract with financing. If none exists, the Department issues a FRC (Finance Request Certificate) to Central Purchasing for review and approval. If Central Purchasing rejects the FRC, it is sent back to the Department initiator to correct and resubmit. **[MAP SHAPE 1, 2, 3, 4]**
2. If Central Purchasing approves the FRC, it is sent to DMB for review and approval. If DMB approves the FRC, it is sent to Finance for review and approval. If either Budget or Finance rejects the FRC, it is sent back to the Central Purchasing to correct and resubmit. **[MAP SHAPE 3, 4, 5, 6, 7, 8]**
3. Once everyone approves it, Central Purchasing works with the requesting department to issue the contract award (*Contract Award Process*) and set up the master lease.
4. Once the contract has been awarded or in the case that there is a master lease with approved financing in place, (in which case the Department can bypass the above approval step) the Department issues a Notice to Proceed (NTP) or PO to the vendor. **[MAP SHAPE 1, 9, 10]**
5. The Vendor delivers the asset, which is inspected as part of the *Receiving Process*. **[MAP SHAPE 11]**
6. Lease information is sent to Finance, where it is reviewed to determine if it's a capital asset. If it's a capital asset, it is sent to Central Purchasing for entry into FASGov (or ACT 1000, the work order system, or M4 for buses and vehicles, or departmental databases). **[MAP SHAPE 12, 14, 15, 16]**
7. If the lease is not for a capital item, the process ends before FASGov is updated. Only capital items are entered into FASGov. Departments may choose (or are mandated for things that are purchased on a grant, for example) to track non-capital items in their own database or system. **[MAP SHAPE 13]**

NOTE: An asset is given a temporary asset tag during the lease period (schools), and then given a different, permanent tag id once the purchase is completed at the end of the lease period. There seems to be a disconnect between departments and systems once the asset becomes permanent (Schools Design & Construction needs to let Finance know when an asset becomes permanent).
NOTE: There is a filing that must take place with the IRS for tax exemption when a new lease is undertaken. The County Attorney and Bond Counsel review the FRC and determine eligibility for such tax exemption. Bond Counsel provides a Comfort Letter documenting the tax exempt eligibility of the lease DOF files the 8038G Tax Exempt Report with IRS.

Triggers:
- ❑ Purchasing process

Key Process Participants:
- ❑ Department
- ❑ Budget
- ❑ Central Purchasing
- ❑ Finance
- ❑ Vendor

Inputs:

Input	*Format*
Lease documents	Manual

Outputs:

Output	*Format*
Capital asset records	FASGov, ACT 1000, M4

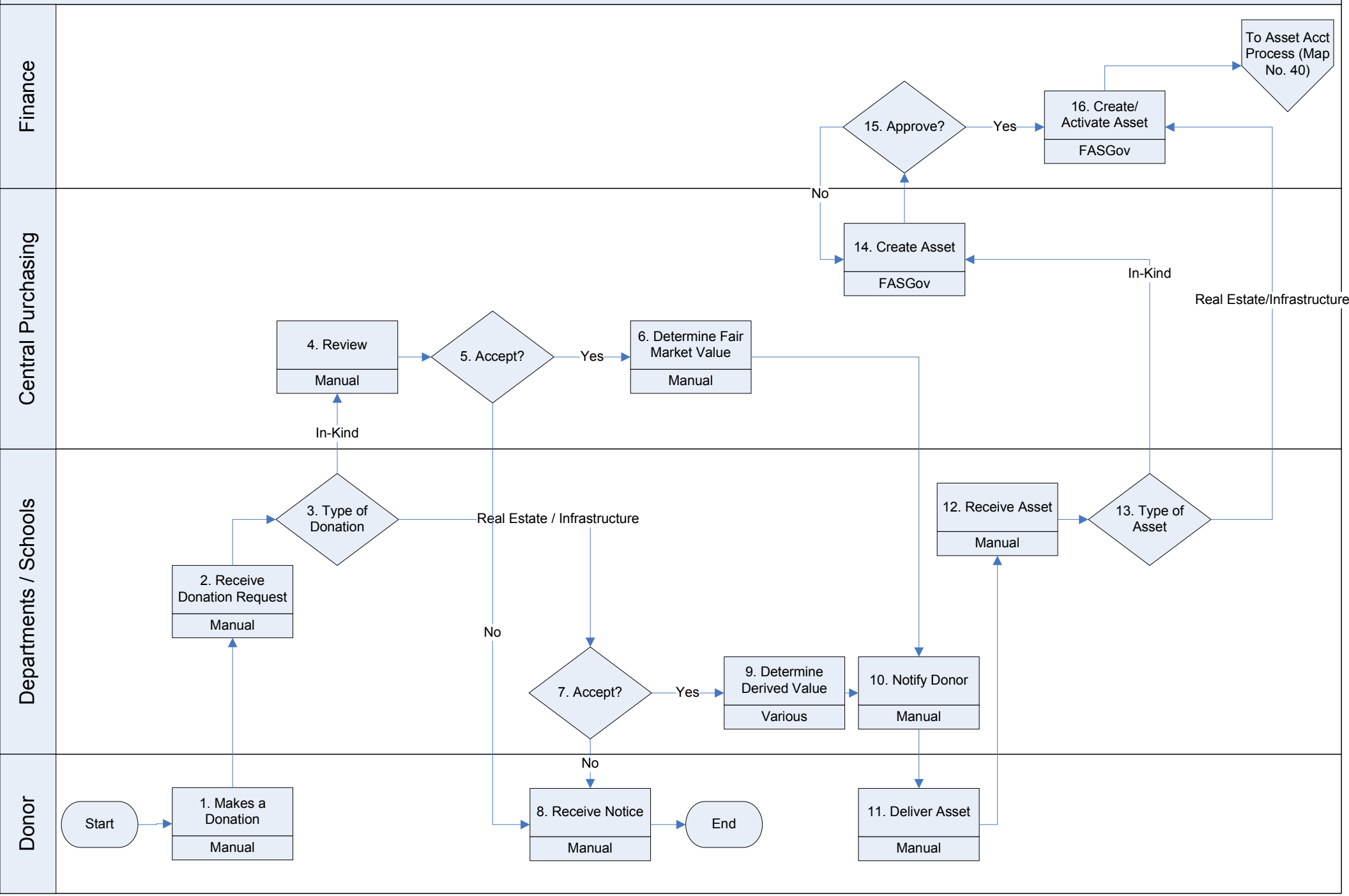
IT Support:

Application/System Name	*Technology Description*
FASGov	Capital asset system
M4	Buses and vehicle tracking system
ACT 1000	Work order system (schools)
Departmental databases	MS Excel or Access

Regulations:
- o

Assets [FINAL]
Sub-Process: Acquisition/Tracking – Donated Assets From External Donor

Map Name: ASSET_DONOR_EXT
Map No.: 39C



Process Name: Assets	**Process Identifier:** ASSET_DONOR_EXT
Sub-Process Name: Acquisition/Tracking – Donated Assets from External Donor	**Map Number: 39C**

Sub-Process Purpose and Objectives: Record donated item as a capital asset

Sub-Process Description:

1. The Donor contacts who they perceive to be the proper recipient, and offers the item. **[MAP SHAPE 1]**
2. The Receiving Department receives the donation request and determines whether or not the gift is in-kind, real estate, or other. **[MAP SHAPE 2, 3]**
3. If it's an in-kind donation, Central Purchasing determines acceptability and, if accepted, determines the fair market value in conjunction with external entities, DMV, etc. If Central Purchasing rejects the donation, they notify the Donor and the process ends. **[MAP SHAPE 3, 4, 5, 6, 8]**
4. If the donation is for real estate, infrastructure, manholes, detention basins, etc., the Receiving Department determines acceptability and, if accepted, determines the derived value (RSMeans is used to derive the value of infrastructure, land value is determined through checking comparable properties, etc.). If the Receiving Department rejects the donation, they notify the Donor and the process ends. **[MAP SHAPE 3, 7, 8, 9]**
5. Once the donation has been accepted, the recipient (Central Purchasing or Receiving Department) notifies the Donor to deliver the asset, where it will be received by the Receiving Department. **[MAP SHAPE 10, 11, 12]**
6. If it's an in-kind asset, Central Purchasing creates a FASGov record from the IMR-01 source document (Inventory Report). However, the record still requires approval from Finance before it is activated in FASGov. If the asset is not approved, it is sent back to Central Purchasing to correct and resubmit. **[MAP SHAPE 13, 14, 15, 16]**
7. Land/Infrastructure assets are sent directly to Finance to create the FASGov record. **[MAP SHAPE 13, 16]**

NOTE: For separation of duties, Central Purchasing creates the asset record, Finance activates it.
NOTE: In cases where the donated item is "found", the department (receiving agency) will prepare an IMR01 with supporting documentation and forward to Central Purchasing who will create the record in FASGov and submit to Finance for activation.

Triggers:

- ❑ Donation from external party

Key Process Participants:

- ❑ Donor
- ❑ Receiving Departments / Schools
- ❑ Central Purchasing
- ❑ Finance

Inputs:

Input	***Format***
Donated item and donation request	
IMR-01	Manual form

Outputs:

Output	***Format***
Asset record	FASGov

IT Support:

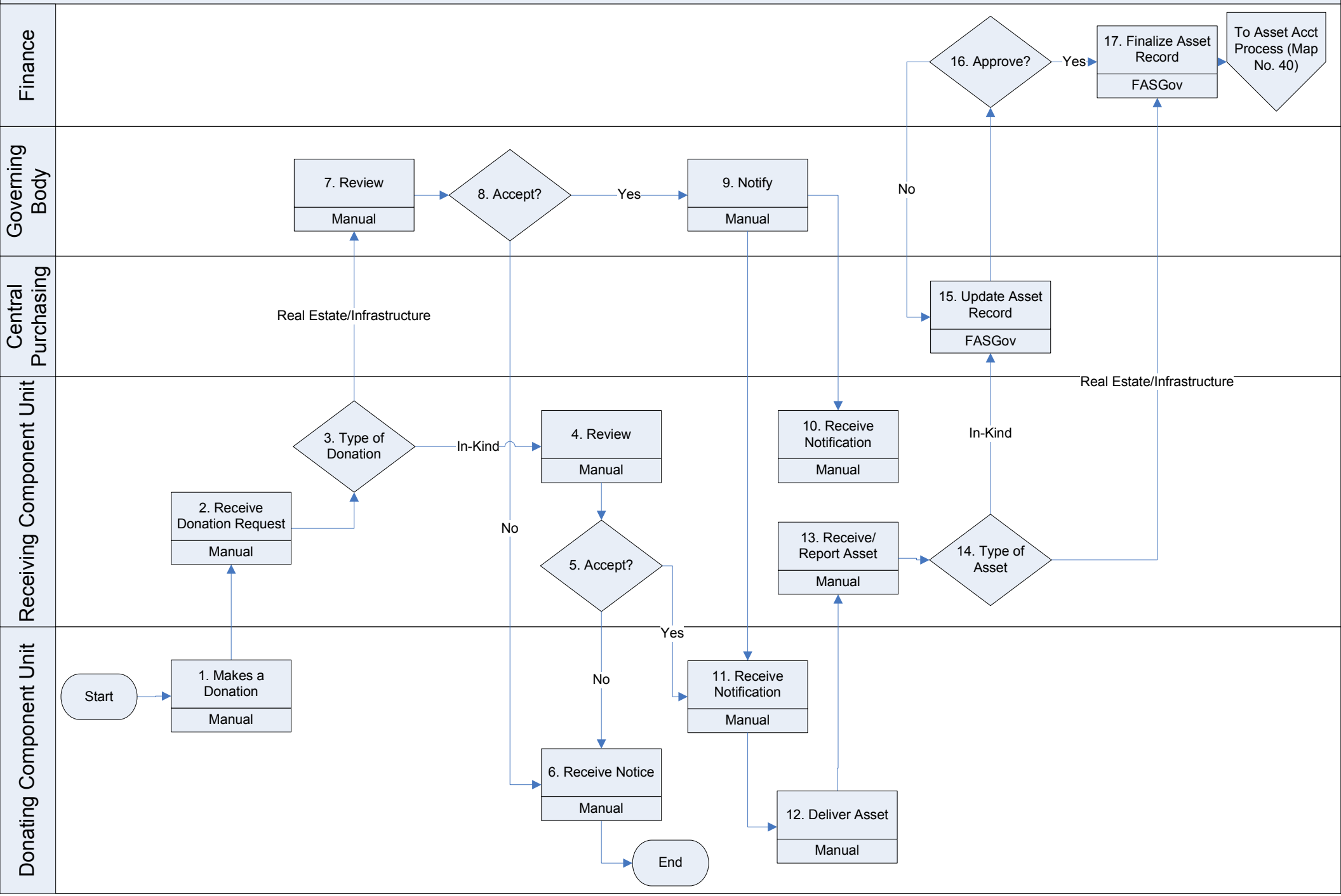
Application/System Name	***Technology Description***
FASGov	Capital asset system

Regulations:

o

Assets [FINAL]
Sub-Process: Acquisition/Tracking – Donated Assets From Internal Donor

Map Name: ASSET_DONOR_INT
Map No.: 39D



Process Name: Assets	**Process Identifier:** ASSET_DONOR_INT
Sub-Process Name: Acquisition/Tracking – Donated Assets from Internal Donor	**Map Number: 39D**

Sub-Process Purpose and Objectives: Update capital assets to recognize transfer from one department/agency to another

Sub-Process Description:

1. Donating Component Unit offers a donation to a Receiving Component Unit. **[MAP SHAPE 1]**
2. The Receiving Component Unit receives the donation, and determines if it is an in-kind donation or real estate/infrastructure asset. **[MAP SHAPE 2, 3]**
3. If it's an in-kind donation, the Receiving Component Unit determines the fair market value, total cost of ownership, and acceptability. If the donation is rejected, the Donating Component Unit is notified and the process ends. If the donation is accepted, the Donating Component Unit is notified to deliver the asset. **[MAP SHAPE 3, 4, 5, 6, 11, 12]**
4. If it's a real estate or infrastructure donation, the Governing Body approval is required for the transaction. If the donation is rejected, the Donating Component Unit is notified and the process ends. If the Governing Body approves the transaction (attorney involvement is assumed but not mapped), the Receiving Component Units is notified of acceptance and the Donating Unit is notified to deliver the asset. **[MAP SHAPE 3, 6, 7, 8, 9, 10, 11, 12]**
5. For in-kind donations, the Receiving Component Unit receives the asset and notifies Central Purchasing to update the record in FASGov. However, the record still requires approval from Finance before it is created in FASGov. If the asset is not approved, it is sent back to Central Purchasing to correct and resubmit. **[MAP SHAPE 14, 15, 16, 17]**
6. For real estate and infrastructure donations, the Receiving Component Unit receives the asset and notifies Finance to create the asset record directly in FASGov. Central Purchasing is not involved in internal donations of capital assets other than equipment. **[MAP SHAPE 14, 17]**
7. If the transfer has no financial impact, the transfer is recorded, Finance is not notified and the process ends. **[MAP SHAPE 15]**

Triggers:

- ❑ Donation or transfer

Key Process Participants:

- ❑ Donating Component Unit
- ❑ Receiving Component Unit
- ❑ Central Purchasing
- ❑ Governing Body
- ❑ Finance

Inputs:

Input	*Format*
Donated Item	Manual

Outputs:

Output	*Format*
Modified Asset Record	FASGov/FAMIS

IT Support:

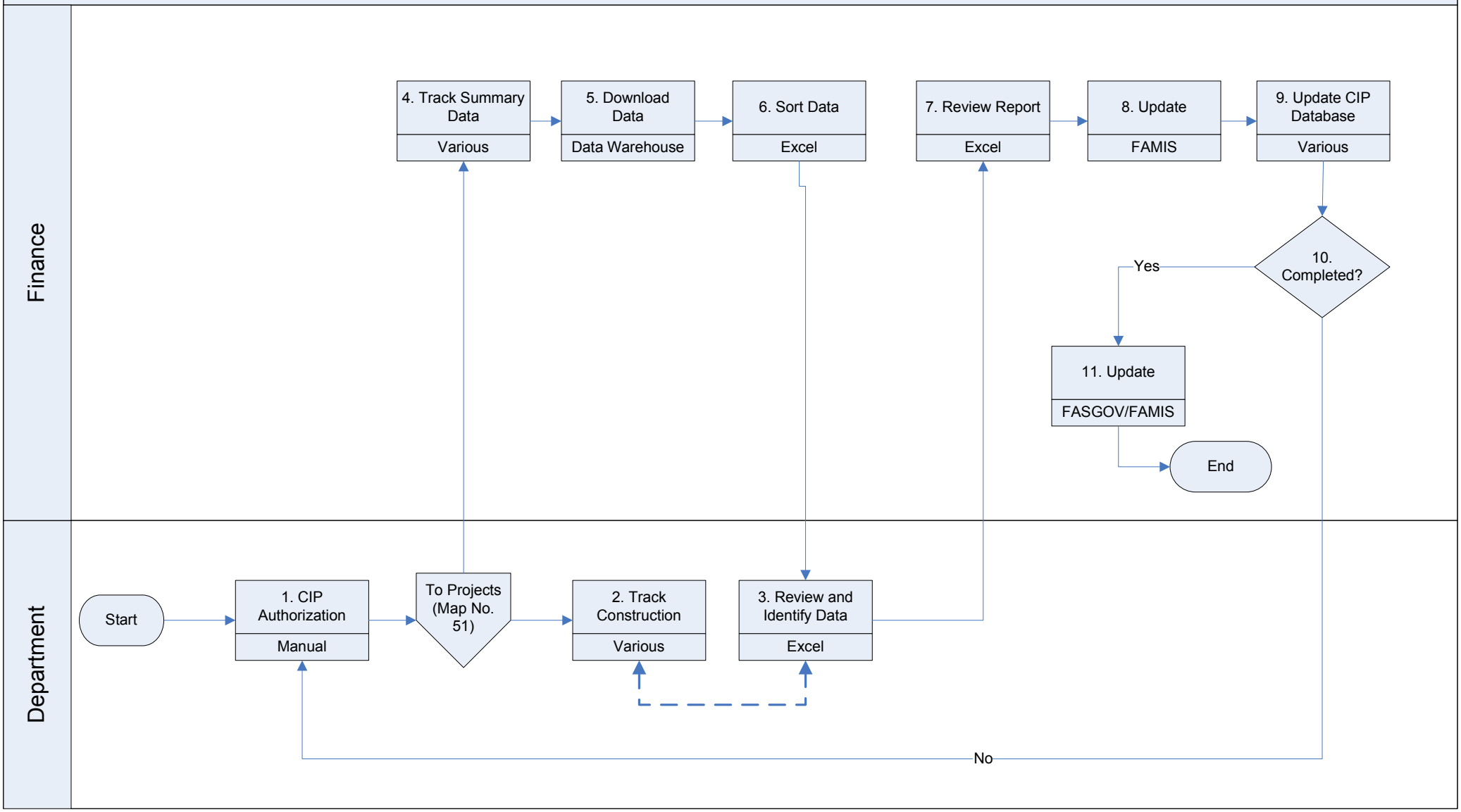
Application/System Name	*Technology Description*
FASGov	Capital asset system

Regulations:

o

Assets [FINAL]
Sub-Process: Capital Assets Accounting – Construction In Progress

Map Name: ASSET_ACCT_CIP
Map No: 40A



Process Name: Assets	**Process Identifier:** ASSET_ACCT_CIP
Sub-Process Name: Capital Assets Accounting – Construction in Progress	**Map Number:** 40A

Sub-Process Purpose and Objectives: Track construction in progress

Sub-Process Description:

1. The capital improvement plan is authorized and projects are initiated. **[MAP SHAPE 1]**
2. Construction progress is tracked via invoices in different databases or in FAMIS by project number (system used differs by department). Facilities Management sends Finance its own tracking sheet at interim and year-end audits. **[MAP SHAPE 2]**
3. Finance tracks project summary data in FAMIS. Finance runs annual, quarterly, or monthly reports from data warehouse and analyzes the data. The data is sorted and compiled to send to departments by email. Note: Schools does not provide data back to Departments. **[MAP SHAPE 4, 5, 6]**
4. Departments receive data for review and identify which project components are capital or non-capital in nature (capital vs. maintenance/repair). Departments might rely on shadow systems to determine the amount for capitalization and to determine the project's status (ongoing, complete, or substantially complete). Sometimes the department may contact the project manager or engineer for more information or detail as needed. Note that for Schools, these determinations are made by Finance, not the Departments. For Parks, invoices are coded appropriately (capital vs. non-capital) by the internal finance department. **[MAP SHAPE 3]**
5. Capitalization and project status information is sent to Finance. Finance updates FAMIS. Departments reconcile their data periodically against FAMIS.**[MAP SHAPE 7, 8]**
6. Finance keeps a spreadsheet of costs for ongoing capitalized projects. Substantially completed projects are converted to assets in FASGOV and FAMIS. If the project is not complete or substantially complete, the asset remains within this process. **[MAP SHAPE 9, 10, 11]**

NOTE: Acquisition of capital equipment is to be reported to DPSM/FCPS-OPS using an IMR01.

Triggers:

- ❑ Capital projects begin
- ❑ Finance runs periodic report from data warehouse to obtain capitalization information

Key Process Participants:

- ❑ Departments
- ❑ Finance

Inputs:

Input	*Format*
Data warehouse report	Electronic
Construction progress data	Various

Outputs:

Output	*Format*
Updated capitalization information from departments	Paper
Projects capitalized	Electronic

IT Support:

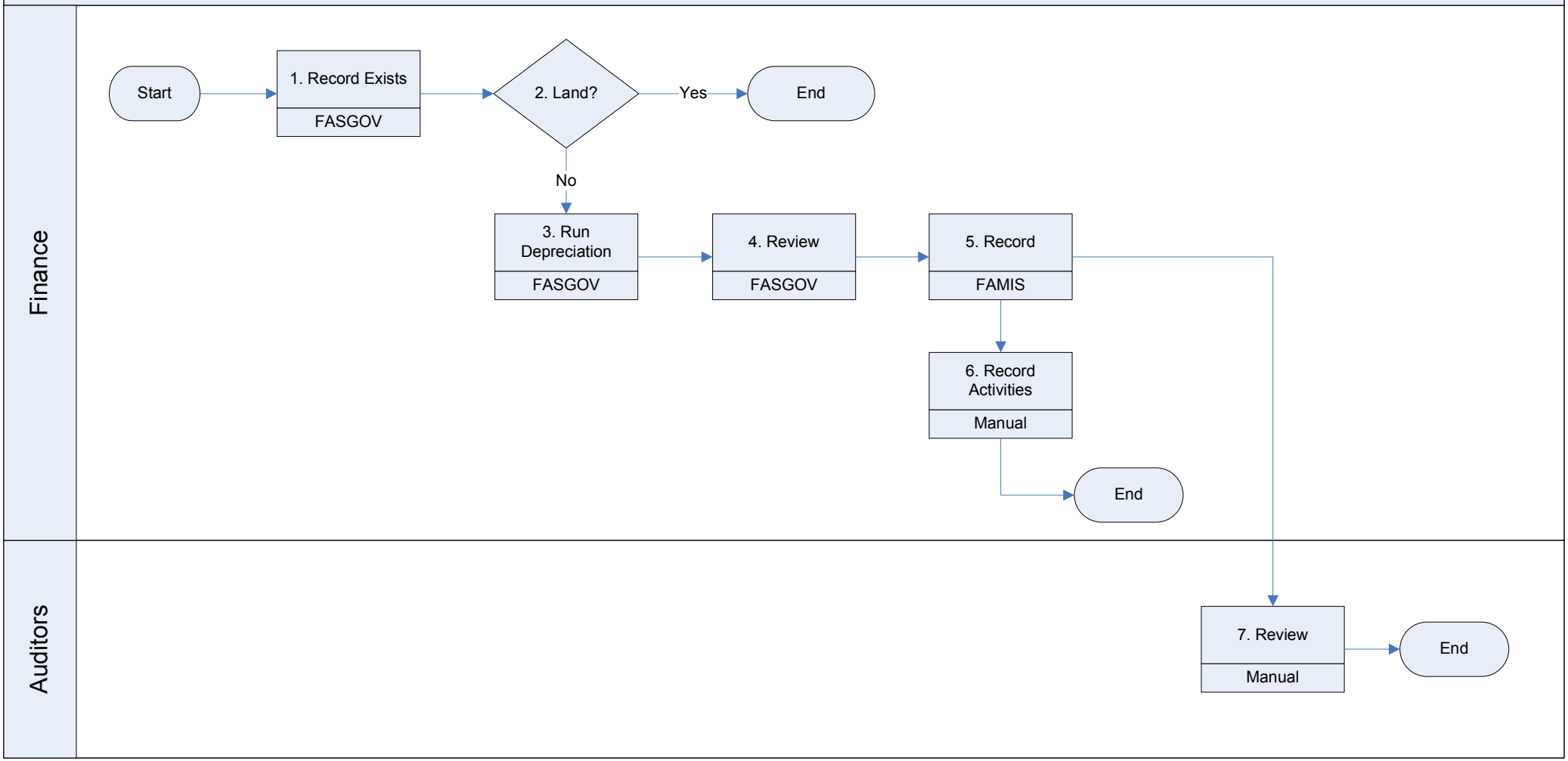
Application/System Name	*Technology Description*
FAMIS	Financial system
Access	Database
DART	Data warehouse
Excel	CIP database
FASGOV	Capital asset system
Report Net	Cognos

Regulations:

o

Assets [FINAL]
Sub-Process: Capital Assets Accounting – Depreciation

Map Name: ASSET_ACCT_DEPRECIATE
Map No: 40B



Process Name: Assets	**Process Identifier:** ASSET_ACCT_DEPRECIATE
Sub-Process Name: Capital Assets Accounting – Depreciation	**Map Number:** 40B

Sub-Process Purpose and Objectives: Record asset depreciation

Sub-Process Description:

1. A capital asset record is entered in FASGOV. The useful life and depreciation method is determined during the asset acquisition process using national, industry, and/or County standards. **[MAP SHAPE 1]**
2. Land is not depreciated. **[MAP SHAPE 2]**
3. Annually and upon asset disposal, Finance runs a depreciation report in FASGOV. **[MAP SHAPE 3]**
4. The depreciation data is reviewed for reasonableness. **[MAP SHAPE 4]**
5. Depreciation expense is manually entered into FAMIS (one summary entry only – not by individual asset). **[MAP SHAPE 5]**
6. Finance maintains copies of asset disposal information and depreciation reports. **[MAP SHAPE 6]**
7. Depreciation information is reviewed by the auditor **[MAP SHAPE 7]**

Triggers:

- ❑ Capital asset is entered into FASGOV
- ❑ Annual depreciation report

Key Process Participants:

- ❑ Auditors
- ❑ Finance

Inputs:

Input	*Format*
Depreciation report	Electronic

Outputs:

Output	*Format*
Depreciation expense entered in FAMIS	Electronic

IT Support:

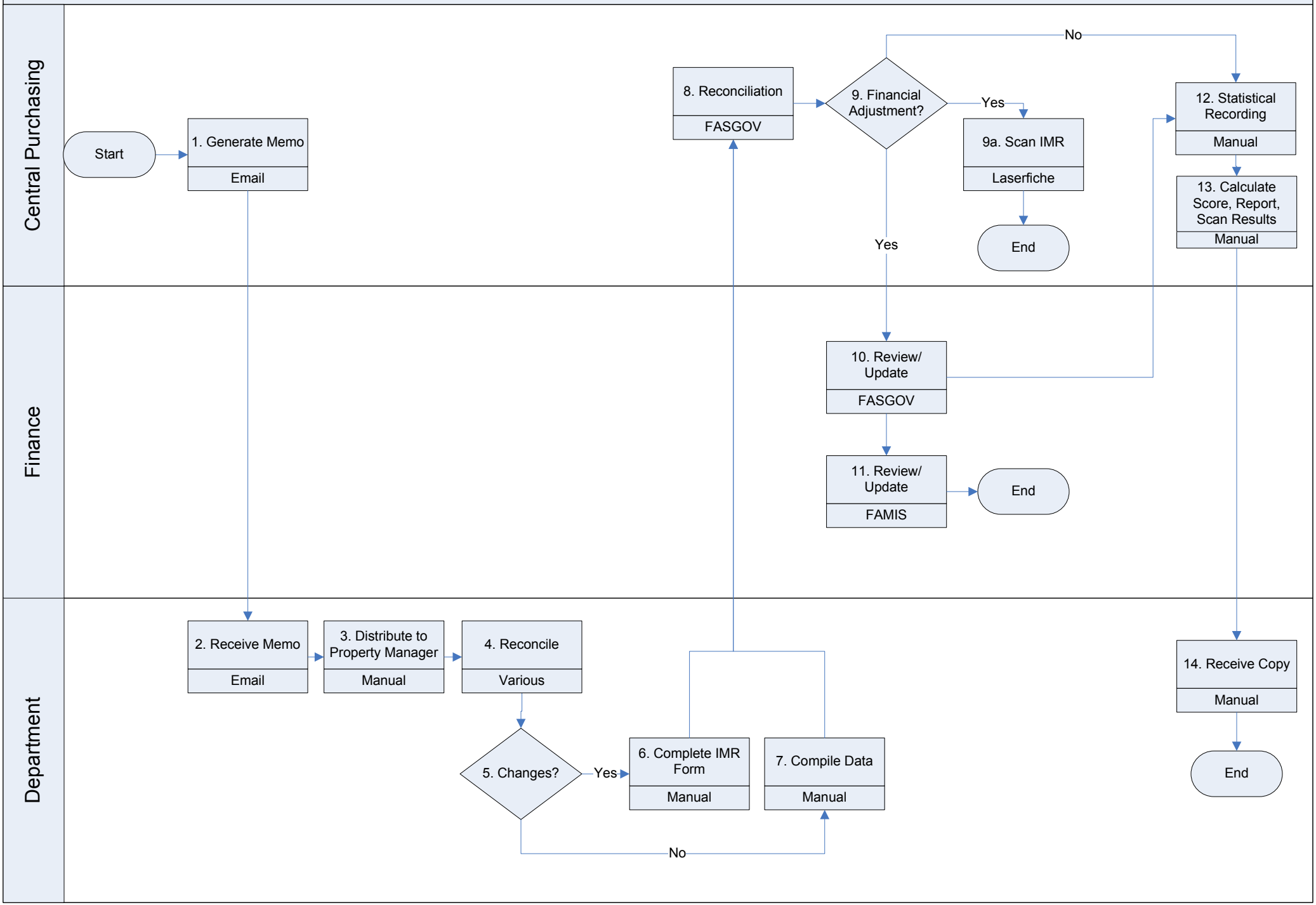
Application/System Name	*Technology Description*
FASGOV	Capital asset system
FAMIS	Financial system

Regulations:

- o Useful life and depreciation policies

Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Cycle Count

Map Name: ASSET_INV_CYCLE
Map No: 41A



Process Name: Assets	**Process Identifier:** ASSET_INV_CYCLE
Sub-Process Name: Physical Inventory/Tracking – Cycle Count	**Map Number:** 41A

Sub-Process Purpose and Objectives: Count asset inventory

Sub-Process Description:

1. Central Purchasing sends: 1) an email memo to Departments to inform them of when their physical inventory count is due (every three years), 2) an inventory list of items/equipment, and 3) instructions on how to complete the count. The inventory schedule is also posted on InfoWeb. **[MAP SHAPE 1,2]**
2. Departments reconcile the inventory list sent by Central Purchasing by manually checking off items and noting any changes. They ensure that serial numbers, bar codes, locations, etc. are correct and indicate any additions and disposals. In some Departments, the property manager will send the components of the list to other individuals and locations for validation and reconciliation - this is a location-based or functional breakdown of the inventory list. **[MAP SHAPE 3,4]**
3. The Department property manager compiles inventory data and sends it to Central Purchasing via email, fax, or hand delivery. If there are any discrepancies or changes required, an IMR01 form is also prepared and submitted. **[MAP SHAPE 5, 6, 7]**
4. Central Purchasing 1) deciphers and reconciles data received from the Department, 2) adjusts the system based on the count for non-financial adjustments (for financial adjustments see note 6), 3) records statistics in Excel, and 4) calculates department's inventory accuracy and gross value adjustment scores. **[MAP SHAPE 8, 12, 13]**
5. Central Purchasing scans any IMR forms with financial implications and supporting documentation into Laserfiche. **[MAP SHAPE 9, 9a]**
6. If there is a discrepancy with financial impact (other than change in serial number, description, location, etc.), the laser fiche IMR is sent to Finance. Finance reviews, researches, and updates FASGOV and FAMIS. **[MAP SHAPE 9, 10, 11]**
7. In all cases results, statistics, and inventory scores are reported in a memo to the Property Manager and Department Director. Central Purchasing scans all IMR's supporting documentation, signed results memo, and any other audit related documentation into DPSM network file. **[MAP SHAPE 13, 14]**

NOTE: If discrepancies are extreme, an internal audit process may be triggered.
NOTE: In some cases, Departments can use maintenance records to show that an asset is still in place because doing a physical count may be infeasible.
NOTE: In addition to updating FAMIS/FASGOV, any discrepancies are changed in the Department's internal system.
NOTE: Park Authority and Housing have access to their own instances of FASGov and make updates to it and FAMIS accordingly.

Triggers:

- ❑ Central purchasing sends memo to departments

Key Process Participants:

- ❑ Central Purchasing
- ❑ Departments
- ❑ Finance

Inputs:

Input	*Format*
Central Purchasing memo and inventory list	Paper
IMR01 form	Paper

Outputs:

Output	*Format*
Updated inventory count	Electronic
Results memo sent to Dept. Director	Manual (paper)

IT Support:

Application/System Name	*Technology Description*
ASIS	Schools technology inventory system
FASGOV	Capital asset system
Excel	Spreadsheet – inventory tracking

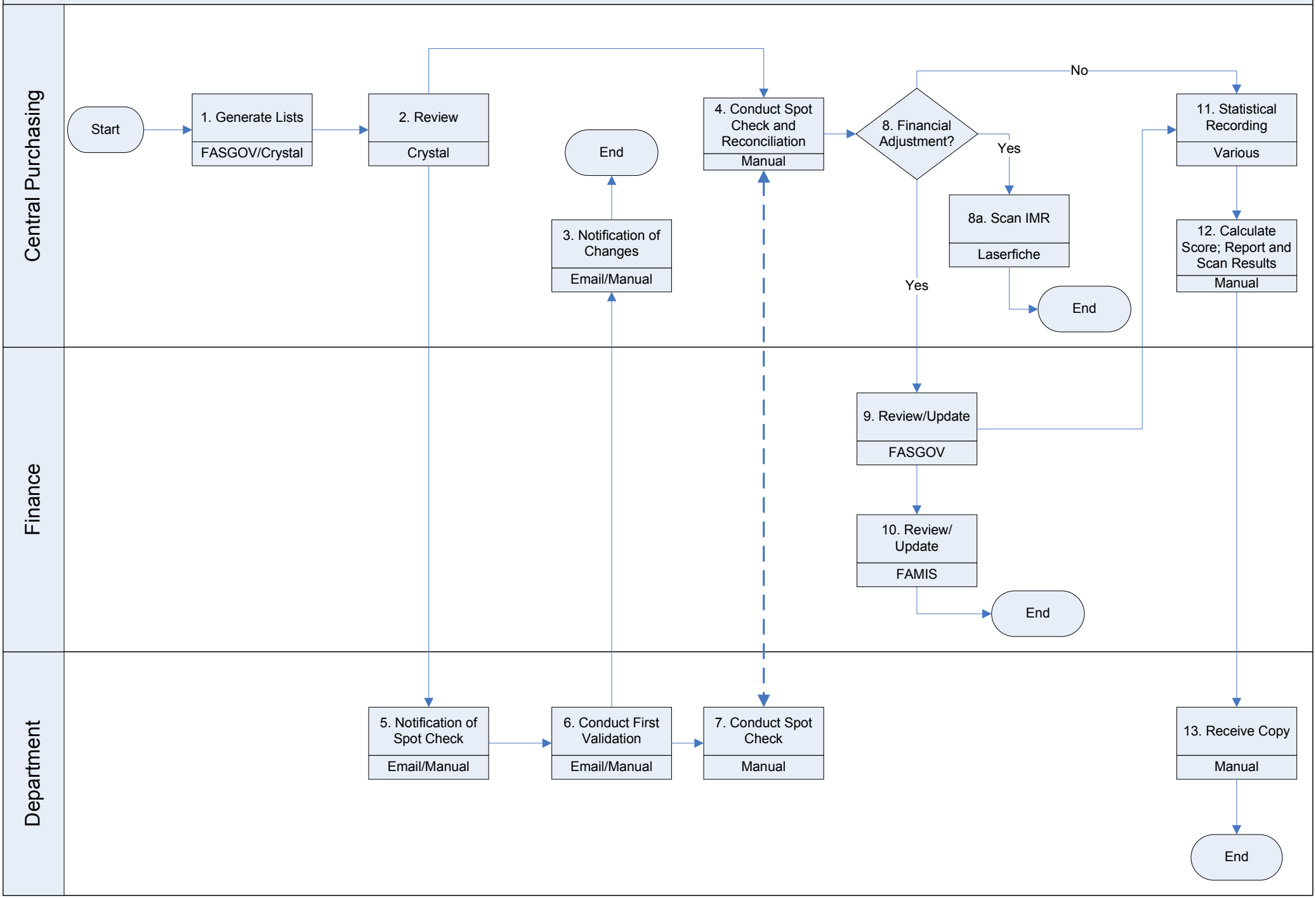
Maximo	IT inventory
Anchor Point	IT inventory
MCT Manager	Police inventory
FAMIS	Financial system
ACTS	Schools facilities inventory

Regulations:

- Purchasing memorandum, procedural memorandum
- Mandate in schools for annual inventory of tech. equipment/items

Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Statistical Sampling

Map Name: ASSET_INV_STATS
Map No: 41B



Process Name: Assets	**Process Identifier:** ASSET_INV_ STATS
Sub-Process Name: Physical Inventory/Tracking – Statistical Sampling	**Map Number:** 41B

Sub-Process Purpose and Objectives: Conduct spot checks of inventory

Sub-Process Description:

1. Central Purchasing uses a Crystal report to draw 100 percent inventory list from FASGov. **[MAP SHAPE 1]**
2. Central Purchasing reviews inventory list. **[MAP SHAPE 2]**
3. Central Purchasing sends a notification of the spot check to the Department with a copy of the Department's entire equipment list. The Department has an opportunity to validate the list, document any discrepancies, and submit changes to Central Purchasing prior to the spot check date. Central Purchasing utilizes Crystal to generate a random sample of a Department's inventory based on a set percentage (25 assets or 25% of assets, whichever is more). Note some large departments will receive a list of locations from the sample list. **[MAP SHAPE 3, 5, 6]**
4. Department and Central Purchasing coordinate a date and time for the physical spot check.
5. Central Purchasing and the Department conduct the audit on-site. **[MAP SHAPE 4, 7]**
6. Discrepancies are discussed at the site and an IMR form is filled out. Discrepancies count against the Department's inventory accuracy score. **[MAP SHAPE 11]**
7. Central Purchasing scans any IMR forms with financial implications and supporting documentation into Laserfiche. **[MAP SHAPE 8, 8a]**
8. Any changes requiring financial adjustment are sent to Finance for review and update of FAMIS and FASGOV. **[MAP SHAPE 8, 9, 10]**
9. In all cases results, statistics, and inventory scores are reported in a memo to the Department Director and Property Manager. Central Purchasing scans all IMR's supporting documentation, signed results memo, and any other audit related documentation into DPSM network file.**[MAP SHAPE 11, 12, 13]**

NOTE: The Park Authority does its own inventory audit annually, and the results are reported to Central Purchasing by location.
NOTE: Park Authority and Housing have access to their own instances of FASGov and make updates to it and FAMIS accordingly.

Triggers:
- ❑ Central Purchasing runs Crystal Report
- ❑ Departments are notified of inventory spot check

Key Process Participants:
- ❑ Central Purchasing
- ❑ Departments
- ❑ Finance

Inputs:

Input	*Format*
Crystal report – random sample	Crystal

Outputs:

Output	*Format*
Completed spot check	Manual
Memo of spot check results	Word

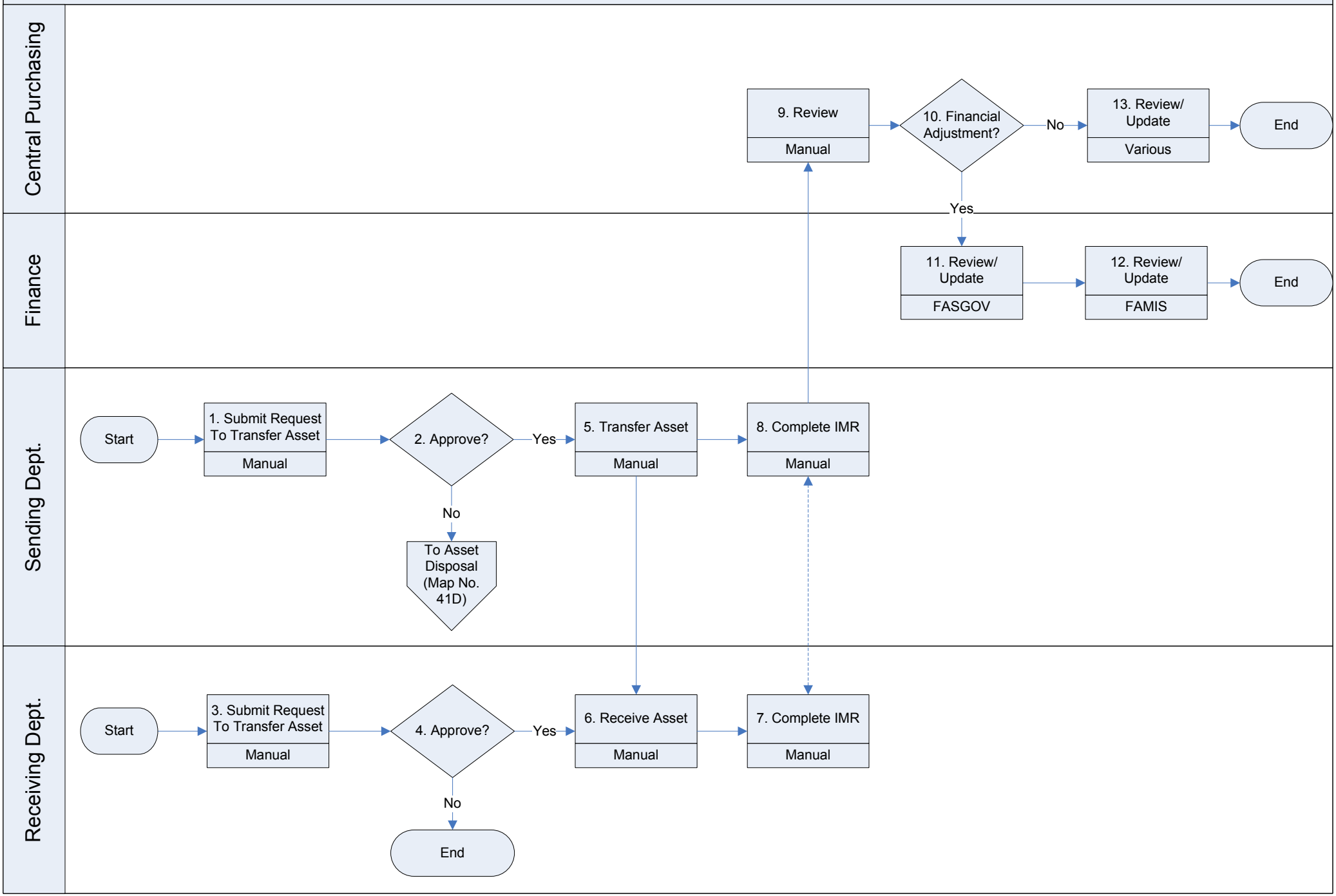
IT Support:

Application/System Name	*Technology Description*
Crystal reports	Random sample inventory report
FASGOV	Capital asset accounting system
MS Office	For memos

Regulations:
- o Purchasing memorandum

Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Transfers

Map Name: ASSET_INV_TRANSFERS
Map No: 41C



Process Name: Assets	**Process Identifier:** ASSET_INV_ TRANSFERS
Sub-Process Name: Physical Inventory/Tracking – Inventory Transfer	**Map Number:** 41C

Sub-Process Purpose and Objectives: Transfer assets between departments

Sub-Process Description:

1. This process can have one of two starting points: either the Receiving or the Sending Department submits a request for an asset transfer. The Sending or Receiving Department then evaluates whether to initiate the transfer. **[MAP SHAPE 1, 3]**
2. If the transfer is not approved by one of the Departments, the process ends. From here the asset may more into the asset disposal process, may become a surplus asset, or may simply remain as an inventory item. **[MAP SHAPE 2, 4]**
3. If the transfer is approved, the asset is physically transferred, and both Departments are responsible for reporting the asset transfer on an IMR01 form (this requires one document with signatures from both Departments. However, the Sending Department has more of an incentive to complete this step). The physical transfer of the asset and preparation of the IMR01 can be done simultaneously.**[MAP SHAPE 5, 6, 7, 8]**
4. The completed IMR is sent to Central Purchasing for review. It is scanned into laser fiche and sent to the Finance Department for FASGOV and FAMIS update if there is a finance impact. Other non-financial FASGOV changes can be completed by Central Purchasing (e.g. location code change). The process ends. **[MAP SHAPE 9, 10, 11, 12, 13]**

NOTE: DVS has a different internal process for asset transfer and counting, etc. Often, Central Purchasing is not "in the loop" on these transfers because Purchasing relies on the DVS inventory system. These vehicle transfers do not affect the Finance Department.
NOTE: Park Authority and Housing have access to their own instances of FASGov and make updates to it and FAMIS accordingly.

Triggers:
- ❑ Request for asset transfer

Key Process Participants:
- ❑ Central Purchasing
- ❑ Departments
- ❑ Finance

Inputs:

Input	***Format***
Asset transfer request	Manual, verbal
IMR01 form	Paper

Outputs:

Output	***Format***
Asset transferred	Manual

IT Support:

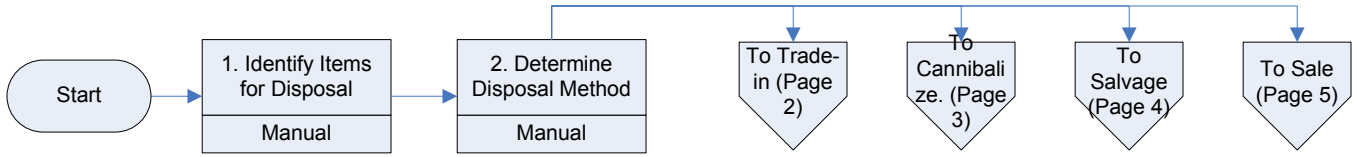
Application/System Name	***Technology Description***
FASGOV	Capital asset system
M4	Vehicle Services inventory

Regulations:
- o Purchasing memorandum

Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Disposals

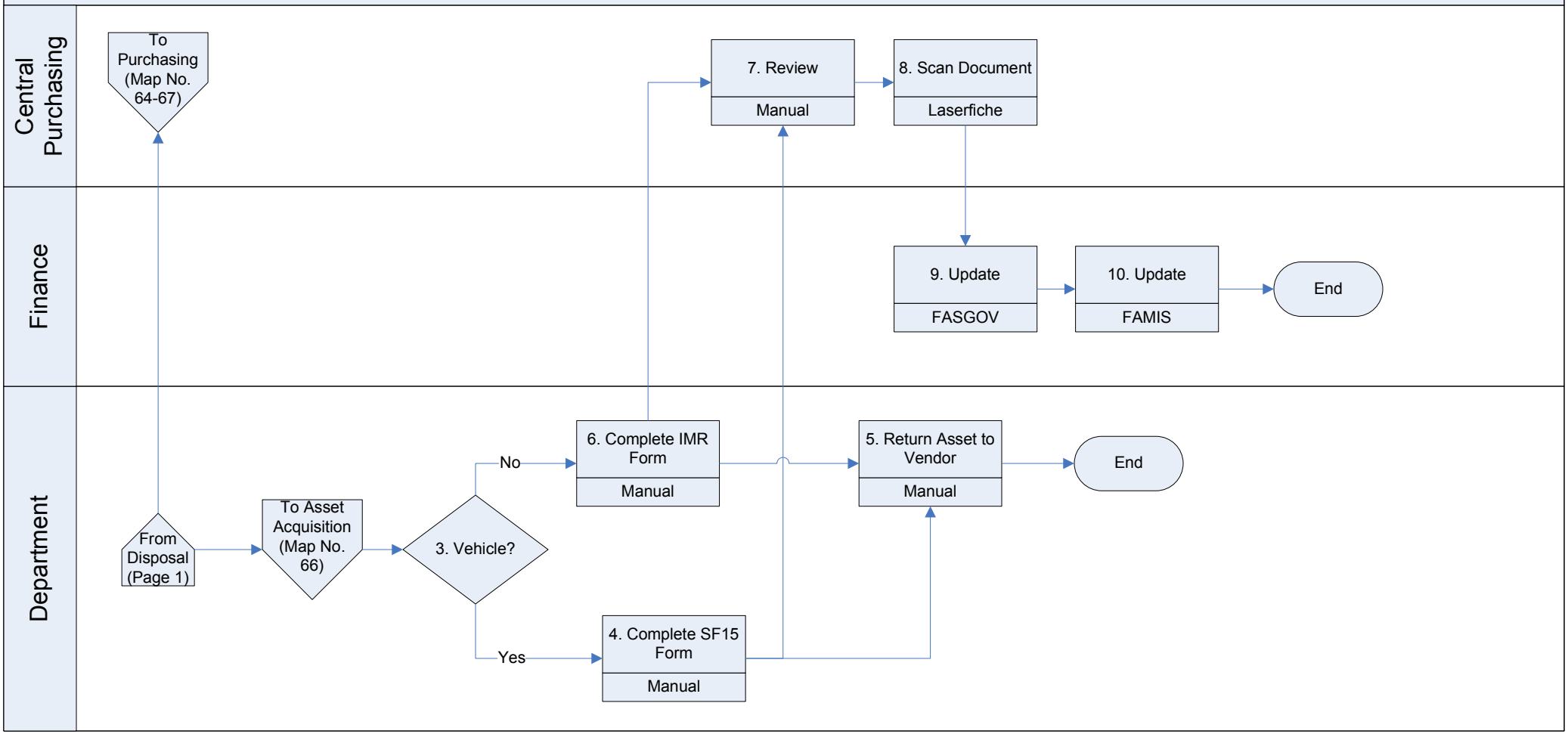
Map Name: ASSET_INV_DISPOSALS
Map No: 41D

Department



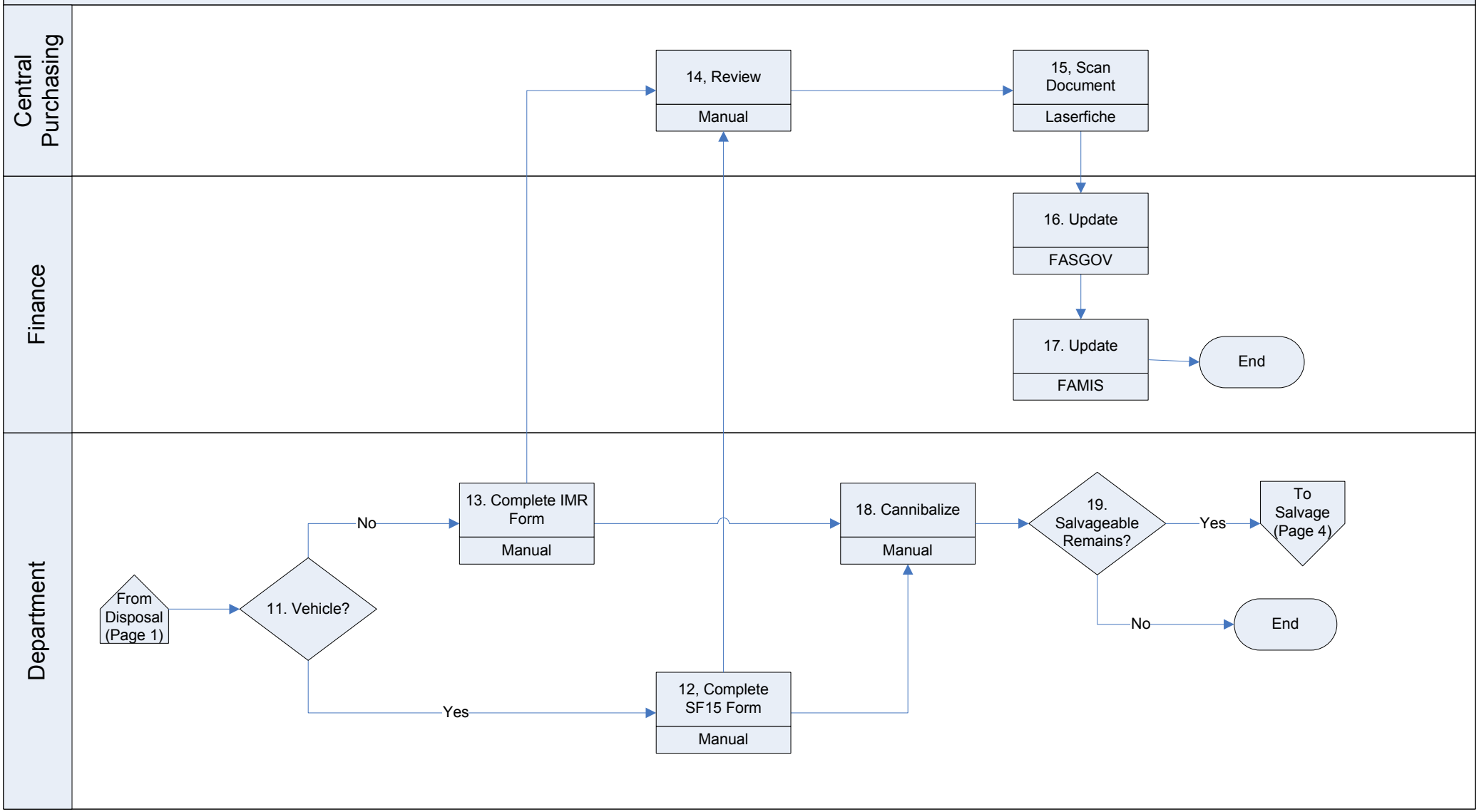
Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Disposals

Map Name: ASSET_INV_DISPOSALS
Map No: 41D



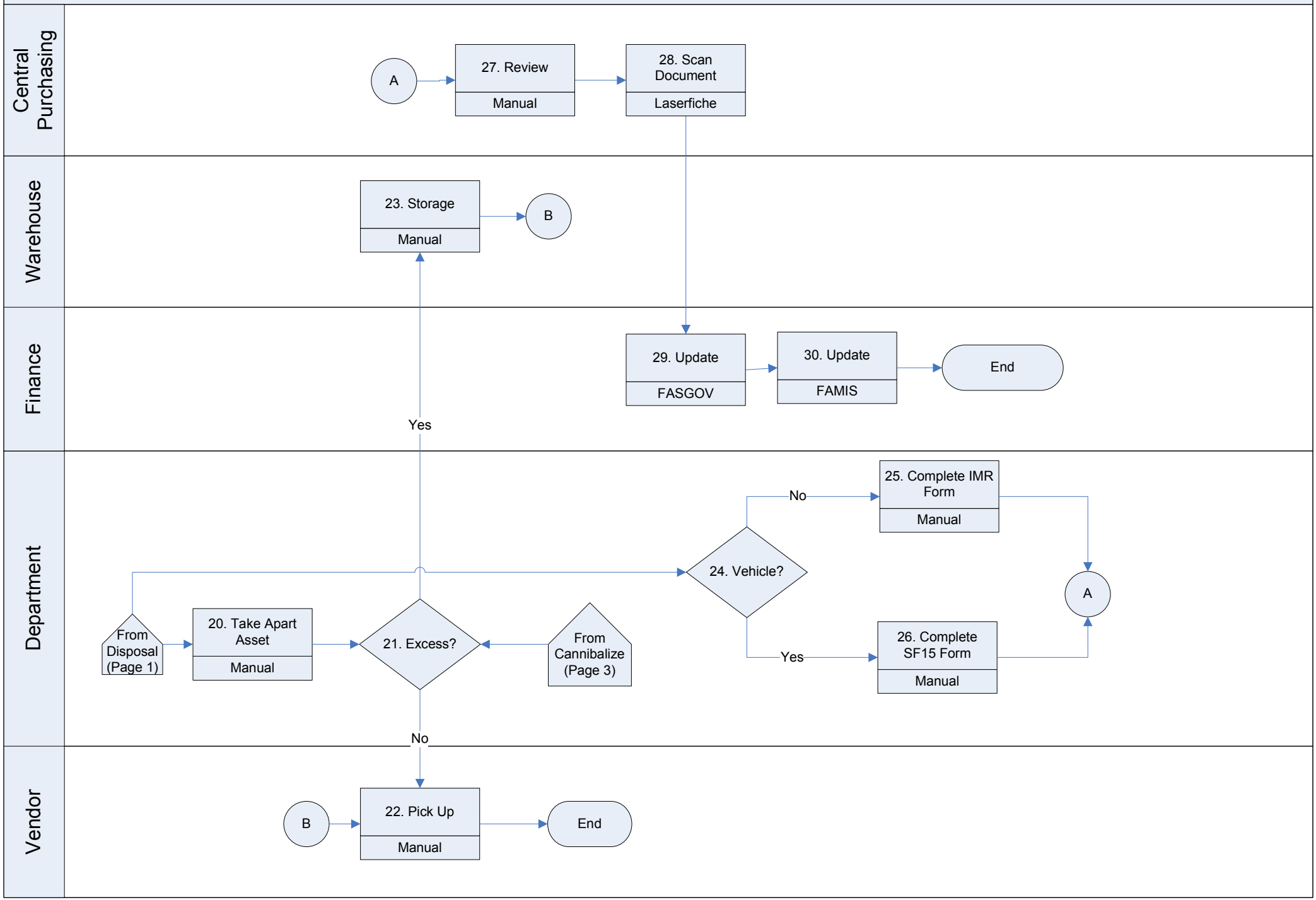
Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Disposals

Map Name: ASSET_INV_DISPOSALS
Map No: 41D



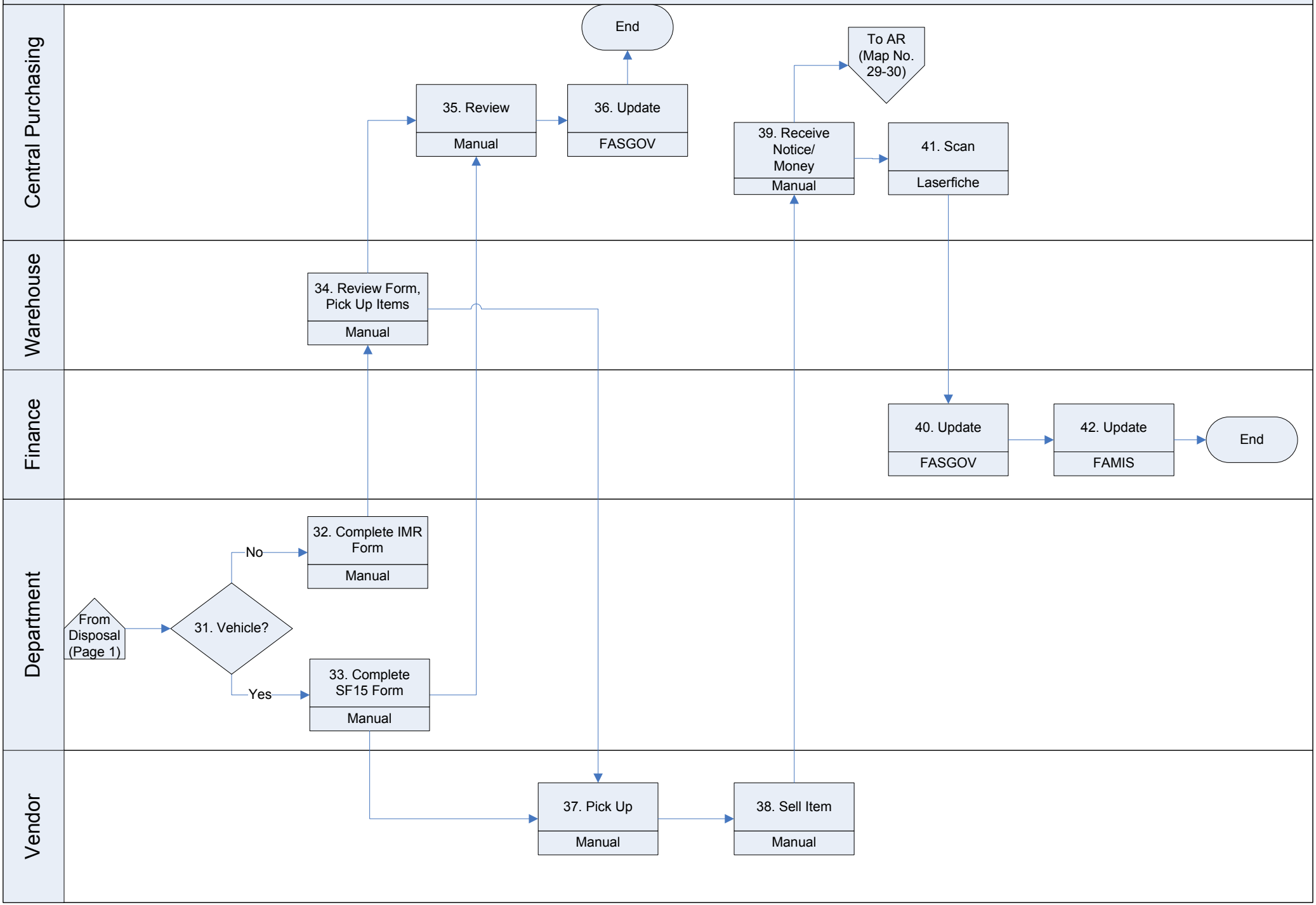
Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Disposals

Map Name: ASSET_INV_DISPOSALS
Map No: 41D



Assets [FINAL]
Sub-Process: Physical Inventory/Tracking – Disposals

Map Name: ASSET_INV_DISPOSALS
Map No: 41D



Process Name: Assets	**Process Identifier:** ASSET_INV_ DISPOSALS
Sub-Process Name: [Page 2] Physical Inventory/Tracking – Disposals (Trade-in)	**Map Number:** 41D

Sub-Process Purpose and Objectives: Trade-in an asset

Sub-Process Description:

1. A Department conducts an internal review and evaluation of assets, identifies assets for disposal, and identifies specific items for trade-in. Some internal departmental approval may be required prior to disposal or trade-in, such as in the Department of Vehicle Services (DVS). **[MAP SHAPE 1, 2]**
2. The Department negotiates a trade-in with the buyer (or vendor). This moves into the purchasing process / asset acquisition process.
3. The Department and/or DVS notify Central Purchasing after the trade-in occurs by submitting an IMR01 or SF15 form (vehicle trade-in only) for review. The Department completes asset trade-in by returning/sending the asset to the vendor. **[MAP SHAPE 3, 4, 5, 6, 7]**
4. Central Purchasing scans the IMR01 or SF15 document into laser fiche, which is then sent to Finance. Finance researches the trade-in, identifies the asset that was received in the trade, and updates FAMIS and FASGOV with the asset disposal.**[MAP SHAPE 8, 9, 10]**

NOTE: Disposal methods include sale, full disposal (trash), salvage of components to external vendor, internal cannibalization of components, and trade-in. Departments make the cannibalize / salvage / trade-in decision. Central Purchasing makes the sale / trash decision.
NOTE: Park Authority and Housing have access to their own instances of FASGov and make updates to it and FAMIS accordingly.

Triggers:
- ❑ Department identifies assets for trade-in
- ❑ Department submits IMR01 or SF15 form to Central Purchasing.

Key Process Participants:
- ❑ Central Purchasing
- ❑ Departments
- ❑ Finance

Inputs:

Input	*Format*
Asset identified for trade-in	Manual
IMR01 and SF15 forms	Paper

Outputs:

Output	*Format*
Asset trade-in, asset disposal	Manual
Systems updated	Electronic

Sub-Process Name: [Page 3] Physical Inventory/Tracking – Disposals (Cannibalize)

Sub-Process Purpose and Objectives: Internal cannibalization of asset components

Sub-Process Description:

5. A Department conducts an internal review and evaluation of assets, identifies assets for disposal, and identifies specific items for cannibalization of components. Some internal departmental approval may be required, such as in DVS. **[MAP SHAPE 1,2]**
6. The Department completes IMR01 or SF15 form (vehicles only) and sends it to Central Purchasing. The Department takes the asset apart to salvage (cannibalize) components. **[MAP SHAPE 12, 13, 18]**
7. Central Purchasing scans the IMR01 and SF15 forms into laser fiche and sends the information to Finance. Finance updates FAMIS and FASGOV. **[MAP SHAPE 14,15,16,17]**
8. Salvageable remains move into the salvage process (i.e. are sent to the warehouse or are picked up by a salvage contractor). **[MAP SHAPE 19]**
9. If there are no salvageable remains, the process ends.

Triggers:
- ❑ Asset identified for cannibalization
- ❑ Department submits IMR01 or SF15 form to Central Purchasing.

Key Process Participants:
- ❑ Central Purchasing
- ❑ Departments
- ❑ Finance

Inputs:

Input	*Format*
Asset identified for cannibalization	Manual
IMR01 and SF15 forms	Paper

Outputs:

Output	*Format*
Asset cannibalization	Manual
Systems updated	Electronic

Sub-Process Name: [Page 4] Physical Inventory/Tracking – Disposals (Salvage)

Sub-Process Purpose and Objectives: Send assets to outside vendor for salvage of components

Sub-Process Description:

10. A Department conducts an internal review and evaluation of assets, identifies assets for disposal, and identifies specific items with salvageable components. **[MAP SHAPE 1,2]**
11. The start point of this process can also come from the cannibalization process. If there was not previous cannibalization, the Department identifies the asset with components for salvage and takes apart the asset. **[MAP SHAPE 20]**
12. If the components are surplus salvageable items, the Departments send them to the Warehouse for temporary storage. Non surplus salvageable items are picked up directly by a salvage contractor. **[MAP SHAPE 21, 22, 23]**
13. The warehouse stores the surplus salvageable items, and contacts a salvage contractor for pickup. **[MAP SHAPE 22, 23]**
14. An IMR01 or SF15 form is completed by the Department and sent to Central Purchasing for review, scanning into laser fiche, and submission to the Finance Department for system update. **[MAP SHAPE 24, 25, 26, 27, 28, 29, 30]**

NOTE: Risk Management has a different process for salvage which requires working with insurance companies.
NOTE: Park Authority and Housing have access to their own instances of FASGov and make updates to it and FAMIS accordingly.

Triggers:
- ❑ Asset components are identified for salvage
- ❑ Department submits IMR01 or SF15 form to Central Purchasing

Key Process Participants:
- ❑ Central Purchasing
- ❑ Departments
- ❑ Finance
- ❑ Warehouse
- ❑ Vendor (salvage contractor)

Inputs:

Input	*Format*
Asset components identified for salvage	Manual
IMR01 and SF15 forms	Manual (paper)

Outputs:

Output	*Format*
Component salvage	Manual
System update	Electronic

Sub-Process Name: [Page 5] Physical Inventory/Tracking – Disposals (Sale)

Sub-Process Purpose and Objectives: Sale of assets

Sub-Process Description:

15. A Department conducts an internal review and evaluation of assets, identifies assets for sale, and completes an IMR01 or SF15 form. **[MAP SHAPE 1, 2, 31, 32, 33]**
16. If the Department is the Department of Vehicle Services (DVS), the SF15 form is sent to both Central Purchasing and the auction company. Sale items are sent to the Warehouse where they are accumulated and later picked up by the auction company. **[MAP SHAPE 33,37]**
17. If not DVS, the IMR01 form is sent to the Warehouse, which organizes pick-up of sale items from the Departments. When the Warehouse receives items for sale, a copy of the IMR01 form is sent to Purchasing, which reviews and makes a location code change in FASGOV. **[MAP SHAPE 32, 34, 35, 36]**
18. The items are picked up by the auction company and sold through an auction. Purchasing is notified and updates FASGOV to indicate that the items are sold and are no longer held in inventory. **[MAP SHAPE 37, 38, 39, 40]**
19. Purchasing scans notification of sale and remittance slips/receipts into laser fiche and sends the information to Finance for update of FAMIS. **[MAP SHAPE 41, 42]**
20. Receipts from the sale move into the AR / cash receipts process

NOTE: Once items are sent to the warehouse, they are not necessarily to be sold by auction. Items can also be salvaged, cannibalized, etc.
NOTE: Park Authority and Housing have access to their own instances of FASGov and make updates to it and FAMIS accordingly.

Triggers:

- Items are identified for sale
- Department submits IMR01 or SF15 form to Central Purchasing

Key Process Participants:

- Central Purchasing
- Departments
- Finance
- Warehouse
- Vendor (auction company)

Inputs:

Input	*Format*
Asset identified for sale	Manual
IMR01 or SF15 form	Manual (paper)

Outputs:

Output	*Format*
Asset is sold	Manual
Systems updated	Electronic

IT Support:

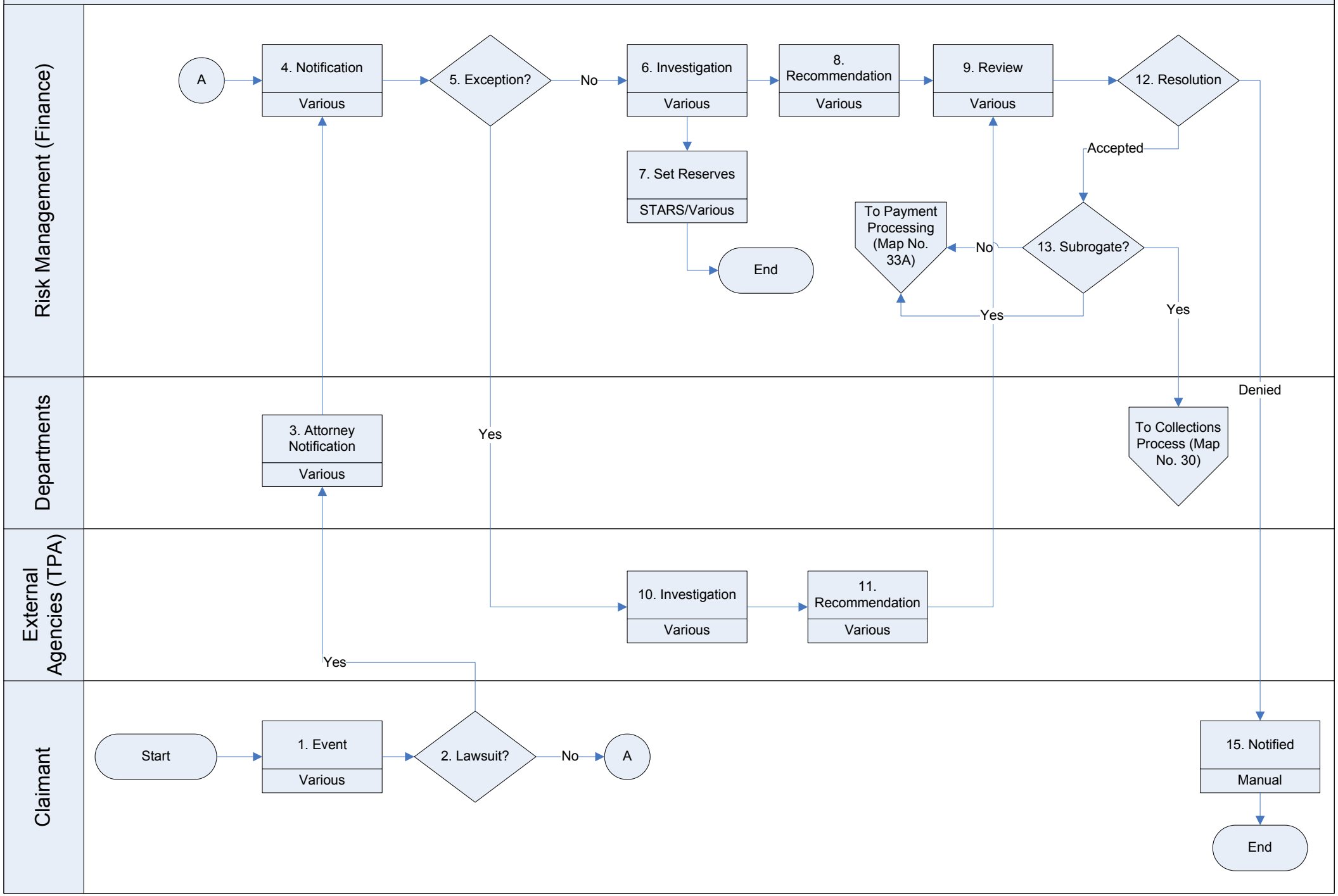
Application/System Name	*Technology Description*
FAMIS	Financial system
FASGOV	Capital asset system

Regulations:

- Purchasing memorandum

Risk Management [FINAL]
Sub-Process: Claim Investigation

Map Name: RISK_CLAIM_INVESTIGATE
Map No.: 42A



Process Name: Risk Management	**Process Identifier:** RISK_CLAIM_INVESTIGATE
Sub-Process Name: Claim Investigation	**Map Number:** 42A

Sub-Process Purpose and Objectives:

Sub-Process Description

1. A claimant reports an event (an event may include multiple incidents and claimants) to Risk Management by phone, email, fax, or through an Attorney (for a claim related to a lawsuit). **[MAP SHAPE 1, 2, 3]**
2. After Risk Management is notified, the insurance company is notified, depending on the type of event and loss. **[MAP SHAPE 4]**
3. Risk Management investigates and sets the reserve in STARS or other systems. Risk Management gathers information and facts about the event (statements of all parties, police reports, and witness interviews) and makes a recommendation that is reviewed by a Supervisor. **[MAP SHAPE 5, 6, 7, 8, 9]**
4. Exception: for some events in the County, a Third Party Administrator investigates the claims and provides recommendations for County Risk Management review. **[MAP SHAPE 5, 10, 11, 9]**
5. Risk Management makes a decision on resolution of the claim. If Risk Management denies the claim, a letter is sent to notify the claimant and the process ends. If the claim is approved, Risk Management then decides whether or not to subrogate the claim for recovery from insurance companies. Whether or not it is subrogated, the claim moves to payment processing. **[MAP SHAPE 12, 15, 13]**

NOTE: The Attorney's Office and has a separate process for dealing with lawsuits.
NOTE: Auto and property claims are all investigated and handled in house, not through a Third Party Administrator.
NOTE: If the County Attorney notifies Risk Management of a claim from a lawsuit, this investigation is done internally either by Risk Management or by the County Attorney with Risk Management assistance, rather than through the Third Party Administrator.

Triggers:

- ❑ Report of an event

Key Process Participants:

- ❑ Risk Management
- ❑ External Agencies (Third Party Administrator)
- ❑ Claimant
- ❑ Attorney

Inputs:

Input	***Format***
Report of an event	Various

Outputs:

Output	***Format***
Approved or denied claim	Manual (letter)

IT Support:

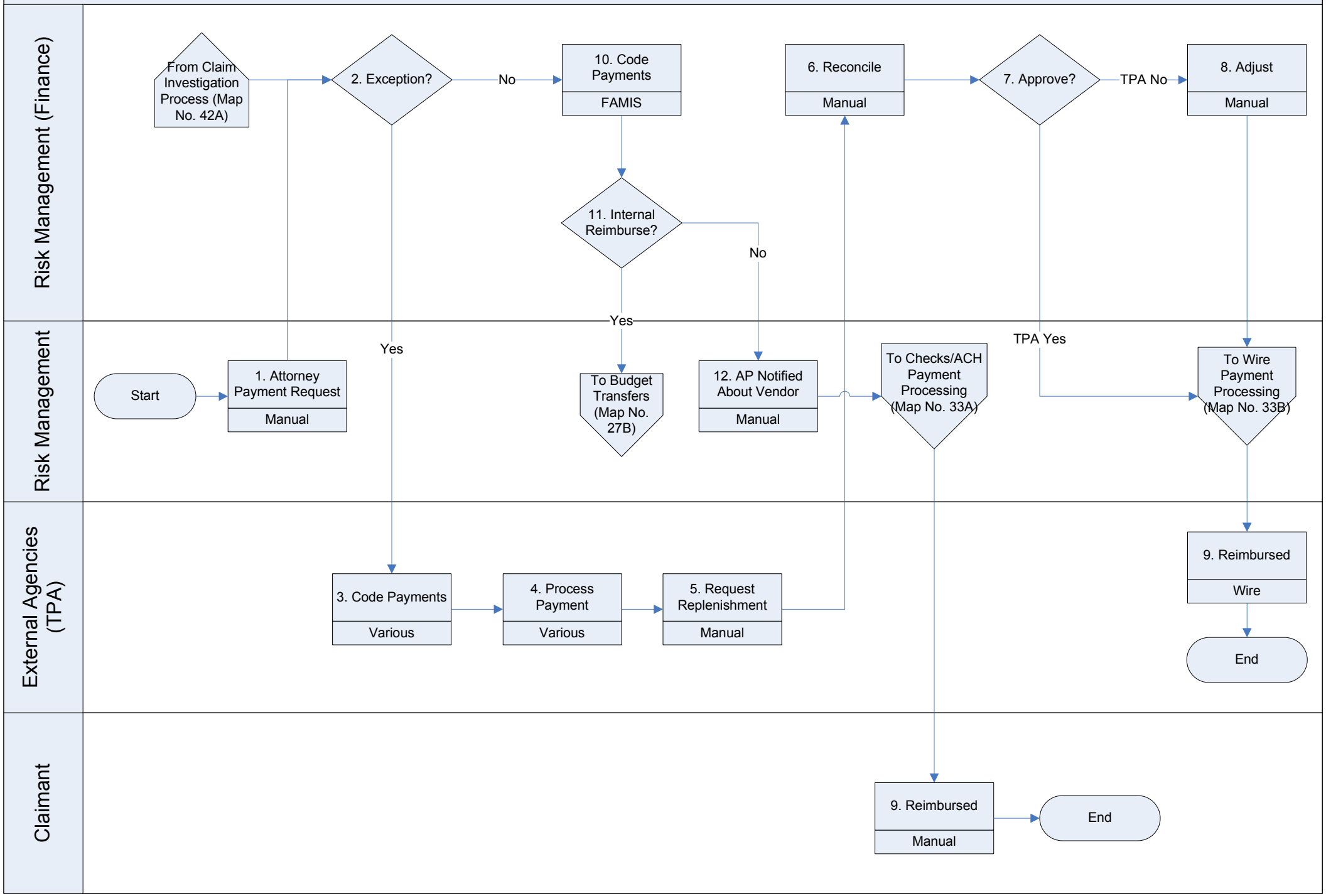
Application/System Name	***Technology Description***
STARS	Risk management system
TPA system	
Risk Master	

Regulations:

- o OSHA

Risk Management [FINAL]
Sub-Process: Claim Payment

Map Name: RISK_CLAIM_PAY
Map No.: 42B



Process Name: Risk Management	**Process Identifier:** RISK_CLAIM_PAY
Sub-Process Name: Claim Payment	**Map Number:** 42B

Sub-Process Purpose and Objectives: Process claim payments

Sub-Process Description

1. A claim is approved during the investigation process or the County Attorney notifies Risk Management of a payment that must be made (in these cases, no investigation occurs). **[MAP SHAPE 1]**
2. Risk Management codes the claim in FAMIS. **[MAP SHAPE 10]**
3. If the claim requires internal reimbursement to Departments, this moves into the interfund transfer process. **[MAP SHAPE 11]**
4. If the claim does not require internal reimbursement, Risk Management sends a memo with claimant information to Accounts Payable. **[MAP SHAPE 11, 12]**
5. Claims are paid. **[MAP SHAPE 9]**
6. Exception: for the County, when a Third Party Administrator (TPA) is involved, the TPA codes the claim and makes the payment to the claimant. The TPA then requests reimbursement by memo to Risk Management. Risk Management reviews and reconciles/modifies the replenishment request. Once the request is accepted, Risk Management replenishes (reimburses) the TPA by Wire (through Accounts Payable process). **[MAP SHAPE 2, 3, 4, 5, 6, 7, 8, 9]**
7. Once the claim is paid, subrogation requests go to the collections process.

NOTE: Some expenses related to legal fees may still be paid on denied claims and lawsuits.
NOTE: This payment process is the same for auto, bodily injury, property, and general liability claims.
NOTE: For large internal claims, Schools pays vendors to cover rebuilding, etc., on behalf of departments until insurance companies begin paying claims.

Triggers:

- ❑ Claim approved
- ❑ TPA requests replenishment

Key Process Participants:

- ❑ Risk Management
- ❑ External Agencies (Third Party Administrator)
- ❑ Departments – County Attorney, AP
- ❑ Claimant

Inputs:

Input	***Format***
Approved claim	Manual

Outputs:

Output	***Format***
Payment to claimant	Checks/ACH
Reimbursement to TPA	Wire

IT Support:

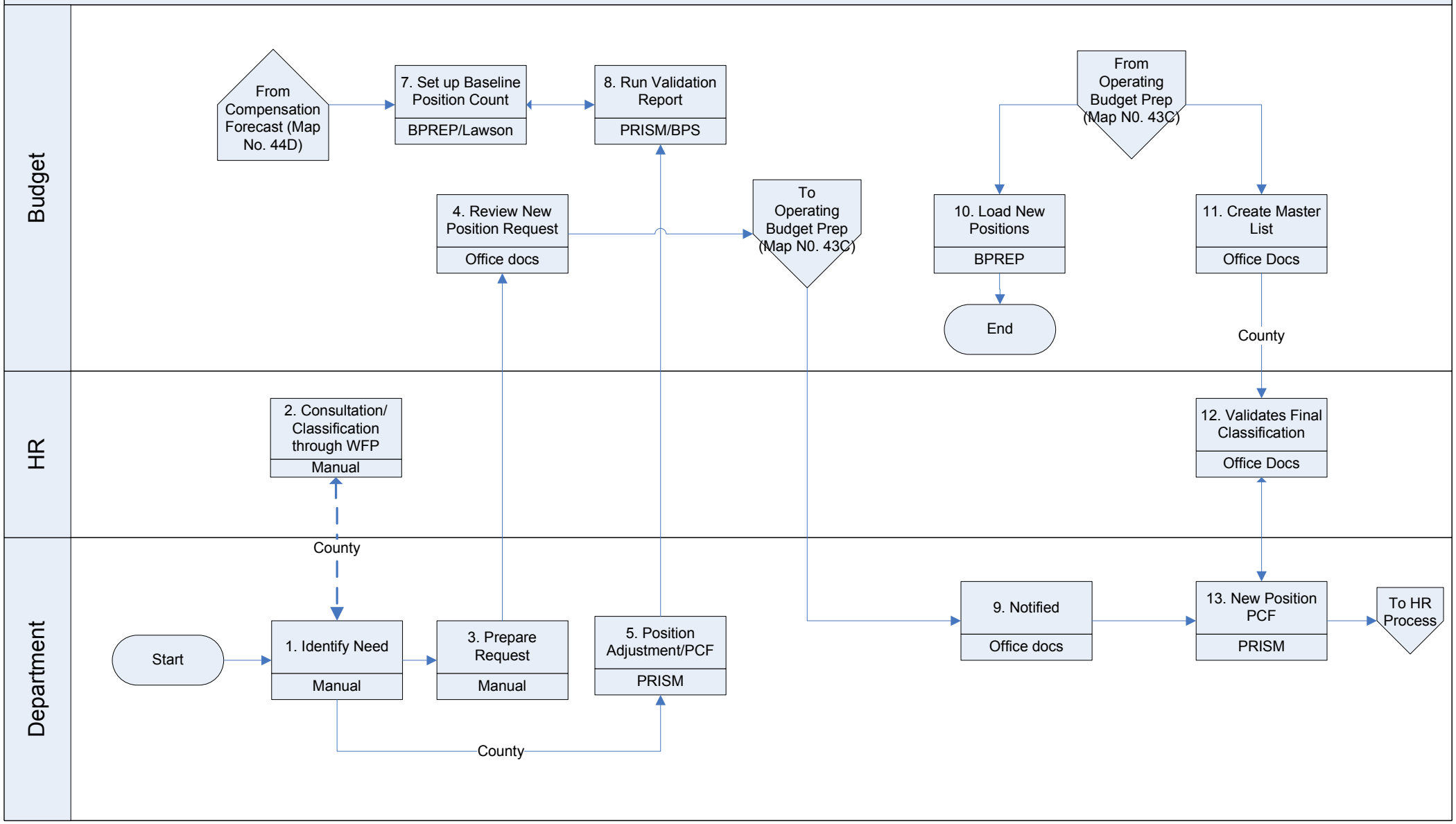
Application/System Name	***Technology Description***
FAMIS	Financial system
STARS, Risk Master	Risk management system

Regulations:

- o OSHA

Budget [FINAL]
Sub-Process: Preparation – Position Budget

Map Name: BUD_PREP_POSITION
Map No.: 43A



Process Name: Budget	**Map Name:** BUD_PREP_POSITION
Sub-Process Name: Preparation – Position Budget	**Map No.:** 43A

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Information from the compensation forecast and Schools data is loaded in BPREP.
2. The Budget Office creates a baseline position count/rollover in Prism or Lawson. (Lawson portion in Schools only happens in certain cycles). **[MAP SHAPE 7]**
3. The County Budget Office runs a validation report from Prism **[MAP SHAPE 8]**
4. Departments identify needs and have consultation/classification discussion with HR in some cases. Then County Departments update baseline (PCF/position adjustment forms) in Prism; any resulting position adjustments are updated in the County Budget Office validation report in Prism. Both Schools and County departments then prepare position requests. Identification and request of new positions can occur at several different times throughout the budget preparation process. **[MAP SHAPE 1,2,3,5]**
5. Department request are sent to the Budget Office for review and analysis. **[MAP SHAPE 4]**
6. The Budget Office makes recommendations to SMT/LT. This then moves into the operating budget preparation process. (Map No. 43C)
7. When the positions are approved through the operating budget process, the Budget Office loads the new positions in BPREP and notifies the departments that their positions have been approved. The Office of Budget creates a master list of new positions, which is sent to HR (for final classification on County side only).**[MAP SHAPE 9, 10, 11, 12]**
8. Once the budget is approved, Departments complete a position control form (PCF) in Prism. This then moves into HR processes. **[MAP SHAPE 13]**

Triggers:

- ❑

Key Process Participants:

- ❑ HR
- ❑ Budget Office
- ❑ Departments

Inputs:

Input	*Format*
N/A	

Outputs:

Output	*Format*
N/A	

IT Support:

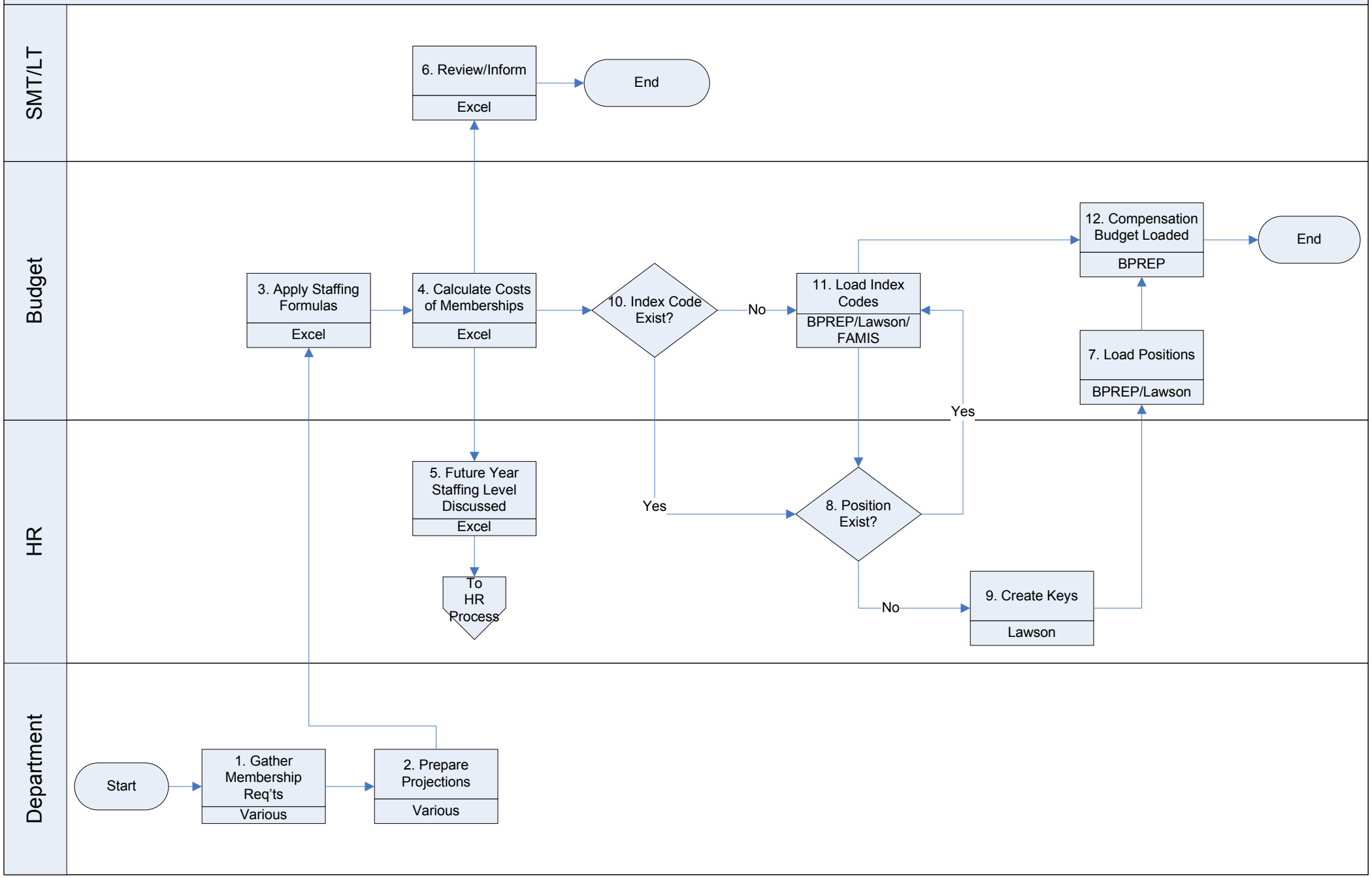
Application/System Name	*Technology Description*
Excel	Spreadsheet application
Lawson	Schools human resource system
BPREP	Budget preparation system
BPS	

Regulations:

- o

Budget [FINAL]
Sub-Process: Preparation – Ratio Based Position Budget

Map Name: BUD_PREP_POSITION_SCHOOL
Map No.: 43B



Process Name: Budget	**Map Name:** BUD_PREP_POSITION_SCHOOL
Sub-Process Name: Preparation – Ratio Based Position Budget	**Map No.:** 43B

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Departments gather data and create membership projection in multiple systems (SASI, Special Education, Facilities). Special Education, Alternative Education, English as Second Language, Gifted and Talented, and FECEP counts also affect the position projections. Projections are sent to the Budget Office. **[MAP SHAPE 1, 2]**
2. The Budget Office applies staffing formulas to the projections and develops school-based position counts numbers. **[MAP SHAPE 3]**
3. The Budget Office calculates cost of membership increase (growth) **[MAP SHAPE 4]**
4. The Budget Office informs SMT/LT of position counts and costs **[MAP SHAPE 6]**
5. Staffing levels are sent to HR. HR meets with principals and begins hiring, destaff, transfer, etc. processes.* **[MAP SHAPE 5]**
6. The Budget Office loads positions into BPREP or Lawson. The Budget Office loads necessary index codes in BPREP, FAMIS, and Lawson prior to loading positions. HR creates keys in Lawson if the new positions do not already exist in the system **[MAP SHAPE 7, 8, 9, 10, 11]**
7. The Budget Office loads the compensation budget. **[MAP SHAPE 12]**

**NOTE: Schools are re-staffed in September after the first two weeks of school, based on actual enrollment, etc.*

Triggers:

- ❑ Start of budget season

Key Process Participants:

- ❑ HR
- ❑ Budget Office
- ❑ SMT/LT

Inputs:

Input	***Format***
Various Systems	Various
Excel	Spreadsheet
Excel	Spreadsheet
BPREP	BPREP

Outputs:

Output	***Format***
Excel	Spreadsheet
BPREP	BPREP
Lawson	Lawson
FAMIS	FAMIS

IT Support:

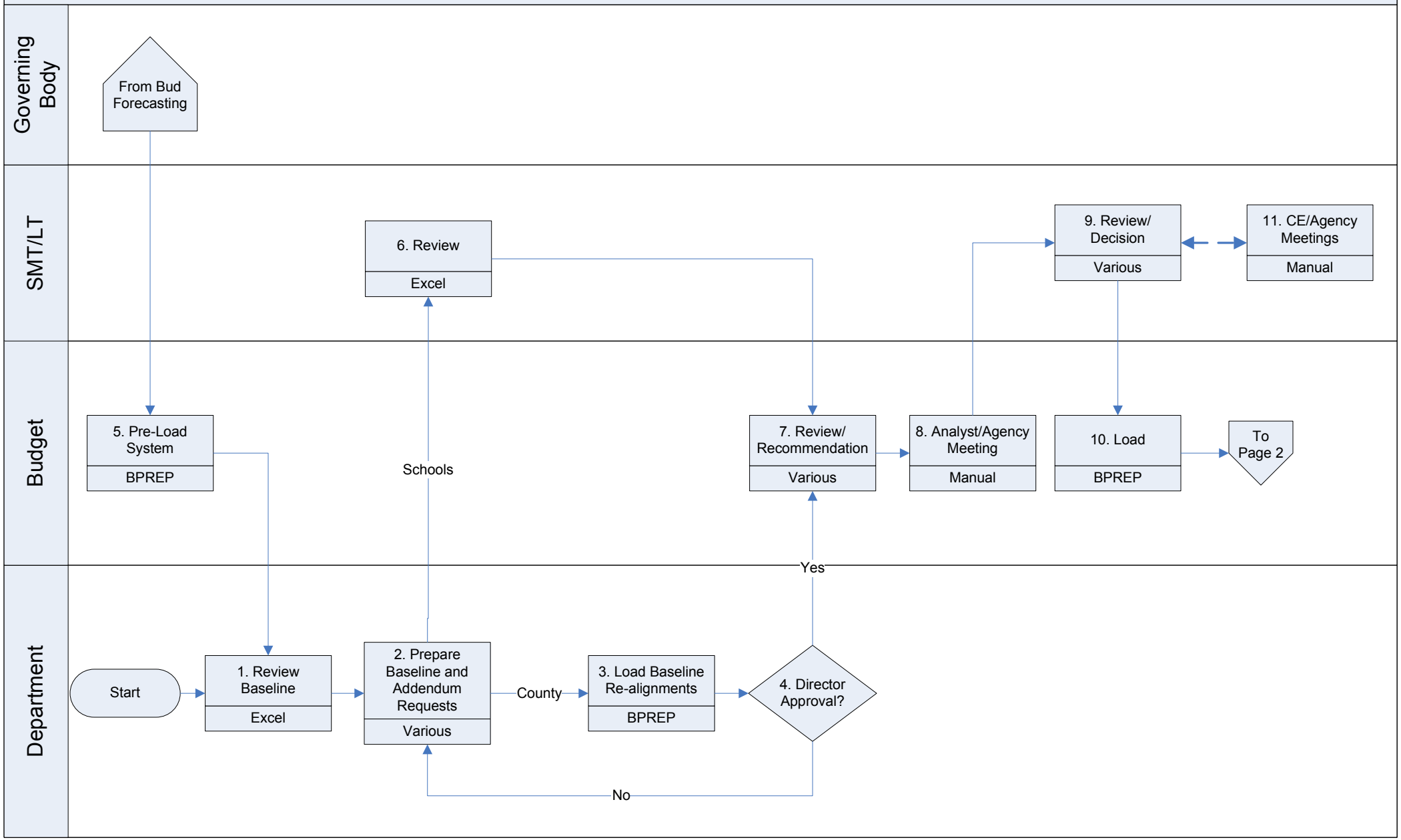
Application/System Name	***Technology Description***
SASI	
Special Education System	
Facilities	
Excel	Used for budget forecasting
Lawson	Schools human resource system
BPREP	Budget preparation system
FAMIS	Financial system

Regulations:

- o State and federal standards/mandates and Schools regulations for staffing formulas

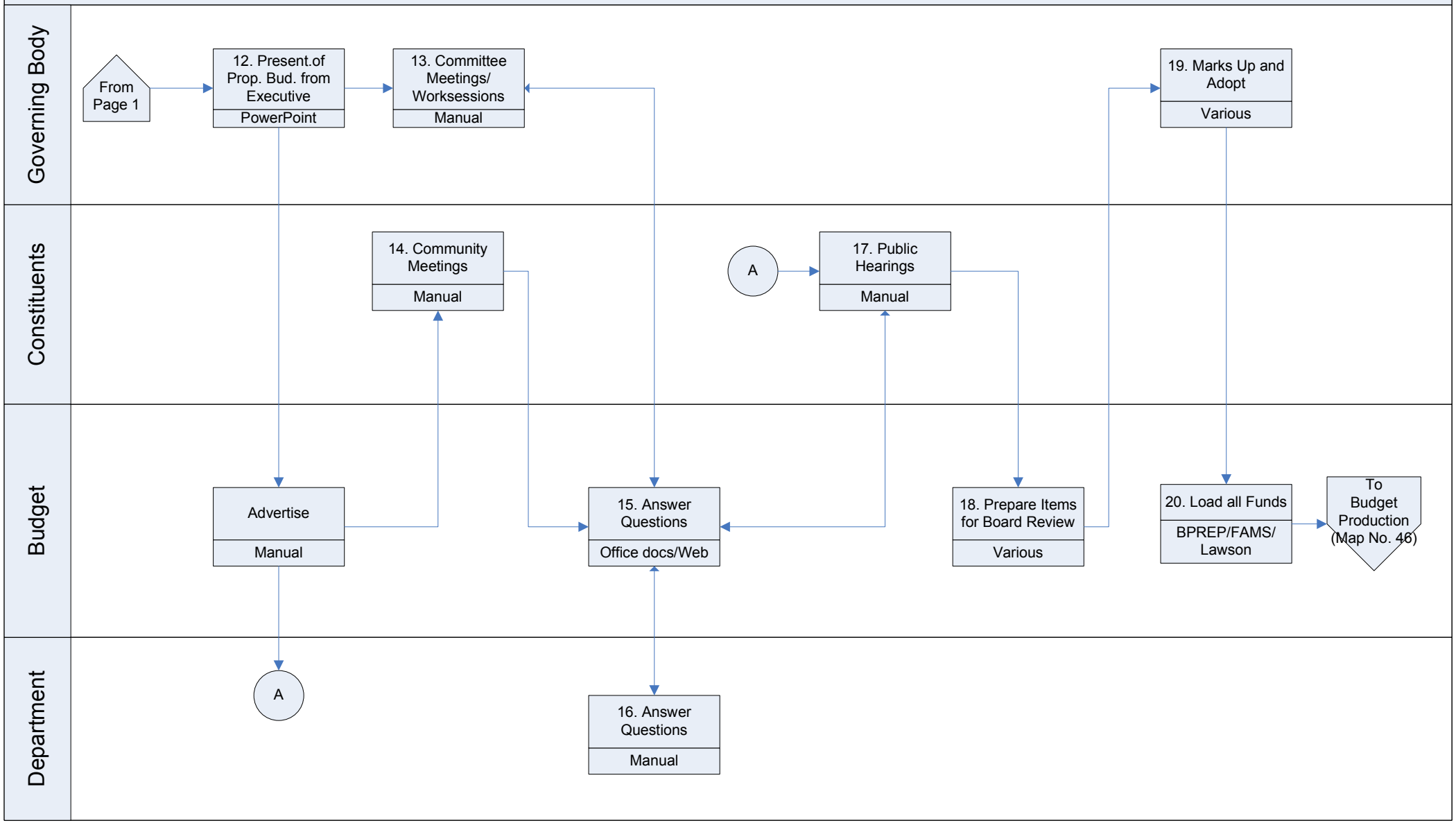
Budget [FINAL]
Sub-Process: Preparation – Requests

Map Name: BUD_PREP_REQUESTS
Map No.: 43C



Budget [FINAL]
Sub-Process: Preparation – Requests

Map Name: BUD_PREP_REQUESTS
Map No.: 43C



Process Name: Budget	**Process Identifier:** BUD_PREP_REQUESTS
Sub-Process Name: Preparation – Operating Budget Requests	**Map Number:** 43C

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Budget guidelines are set by the Governing Body.
2. The County Budget Office pre-loads the BPREP system and uploads narrative, performance measures, etc. (note that Capital and other non-operating funds are not preloaded) Schools loads prior year budget into BPREP and prepares Excel documents for Departments. **[MAP SHAPE 5]**
3. Departments review and update their baseline request based on the Budget Guidelines. BPREP is updated with baseline realignments on the County side. (Nothing new is loaded into BPREP at this time – only baseline realignments are loaded). The baseline and addendum request (not including new resources) is reviewed by the Department Director. When approved by the Director, the baseline request is sent to the Budget Office for review and recommendations **[MAP SHAPE 1, 2, 3, 4]**
4. After Schools Department Director approval, Schools baseline requests are sent to the SMT/LT for review. The SMT/LT then sends the requests to the Budget Office for review. **[MAP SHAPE 2, 6]**
5. The Schools and County Budget Office both hold meetings with Budget Analysts and Departments to discuss recommendations. This is less formal for Schools - it occurs when needed. **[MAP SHAPE 7, 8]**
6. After Schools and County Budget Office review, the baseline request is presented to SMT/LT for review, meetings with Departments Heads/County Executive, and approval. Upon approval, any addendum or changes are loaded into BPREP by the Budget Office. **[MAP SHAPE 9]**
7. Once the baseline is approved by SMT/LT and loaded into BPREP, new resource requests are developed and approved following this same process. **[MAP SHAPE 10]**
8. The compiled budget recommendation, with baseline and additional resource requests, then moves into the budget production process
9. The County Budget Office advertises the budget to constituents. (Note that Schools advertises its budget after the School Board adopts the Superintendent's proposed budget following various meetings and work sessions). After budget production and distribution, the County and Schools Executives present the advertised/proposed budget to the Governing Bodies **[MAP SHAPE 12]**
10. The County Budget Office advertises the budget to constituents. (Note that Schools advertises its budget after the School Board adopts the Superintendent's proposed budget following various meetings and work sessions).
11. County and Schools Budget Offices staff multiple committee meetings/work sessions for the Governing Body **[MAP SHAPE 13]**
12. County and Schools budget staff and departments (DTA, Schools, Park Authority, etc.) make presentations about the budget in community meetings. **[MAP SHAPE 14]**
13. Both Budget Offices respond to questions from community meetings and committee meetings **[MAP SHAPE 15, 16]**
14. The Governing Body holds public hearings on the budget after the budget is advertised. The Budget Office responds to any additional questions. **[MAP SHAPE 17]**
15. The County Budget Office prepares items for Board review (including add-on package, adoption package, tax rate resolution, initial budget guidelines, and agenda items), and makes adjustments to the budget based on Governing Body recommendation and any additional information received. **[MAP SHAPE 18]**
16. The updated budget is sent to the Governing Body for mark-up and adoption. At this point, Schools holds additional meetings/work sessions and adopts approved budget. **[MAP SHAPE 19]**
17. Both Schools and the County Budget Office load final budget information into BPREP and Lawson (all funds, revenues, and positions) **[MAP SHAPE 20]**
18. The budget moves into the final budget production process.

Triggers:
- ❑ Budget Guidelines are set by the Governing Body
- ❑ Budget is advertised

Key Process Participants:
- ❑ Governing Body
- ❑ SMT/LT
- ❑ Constituents
- ❑ Budget Office
- ❑ Departments

Inputs:

Input	***Format***
Budget Guidelines	

Outputs:

Output	***Format***
Baseline Budget	
Adopted Budget	

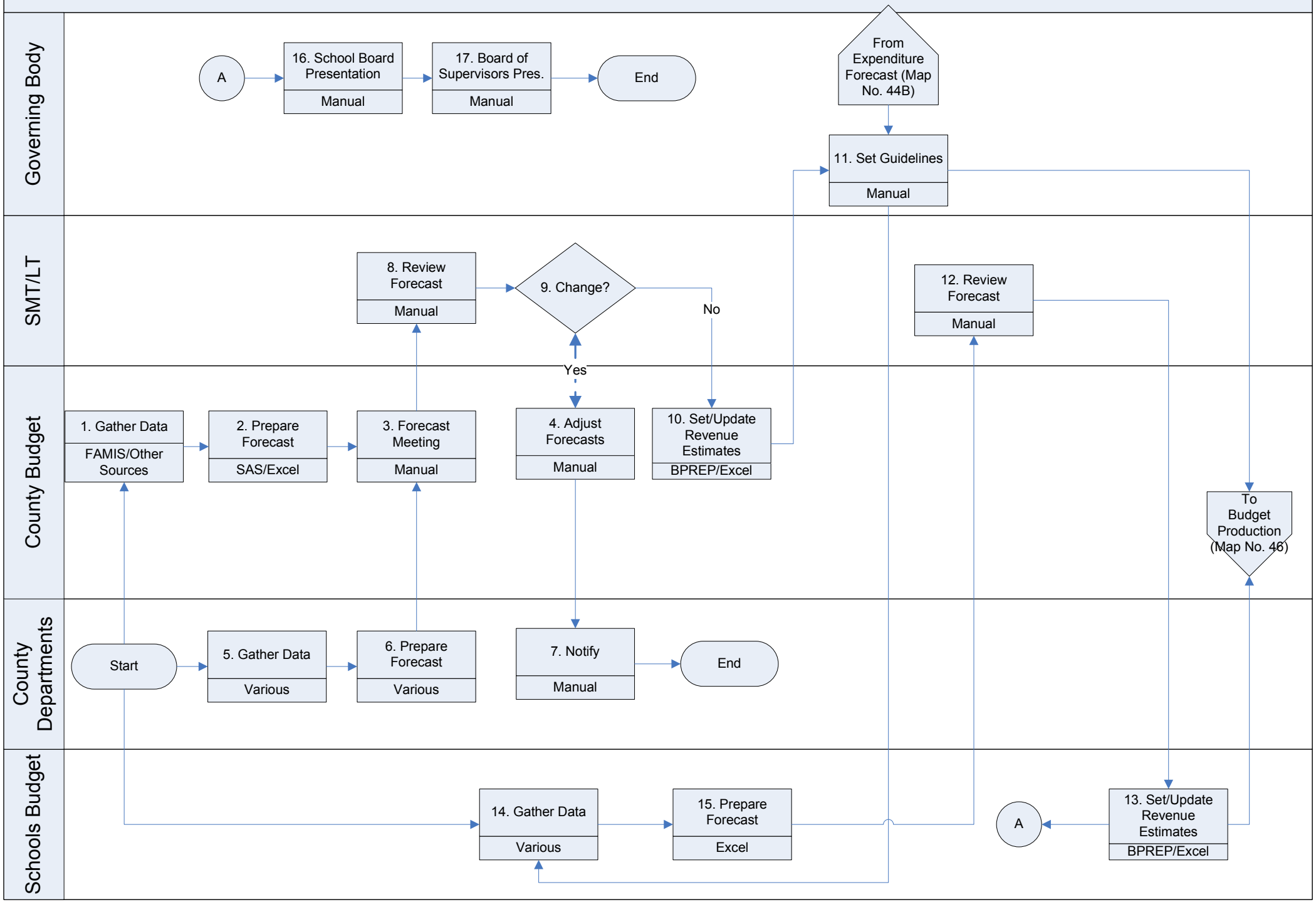
IT Support:

Application/System Name	***Technology Description***
BPREP	Budget preparation system
Microsoft Office	Office applications
FAMIS	Financial system
Lawson	Schools human resource system

Regulations:
- o State Law – Budgetary Categories
- o County Principals of Sound Financial Management
- o Budget Guidelines for the Fiscal Year
- o Board of Education Policy

Budget [FINAL]
Sub-Process: Preparation (Forecasting) – Revenue

Map Name: BUD_PREP_FORECAST_REV
Map No.: 44A



Process Name: Budget	**Map Name:** BUD_PREP_FORECAST_REV
Sub-Process Name: Preparation (Forecasting) – Revenue	**Map No.:** 44A

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Schools and County Budget Office and Departments gather and analyze historical and current data. **[MAP SHAPE 1, 5, 14]**
2. The County Budget Office enters data into SAS database for regression analysis and creates forecast; County Departments develop initial forecasts. **[MAP SHAPE 2]**
3. The County Budget Office coordinates a forecast meeting where the Budget Office and the Departments (DTA, LDS, DOF) present forecasts **[MAP SHAPE 3, 6]**
4. The Budget Office determines which forecasts to provide to the SMT/LT for review. The SMT/LT may make recommendations for forecast adjustments. **[MAP SHAPE 8, 9]**
5. County Budget Office and Departments make adjustments to forecasts as necessary **[MAP SHAPE 4]**
6. Once the forecasts are updated and approved, the County Governing Body develops budget guidelines. **[MAP SHAPE 10, 11]**
7. The Schools Budget Office uses the budget guidelines established by the Governing Body to create its forecast. **[MAP SHAPE 15]**
8. The Schools Budget Office meets with the SMT/LT for review/approval of the forecast. **[MAP SHAPE 12]**
9. In both Schools and the County Budget Office, finalized forecast data is used to set/update budget estimates and is entered into BPREP **[MAP SHAPE 12, 13]**
10. The Schools and County Budget Offices present forecasts to Governing Bodies **[MAP SHAPE 16, 17]**
11. The forecasts are published in budget books *(budget production process)*
12. Forecast or revenue estimates for current year are reviewed and updated periodically (quarterly or monthly) by Budget Office or Departments

NOTE: Revenue Forecasting at all levels (departments, Schools, County) is an iterative process and requires multiple meetings and updates/tweaks throughout the year. The Departments go through the mapped process multiple times. Each tax type has its own cycle and forecasts are prepared in multiple months (January, June, and September).

Triggers:

- ❑ Budget guidelines for both County and Schools

Key Process Participants:

- ❑ Governing Body
- ❑ SMT/LT
- ❑ County Budget
- ❑ County Departments
- ❑ Schools Budget

Inputs:

Input	***Format***
Budget Guidelines	paper
Historical data	Electronic

Outputs:

Output	***Format***
Budget Guidelines	paper
Revenue forecast	Spreadsheet

IT Support:

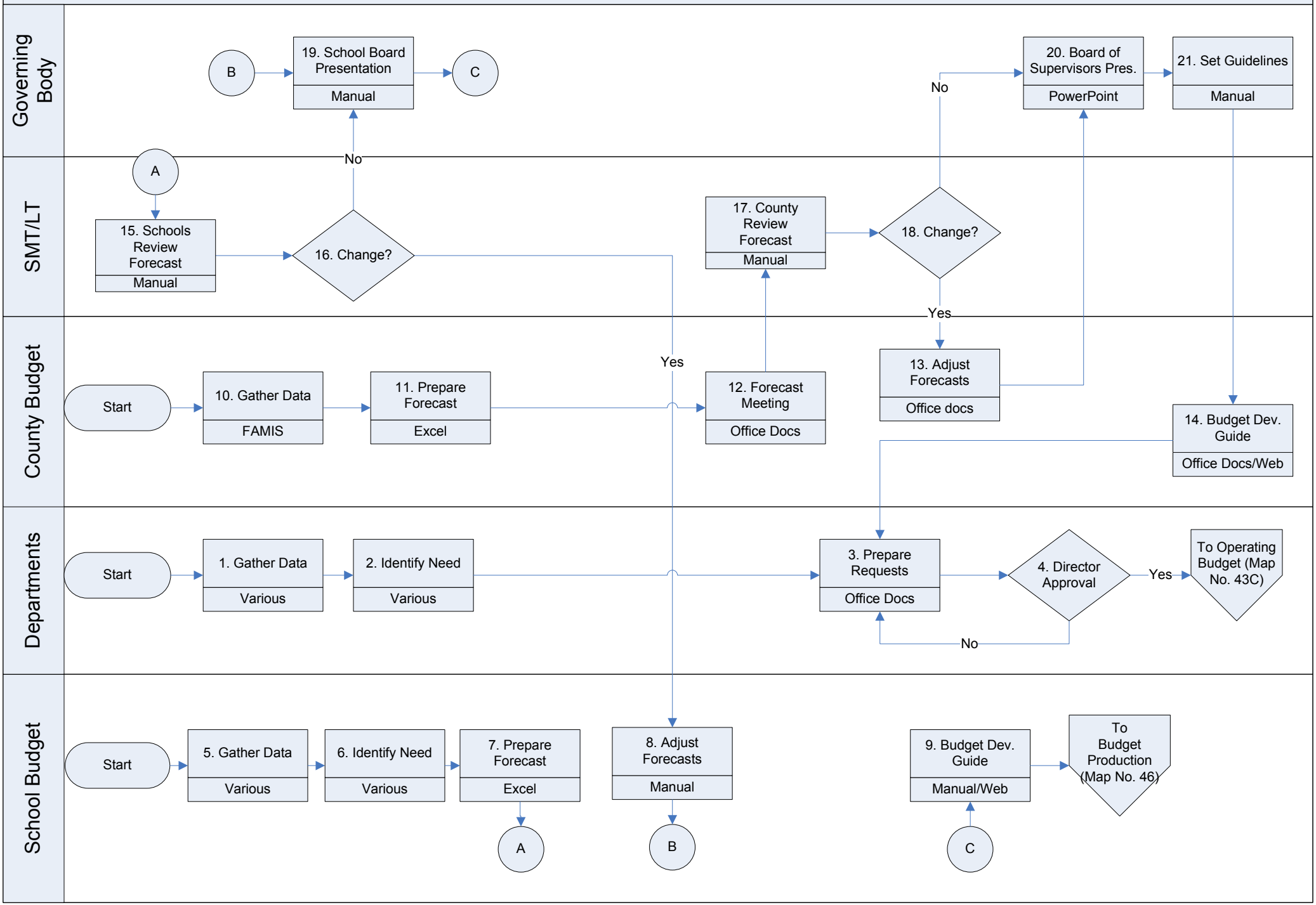
Application/System Name	***Technology Description***
FAMIS	Financial system
SAS	Regression analysis
Excel	Forecasting tool
PAWS, FIDO	Land development systems
Treasury Work Station	Interest income projections in Finance Office
BPREP	Budget preparation system

Regulations:

o

Budget [FINAL]
Sub-Process: Preparation (Forecasting) – Expenditure

Map Name: BUD_PREP_FORECAST_EXP
Map No.: 44B



Process Name: Budget	**Map Name:** BUD_PREP_FORECAST_EXP
Sub-Process Name: Preparation (Forecasting) - Expenditure	**Map No.:** 44B

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Schools and County Budget Office and Departments gather and analyze historical and current data. **[MAP SHAPE 1, 2, 3, 5, 6, 7, 10, 11]**
2. The County Budget Office enters data into Excel for analysis and creates forecast. **[MAP SHAPE 12]**
3. The County Budget Office coordinates a forecast meeting where the Budget Office presents the forecasts.
4. The Budget Office determines which forecasts to provide to the SMT/LT for review. The SMT/LT makes recommendations for forecast adjustments. **[MAP SHAPE 17]**
5. The Budget Office makes adjustments to forecasts as necessary. **[MAP SHAPE 13]**
6. Once the forecasts are updated and approved, the Budget Office presents the forecast to the Governing Body **[MAP SHAPE 20]**
7. The Governing Body develops budget guidelines. **[MAP SHAPE 21]**
8. The Budget Office uses the Governing Body guidelines to create the Budget Development Guide for Departments and Schools. **[MAP SHAPE 12,14]**
9. The Budget Office gathers data, identifies needs, and uses the budget guidelines and Budget Development Guide established by the Governing Body and County Budget Office to create its forecast.
10. The Schools Budget Office meets with the SMT/LT for review/approval of the forecast. The Budget Office makes adjustments as requested. **[MAP SHAPE 15,16]**
11. The Schools Budget Office presents forecasts to the Governing Body after approval by SMT/LT. The Governing Body can request changes. Budget Office makes adjustments as necessary, with guidance from the Governing Body. A second Board presentation is not necessary after changes are made. **[MAP SHAPE 8, 19]**
12. Schools creates a Budget Development Guide (Manual) for schools/departments based on School Board guidance. *Move to Budget Preparation process.* **[MAP SHAPE 9]**
13. Forecasts, expenditure estimates, and actual expenditures for current year are reviewed and updated periodically (quarterly or monthly) by County Budget Office or Departments (*Move to Budget Adjustments Process).* This current year information is used to develop estimates for out years.

Triggers:

- ❑

Key Process Participants:

- ❑ Budget Office
- ❑ Departments
- ❑ Governing Body

Inputs:

Input	*Format*
Budget development guide	paper
Historical data	electronic

Outputs:

Output	*Format*
Budget Development Guide	paper
Expenditure forecast	

IT Support:

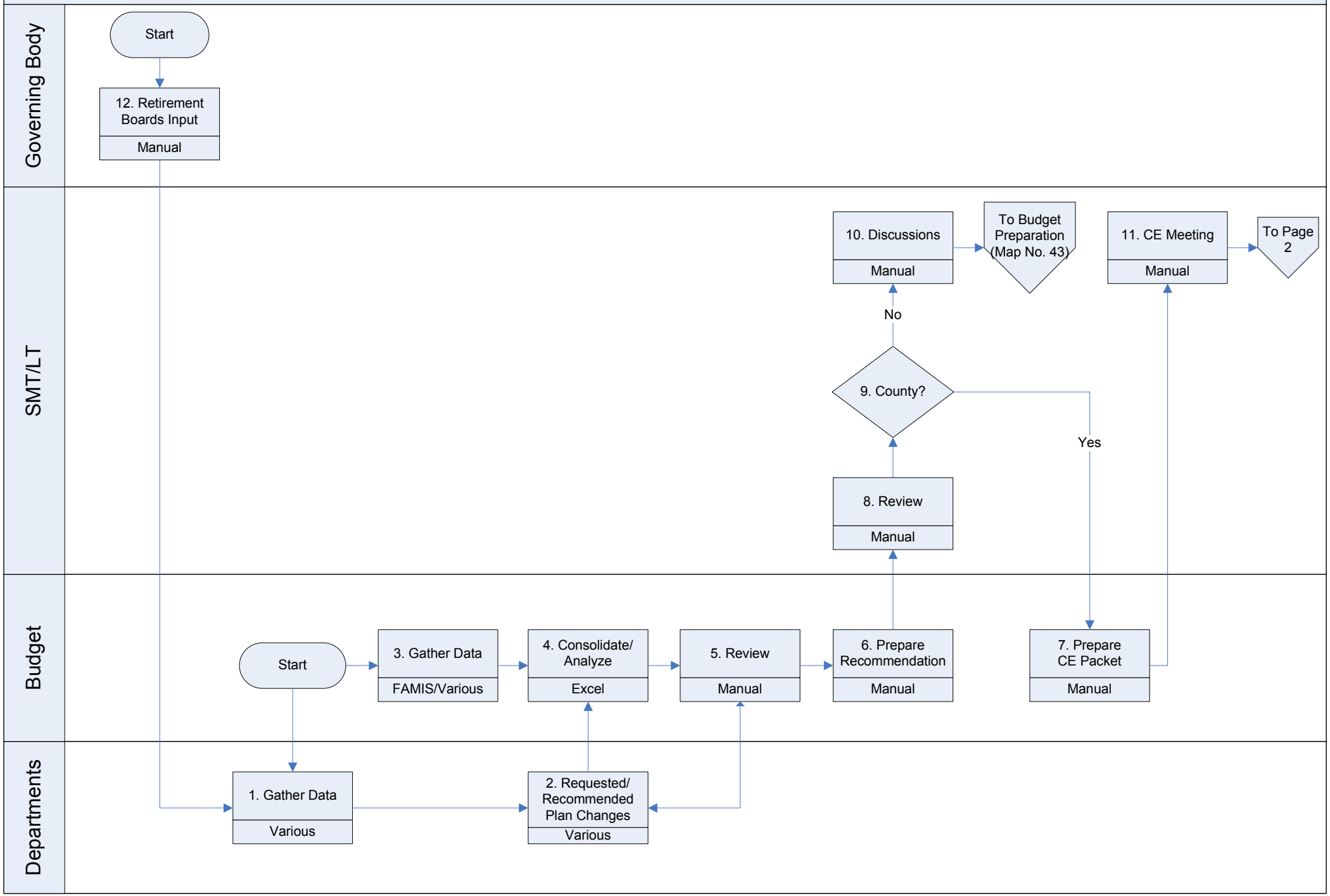
Application/System Name	*Technology Description*
FAMIS	Financial system
SAS	Regression analysis
Excel, Word, PowerPoint	Forecasting, Board presentations, Budget development guide, other

Regulations:

- o Retirement Regulation
- o GASB

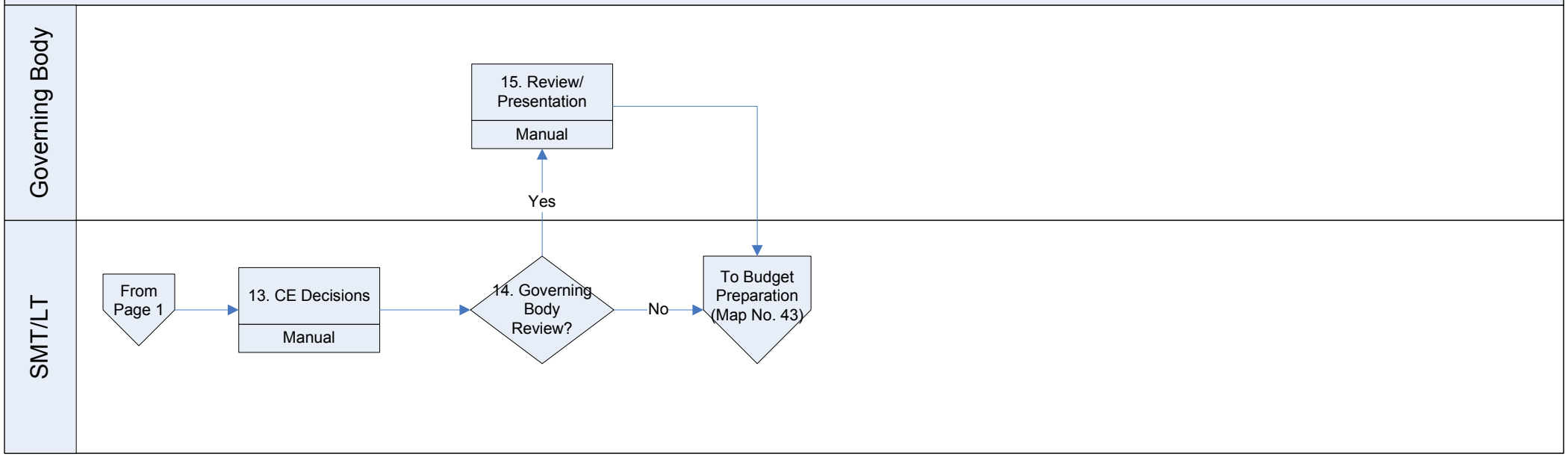
Budget [FINAL]
Sub-Process: Preparation (Forecasting) – Benefits

Map Name: BUD_PREP_FORECAST_BEN
Map No.: 44C



Budget [FINAL]
Sub-Process: Preparation (Forecasting) – Benefits

Map Name: BUD_PREP_FORECAST_BEN
Map No.: 44C



Process Name: Budget	**Process Identifier:** BUD_PREP_FORECAST_BEN
Sub-Process Name: Preparation (Forecasting) – Benefits	**Map Number:** 44C

Sub-Process Purpose and Objectives:

Sub-Process Description

1. The Budget Office and Departments gather historical and current data from FAMIS, Prism, Pension Gold, external vendors, carriers, and reports from other various systems and sources. Data gathering and timing differs based on the benefit. Note that Retirement receives information about plan changes prior to gathering and analyzing data after which it determines if the change is feasible. The Retirement Boards provide input on plan changes. **[MAP SHAPE 1, 3, 12]**
2. Recommendations/requests for plan changes are identified **[MAP SHAPE 2]**
3. The Budget Office consolidates and analyzes data in Excel **[MAP SHAPE 4]**
4. The Budget Office holds a joint review meeting to discuss any issues, finalize recommendations, and prepare recommendations to present to the SMT/LT **[MAP SHAPE 5,6]**
5. SMT/LT reviews the recommendations. For the County, SMT/LT recommends changes and what to present to the County Executive. The County Budget Office makes adjustments as necessary and prepares a packet for the County Executive. **[MAP SHAPE 8, 9, 7]**
6. The County Budget Office meets with the Executive and presents recommendations. The Executive reviews and adjusts recommendations, and the Budget Office makes resulting changes. **[MAP SHAPE 11, 13]**
7. For some items or recommendations of a complex nature (ex: OPEB), the County Executive chooses to hold meetings with the Governing Body (Personnel Committee) for presentation, review, and discussion of changes and recommendations. **[MAP SHAPE 14, 15]**
8. For Schools, discussion/review at the SMT/LT level is less formal. **[MAP SHAPE 9, 10]**
9. Once all discussions are finished and any adjustments are made, all recommendations/projections move into the budget preparation process.

NOTE: This process links to the HR/Benefits planning processes.

Triggers:

- ❑

Key Process Participants:

- ❑ Governing Body
- ❑ SMT/LT
- ❑ Budget Office
- ❑ Departments

Inputs:

Input	*Format*
Historical data	Multiple

Outputs:

Output	*Format*
County Executive packet	
Benefits recommendations	Electronic

IT Support:

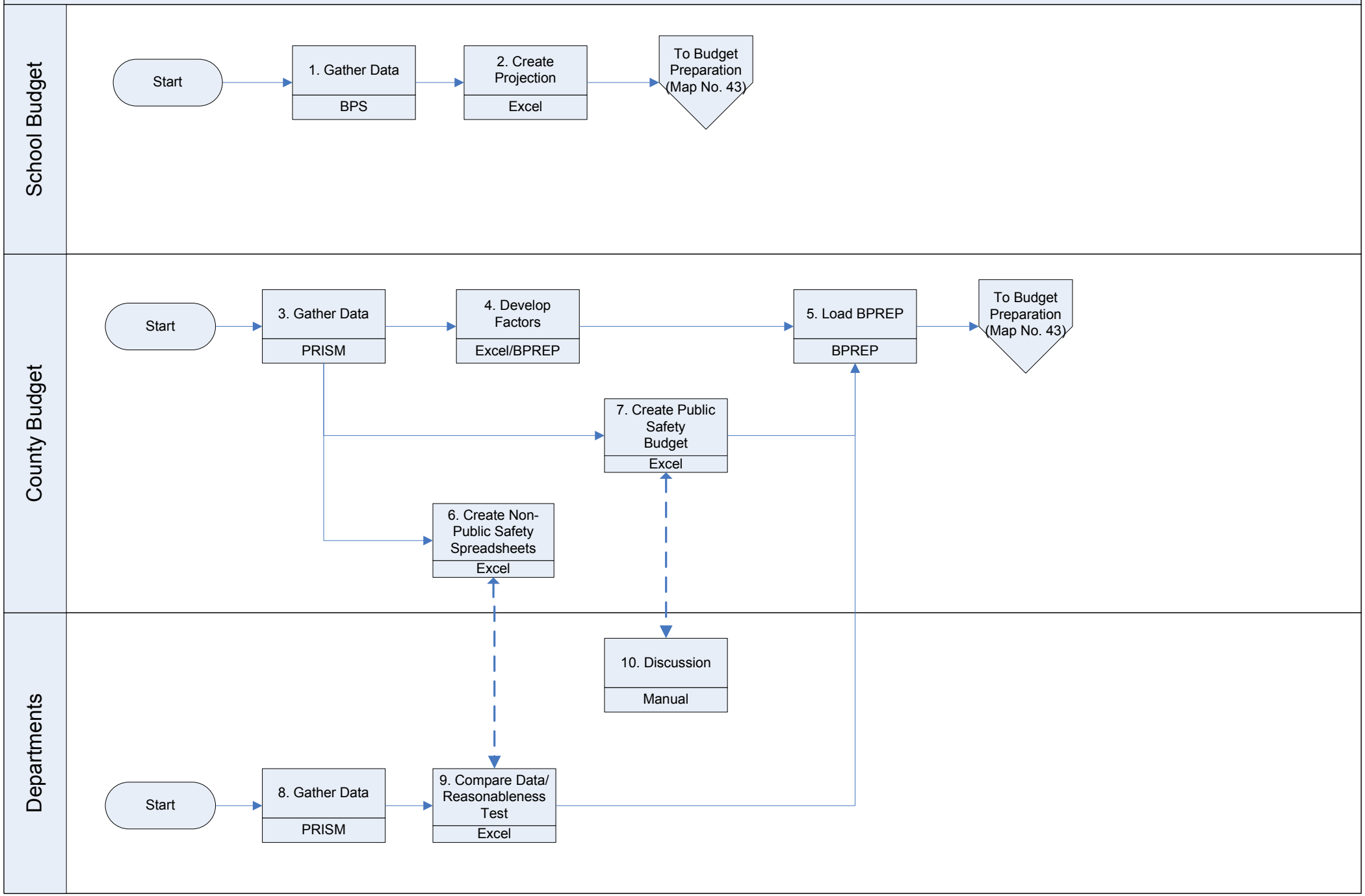
Application/System Name	*Technology Description*
FAMIS	Financial system
Pension Gold	Retirement system
Excel, Word	Office applications

Regulations:

- o Retirement Regulation
- o GASB
- o Trust Agreements

Budget [FINAL]
Sub-Process: Preparation (Forecasting) – Compensation Baseline

Map Name: BUD_PREP_FORECAST_COMP
Map No.: 44D



Process Name: Budget	**Map Name:** BUD_PREP_FORECAST_COMP
Sub-Process Name: Preparation (Forecasting) – Compensation Baseline	**Map No.:** 44D

Sub-Process Purpose and Objectives:

Sub-Process Description

1. The County Budget Office, School Budget Office, and Departments gather data from Prism and BPS **[MAP SHAPE 1, 3, 8]**
2. The Schools Budget Office creates projection within Excel. This projection moves into the budget preparation process. **[MAP SHAPE 2]**
3. The County Budget Office creates spreadsheets for non-public safety and calculates public safety position budget. **[MAP SHAPE 6, 7]**
4. The County Budget Office develops factors (% increases) and loads them into BPREP. **[MAP SHAPE 4, 5]**
5. The non-public safety spreadsheets and public safety position budgets are sent to Departments for comparison and reasonableness test. **[MAP SHAPE 9]**
6. County Budget holds discussions with public safety. Any resulting changes are loaded to BPREP. **[MAP SHAPE 10, 7, 5]**
7. The public safety and non-public safety forecasts move into the budget preparation process and the budget adjustment process.

Triggers:

- ❑

Key Process Participants:

- ❑ Budget Office (Schools and County)
- ❑ Departments

Inputs:

Input	*Format*
Data	Electronic
Non-public safety spreadsheet	Excel
Public safety position budget	Excel

Outputs:

Output	*Format*
Compensation forecast	Excel, BPREP
Non-public safety spreadsheet	Excel
Public safety position budget	Excel

IT Support:

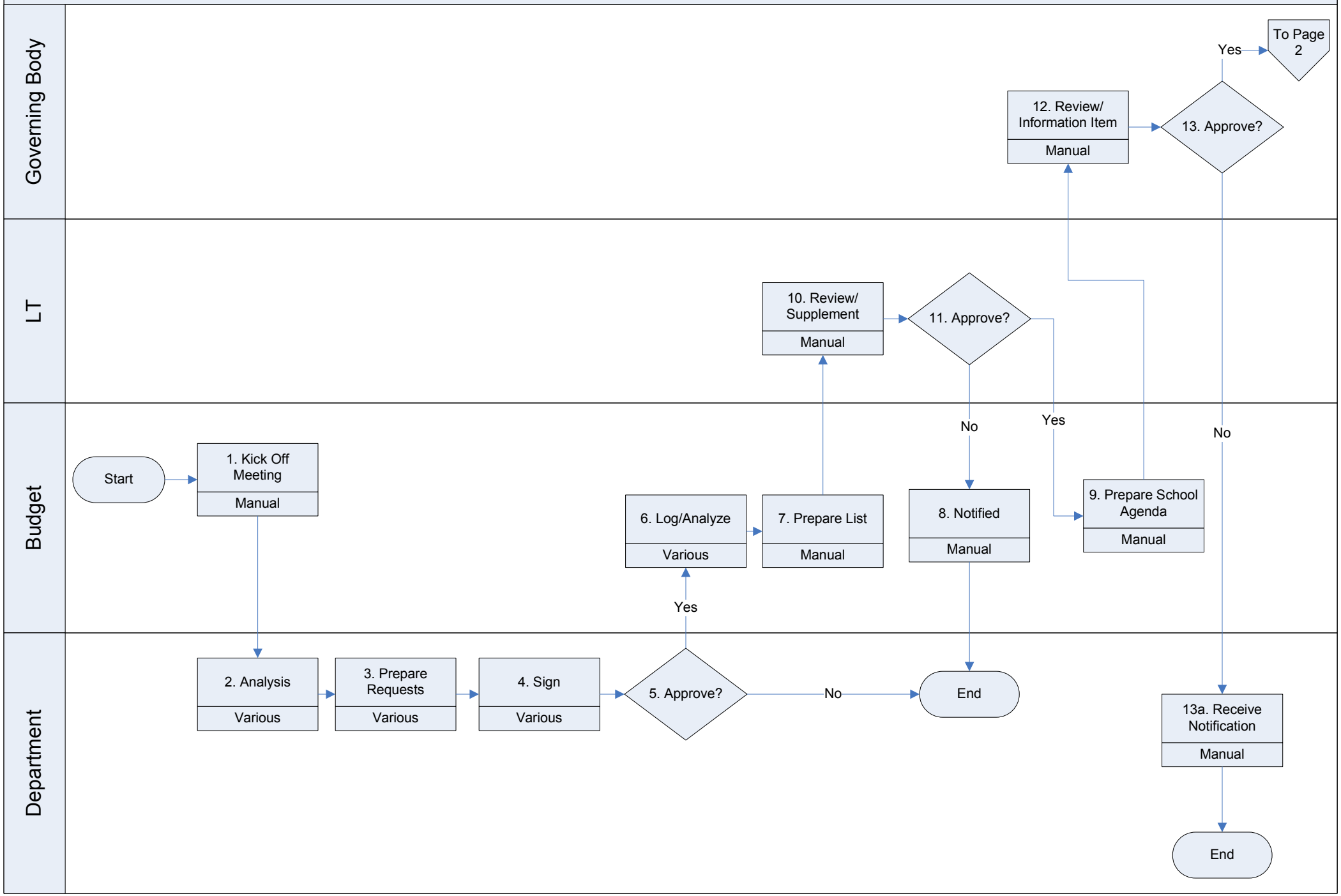
Application/System Name	*Technology Description*
FAMIS	Financial system
Prism	County human resource system
BPS	
BPREP	Budget preparation system

Regulations:

- o

Budget [FINAL]
Sub-Process: Adjustments – Mid-Year

Map Name: BUD_ADJUST_MID
Map No.: 45A



Budget [FINAL]
Sub-Process: Adjustments – Mid-Year

Map Name: BUD_ADJUST_MID
Map No.: 45A

Process Name: Budget	**Map Name:** BUD_ADJUST_MID
Sub-Process Name: Adjustments – Mid-Year	**Map No.:** 45A

Sub-Process Purpose and Objectives:

Sub-Process Description

1. The Budget Office coordinates a kick-off meeting with departments **[MAP SHAPE 1].**
2. Departments monitor and analyze the budget data **[MAP SHAPE 2]**
3. Departments prepare budget adjustment requests in a memo or Excel template. Finance department sends audit adjustments to Budget Office. **[MAP SHAPE 3]**
4. Departments submit requests to Department Head for signature/approval. If the request is not approved, it returns to the requester and the process ends. If the request is approved, the Department Head sends it to the Budget Office **[MAP SHAPE 4, 5]**
5. The Budget Office logs and analyses the request, then creates and reviews with the Superintendent an agenda/list for the SMT/LT **[MAP SHAPE 6, 7, 10]**
6. The Leadership Team (LT) reviews and approves the request. If not approved, the Budget Office informs the Department and the process ends. If LT approves, the Budget Office prepares an agenda that is sent to the Governing Body for review and approval. **[MAP SHAPE 10, 11, 9, 8, 12]**
7. If the Governing Body does not approve, the request goes back to the Budget Office and Department and the process ends. **[MAP SHAPE 12, 13, 13a]**
8. If the Governing Body approves, the Budget Office updates Lawson and BPREP, interfaces to FAMIS, validates the interface, and the process ends. **[MAP SHAPE 12, 13, 14, 15]**

NOTE: All quarterly processes link to HR classification process Map.

Triggers:

- ❑ Kick-off Meeting

Key Process Participants:

- ❑ Budget Office, Departments

Inputs:

Input	*Format*
Budget Request	Various

Outputs:

Output	*Format*
Amended Budget	BPREP, FAMIS, Lawson

IT Support:

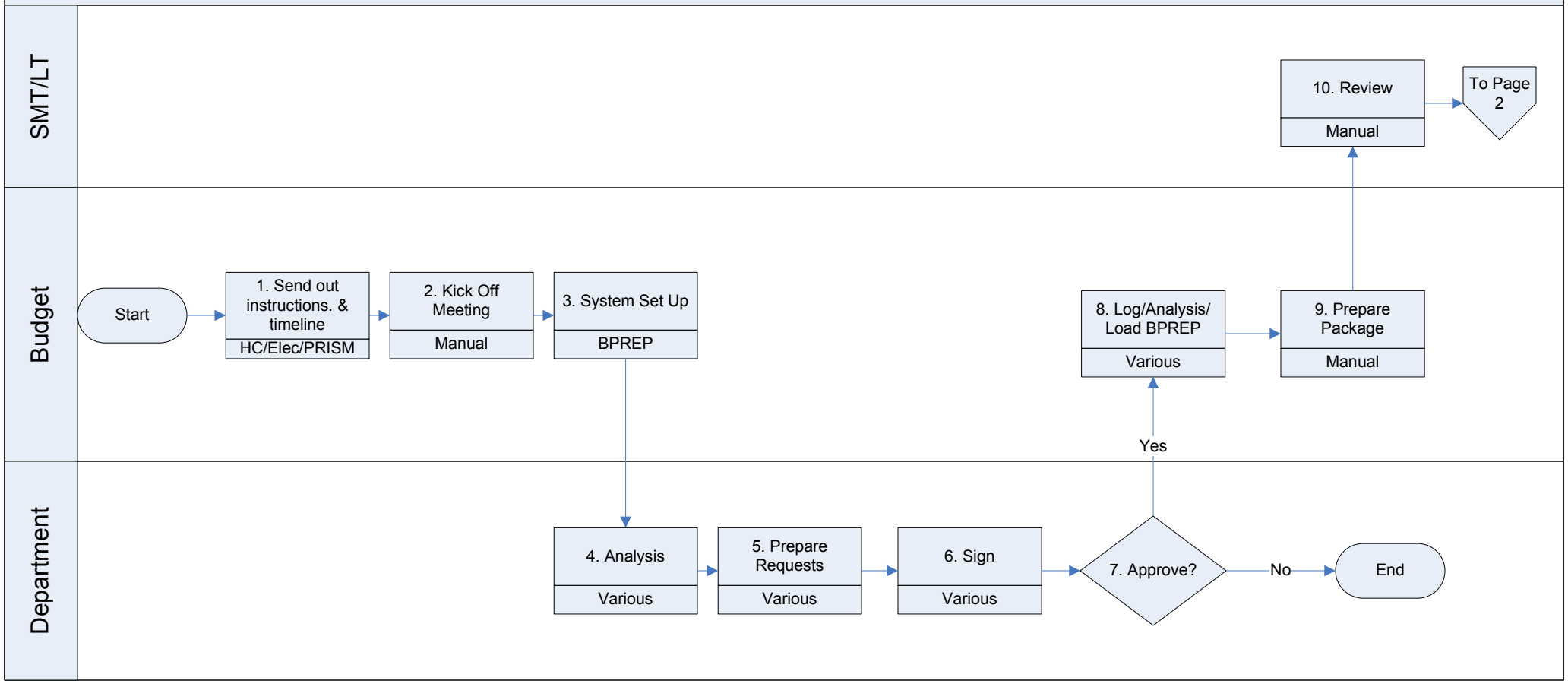
Application/System Name	*Technology Description*
BPREP	Budget preparation system
FAMIS	Financial system
Lawson	Schools human resources system

Regulations:

o

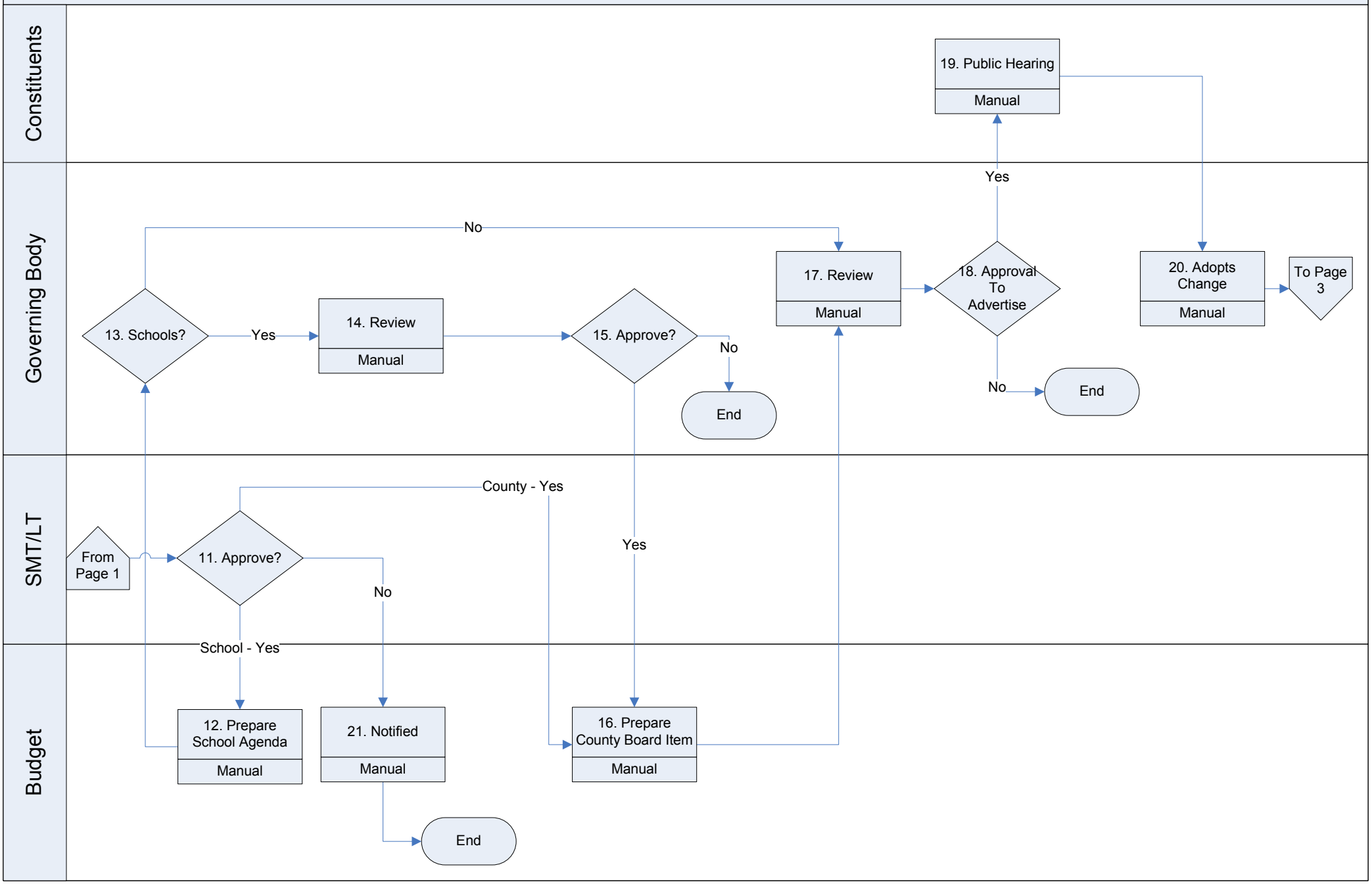
Budget [FINAL]
Sub-Process: Adjustments – Third Quarter

Map Name: BUD_ADJUST_THIRD
Map No.: 45B



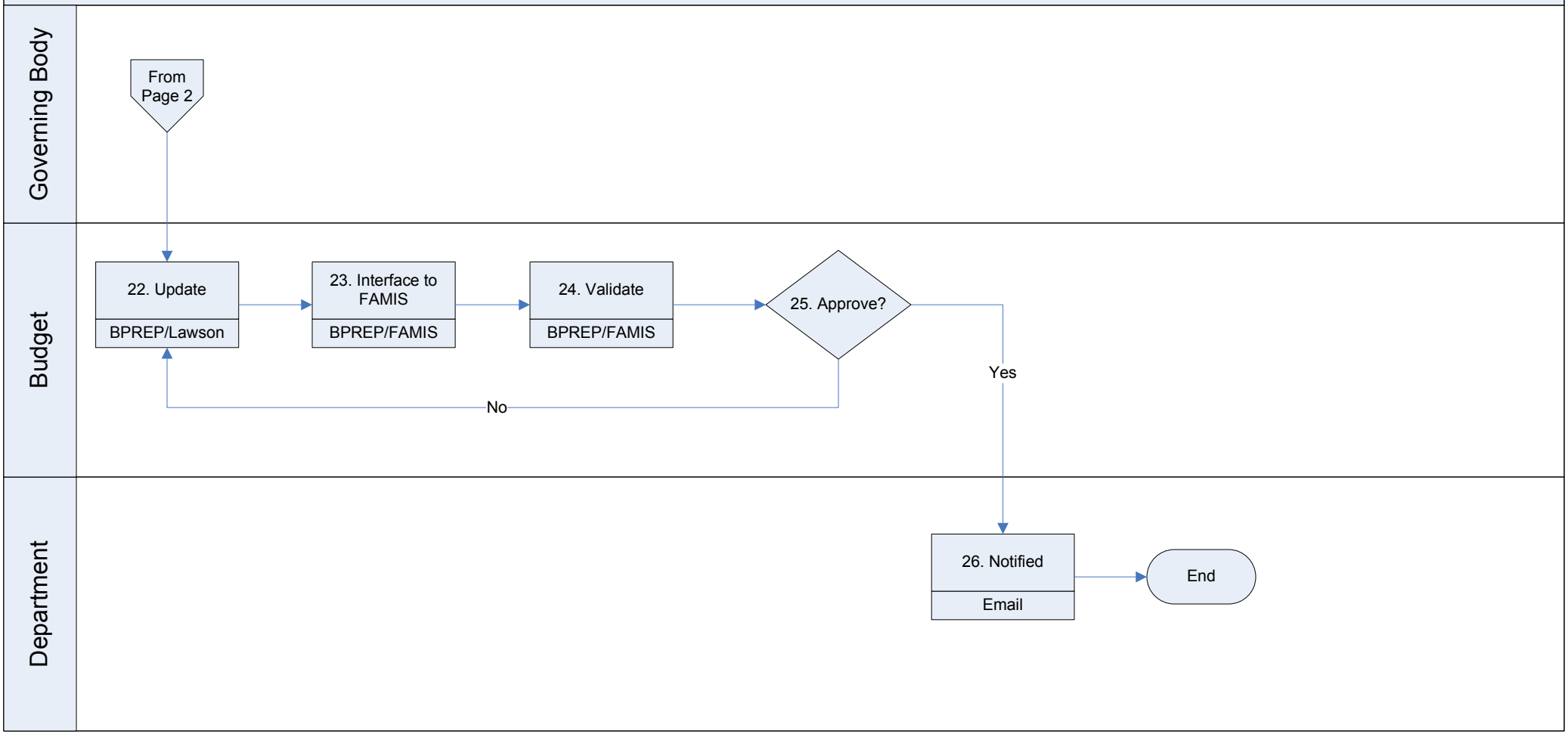
Budget [FINAL]
Sub-Process: Adjustments – Third Quarter

Map Name: BUD_ADJUST_THIRD
Map No.: 45B



Budget [FINAL]
Sub-Process: Adjustments – Third Quarter

Map Name: BUD_ADJUST_THIRD
Map No.: 45B



Process Name: Budget	**Map Name:** BUD_ADJUST_THIRD
Sub-Process Name: Adjustments – Third Quarter	**Map No.:** 45B

Sub-Process Purpose and Objectives:

Sub-Process Description

1. The Budget Office provides instructions and timeline for budget adjustments electronically, in hard copy, and in Prism **[MAP SHAPE 1]**
2. The Budget Office coordinates a kick-off meeting with departments. **[MAP SHAPE 2]**
3. The Budget Office extracts data and sets up BPREP **[MAP SHAPE 3]**
4. The Departments monitor and analyze budget data **[MAP SHAPE 4]**
5. Departments prepare budget adjustment requests in a memo or Excel template. In the County, all departments have to send data to the Budget Office to show whether or not they have a request **[MAP SHAPE 5]**
6. Departments submit requests to Department Head for signature/approval. If the request is not approved, it returns to the requester and the process ends. If the request is approved, the Department Head sends it to the Budget Office **[MAP SHAPE 6, 7]**
7. The Budget Office logs request in process log system and analyzes; holds revenue meetings with other departments; sends the request to a Budget Analyst for analysis and negotiates with requesting department as necessary; and finally creates an agenda/list for the SMT/LT. Note that the County Budget Office also does interim loading of the initial request into BPREP. **[MAP SHAPE 8, 9]**
8. SMT/LT reviews and approves or rejects. If not approved, the Budget Office informs the Department and the process ends. **[MAP SHAPE 10, 11, 21]**
9. If Schools SMT/LT approves, the School Budget Office prepares an agenda that is sent to the School Board. If the School Board approves, a package/agenda is created and sent to the County Governing Body by the County Budget Office. **[MAP SHAPE 12, 13, 14, 15, 16]**
10. If the County SMT/LT approves, the County Budget Office creates a package/agenda item for the Governing Body **[MAP SHAPE 16]**
11. The Governing Body reviews the package/agenda and approves to advertise. If there is not approval to advertise, the process ends **[MAP SHAPE 17,18]**
12. After advertising in a newspaper as required by regulation, a public hearing is held for constituents. **[MAP SHAPE 19]**
13. After the public hearing, the Governing Body adopts the adjustment **[MAP SHAPE 20]**
14. The Budget Office updates BPREP, interfaces to FAMIS, and validates the interface. Schools updates Lawson **[MAP SHAPE 22, 23, 24, 25]**
15. The Budget Office notifies Department by email of interface and information is put on the web **[MAP SHAPE 26]**

Triggers:

- ❑ Third Quarter Budget Instructions

Key Process Participants:

- ❑ Budget Office, Departments

Inputs:

Input	*Format*
Budget Adjustment Requests	Various

Outputs:

Output	*Format*
Budget Adjustments	BPREP, FAMIS, Lawson

IT Support:

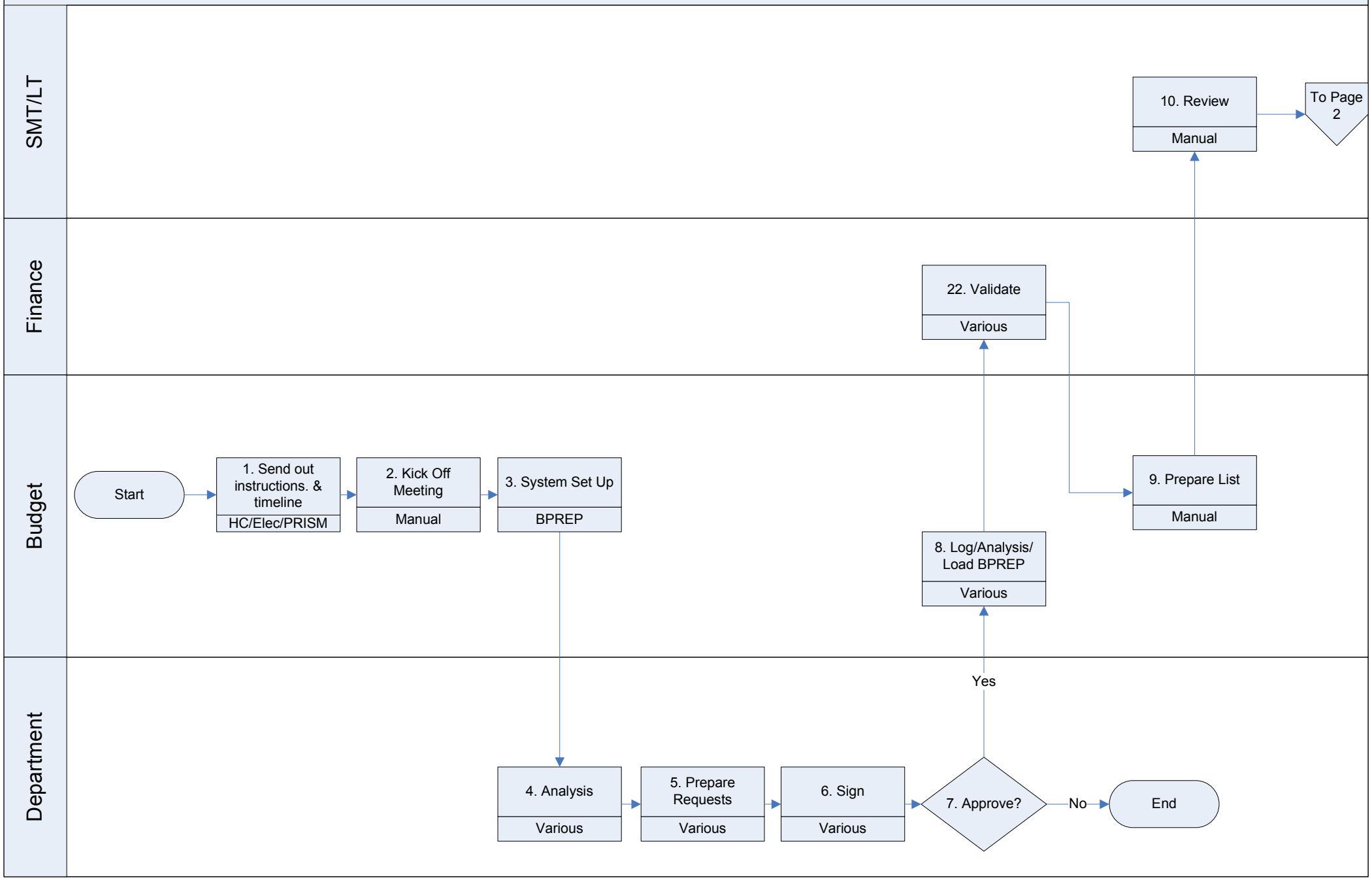
Application/System Name	*Technology Description*
BPREP	Budget preparation system
FAMIS	Financial system
PRISM	County human resources system
Lawson	Schools human resources system

Regulations:

- o Virginia Code – any change over $500 requires public hearing and advertise in newspaper

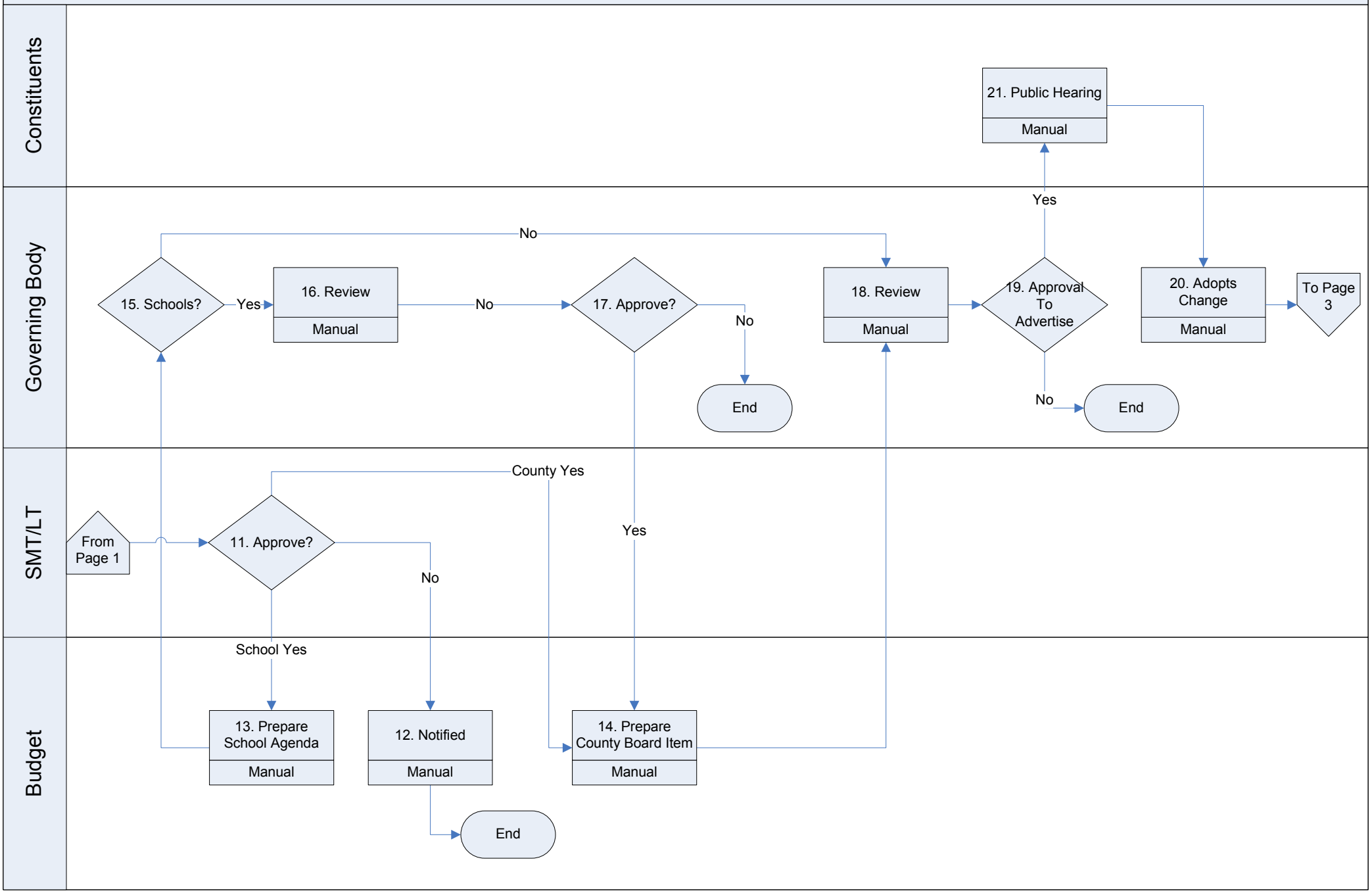
Budget [FINAL]
Sub-Process: Adjustments – Year-End

Map Name: BUD_ADJUST_YE
Map No.: 45C



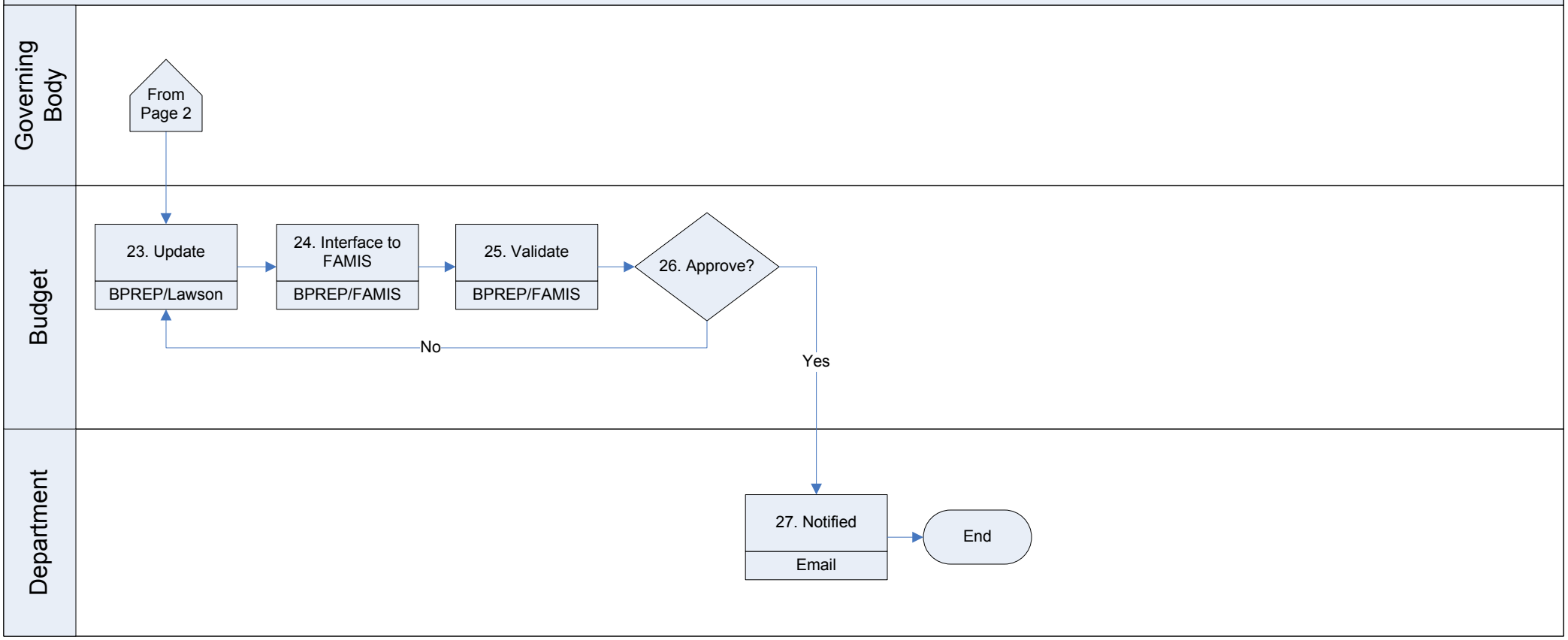
Budget [FINAL]
Sub-Process: Adjustments – Year-End

Map Name: BUD_ADJUST_YE
Map No.: 45C



Budget [FINAL]
Sub-Process: Adjustments – Year-End

Map Name: BUD_ADJUST_YE
Map No.: 45C



Process Name: Budget	**Map Name:** BUD_ADJUST_YE
Sub-Process Name: Adjustments – Year-End	**Map No.:** 45C

Sub-Process Purpose and Objectives:

Sub-Process Description

1. The Budget Office provides instructions and timeline for budget adjustments electronically, in hard copy, and in Prism **[MAP SHAPE 1]**
2. The Budget Office coordinates a kick-off meeting with departments. **[MAP SHAPE 2]**
3. The Budget Office extracts data and sets up BPREP **[MAP SHAPE 3]**
4. The Departments monitor and analyze budget data **[MAP SHAPE 4]**
5. Departments prepare budget adjustment requests in a memo or Excel template. In the County, all departments have to send something to the Budget Office to show whether or not they have a request **[MAP SHAPE 5]**
6. Departments submit requests to Department Head for signature/approval. If the request is not approved, it returns to the requester and the process ends. If the request is approved, the Department Head sends it to the Budget Office **[MAP SHAPE 6, 7]**
7. The Budget Office logs request in process log system and analyzes; holds revenue meetings with other departments; sends the request to a Budget Analyst for analysis and back and forth with requesting department if necessary. Note that the County Budget Office also does interim loading of the initial request into BPREP. **[MAP SHAPE 8]**
8. The Budget Office meets and coordinate with the Finance Office to confirm that actual year end data is correct (balances, documents, automated carryover, etc.) and make adjustments if necessary. Budget Office assists with items for the CAFR as necessary. **[MAP SHAPE 22]**
9. The Budget Office creates an agenda/list for the SMT/LT. SMT/LT reviews and approves or rejects. If not approved, the Budget Office informs the Department and the process ends. **[MAP SHAPE 9, 10, 11, 12]**
10. If Schools SMT/LT approves, the School Budget Office prepares an agenda that is sent to the School Board. If the School Board approves, a package/agenda is created and sent to the County Governing Body by the County Budget Office. **[MAP SHAPE 13, 15]**
11. If the County SMT/LT approves, the County Budget Office creates a package/agenda item for the Governing Body **[MAP SHAPE 14, 18]**
12. The Governing Body reviews the package/agenda and approves to advertise. If there is not approval to advertise, the process ends **[MAP SHAPE 19]**
13. After advertising in a newspaper as required by regulation, a public hearing is held for constituents. **[MAP SHAPE 21]**
14. After the public hearing, the Governing Body adopts the adjustment **[MAP SHAPE 20]**
15. The Budget Office updates BPREP, interfaces to FAMIS, and validates the interface. Schools updates Lawson **[MAP SHAPE 23, 24, 25, 26]**
16. The Budget Office notifies Department by email of interface and the information is put on the web **[MAP SHAPE 27]**

Triggers:
- ❑ Year End Closing

Key Process Participants:
- ❑ Departments
- ❑ Budget
- ❑ SMT/LT
- ❑ Governing Body
- ❑ Constituents

Inputs:

Input	*Format*
Instructions	Various
Requests	Various

Outputs:

Output	*Format*
Budget Update	BPREP
Appropriation Update	FAMIS

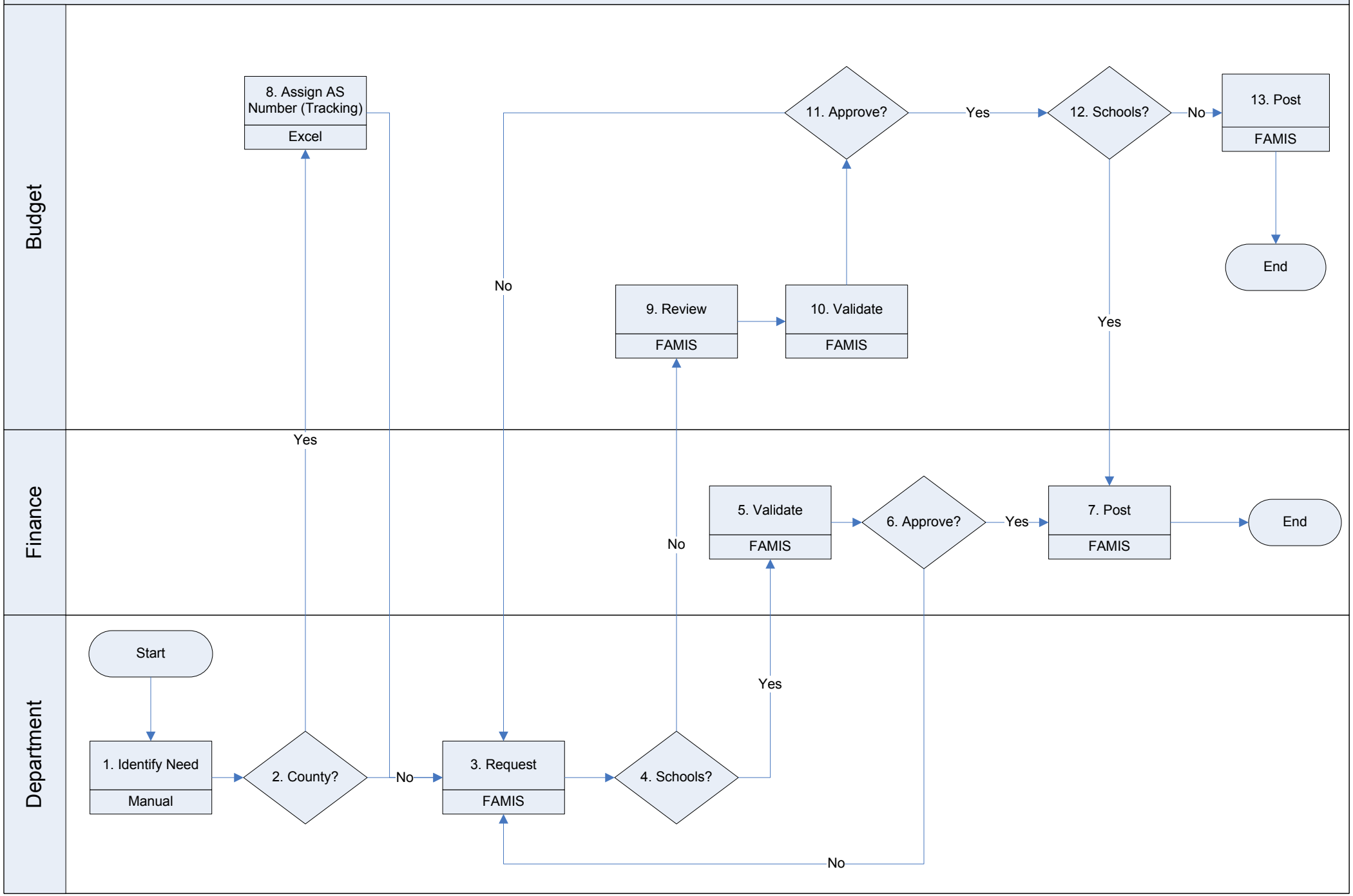
IT Support:

Application/System Name	*Technology Description*
BPREP	Budget preparation system
FAMIS	Financial system

Regulations:
- o

Budget [FINAL]
Sub-Process: Adjustments – Out of Cycle Adjustments/Transfers

Map Name: BUD_ADJUST_OC_ADJ
Map No.: 45D



Process Name: Budget	**Process Identifier:** BUD_ADJUST_OC_ADJ
Sub-Process Name: Adjustments – Out of Cycle Adjustments/Transfers	**Map Number:** 45D

Sub-Process Purpose and Objectives:

Sub-Process Description

1. A Department identifies the need for an out of cycle adjustment and submits a request in FAMIS or on a paper form. Any supporting documents are sent to the Budget Office. Note that County Departments first obtain an AS number from the Budget Office over email or phone before submitting the request. **[MAP SHAPE 1, 2, 8, 3]**
2. Exception: individual school adjustment requests do not go through the Budget Office; instead they go through the Finance Office. Once reviewed and approved within Finance, Finance posts the adjustment to FAMIS. Note that all individual school requests are posted by Finance. **[MAP SHAPE 4, 5, 6, 7]**
3. In County and Schools Departments, the Budget Office reviews, validates, and approves the request. If the request is rejected, the department is notified. When a Schools Department request is approved, the adjustment moves to the Finance Office to be processed. When a County Department request is approved, the adjustment is processed by the Budget Office. **[MAP SHAPE 9, 10, 11, 12]**
4. The Finance Office or Budget Office posts adjustments to FAMIS. **[MAP SHAPE 7, 13]**

NOTE: If the Department's request is an allocation, the Governing Body must approve before the request and documentation is sent to the Budget Office. If not approved by the Governing Body, the process ends.

Triggers:

- ❑ Department submits request

Key Process Participants:

- ❑ Budget Office
- ❑ Department
- ❑ Governing Body
- ❑ Finance Office

Inputs:

Input	*Format*
Adjustment request	Electronic or paper form

Outputs:

Output	*Format*
Adjustment posted in FAMIS	FAMIS

IT Support:

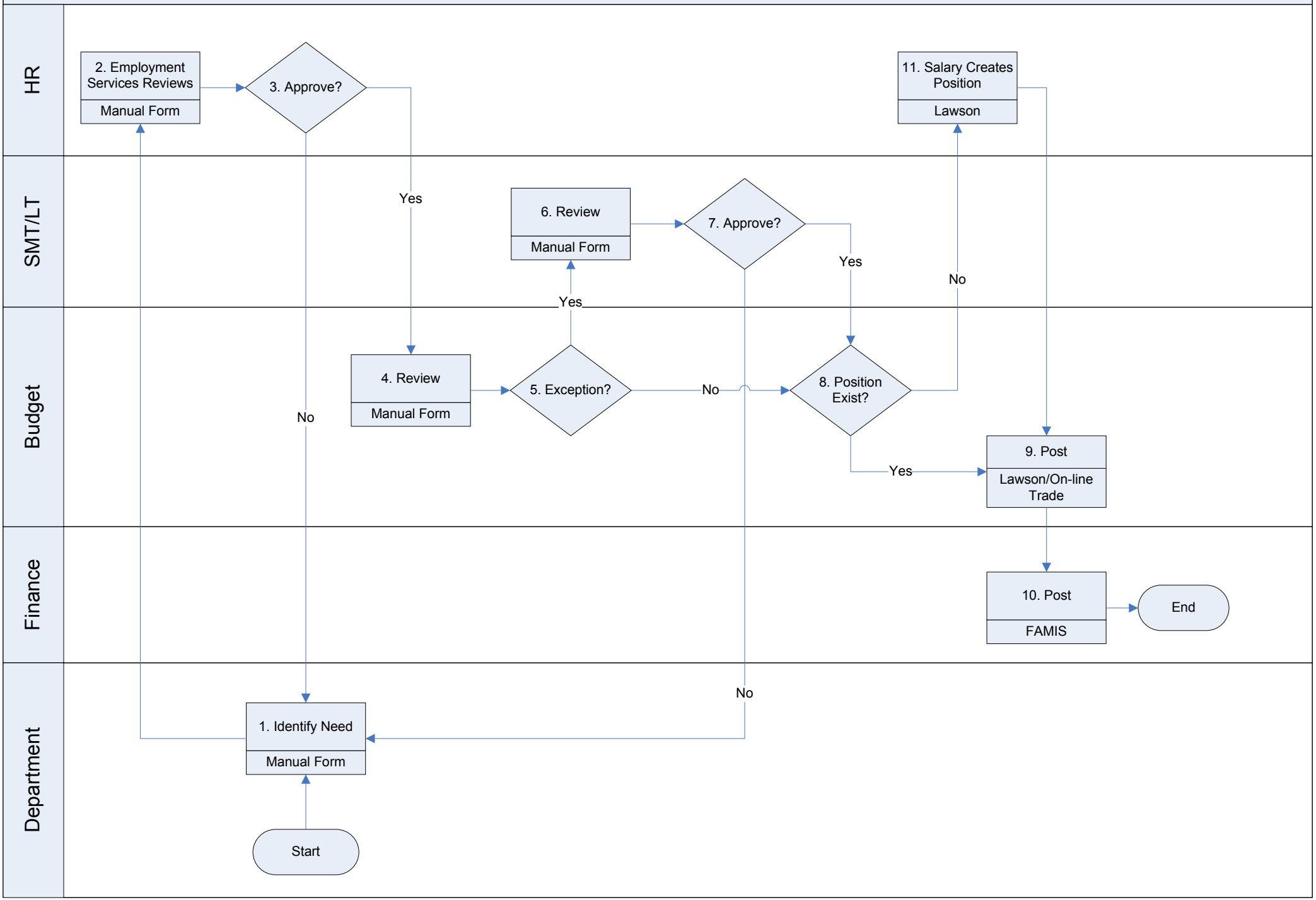
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

Budget [FINAL]
Sub-Process: Adjustments – Out of Cycle Tradeoff

Map Name: BUD_ADJUST_OC_TRADE
Map No.: 45E



Process Name: Budget	**Process Identifier:** BUD_ADJUST_OC_TRADE
Sub-Process Name: Adjustments – Out of Cycle Tradeoff	**Map Number:** 45E

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Department or School identifies need and submits request to HR Employee Services on a paper form. **[MAP SHAPE 1]**
2. Employment Services reviews the request. If not approved, the request goes back to the school or department. If approved, the request goes to the Budget Office. Alternatively, all exceptions go to LT which accepts or rejects and sends to Budget Office. **[MAP SHAPE 2, 3, 5, 6, 7]**
3. The Budget Office reviews, analyzes, and costs the request. If rejected by the Budget Office, it returns to requester. **[MAP SHAPE 4]**
4. If the position does not exist, it will be sent to Position Management to add the position. If or once position exists, the Budget Department posts the approved tradeoff to Lawson and the Online Trades application. **[MAP SHAPE 8, 11,9]**
5. Finance posts to FAMIS and the process ends. **[MAP SHAPE 10]**

Triggers:

- ❑ Department or schools submits tradeoff request

Key Process Participants:

- ❑ Department
- ❑ Finance
- ❑ Budget
- ❑ SMT/LT
- ❑ HR

Inputs:

Input	*Format*
Tradeoff Request	Form or FAMIS

Outputs:

Output	*Format*
Position added in system	
Tradeoff approved and posted	

IT Support:

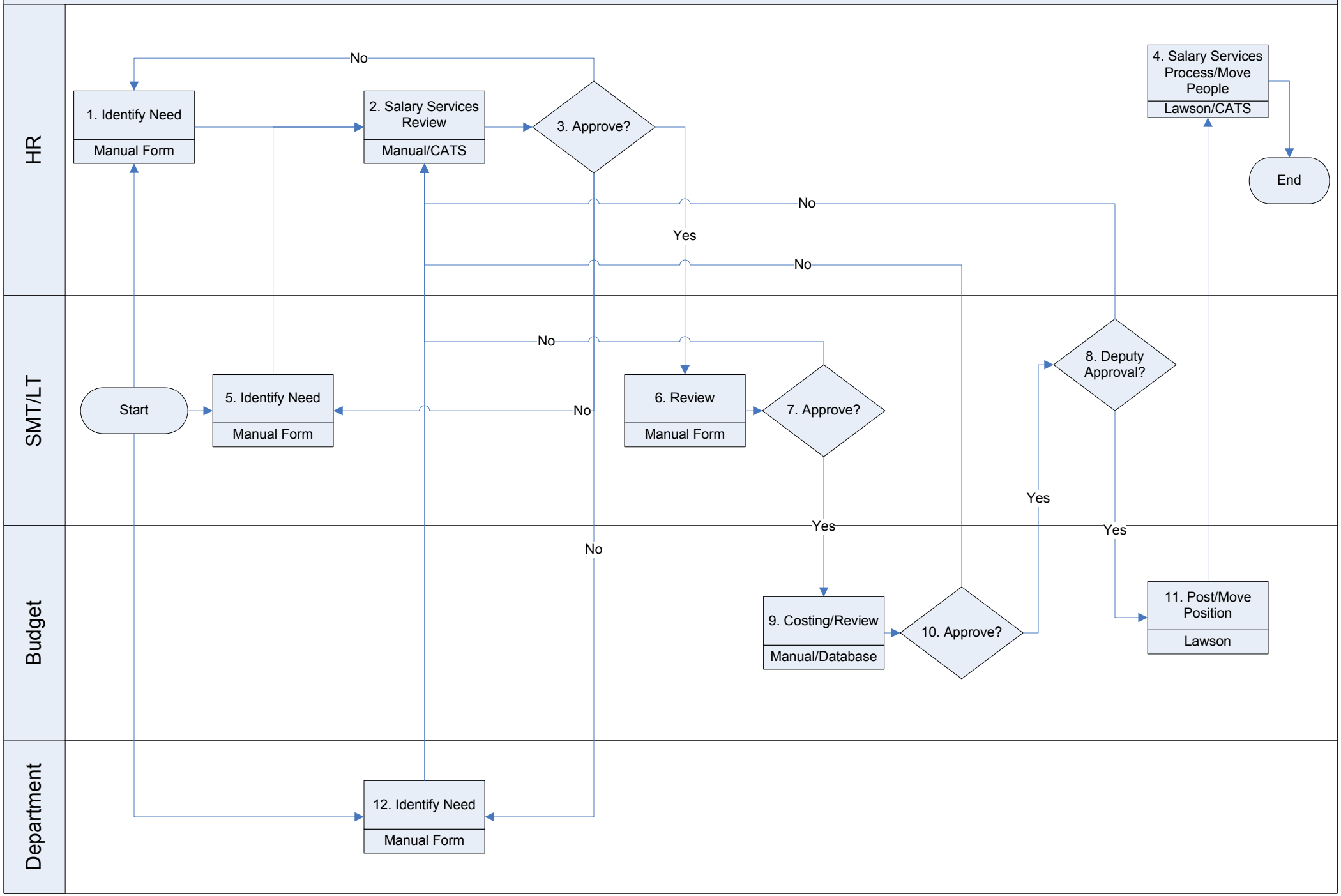
Application/System Name	*Technology Description*
FAMIS	Financial system
Lawson	Schools human resources system
Online Trades Application	

Regulations:

- o Trade regulation

Budget [FINAL]
Sub-Process: Adjustments – Out of Cycle Reclass/Re-org

Map Name: BUD_ADJUST_OC_RECLASS
Map No.: 45F



Process Name: Budget	**Map Name:** BUD_ADJ_RECLASS
Sub-Process Name: Adjustments – Out of Cycle – Reclass and Reorganization (FCPS Only)	**Map No.:** 45F

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Department, LT, or HR identifies need on paper form (FSR 24) **[MAP SHAPE 1,5,12]**
2. Request is submitted to HR Salary Services for review, research, costing, entry into CATS, and approval. If not approved, the department is notified by HR. If approved, the request is sent to LT (Assistant Superintendent of HR) for review. If not approved, the request goes back to Salary Services who notifies the department. If approved, the request goes to the Budget Office. **[MAP SHAPE 2,3,5,6,7]**
3. The Budget Office reviews, costs, enters in database, and approves or rejects. If approved, the request is sent to the LT for approval (Deputy Superintendent). If not approved by the Budget Office or LT, the request is returned to HR and the requesting department. **[MAP SHAPE 9,10,8]**
4. If LT approves, the request is sent to the Budget Office which posts the budget change to Lawson **[MAP SHAPE 11]**
5. Salary Services then processes the transactions, moves the positions, updates items within Lawson and CATS, notifies departments and employees, and updates other systems as needed. **[MAP SHAPE 4]**

Triggers:

- ❑ FS 124 form submitted

Key Process Participants:

- ❑ HR Salary Services
- ❑ LT
- ❑ Department
- ❑ Budget Office

Inputs:

Input	***Format***
FS 124	Paper form

Outputs:

Output	***Format***
Approved re-class	Lawson

IT Support:

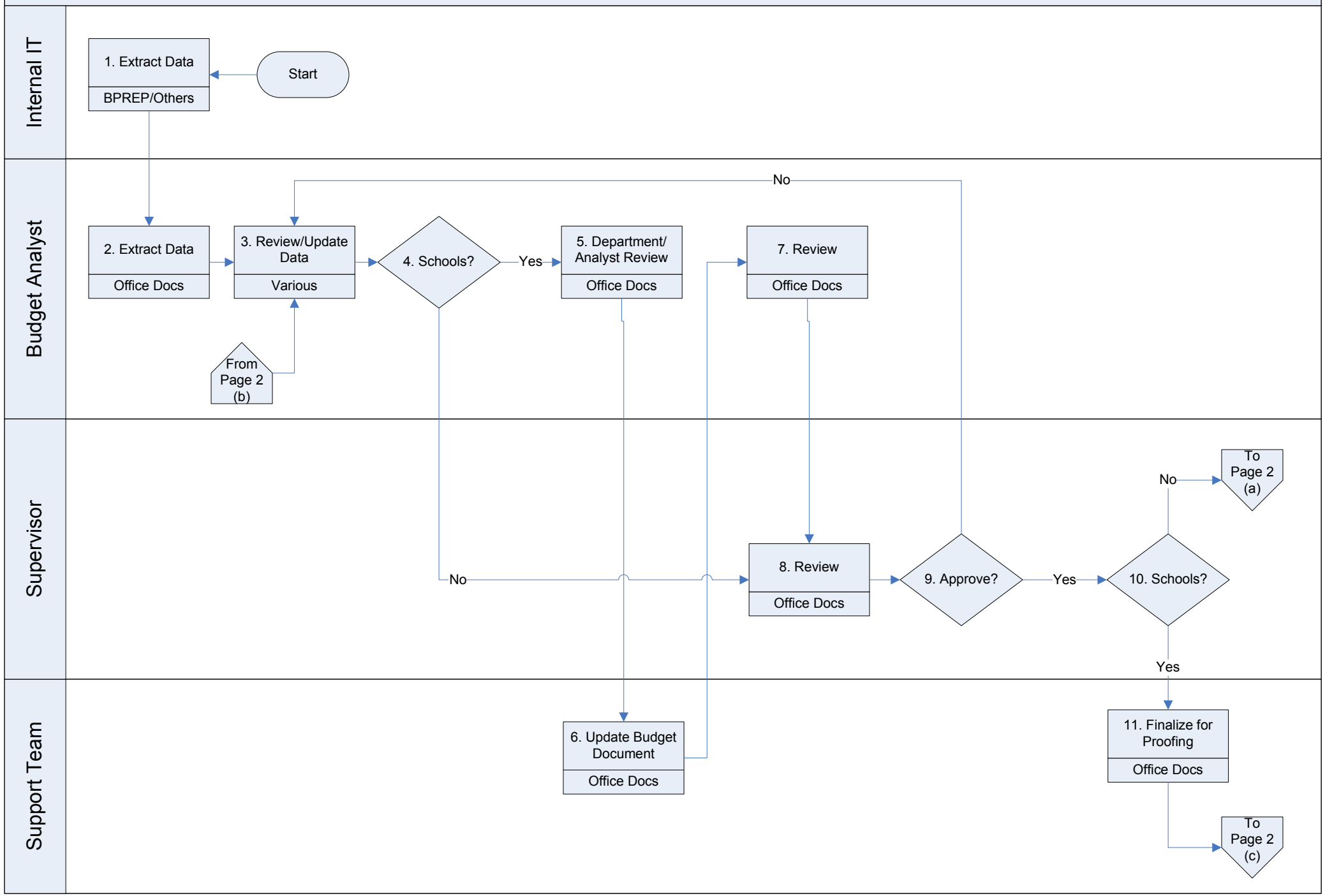
Application/System Name	***Technology Description***
Classification Action Tracking System (CATS)	Maintained by Employee Services
FS 124 Database	Maintained by Budget
Lawson	

Regulations:

o

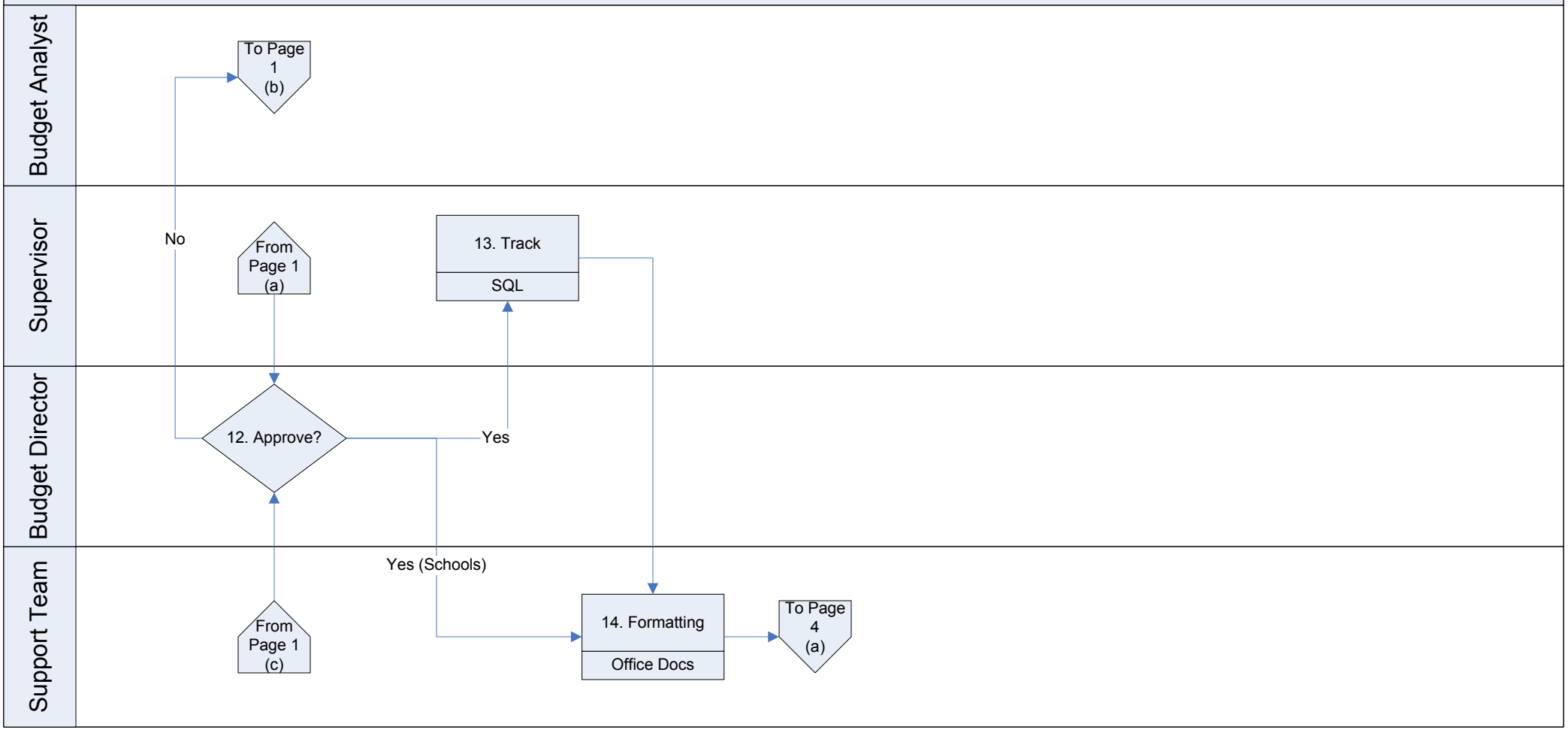
Budget [FINAL]
Sub-Process: Budget Production

Map Name: BUD_PROD
Map No.: 46



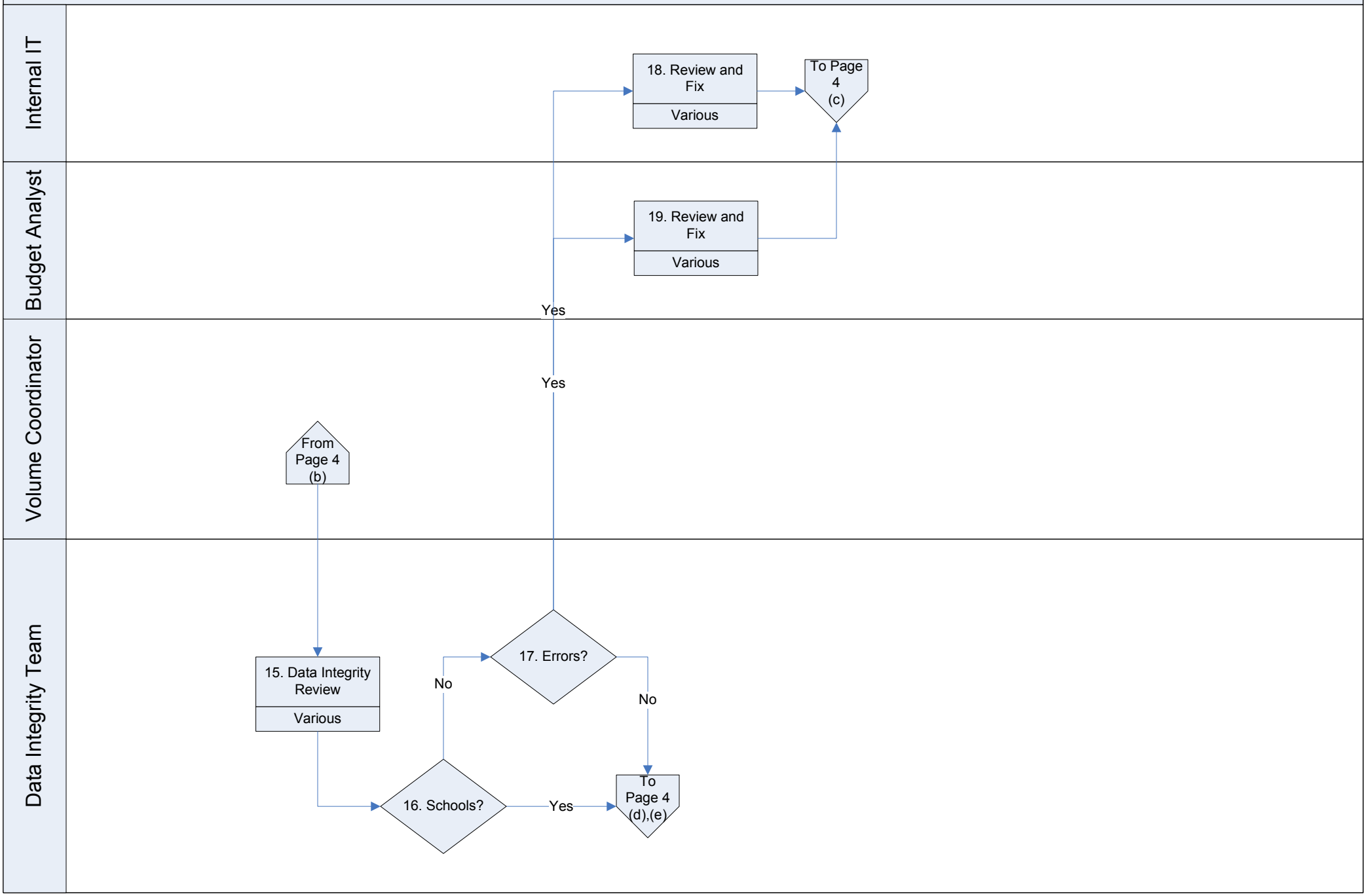
Budget [FINAL]
Sub-Process: Budget Production

Map Name: BUD_PROD
Map No.: 46



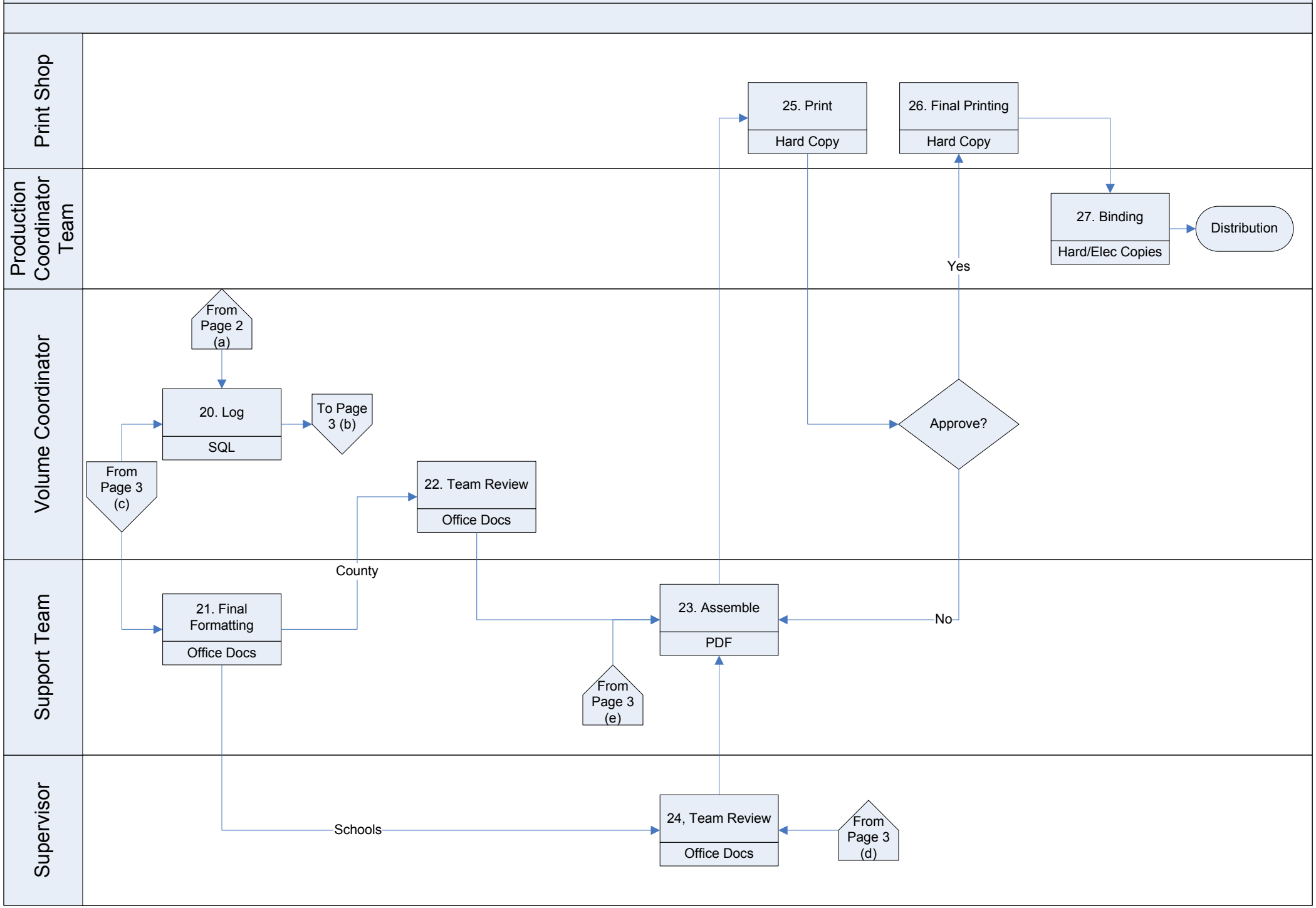
Budget [FINAL]
Sub-Process: Budget Production

Map Name: BUD_PROD
Map No.: 46



Budget [FINAL]
Sub-Process: Budget Production

Map Name: BUD_PROD
Map No.: 46



Process Name: Budget	**Map Name:** BUD_PROD
Sub-Process Name: Budget Production	**Map Number:** 46

Sub-Process Purpose and Objectives: Describe budget production process

Sub-Process Description

1. County Internal IT or budget analyst extracts budget data from system into Word or Excel**.** Analyst checks consistency/accuracy of linked data (checks Access database and narratives against BPREP) and updates any unlinked data **[MAP SHAPE 1, 2]**
2. Budget analyst updates data, charts, text, etc. in assigned section and reviews position information and position lists (in Schools, one person is in charge of position, in County each analyst reviews position information) **[MAP SHAPE 3]**
3. In Schools, departments review/verify and work with the budget analyst until the description is final. **[MAP SHAPE 4, 5]**
4. In Schools, the Support Team compiles data into one document, does formatting, and returns the document to the budget analyst **[MAP SHAPE 6, 7]**
5. For both Schools and the County, the budget analyst sends either updated sections or the formatted document to the Supervisor for review. The document(s) may be sent back and forth between analysts and supervisors many times throughout the process until it approved. **[MAP SHAPE 8]**
6. In County, after Supervisor approval, the document moves to the Budget Director and Deputy Director for review/approval. If changes are required, the document returns to the budget analyst. If the document is approved by the Budget Director, then the Department Director reviews, approves, and signs-off on the departmental content. The document is then returned to the Supervisor (who is tracking movement through the entire progress in a process log) who sends it to the Support Team for formatting. (Move to step 8). Depending on the magnitude of change / availability of staff documents may be routed to either Supervisor or Analyst. **[MAP SHAPE 12, 13, 14]**
7. In Schools, approved document is sent by the Supervisor to the Support Team for final formatting and compilation. The Support Team also tracks progress of the documents through the process using the process log. This print-ready document goes through proofing and is then sent to budget director for approval. The budget book is printed and all analysts and supervisors proofread (In Schools, the Budget Analysts play the data integrity role). Supervisors compile all suggested edits and the entire team meets to decide which suggested changes to incorporate. The Support Team makes final changes, re-assembles the document, and creates a PDF. The Production Coordinator reviews. The document is sent to the print shop and printed proofs are reviewed and approved by the Budget Director. Final printed documents are bound in-house. (Move to step 10). **[MAP SHAPE 11, 12, 14, 21, 23, 24, 26]**
8. In County, the formatted book is sent to a Volume Coordinator who initiates the data integrity (DI) process. The Volume Coordinator tracks the DI process and the data integrity team completes the DI process. The DI process ensures that numbers and narrative are appropriately structured. The data integrity team compares the document to reports and ensures that data is accurate. There are two types of DI: Internal DI (read document for consistency) and Big DI (cross-check document against external schedules). If changes need to be made, the document returns to the budget analyst or Internal IT team (who makes changes to errors in external schedules). Once all errors are addressed, the document is returned to the Volume Coordinator to log and complete the External DI process. Once the DI process is complete, the Volume Coordinator sends the document to the Support Team for final formatting, pagination, and return to the Volume Coordinator. Analysts then review the documents and send them to the Volume Coordinator for final review. When approved by the Volume Coordinator, the Support Staff assembles the entire document and converts it to PDF. The Volume Coordinator then does a final check and sends it to the print shop. The print shop prints check copies, which the Volume Coordinator reviews for any printing problems. If the check copy is acceptable, the final version will be printed. If the check copy needs corrections, the Support Team or print shop addresses prior to final printing. (Move to step 9). **[MAP SHAPE 20, 15, 17, 18, 19, 21, 22, 23, 25, 26]**
9. For County, the final document is printed at the print shop, and electronic copies are produced by the Production Coordination Team (CD and web version). Copies are sent to an outside vendor for binding, and the Production Coordination Team manages the printing and binding process. **[MAP SHAPE 26, 27]**
10. For both Schools and the County, budget books and electronic copies are distributed. In the County, the best copies are selected by the Volume Coordinator and given to

the Board.

NOTE: Non-budget documents are also created. Schools produce detail sheets for each school (line item budget), Budget Highlights, and Program Budget. County produces Citizen's Guide (popular budget), CIP, IT Plan (done by DIT), Lines of Business (LOBs), and pamphlet (mailed out with DTA flyer). Both produce agenda/packages for Governing Bodies.
NOTE: Overview Budget

- *Human resources contribute to the process by providing job classification table and compensation plan.*
- *There is an additional review to compare all volumes for sensitive data. This is done as a round robin check and crosswalk of all publications.*
- *Between the Advertised and Adopted Process- macros are updated and Board of Supervisor data is added with updated blurbs. Funding adjustment statements are added.*

Triggers:

- ❑

Key Process Participants:

- ❑ Budget Analyst
- ❑ Internal IT
- ❑ Supervisor
- ❑ Support Team
- ❑ Budget Director
- ❑ Volume Coordinator
- ❑ Data Integrity Team
- ❑ Print Shop
- ❑ Production Coordinator Team

Inputs:

Input	***Format***
N/A	

Outputs:

Output	***Format***
N/A	

IT Support:

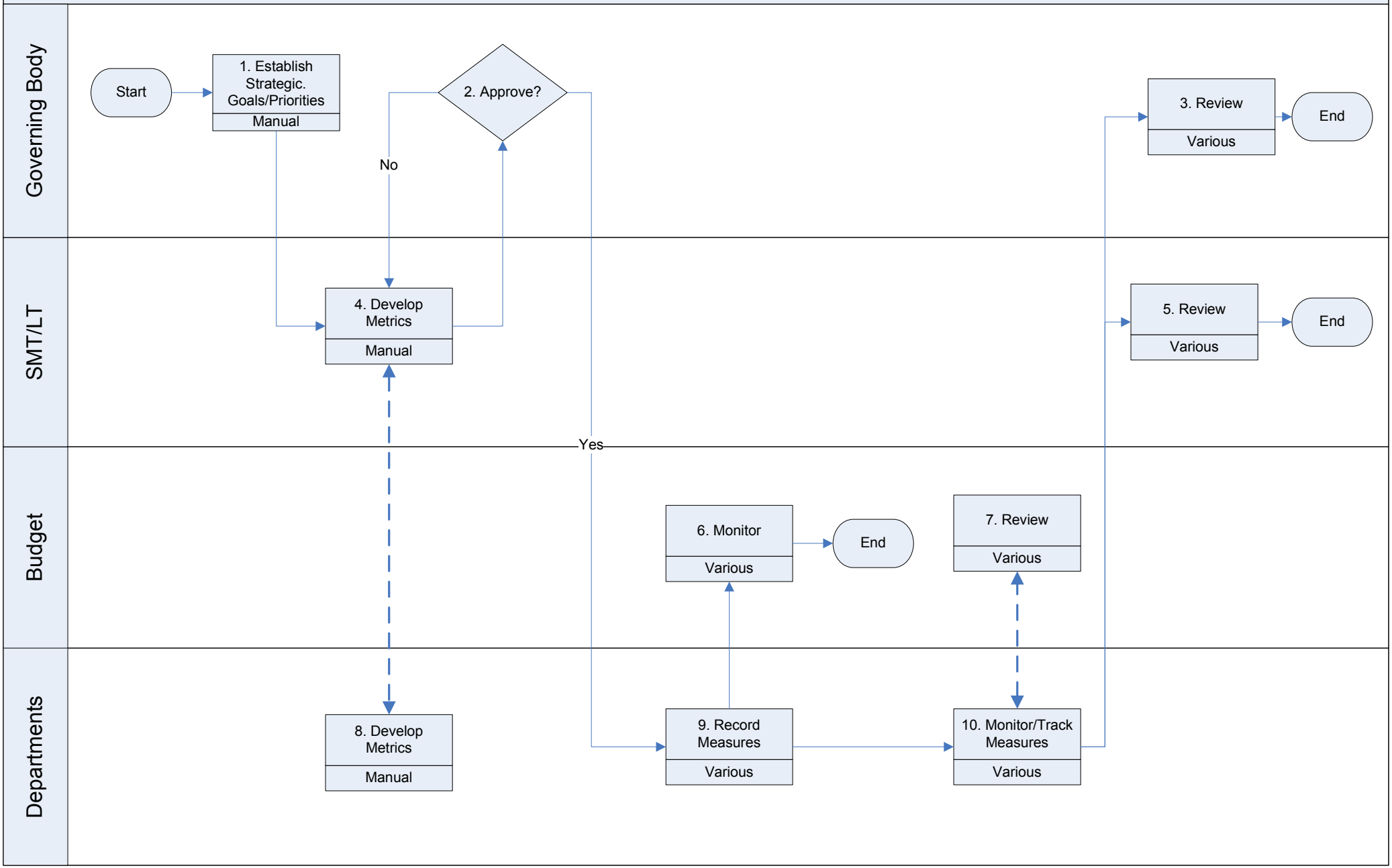
Application/System Name	***Technology Description***
BPREP	Budget preparation system
Lawson	Schools human resource system
MS Office	Word, Excel
Process log	SQL database, tracking progress budget; support staff and others have access

Regulations:

- State Law – Budgetary Categories
- County Principals of Sound Financial Management
- Budget Guidelines for the Fiscal Year
- Board of Education Policy
- Code of Virginia – Resident Notification

Budget [FINAL]
Sub-Process: Performance Measurement

Map Name: BUD_PERF_MSMT
Map No.: 47



Process Name: Budget	**Process Identifier:** BUD_PERF_MSMT
Sub-Process Name: Performance Measurement	**Map Number: 47**

Sub-Process Purpose and Objectives: Determine performance measures in the School or County.

Sub-Process Description:

1. The Governing Body establishes strategic goals and priorities. **[MAP SHAPE 1]**
2. The strategic goals and priorities established by the Governing Body are sent to the Senior Management Team/Leadership Team who is responsible for working with the Departments to develop precise performance metrics. **[MAP SHAPE 4, 8]**
3. Once the performance metrics are developed, they are sent to the Governing Body for approval. Measures not approved by the Governing Body are returned to the SMT/LT for revision. **[MAP SHAPE 4, 2]**
4. After the Governing Body has given final approval at the County, the measures are loaded into a database in the Departments to track the measures. **[MAP SHAPE 2, 9]**
5. The approved measures are forwarded by the Departments to Budget who monitors progress toward achievement. **[MAP SHAPE 9, 6]**
6. The Departments also monitor and track the progress toward meeting performance goals. Budget may be notified throughout the year that performance measures are changing and request the estimate be adjusted. **[MAP SHAPE 9, 10, 7]**
7. The County Senior Management Team and Governing Body may review performance measures periodically depending on the needs of the constituents. The various agencies may report to their board at different intervals. Schools report to the Leadership Team periodically and to the Governing Body annually. **[MAP SHAPE 10, 3, 5]**

Triggers:

- ❑ Governing Body establishes strategic goals and priorities
- ❑ SMT/LT/Departments develop performance measures
- ❑ Departments do periodic reporting

Key Process Participants:

- ❑ Governing Body
- ❑ SMT/LT
- ❑ Budget
- ❑ Departments

Inputs:

Input	*Format*
Strategic goals and priorities	Manual
Performance metrics	Various

Outputs:

Output	*Format*
Approved performance measures	Various

IT Support:

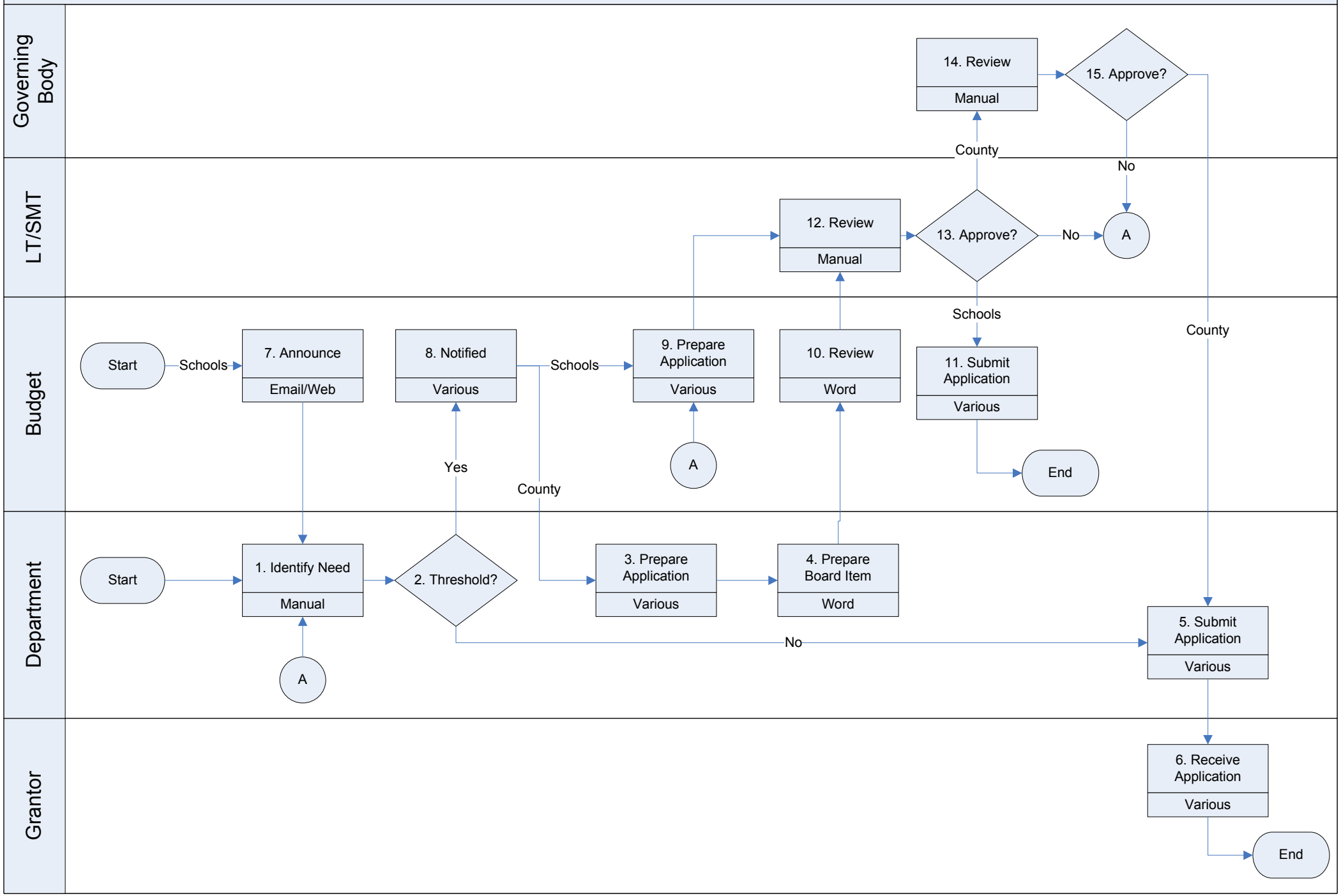
Application/System Name	*Technology Description*
Access	Database

Regulations:

o

Grants [FINAL]
Sub-Process: Management – Application Process (New Grant)

Map Name: GRANT_MGT_APP
Map No.: 48A



Process Name: Grants	**Process Identifier:** GRANT_MGT_APP
Sub-Process Name: Management – Application Process (New Grant)	**Map Number:** 48A

Sub-Process Purpose and Objectives: Apply for a new grant

Sub-Process Description:

1. Departments identify need for grant and/or find available grant for which the Department is eligible. Concurrently, the Schools Grant Office sends notices by email that grant opportunities are available and searches for grant opportunities based on Departments' expressed needs. The Schools Grant Office maintains a website of small grants that are available for Departments/Schools to apply for on their own ($10,000 and under). For both the County and Schools, if the grant is under a designated threshold, departments handle their own application. Note that the County does not have a grant office. For the County, Departments research and apply for grants under $100,000 on their own, and the County Budget Office isn't notified of grant applications until an award is received. **[MAP SHAPE 1,2,5,7]**
2. If the grant is above the dollar threshold, the Budget Office/Grant Office is notified (informal – in person, by phone, etc.). **[MAP SHAPE 2,8]**
3. For Schools, the grant proposal/application is written. The Grants Office coordinates this process with assistance and provision of detail from the Department. Additional input during application development can come from the County Attorney (legal review), IT, HR (review of position information), the Research Board, etc. **[MAP SHAPE 9]**
4. For the County, Departments write their own grant proposal/application and prepare a board item. For both Schools and the County, applications are completed online, on paper forms, and/or in MS Office products. **[MAP SHAPE 3,4]**
5. The application/board item is sent to the SMT/LT for review and approval. Note that for the County, the board item is first reviewed by the Budget Office, then it is sent to the County Executive for review. **[MAP SHAPE 10,12,13]**
6. For Schools, once the SMT/LT approves, the application returns to the Grant Office for submission to the grantor. If it is rejected by SMT/LT, the application returns to the Budget Office to make adjustments or to cancel the application. **[MAP SHAPE 9,11]**
7. For the County, SMT/LT approved board items are sent to the Governing Body for review and approval. If the Governing Body rejects, the application returns to the Department for adjustment or cancellation. Note that for some County Departments, Department boards may also review and approve grant applications (ex: policy boards of human service agencies). For Schools, the Governing Body is not involved at this point. **[MAP SHAPE 14,15]**
8. Once approved by all entities, The County Department or Schools Grants Office obtains any required signatures and submits the application to the grantor. **[MAP SHAPE 5,11]**
9. The grantor receives the application. **[MAP SHAPE 6]**

Triggers:

- ❑ Departments identify need.
- ❑ Grants are available

Key Process Participants:

- ❑ Budget Office / Grant Office
- ❑ Department
- ❑ SMT/LT
- ❑ Governing Body
- ❑ Grantor

Inputs:

Input	***Format***
Department/Budget Office identifies need and finds available grant	
Board item	Word

Outputs:

Output	***Format***
Approved grant application submitted to grantor	MS Office or in online system

IT Support:

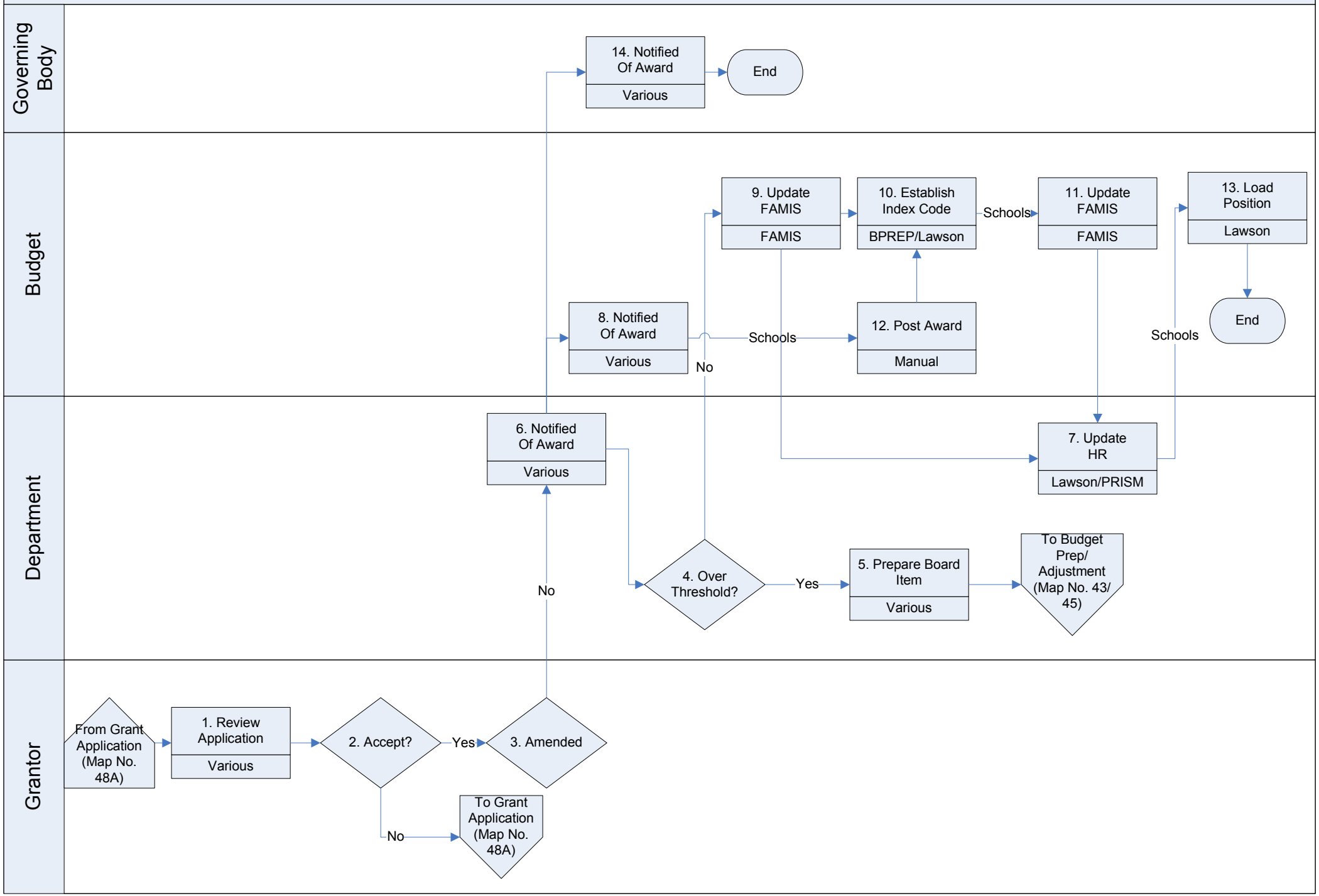
Application/System Name	***Technology Description***
Online grant systems	

Regulations:

- Schools Grant Manual
- County Grants Procedural Memorandum

Grants [FINAL]
Sub-Process: Management – Award (New Grant)

Map Name: GRANT_MGT_AWARD
Map No.: 48B



Process Name: Grants	**Process Identifier:** GRANT_MGT_AWARD
Sub-Process Name: Management – Award (New Grant)	**Map Number:** 48B

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. The grantor receives and reviews grant application. **[MAP SHAPE 1]**
2. The grantor accepts all or part of the application. (Partial or amended awards are possible). If the application is not accepted, County or Schools Departments/Budget Offices may have to go through the application process again. **[MAP SHAPE 2]**
3. If the award is not amended, the grantor notifies the Department and/or Governing Body and Budget Office. **[MAP SHAPE 3,6,14,8]**
4. County Departments submit a request to the Budget Office to update FAMIS and set up a grant number, which interfaces to BPREP and Prism. Budget establishes index codes in BPREP through the Budget Entry (BE) process. After the BE process, HR updates Prism with position information. Grants can also be loaded as part of quarterly budget reviews. **[MAP SHAPE 9,10,7]**
5. For Schools, the Budget Office receives the awarding document. The Grant Office meets with Departments for a post-award meeting which includes going over grant rules, training, and signing a formal agreement to abide by restrictions of grant. The Budget Office and Department set up the grant budget (tables, index codes, etc.) in the system. Departments notify HR if any positions are affected, and position control forms are submitted. HR builds positions in Lawson and Budget loads the position in Lawson. **[MAP SHAPE 8,12,10,11,7,13]**
6. If the grant is amended, and is above a certain threshold (above a 10% difference) for the County, the Board must review again (return to the grant application process and board item development/review). If not above this threshold, the amended grant award moves into the above notification and set up process. **[MAP SHAPE 3,4,5,6]**
7. For Schools, awards have to be formally presented to the Governing Body in the Board Agenda. At quarterly reviews, County Budget notifies the Governing Board of any awards received. **[MAP SHAPE 14]**

Triggers:

- ❑ Notification of grant award is received

Key Process Participants:

- ❑ Budget
- ❑ Grantor
- ❑ Governing Body
- ❑ Department

Inputs:

Input	*Format*
Award Notice	
Position Control Forms	

Outputs:

Output	*Format*
Grant set up in systems	

IT Support:

Application/System Name	*Technology Description*
FAMIS	Financial system
BPREP	Budget preparation system
Lawson	Schools human resource system

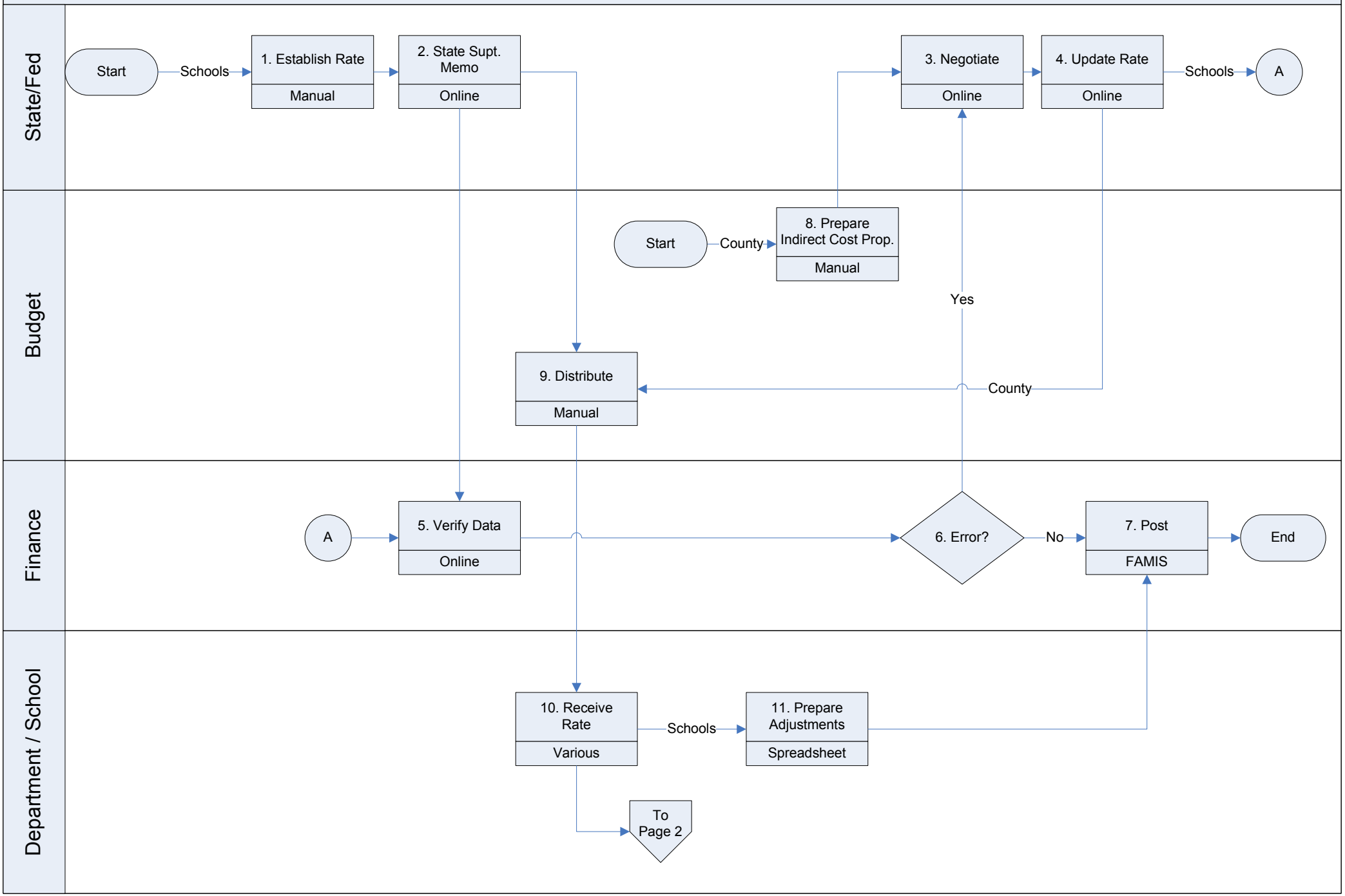
Regulations:

- o Schools Grants Manual

- County Grants Procedural Memorandum

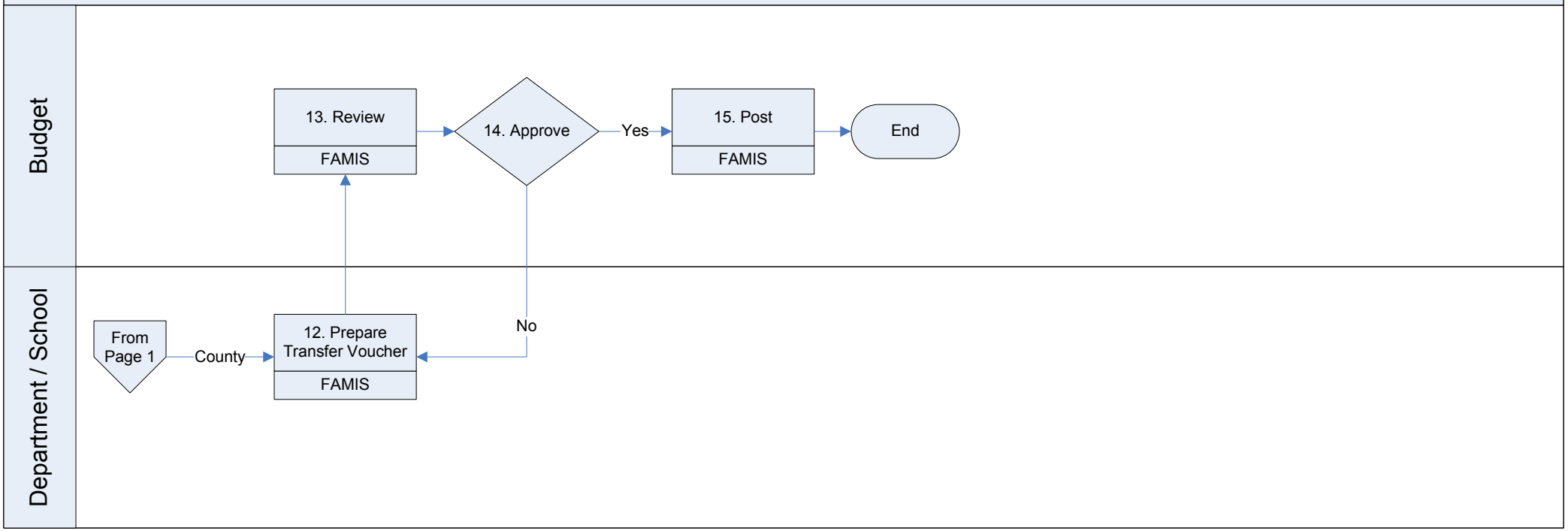
Grants [FINAL]
Sub-Process: Management – Indirect Costs

Map Name: GRANT_MGT_IND
Map No.: 48C



Grants [FINAL]
Sub-Process: Management – Indirect Costs

Map Name: GRANT_MGT_IND
Map No.: 48C



Process Name: Grants	**Process Identifier:** GRANT_MGT_IND
Sub-Process Name: Management – Indirect Costs	**Map Number:** 48C

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. For Schools, the State in conjunction with the Federal Government establishes the indirect cost rate annually based on the Annual School Report. For the County, the Budget Office prepares an indirect cost proposal. **[MAP SHAPE 1, 8]**
2. For Schools, once the rate is established, the State prepares a Superintendent Memo, which is sent electronically to the School Superintendent. The Budget Office and Finance are also notified. Finance completes a reasonableness test on the rate. If a major error is found, Finance tries to negotiate recalculation of the rate with the State. Simultaneously, the Budget Office distributes the rate information to Departments via email. **[MAP SHAPE 2, 5, 6, 3, 9]**
3. For the County, the indirect cost proposal is submitted to the Federal Government for approval/negotiation. The County Executive signs off on the rate, and the rate information is then distributed to Departments by the Budget Office via formal memo. **[MAP SHAPE 3, 4, 9, 10]**
4. For Schools, Departments prepare/calculate any catch-up adjustments to be made in future reimbursements. School Finance then posts indirect costs and any adjustments into FAMIS when reimbursements are received. **[MAP SHAPE 10, 11, 7]**
5. County Departments may incorporate the new rate into grant proposals. **[MAP SHAPE 10, 12, 13, 14, 15]**

NOTE: For the County, the Finance Office is not involved in indirect costing in any way, while for Schools, Finance is more involved.

Triggers:

- ❑ Indirect cost proposal submitted and negotiated with the Feds.
- ❑ State/Fed establishes rate for School

Key Process Participants:

- ❑ Finance Office
- ❑ Budget Office
- ❑ Department/School
- ❑ State/Fed

Inputs:

Input	***Format***
Indirect cost proposal/rate determined	

Outputs:

Output	***Format***
Indirect cost rate is established	
Adjustments made to reimbursements	
Transfer vouchers prepared	FAMIS

IT Support:

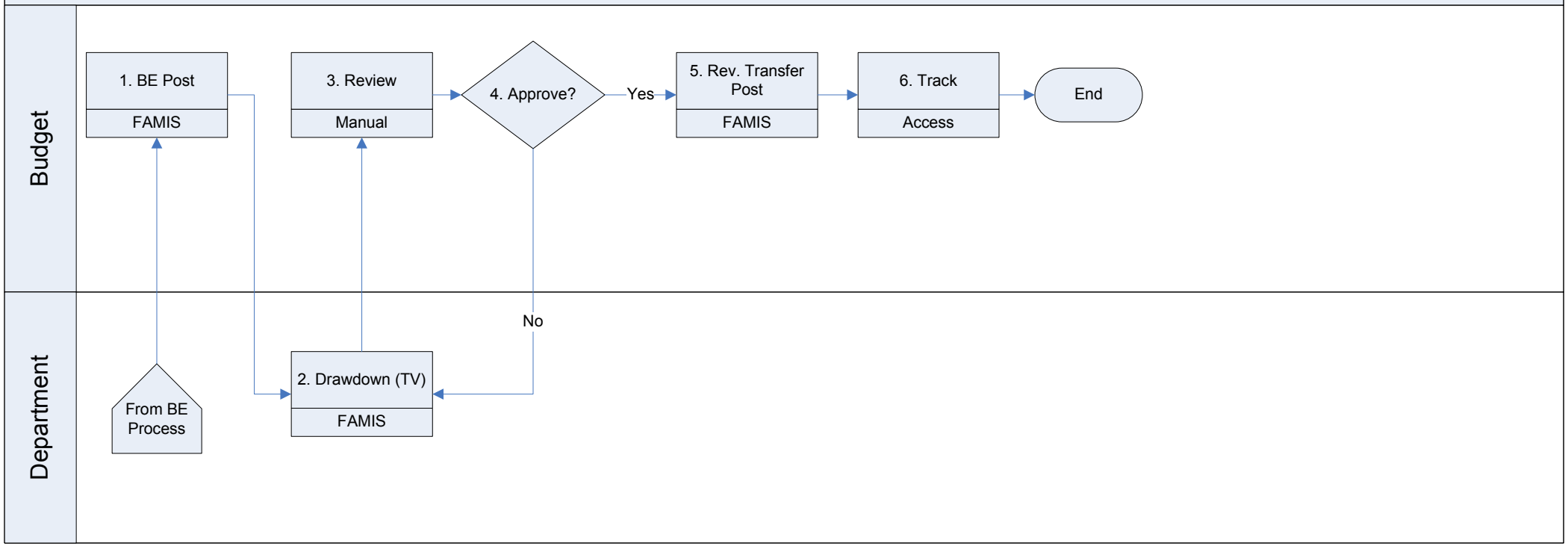
Application/System Name	***Technology Description***
FAMIS	Financial system

Regulations:

- o Schools Grants Manual
- o County Grants Procedural Memorandum

Grants [FINAL]
Sub-Process: Activity Tracking – Cash Match

Map Name: GRANT_ACTIVITY_CASH
Map No.: 49A



Process Name: Grants	**Process Identifier:** GRANT_ACTIVITY_CASH
Sub-Process Name: Activity Tracking – Cash Match	**Map Number:** 49A

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Once a grant award is received and approved, the Budget Office sets up a local cash match budget in FAMIS as part of the Department Budget Entry (BE) request.
2. The Budget Office approves the BE and budgets are posted to FAMIS. **[MAP SHAPE 1]**
3. Departments initiate drawdown of the cash match budget through transfer vouchers (TVs). **[MAP SHAPE 2]**
4. TVs are sent to the Budget Office for review, approval, and posting of transfer/drawdown to FAMIS. If the TV is rejected, it returns to the Department for revision. **[MAP SHAPE 3,4,5]**
5. Approved TVs and cash match budget and actuals are tracked in Access by the Budget Office. **[MAP SHAPE 6]**
6. When the grant is closed and part of the local cash match budget remains unspent, the amount returns to the LCM reserve.

Triggers:

- ❑ Grant requires local cash match
- ❑ Departments submit BEs
- ❑ Departments submit TVs

Key Process Participants:

- ❑ Budget Office
- ❑ Department

Inputs:

Input	*Format*
Budget Entry request	FAMIS
Transfer Voucher	FAMIS

Outputs:

Output	*Format*
Local cash match budget set up	FAMIS
Drawdown of cash match budget	FAMIS

IT Support:

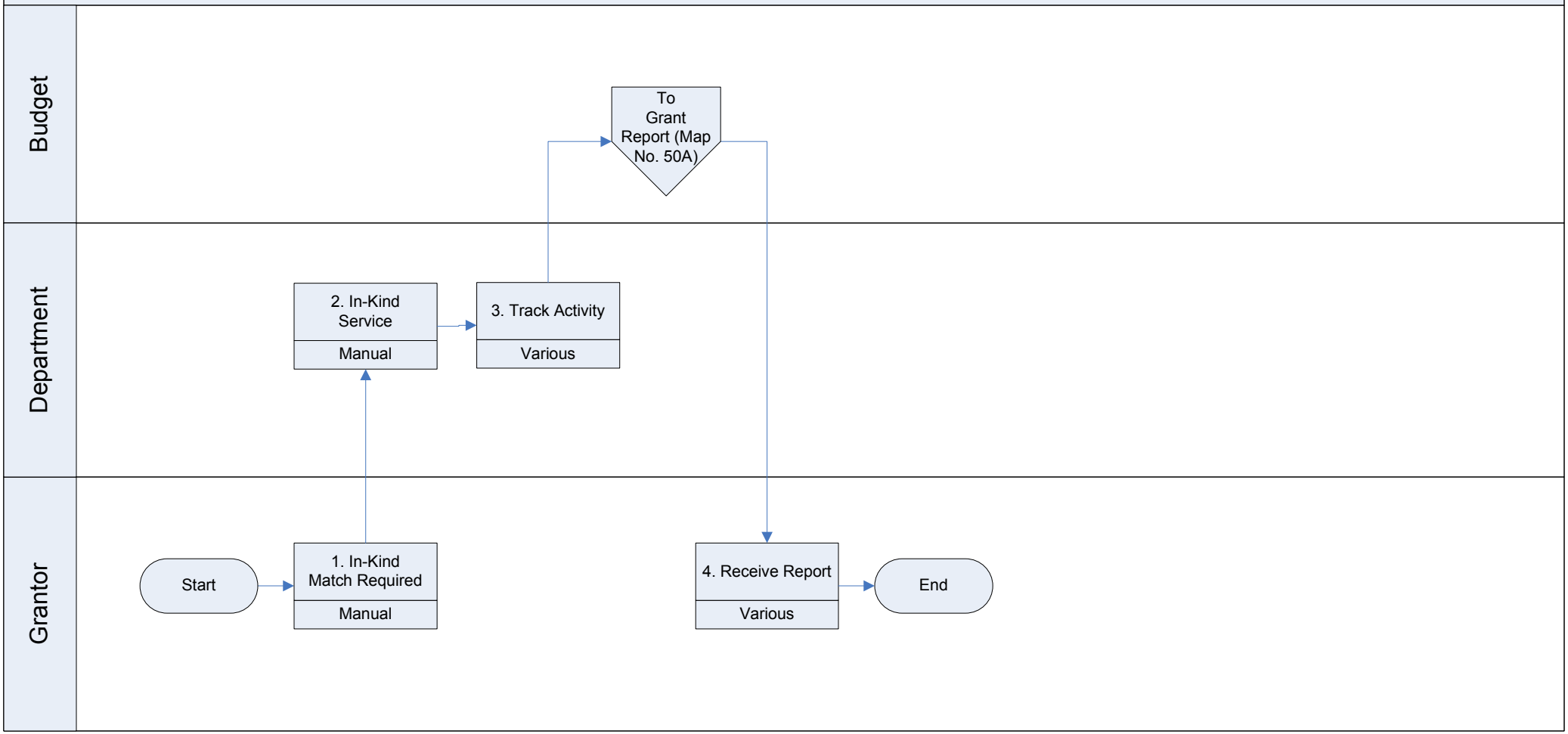
Application/System Name	*Technology Description*
Access	Database for tracking TVs and local cash match budgets
FAMIS	Financial system

Regulations:

- o County Grants Procedural Memorandum

Grants [FINAL]
Sub-Process: Activity Tracking – In-Kind Match

Map Name: GRANT_ACTIVITY_INKIND
Map No.: 49B



Process Name: Grants	**Process Identifier:** GRANT_ACTIVITY_INKIND
Sub-Process Name: Activity Tracking – In Kind Match	**Map Number:** 49B

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. If a grantor requires in-kind match, it is a part of the application and is reviewed/approved by the SMT/LT. **[MAP SHAPE 1]**
2. In-kind match is tracked by the Department grant program manager in multiple systems (Access, Excel, etc.). **[MAP SHAPE 2, 3]**
3. In-kind match is reported to the grantor in financial reports as required by the grant (this follows the grant reporting process). **[MAP SHAPE 4]**

Triggers:

- In-kind match is required by a grantor

Key Process Participants:

- Budget Office
- Department
- Finance Office

Inputs:

Input	*Format*
In-kind match requirements are tracked	Multiple systems

Outputs:

Output	*Format*
In-kind match is reported to grantor	

IT Support:

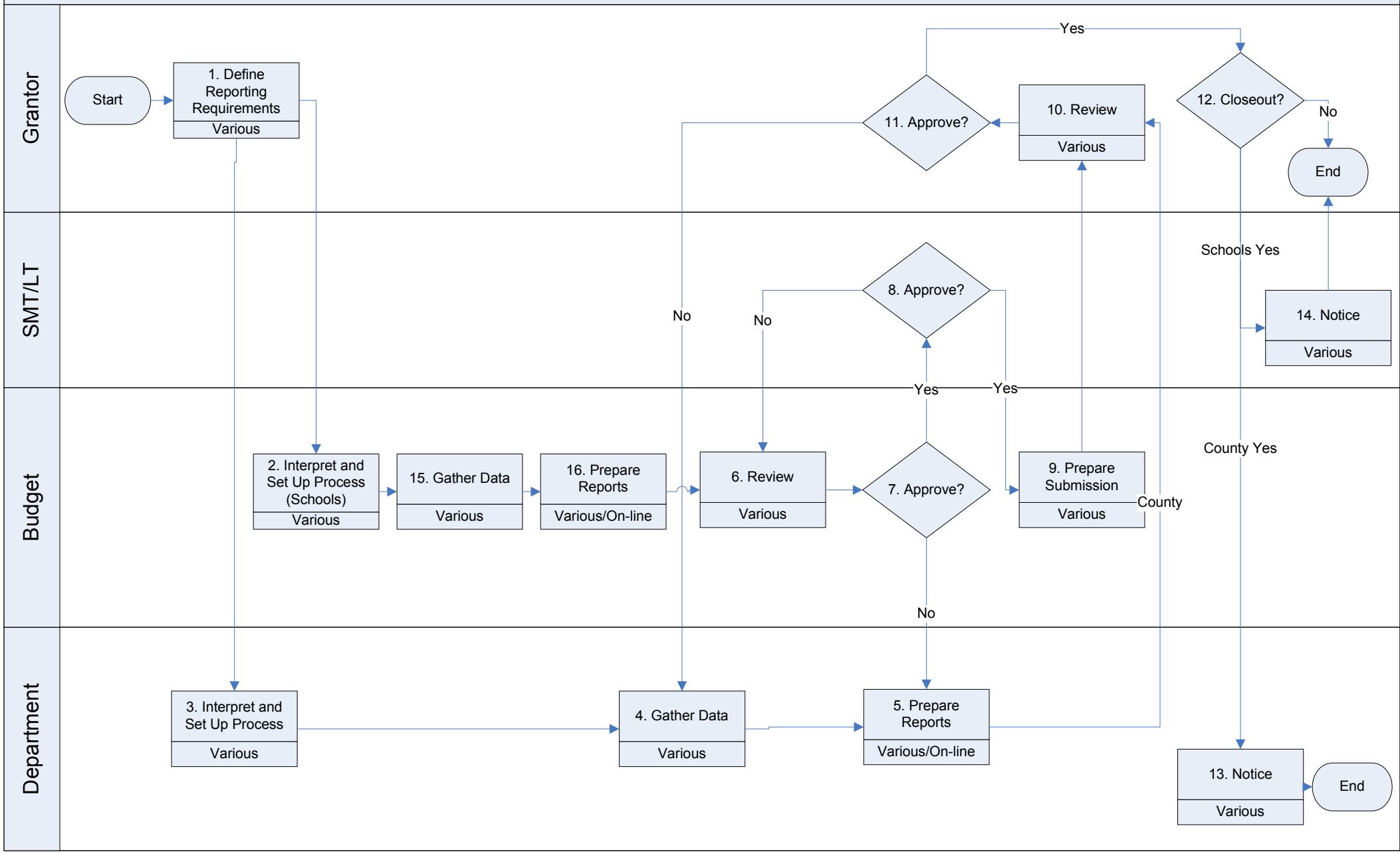
Application/System Name	*Technology Description*
Access, Excel	Tracking of in-kind match

Regulations:

- Grantor requirements
- County Grants Procedural Memorandum

Grants [FINAL]
Sub-Process: Sponsor Reporting/Closing – Reporting

Map Name: GRANT_REPORT
Map No.: 50A



Process Name: Grants	**Process Identifier:** GRANT_REPORT
Sub-Process Name: Sponsor Reporting/Closing – Reporting	**Map Number:** 50A

Sub-Process Purpose and Objectives:

Sub-Process Description

1. The grantor defines reporting requirements. **[MAP SHAPE 1]**
2. For the County, receiving departments interpret the requirements and set up a reporting process in various systems. For Schools, the Central Budget Office or Department Budget staff receives requirements and sets up the reporting process. **[MAP SHAPE 2, 3]**
3. Departments gather data needed for reports (Title I, comparability, staff and salary, financial pieces for programmatic reports, etc.). **[MAP SHAPE 4, 15]**
4. County Departments prepare reports in various systems (grantor online system, Excel, Word). Department director or supervisor review or approval may be required in some cases. County Departments submit reports directly to the grantor for review and approval. Copies may be sent to the program/project director, the finance office, etc. **[MAP SHAPE 5, 10]**
5. Schools Departments prepare reports in various systems and send them to the Budget Office for review. If the Budget Office does not approve, the report returns to the Department to be updated. If the report is approved, it is sent to the SMT/LT (Superintendent) for signature of approval. Once signed, the report returns to the Budget Office. The Budget Office then prepares the final report for submission. The report is submitted to the grantor. **[MAP SHAPE 16, 6, 7, 8, 9]**
6. The grantor reviews the report. If the grantor does not approve, the report returns to the Department. If the grantor approves the report and it is not a closeout, the process ends. For Schools, if the report is a close-out report, the grantor sends notification to the Superintendent that the grant is closed, and the process ends. For the County, Departments notify Budget and Finance of closeouts. **[MAP SHAPE 10, 11, 12, 13, 14]**

NOTE: Some reports provide backup for the grantor invoice and act as mode of requesting reimbursement
NOTE: This process is the same for grant-close out reporting. The report sent to the grantor would be the closeout report.

Triggers:
- ❑ Reporting requirements are defined.
- ❑ Reports are due (various reporting periods).

Key Process Participants:
- ❑ Grantor
- ❑ Budget Office
- ❑ Department
- ❑ SMT/LT

Inputs:

Input	***Format***
Grantor reporting requirements	Web, hard copy
Grant Data	Various

Outputs:

Output	***Format***
Grant financial report	Web, hard copy
Notification from grantor that grant is closed	

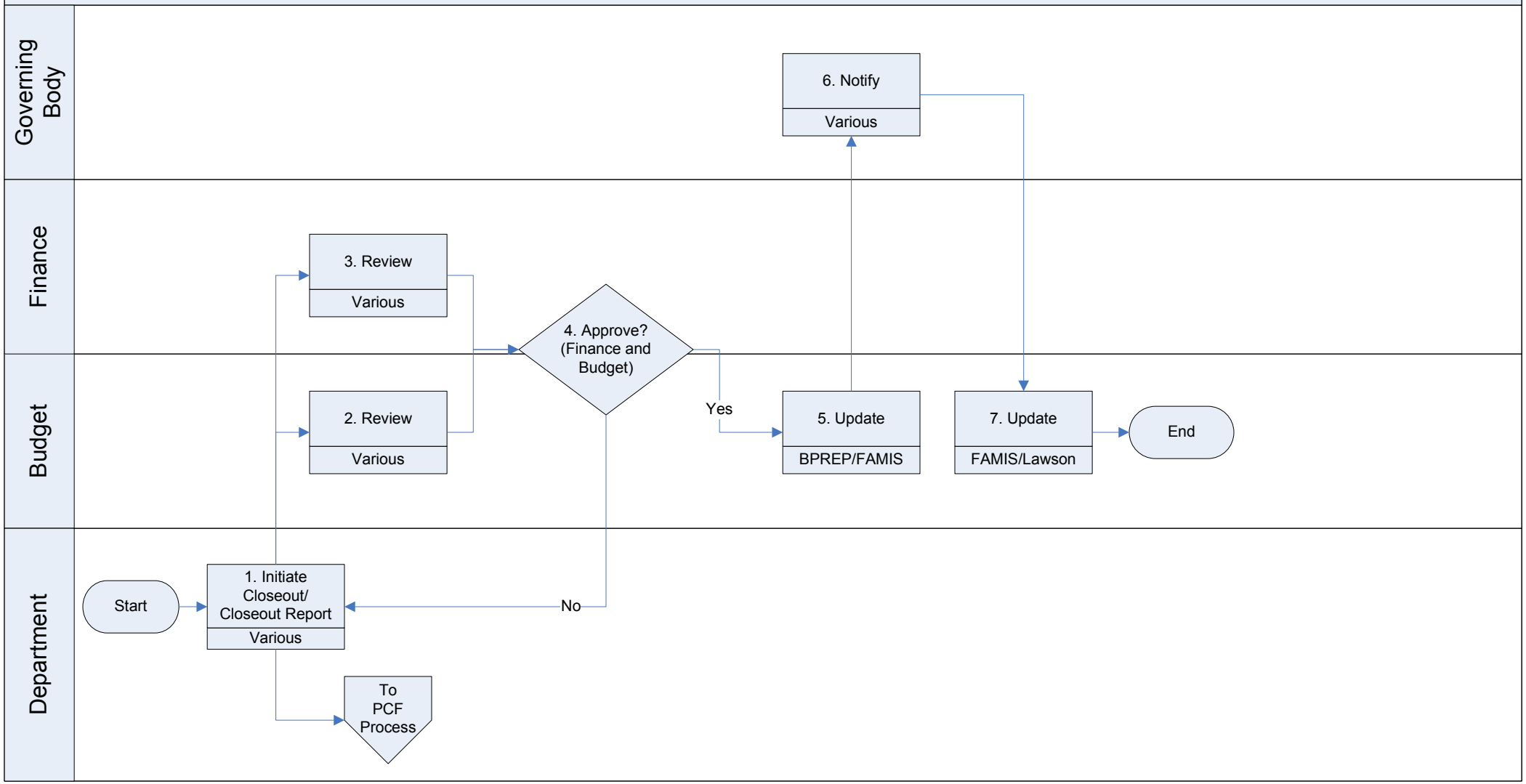
IT Support:

Application/System Name	***Technology Description***
FAMIS	Financial system
Grantor online systems	For submission of grant reports
Excel	Spreadsheet
Various systems	For tracking programmatic data: Avatar, Access, SASI, student information, other

Regulations:
- o Grant requirements
- o County Grants Procedural Memorandum

Grants [FINAL]
Sub-Process: Sponsor Reporting/Closing – Internal Closeout

Map Name: GRANT_CLOSE
Map No.: 50B



Process Name: Grants	**Process Identifier:** GRANT_CLOSE
Sub-Process Name: Sponsor Reporting/Closing – Internal Closeout	**Map Number:** 50B

Sub-Process Purpose and Objectives:

Sub-Process Description

1. A Department identifies grants that have reached the end of the grant period and initiates closeout. **[MAP SHAPE 1]**
2. The Department (project/program manager) develops a closeout report of outcomes of the grant project, which includes both financial and programmatic pieces. **[MAP SHAPE 1]**
3. The closeout report is sent simultaneously to both the Finance and Budget Offices which work together to review and approve. **[MAP SHAPE 2,3,4]**
4. The Department initiates Position Control Forms and sends them to the Budget Office, which sends them to HR. This is part of position control / position budgeting processes. **[MAP SHAPE 1]**
5. If the closeout report is not approved by Budget and Finance, it returns to the Department for adjustment. Once both Finance and Budget approve, the Budget Office updates BPREP and FAMIS. **[MAP SHAPE 4,1,5]**
6. A notification of the closeout is sent to the Governing Body. For the County, closeout information goes into the quarterly budget adjustment package. **[MAP SHAPE 6]**
7. Once the Governing Body has been notified, the info from BPREP is interfaced to FAMIS/Lawson and the process ends. **[MAP SHAPE 7]**

Triggers:

- ❑ Grant has ended

Key Process Participants:

- ❑ Finance Office
- ❑ Budget Office
- ❑ Department
- ❑ Governing Body

Inputs:

Input	***Format***
Grant data	Various

Outputs:

Output	***Format***
Grant closeout report	Various
Grant is closed in systems	FAMIS/BPREP

IT Support:

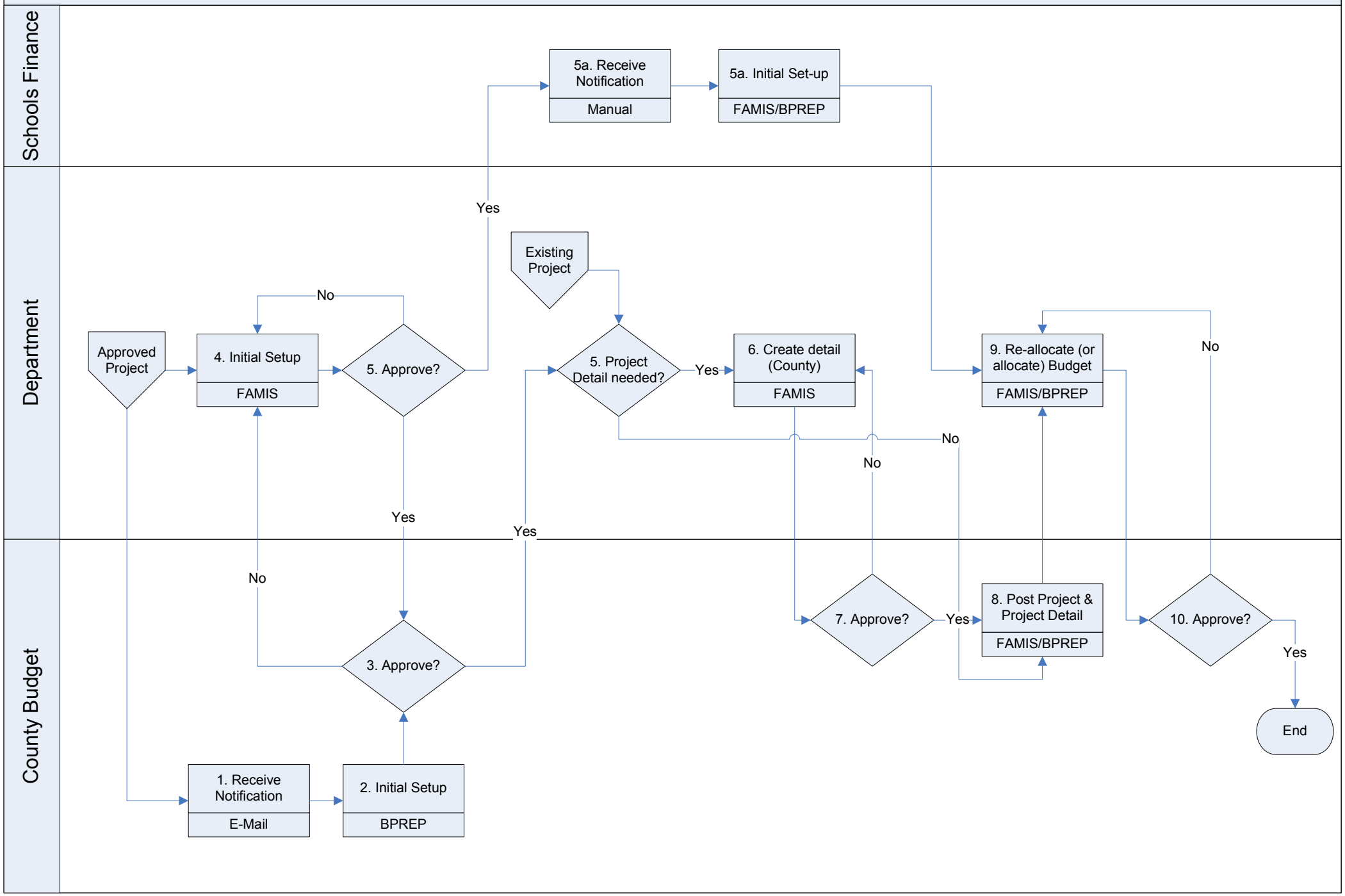
Application/System Name	***Technology Description***
FAMIS	Financial system
Excel	Spreadsheet
Grantor systems	For submission of grant reports
BPREP	Budget preparation system

Regulations:

- o Grant requirements
- o County Grants Procedural Memorandum

Projects [FINAL]
Sub-Process: Project Set-up – Project Creation

Map Name: PROJ_SETUP_CREATE
Map No.: 51A



Process Name: Projects	**Process Identifier:** PROJ_SETUP_CREATE
Sub-Process Name: Project Set-up – Project Creation	**Map Number: 51A**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A new project has been approved within a Department. Notification is sent to Budget Department. **[MAP SHAPE 1]**
2. Initial project setup is done in FAMIS by the Department and in BPREP by Budget. For Schools, the initial project set-up is completed by Financial Services in BPREP and FAMIS **[MAP SHAPE 2, 4, 5a, 5b]**
3. For the County, initial project setup is reviewed in the Department and in Budget. If there are errors in the project setup the Department is required to fix the error in FAMIS. **[MAP SHAPE 3, 5]**
4. If there are no errors in the project setup and it has been approved by Budget, the Department determines if additional project detail is required to be added to the project setup. Existing projects may, also, have additional project detail added to them. If there is no new detail to be added to a project, whether new or existing, the project is posted to the BPREP and FAMIS system by Budget. **[MAP SHAPE 5, 8]**
5. If additional project details are required, the County creates the details and adds them to a new or existing project. The added project detail is then reviewed in Budget. If correction is required, the initiator of the project detail is notified to correct the errors and be reviewed again by Budget. If no errors in the detail setup are found, the project detail is posted to the BPREP and FAMIS systems by Budget. **[MAP SHAPE 5, 6, 7, 8]**
6. Some new or existing projects may need to have budget allocated or re-allocated to them. This allocation or re-allocation is done in the Department and sent to Budget for approval. **[MAP SHAPE 9, 10]**
7. If there are errors the Department is required to make the changes and resubmit to Budget. If there are no errors the process is complete. **[MAP SHAPE 10]**

Triggers:

- ❑ Approved new project

Key Process Participants:

- ❑ Department
- ❑ Budget Department
- ❑ Governing Body

Inputs:

Input	***Format***
New Project Approval	Paper

Outputs:

Output	***Format***
New Project Setup	Electronic

IT Support:

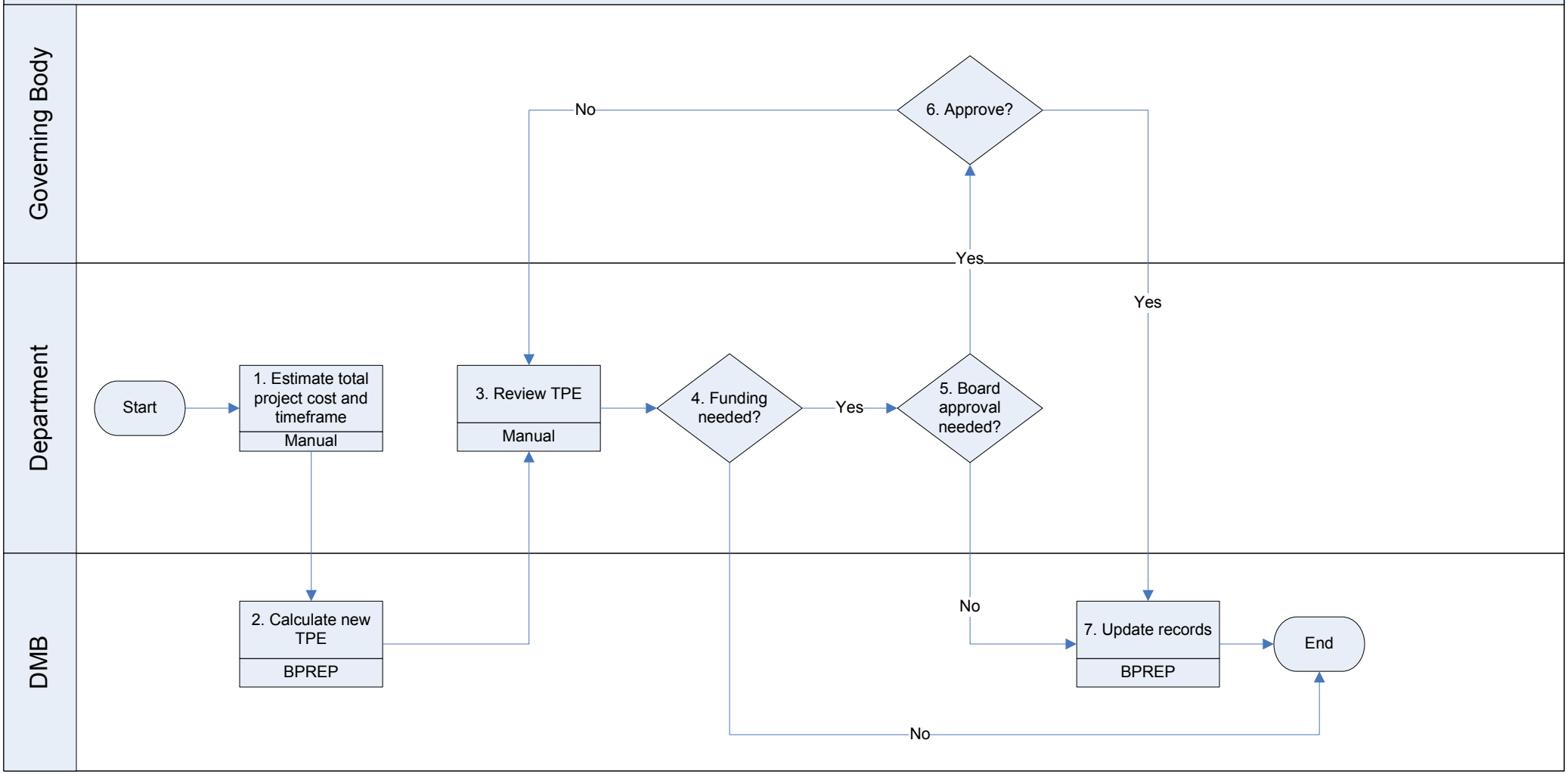
Application/System Name	***Technology Description***
FAMIS	Financial system
BPREP	Budget preparation system

Regulations:

o

Projects [FINAL]
Sub-Process: Project Set-up – Total Project Estimate

Map Name: PROJ_SETUP_TPE
Map No.: 51B



Process Name: Projects	**Process Identifier:** PROJ_SETUP_TPE
Sub-Process Name: Project Set-up – Total Project Estimate	**Map Number: 51B**

Sub-Process Purpose and Objectives:

Sub-Process Description

1. This process begins when a department establishes a Total Project Estimate (TPE) for capital construction.
2. The department reviews the current TPE and timeframe. **[MAP SHAPE 1]**
3. The request for a change in the TPE is sent to Budget. Budget calculates a new TPE and sends it back to the Department. **[MAP SHAPE 2]**
4. The Department reviews the new TPE calculated by Budget to see if additional funding and a timeframe extension is required. If no additional funding is required the process ends. **[MAP SHAPE 3, 4]**
5. If additional funding for the project is required, the Department determines if Governing Body approval is required. **[MAP SHAPE 4, 5]**
6. If Governing Board approval is not required, the new funding requirements are sent to Budget and the BPREP system is updated. **[MAP SHAPE 5, 7]**
7. If Governing Body approval is required a request is prepared and sent to the Governing Body. **[MAP SHAPE 5]**
8. If the Governing Body does not approve the additional funding required for the project TPE it is sent back to the department for re-review. **[MAP SHAPE 6, 3]**
9. If the Governing Body approves the additional funding for the project TPE the approved request is sent to Budget and the project TPE is updated in BPREP. **[MAP SHAPE 6, 7]**

NOTE: A Governing Body approves the TPE for a project. The TPE is kept in BPREP for each project but not in FAMIS. Additional funding is added to the project at a budget cycle which has received Governing Body approval. If the Governing Body does not approve the additional funding for the TPE that phase of the project is not done or funds must be re-allocated from other places.

Triggers:

- ❑ Review of project TPE

Key Process Participants:

- ❑ Department
- ❑ Budget Department
- ❑ Governing Body

Inputs:

Input	***Format***
Revised project TPE	Manual

Outputs:

Output	***Format***
New project TPE	Electronic

IT Support:

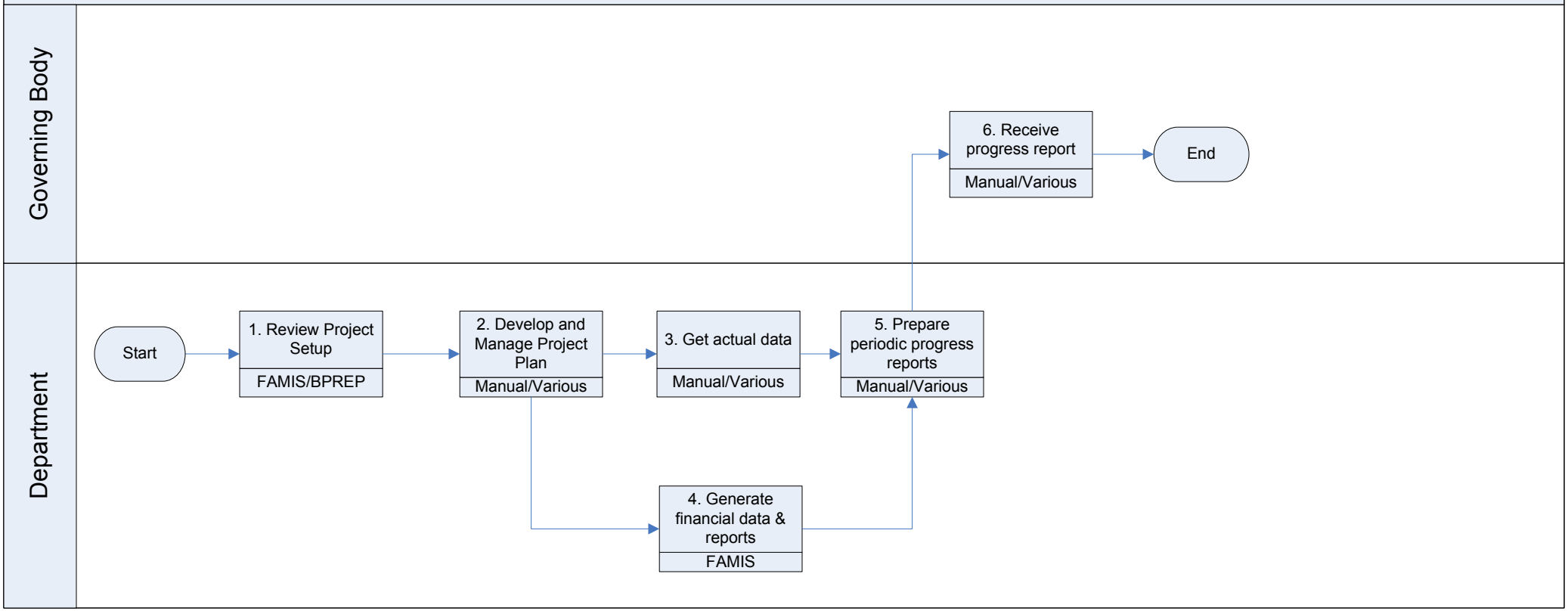
Application/System Name	***Technology Description***
BPREP	Budget preparation system

Regulations:

- o Governing Body approval for increase in project TPE

Projects [FINAL]
Sub-Process: Project Set-up – Resource Allocation, Scheduling and Tracking

Map Name: PROJ_SETUP_RES
Map No.: 51C



Process Name: Projects	**Process Identifier:** PROJ_SETUP_RES
Sub-Process Name: Project Setup – Resource Allocation, Scheduling and Tracking	**Map Number: 51C**

Sub-Process Purpose and Objectives:

Sub-Process Description

1. Departments setup and review new projects in FAMIS and BPREP. *Note: Some Departments require that a project be in the CIP or resources will not be available for the project.* **[MAP SHAPE 1]**
2. The project plan for the specific project is developed and resources are assigned to the project. **[MAP SHAPE 2]**
3. The Departments gather data from various Project Management systems as well as financial data from FAMIS. **[Map Shape 3, 4]**
4. The Departments use the data to generate and send periodic project reports to Governing Bodies as required. **[MAP SHAPE 5, 6]**

NOTE: There is no data connection between FAMIS and the various project management systems used by the agencies. Reports are basically created from data that is taken from FAMIS and the various project management systems. Multiple project management system are used, e.g., Wastewater - MS Project, Facilities – MS Access frontend with SQL statements to pull data, Parks - totally manual systems, Housing - DART (data warehouse). FAMIS reports are built from the rollup of index and sub-object codes and some departments track expenditures based on purchase order numbers. Some agencies do monthly status report to management and a quarterly report to the Governing Body. Schools say that there is no report made to the School Board on an interim basis. Information supplied to the Governing Body at a high level and highly sanitized. Governmental Body reporting only becomes a critical problem when the project is behind schedule or nearly out of money.

Triggers:

- ❑ Project is setup in FAMIS and BPREP

Key Process Participants:

- ❑ Department
- ❑ Governing Body

Inputs:

Input	***Format***
New Project	Electronic
Periodic Reports	Excel

Outputs:

Output	***Format***
Resource Allocation Plan	Electronic
Governing Body Reports	Paper

IT Support:

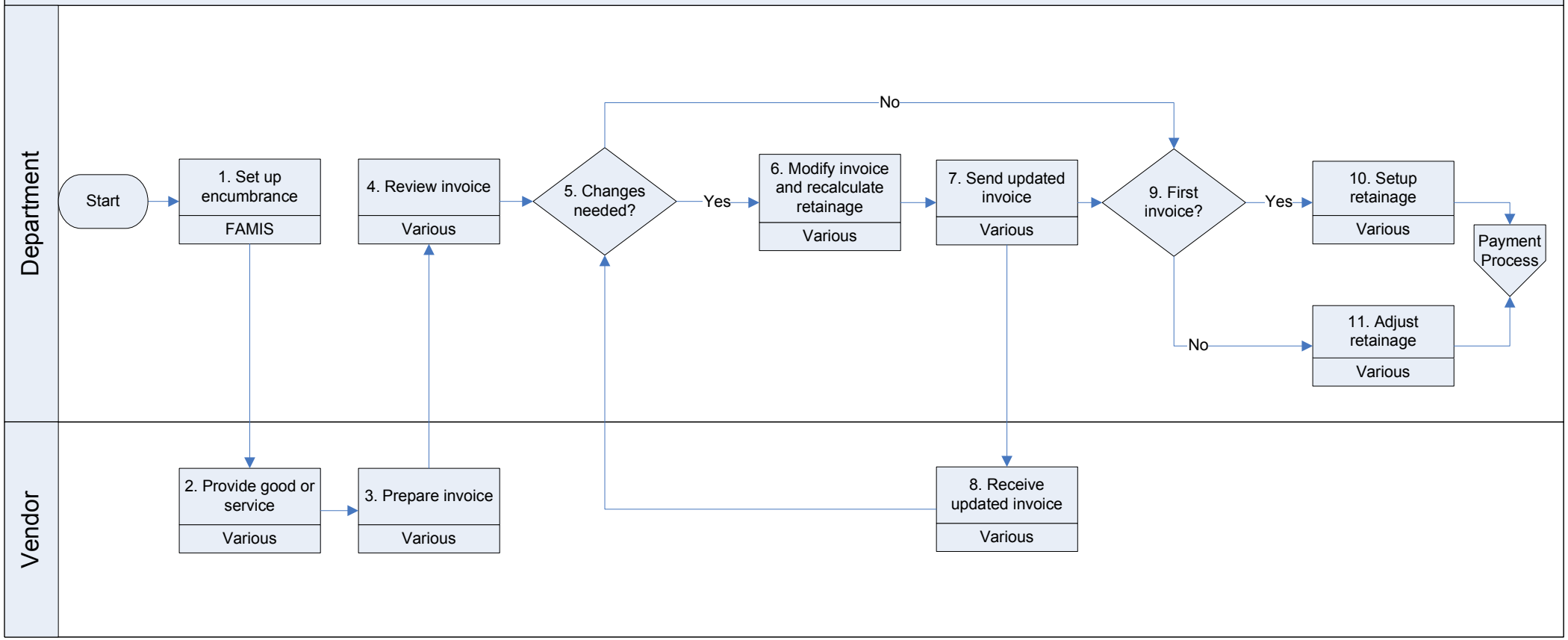
Application/System Name	***Technology Description***
FAMIS	Financial system
BPREP	Budget preparation system
Various Project Management systems	Various

Regulations:

o

Projects [FINAL]
Sub-Process: Accounting/Reporting/Closing – Retainage

Map Name: PROJ_ACCT_RETAIN
Map No.: 52A



Process Name: Projects	**Process Identifier:** PROJ_ACCT_RETAIN
Sub-Process Name: Accounting/Reporting/Closing – Retainage	**Map Number: 52A**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. The Department establishes an encumbrance in the FAMIS system. **[MAP SHAPE 1]**
2. A vendor provides a good/service and sends an invoice to the appropriate department requesting payment. **[MAP SHAPE 2, 3]**
3. The invoice is received and reviewed by the Department. **[MAP SHAPE 4]**
4. If there are no changes to the invoice and this is the first invoice, the retainage account is established. **[MAP SHAPE 5, 9,10]**
5. If there are changes to the invoice, the changes are noted on the invoice and the retainage amount is recalculated. Depending on the nature of the changes, a copy of the revised invoice may be sent back to the vendor, otherwise the invoice is just moved on in the process. **[MAP SHAPE 5, 6, 7, 8]**
6. If this is the first invoice, the retainage account is established. If this is not the first invoice, retainage is adjusted. **[MAP SHAPE 9,10, 11]**
7. The invoice payment process is followed from here.

NOTE: Invoices are reviewed by the engineer in charge of the project who may make modifications to the invoice during this review. The invoice is recalculated reflecting the "redlined" items, and may result in a change the retainage amount. The invoice is returned to the vendor with the "redlined" items noted. A retainage document is setup in the system with the initial payment of an invoice. (In Schools the Finance Department establishes retainage.) The invoice is sent to department accounting which will adjust the retainage withheld amount.

Triggers:

- ❑ Invoice is received from a vendor

Key Process Participants:

- ❑ Department
- ❑ Vendor

Inputs:

Input	*Format*
Invoice received from vendor	Electronic/Paper

Outputs:

Output	*Format*
Invoice ready for payment	Check

IT Support:

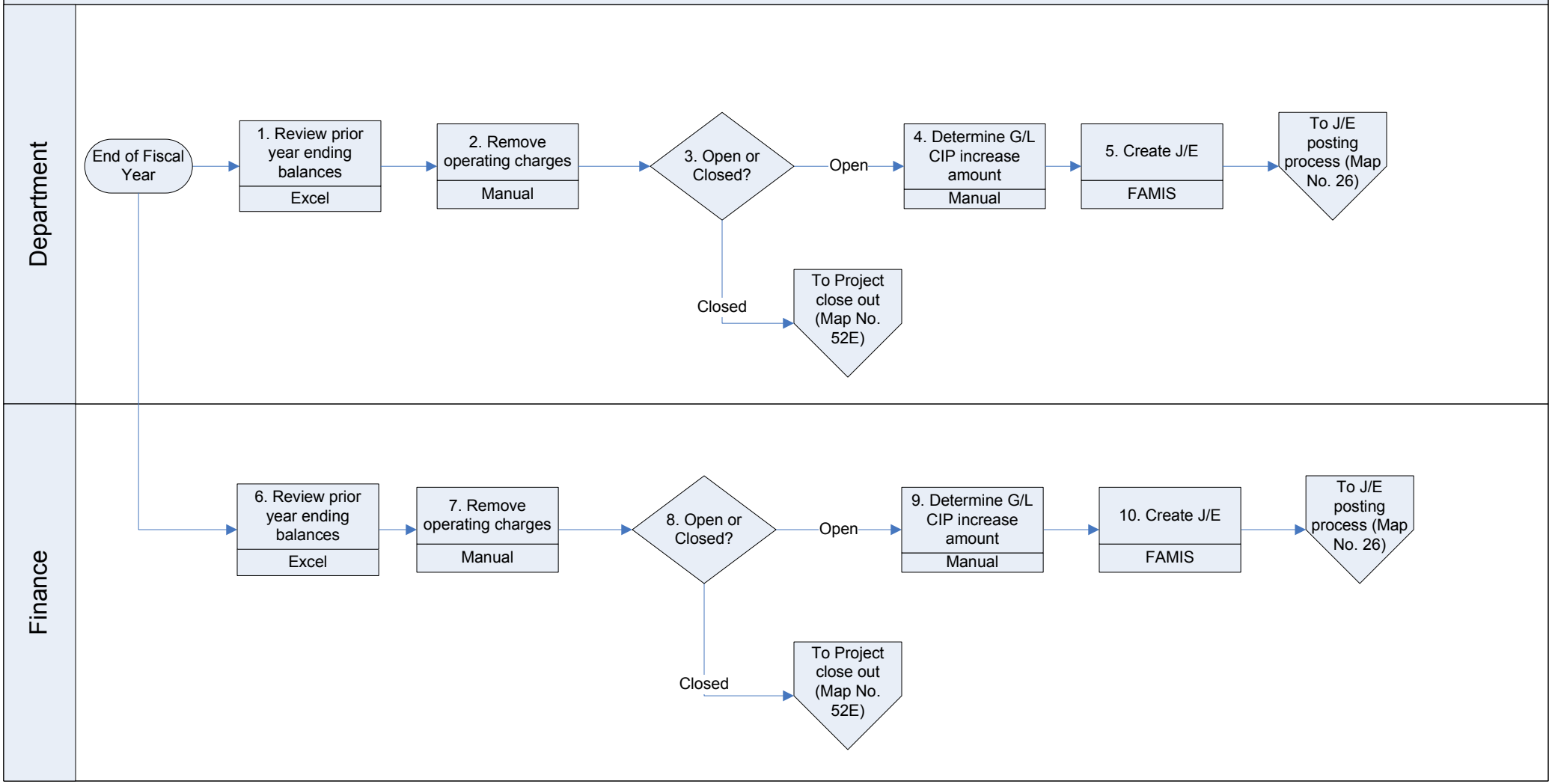
Application/System Name	*Technology Description*
FAMIS	Financial system

Regulations:

o

Projects [FINAL]
Sub-Process: Accounting/Reporting/Closing – General Ledger CIP

Map Name: PROJ_ACCT_CIP
Map No.: 52B



Process Name: Projects	**Process Identifier:** PROJ_ACCT_CIP
Sub-Process Name: Accounting/Reporting/Closing – General Ledger CIP	**Map Number: 52B**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. This process begins with the prior year ending balance for each project, which is kept in Excel, being reviewed by the Departments and Finance. Component units (CAFR producing agencies) keep this information within their organizations. **[MAP SHAPE 1, 6]**
2. Any operating charges that are in the prior year ending balances are removed by the Departments and Finance. **[MAP SHAPE 2, 7]**
3. The spreadsheets are reviewed to determine which projects are open and which are closed and to filter out any operating expenses. Then it is determine if the closed projects are land, building or improvements, maintenance, operating and equipment. **[MAP SHAPE 3, 8]**
4. Some of these closed projects will be capitalized and will proceed to the *Project Close-Out Process*. [PROJ_ACCT_CLOSE]
5. Open projects will be reviewed by the Departments and Finance to determine the amount of increase in the G/L CIP account and become the beginning balances for the next year. **[MAP SHAPE 4, 9]**
6. Journal entries are created to move the CIP increases to the FAMIS G/L. **[MAP SHAPE 5, 10]**
7. From this point the process follows the *JE Posting Process*.

Triggers:

- ❑ End of Fiscal Year
- ❑ Closed project
- ❑ Open projects

Key Process Participants:

- ❑ Finance
- ❑ Department

Inputs:

Input	***Format***
Prior year ending balances	Excel

Outputs:

Output	***Format***
Projects balances for review	Excel

IT Support:

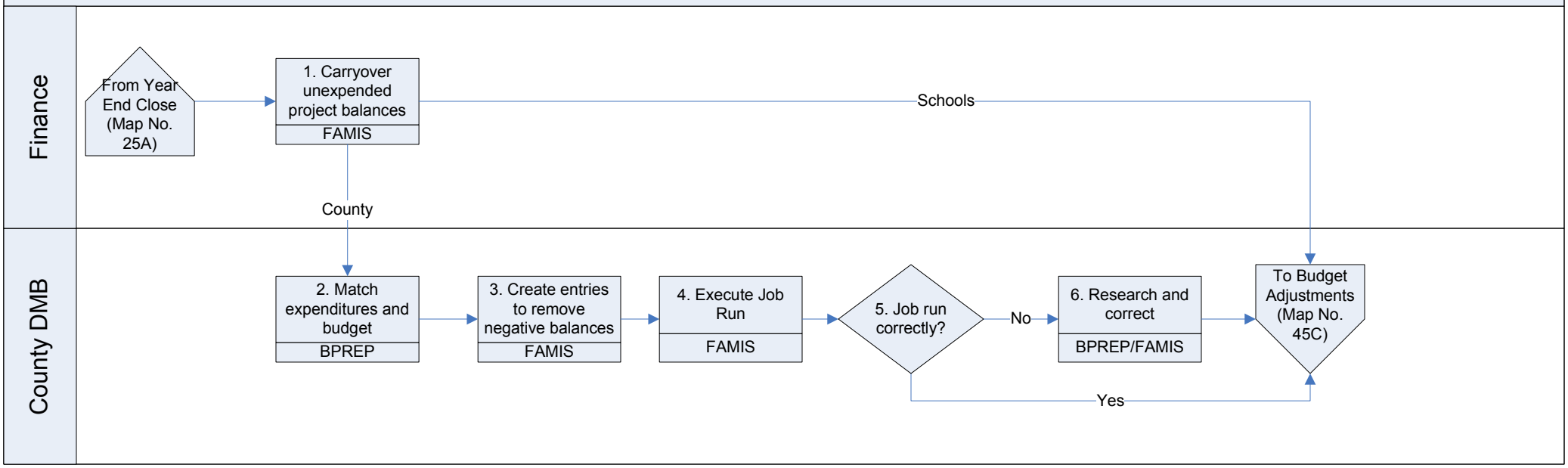
Application/System Name	***Technology Description***
Excel	Spreadsheet
FAMIS	Financial system

Regulations:

o

Projects [FINAL]
Sub-Process: Accounting/Reporting/Closing – Negative Carryover Balances Fix

Map Name: PROJ_ACCT_CARRY
Map No.: 52C



Process Name: Projects	**Process Identifier:** PROJ_ACCT_CARRY
Sub-Process Name: Accounting/Reporting/Closing – Negative Carryover Balances Fix	**Map Number: 52C**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. The project balances are carried over to the following year in FAMIS. In Schools this means that all unexpended project balances follow the previously mapped *Budget Adjustment Process (Map No. 45C)*. **[MAP SHAPE 1]**
2. The County goes through a process of matching project expenditures with budget items to clear out any negative balances. Any unmatched negative balances are matched with available funds from the same project in BPREP. **[MAP SHAPE 2,3]**
3. The carryover fix job is executed. If there are errors they are researched and corrected in FAMIS. Then an upload is created from the ACCESS database and transferred to BPREP to remove the negative budgets. **[MAP SHAPE 4, 5, 6]**
4. If the job has run without errors the process then follows the previously mapped *Budget Process*. **[Map Shape 5]**

NOTE: This process is done for Capital, Housing and Information Technology Funds.

Triggers:

- ❑ Fiscal year end

Key Process Participants:

- ❑ Finance
- ❑ County Budget Department

Inputs:

Input	*Format*
Project Budget Carryovers	Electronic

Outputs:

Output	*Format*
Next Fiscal Year Project Budget	Electronic

IT Support:

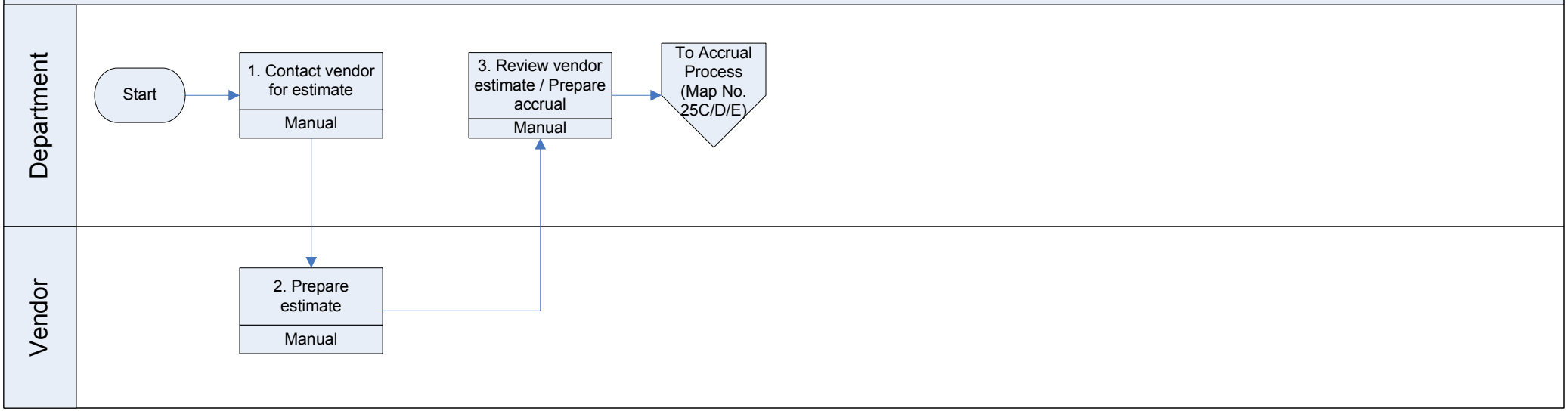
Application/System Name	*Technology Description*
FAMIS	Financial system
BPREP	Budget preparation system
Access	Database
Excel	Spreadsheet

Regulations:

o

Projects [FINAL]
Sub-Process: Accounting/Reporting/Closing – Project Accrual

Map Name: PROJ_ACCT_ACC
Map No.: 52D



Process Name: Projects	**Process Identifier:** PROJ_ACCT_ACC
Sub-Process Name: Accounting/Reporting/Closing – Project Accrual	**Map Number: 52D**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A Department contacts a vendor requesting and estimate of remaining period liability. **[MAP SHAPE 1]**
2. The vendor prepares the estimate and forwards it to the requesting Department. **[MAP SHAPE 2, 3]**
3. The Department reviews the vendor's estimate and prepares the accrual. The complexity in the project accrual is coming up with the appropriate amount to accrue. **[MAP SHAPE 3]**
4. The process now follows the previously mapped accrual process. [PD_OPEN_CLOSE_ACC_AGENCY]

Triggers:

- Period ending project accrual

Key Process Participants:

- Department
- Vendor

Inputs:

Input	*Format*
Vendor estimate	Electronic file

Outputs:

Output	*Format*
Department project accrual	Electronic

IT Support:

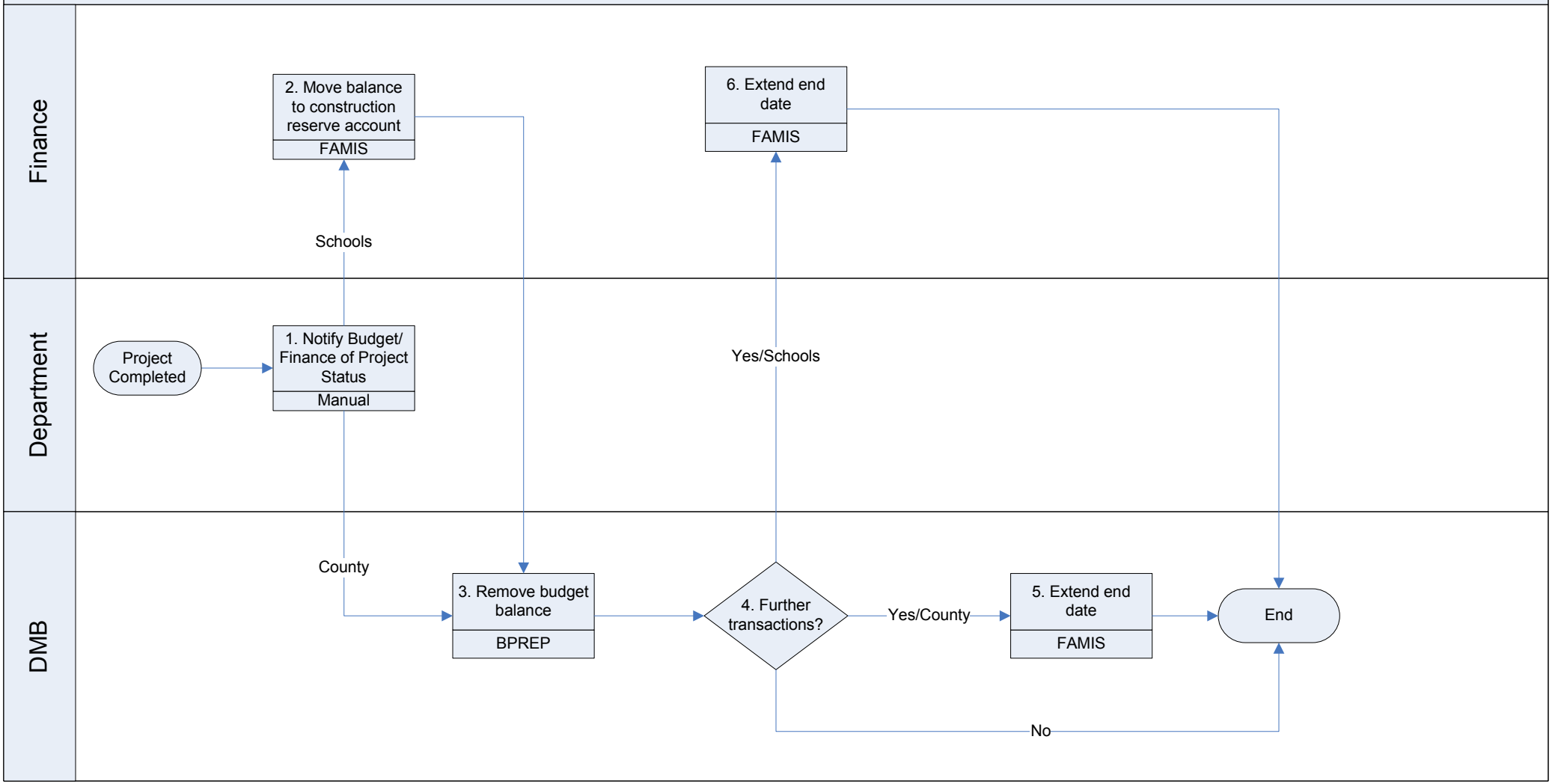
Application/System Name	*Technology Description*
Excel	Spreadsheet

Regulations:

o

Projects [FINAL]
Sub-Process: Accounting/Reporting/Closing – Project Close Out

Map Name: PROJ_ACCT_CLOSE
Map No.: 52E



Process Name: Projects	**Process Identifier:** PROJ_ACCT_CLOSE
Sub-Process Name: Accounting/Reporting/Closing – Project Close Out	**Map Number: 52E**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. A Department sends notification to Budget and Finance that a project has been closed. **[MAP SHAPE 1]**
2. For Schools, after notification of a closed project by a Department, any remaining project balance is moved to the construction reserve account and the project balance is removed from the BPREP system by the Budget Department. The Department will notify Financial Services to close the index/project in FAMIS. **[MAP SHAPE 2, 3]**
3. For the County, after notification of a closed project by a Department, any remaining project balance is removed from the BPREP system by Budget. When Schools Finance or County Budget is notified the project end date is updated. **[MAP SHAPE 3]**
4. For both County and Schools, if additional transactions are received for a closed project, the end date for that project is extended, if applicable a budget is established and the expenditure is recorded to the project. For Schools, project will not be reopened. **[MAP SHAPE 4, 5, 6]**
5. If no additional transaction/expenditure against a closed project is received the process is ended.

NOTE: For Schools, a project is not formally closed. Journal entries are made to move the project from the general ledger CIP account to the fixed asset account. Budget returns any unexpended fund to the appropriate funding source. Projects do have end dates after which expenses cannot be charged. If additional charges are received against a closed project the agency advised Budget that the project needs to be reopened and the end date extended for some period of time. The Schools contact Finance when a project is closed. Positive or negative project balances are moved to the School's construction reserve account.

Triggers:

- ❑ A project is closed
- ❑ A project is completed and no further expenditures are anticipated

Key Process Participants:

- ❑ Finance Department
- ❑ Department
- ❑ Budget Department

Inputs:

Input	***Format***
Department notification of closed project	Excel

Outputs:

Output	***Format***
N/A	

IT Support:

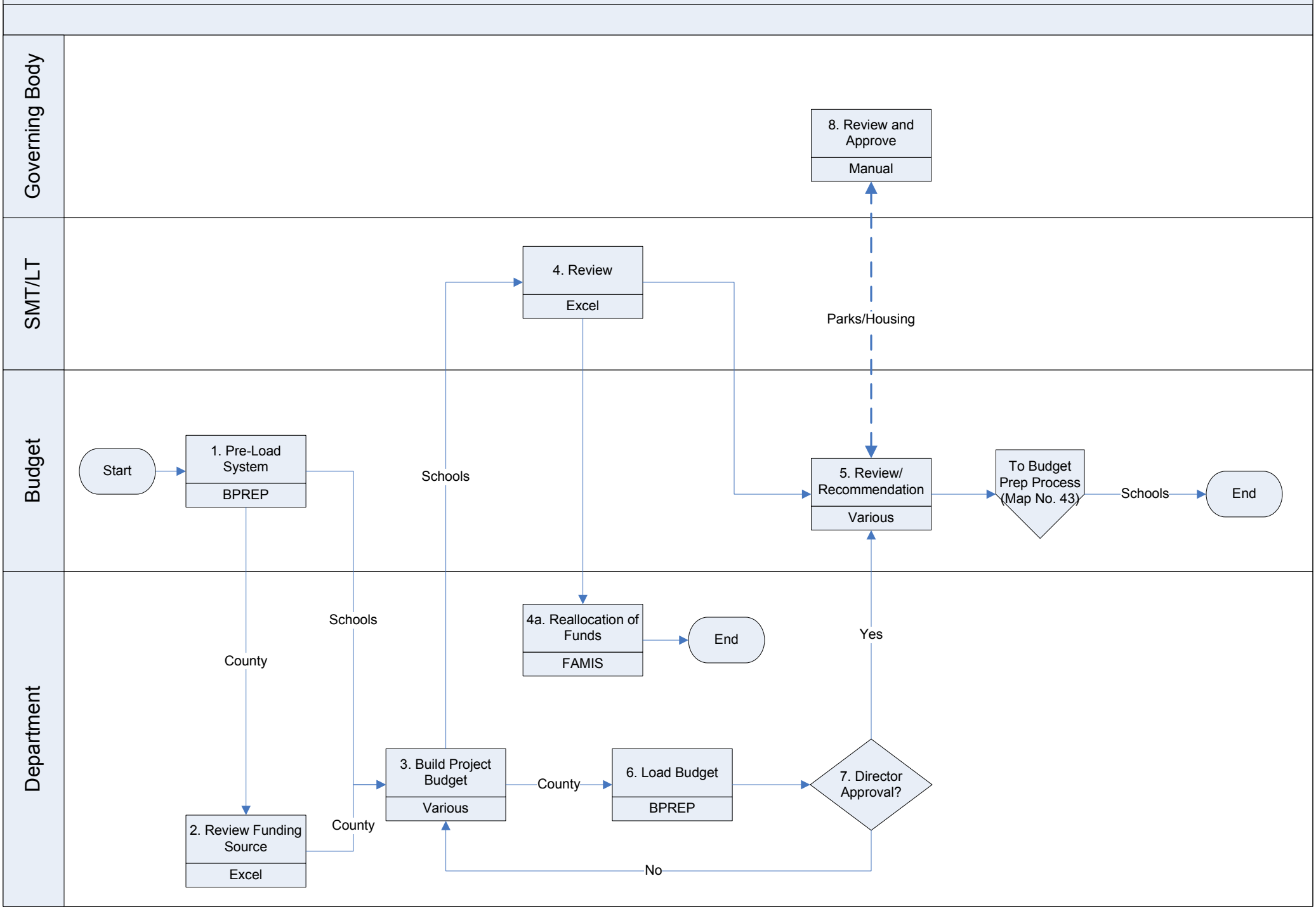
Application/System Name	***Technology Description***
FAMIS	Financial system
BPREP	Budget preparation system
Excel	Spreadsheet

Regulations:

o

Projects [FINAL]
Sub-Process: Accounting/Reporting/Closing – Project Budget

Map Name: PROJ_ACCT_BUDGET
Map No.: 52F



Process Name: Projects	**Process Identifier:** PROJ_ACCT_BUDGET
Sub-Process Name: Accounting/Reporting/Closing – Project Budget	**Map Number: 52F**

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Budget forecast is loaded into BPREP. **[MAP SHAPE 1]**
2. For County, all funding sources for various projects are reviewed by the Departments. If a project funding source is a bond, the project must be matched with the specific bond. **[MAP SHAPE 2]**
3. Project budgets are then built by the Department. **[MAP SHAPE 3]**
4. In the Schools the project budget is forwarded to the Senior Leadership Team for review. After Senior Leadership Team Review, departments will reallocate funds and sent to the Budget for processing and posting. **[MAP SHAPE 4, 4a, 5]**
5. In the County the project budget is loaded into the BPREP system and then reviewed and approved at the Department Director level. If the project budget is not approved by the Director, it is returned to the Department for revisions to the budget. If the project budget is approved it is sent to Budget for review and recommendations. **[MAP SHAPE 3, 5 6, 7]**
6. In Parks and Housing, after the Budget Department makes recommendations, the Authority Governing Bodies must review and approval the project budget. **[MAP SHAPE 5, 8]**
7. All project budgets which have been reviewed by the Budget Department and have received budget approval proceed to the *Budget Prep and TPE Process*.

NOTE: Some agencies are also required to receive project budget approval from the Federal Agency funding the project.

Triggers:

- ❑ Project budget to be established

Key Process Participants:

- ❑ Governing Body – this is includes the various Authority Boards.
- ❑ Departments
- ❑ Budget Department
- ❑ Senior Leadership Teams

Inputs:

Input	***Format***
Budget load	Electronic

Outputs:

Output	***Format***
Project budget	Spreadsheet

IT Support:

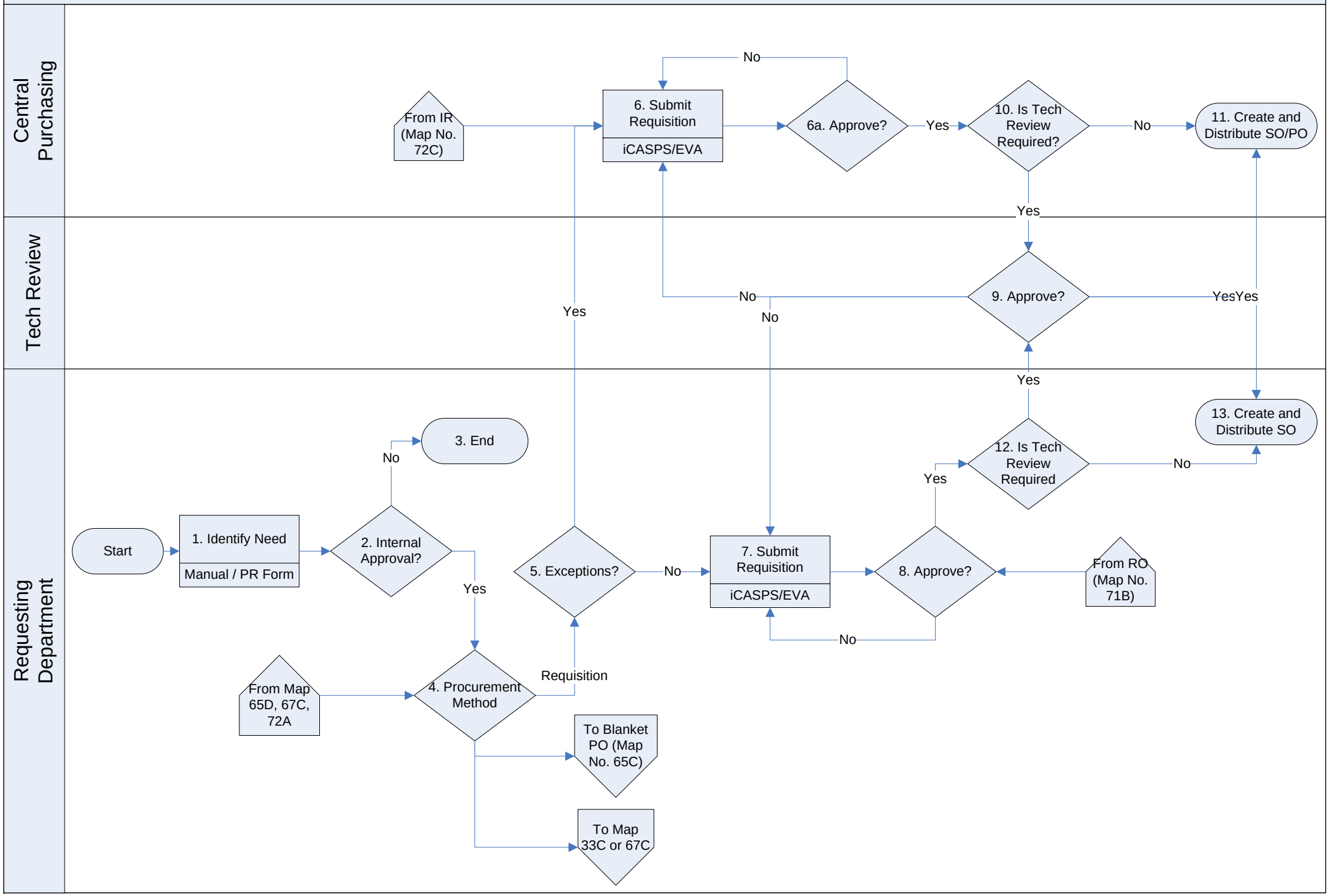
Application/System Name	***Technology Description***
BPREP	Budget preparation system
Excel	Spreadsheet
Various	Various department software

Regulations:

- o Approved Annual Budget
- o Authority Board Approval

Purchasing [FINAL]
Sub-Process: Requisition – 5K Or Less

Map Name: PUR_REQ_5K_OR_LESS
Map No.: 64A



Process Name: Purchasing	**Map Name:** PUR_REQ_5K_OR_LESS
Sub-Process Name: Requisition – 5K Or Less	**Map Number:** 64A

Sub-Process Purpose and Objectives: Create and approve requisitions that are $5,000 and less

Sub-Process Description:

1. The Requesting Department identifies the need, define the specifications, conduct research, check prices, conducts preliminary determination of available funding, etc. (*Each agency has their own variation to this process that more or less includes these activities*). **[MAP SHAPE 1]**
2. The request is approved by an authorized approver within the office or agency. If the request is rejected, then the process ends. The rejected request could also be modified to respond to rejection comments and resubmitted for approval. **[MAP SHAPE 2, 3]**

2a. As a part of the informal approval, the purchasing method is selected. At this dollar level the choices are: iCASPS-PR, iCASPS-BP, eVA, P-Card, or Petty Cash. **[MAP SHAPE 4]**

3. If the purchase requisition process was selected and there is an exception, Central Purchasing (CP) enters a formal Purchase Requisition (PR) into CASPS/EVA. If the PR is rejected, it is routed back to the Initiator to resolve and resubmit. (*In general, exceptions include School material requests submitted by individual schools or when a County departments Initiator is not available)*. **[MAP SHAPE 5, 6, 6a]**
4. If the purchase requisition process is selected with no exception, the Initiator enters a formal Purchase Requisition (PR) into iCASPS/eVA. In this case, the PR may be subject to another internal approval by a department approver depending on the purchasing authority of the initiator. This approval point includes an automatic budget check by CASPS against FAMIS (a CASPS error message will be received if funds are not available). There is no automatic budget check in eVA. If the PR is rejected, it is routed back to the Initiator to resolve and resubmit. **[MAP SHAPE 7, 8]**
5. Once the requisition is submitted and approved, a Technical Review may be required if the requisition includes items that are subject to technical standards or specifications (e. g., computer hardware or software). Review is based upon the Fairfax County Identification Number FCIN) assigned to the requisition. **[MAP SHAPE 6, 6a, 10, 7, 8, 12]**
6. If the PR is not subject to Technical review, upon final approval of the requisition by the Requesting Department or Central Purchasing a Small Purchase Order (SO) will be automatically created by the system. The respective stakeholder (Requesting Department or Central Purchasing) is responsible for the distribution of the SO document. In some cases at this point, Schools Central Purchasing creates POs with a value less than $10,000 instead of SOs. These POs are printed and distributed by DPSM Central Purchasing along with all other POs. **[MAP SHAPE 10, 11, 12, 13]**
7. If the PR is subject to Technical Review, then the PR is routed to the respective Technical Review department (e.g., DIT) to review and approve. **[MAP SHAPE 9]**
8. If the PR is rejected under Technical Review, it is routed back to either CP or the Initiator (wherever it originated from) to resolve and resubmit. **[MAP SHAPE 9,6,7]**
9. If the PR is approved under the Technical Review, a Small Purchase Order (SO) will be automatically created by the system. The respective stake holder (Requisitioning Department or Central Purchasing) is responsible for distribution of the SO document. In some cases at this point, Schools Central Purchasing creates and distributes POs instead of SOs. **[MAP SHAPE 9, 11, 13]**
10. Once created, iCASPS encumbers the SO in FAMIS and the SO may be printed on a local laser printer and mailed, faxed, or hand delivered to the vendor. OR the SO may be centrally printed and mailed or faxed via RightFax directly from iCASPS if the vendor requested this service. **[MAP SHAPE 11, 13]**

Triggers:	**Key Process Participants:**
❑ Requesting Department identifies need	❑ Central Purchasing ❑ Tech Review ❑ Requesting Department/Initiator
Inputs:	**Outputs:**

Input	***Format***
Requisition	Various

Output	***Format***
Small Purchase Order	Various

IT Support:

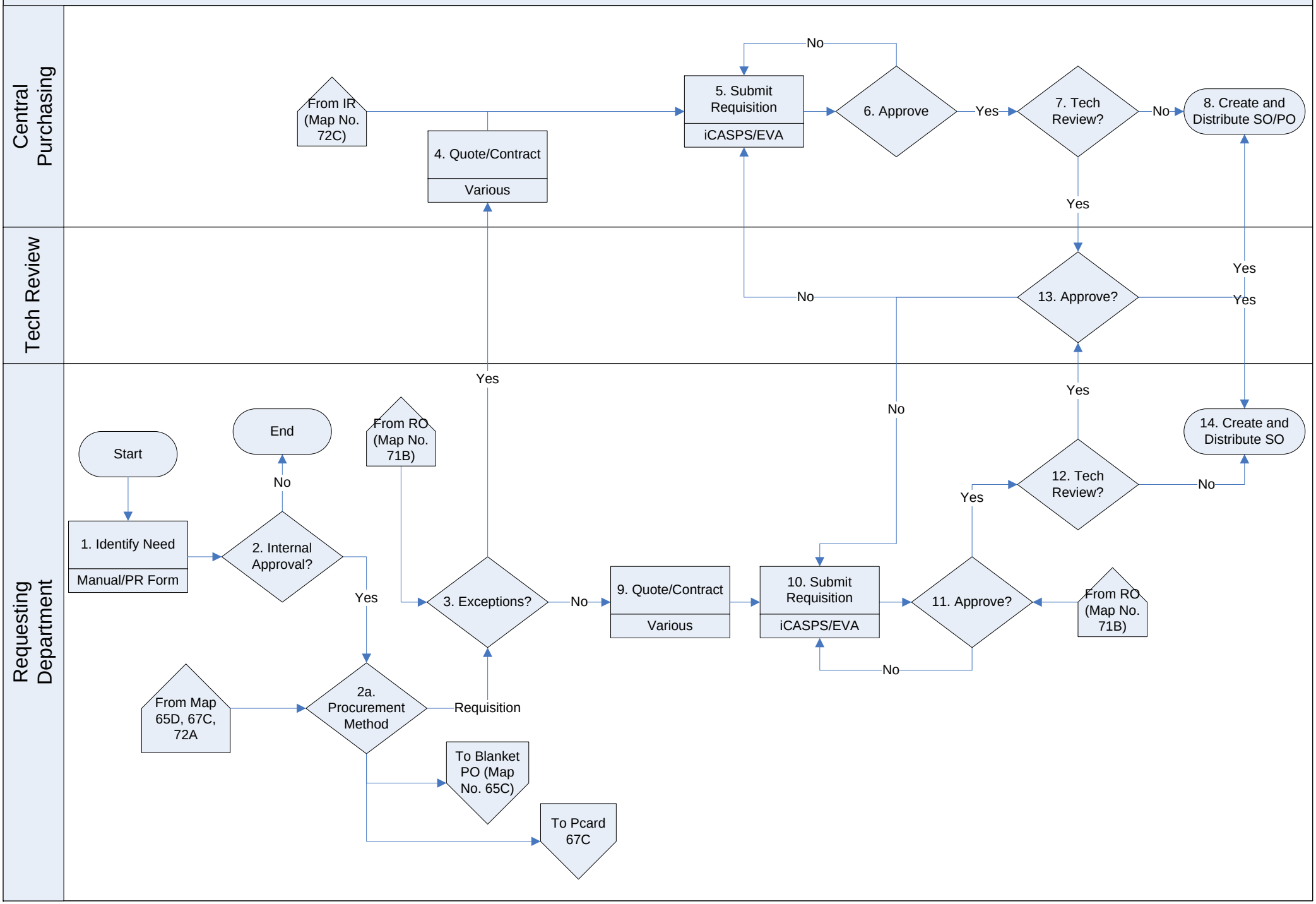
Application/System Name	***Technology Description***
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
InfoWeb	County and Schools intranet portal, which includes a contract register
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:

- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Requisition – 5-10K

Map Name: PUR_REQ_5_10K
Map No.: 64B



Process Name: Purchasing	**Map Name:** PUR_REQ_5_10K
Sub-Process Name: Requisition – 5-10K	**Map Number:** 64B

Sub-Process Purpose and Objectives: Create and approve requisitions that are between $5,001 and $10,000

Sub-Process Description:

1. The Requesting Department identifies the need, define the specifications, conduct research, check prices, conducts preliminary determination of available funding, etc. (*Each agency has their own variation to this process that more or less includes these activities*). **[MAP SHAPE 1]**
2. The request is submitted to an authorized approver within the office or agency. If the request is rejected, the process ends. The rejected request could also be modified to respond to rejection comments and resubmitted for approval. **[MAP SHAPE 2]**

2a. As a part of the informal approval, the purchasing method is selected. At this dollar level the choices are: iCASPS-PR, iCASPS-BP, eVA, or P-Card. **[MAP SHAPE 2a]**

3. If the purchase requisition process was selected and there is an exception, Central Purchasing checks existing contracts. If none exist, three (3) legitimate vendor quotes must be sought. (the eVA quick Quote system is the preferred method for seeking quotes.) Then a formal Purchase Requisition (PR) is entered into iCASPS/eVA. This approval point includes an automatic budget check by iCASPS against FAMIS (an iCASPS error message will be received if funds are not available). There is no automatic budget check in eVA. If the PR is rejected, it is routed back to the Initiator to resolve and resubmit. (In general, exceptions include School material request submitted by individual schools or when a County department Initiator is not available.) **[MAP SHAPE 3, 4, 5, 6]**
4. If the purchase requisition process is selected with no exceptions, the Initiator enters a formal Purchase Requisition (PR) into iCASPS/eVA. In this case, the PR may be subject to another internal approval by a department approver depending on the purchasing authority of the initiator. This approval point includes an automatic budget check by CASPS against FAMIS. (A CASPS error message will be received if funds are not available). There is no automatic budget check in eVA. If the PR is rejected, it is routed back to the Initiator to resolve and resubmit. **[MAP SHAPE 10, 11]**

4a. For Schools, the requisition is usually created first before the contract/informal solicitation is created. **[MAP SHAPE 4, 5, 9, 10]**

5. Once the requisition is submitted and approved, a Technical Review may be required if the requisition includes items that are subject to technical standards or specifications (e.g., computer hardware or software). Review is based upon the Fairfax County Identification Number (FCIN) assigned to the requisition. **[MAP SHAPE 6, 7, 11, 12]**
6. If the PR is not subject to Technical review, upon final approval of the requisition by the Requesting Department or Central Purchasing a Small Purchase Order (SO) will be automatically created by the system. The respective stakeholder (Requesting Department or Central Purchasing) is responsible for the distribution of the SO document. In some cases at this point, Schools Central Purchasing creates POs with a value less than $10,000 instead of SOs. These POs are printed and distributed by DPSM Central Purchasing along with all other POs. **[MAP SHAPE 7, 8, 12, 14]**
7. If the PR is subject to Technical Review, then the PR is routed to the respective Technical Review department (e.g., DIT) to review and approve. **[MAP SHAPE 13]**
8. If the PR is rejected under Technical Review, it is routed back to either CP or the Initiator (wherever it originated from) to resolve and resubmit. **[MAP SHAPE 13, 5, 10]**
9. If the PR is approved under the Technical Review, a Small Purchase Order (SO) will be automatically created by the system. The respective stake holder (Requisitioning Department or Central Purchasing) is responsible for distribution of the SO document. In some cases at this point, Schools Central Purchasing creates and distributes POs instead of SOs **[MAP SHAPE 13, 8, 14]**
10. Once created, iCASPS encumbers the SO in FAMIS and the SO may be printed on a local laser printer and mailed, faxed, or hand delivered to the vendor. Or the SO may be centrally printed and mailed or faxed via RightFax directly from iCASPS if the vendor requested this service. **[MAP SHAPE 8, 14]**

[Exception] Under the Central Purchasing Buyer process, Schools purchase requisitions that are $10,000 and under with no vendor are processed through a Schools buyer queue and converted into a Purchase Order rather than a Small Purchase Order.
Note: Inventory orders are subject to the same process.

Triggers:
- Requesting Department identifies need

Key Process Participants:
- Central Purchasing
- Tech Review
  - Budget Department
- Requesting Department/Initiator

Inputs:

Input	***Format***
Requisition	Various

Outputs:

Output	***Format***
Small Purchase Order	Various

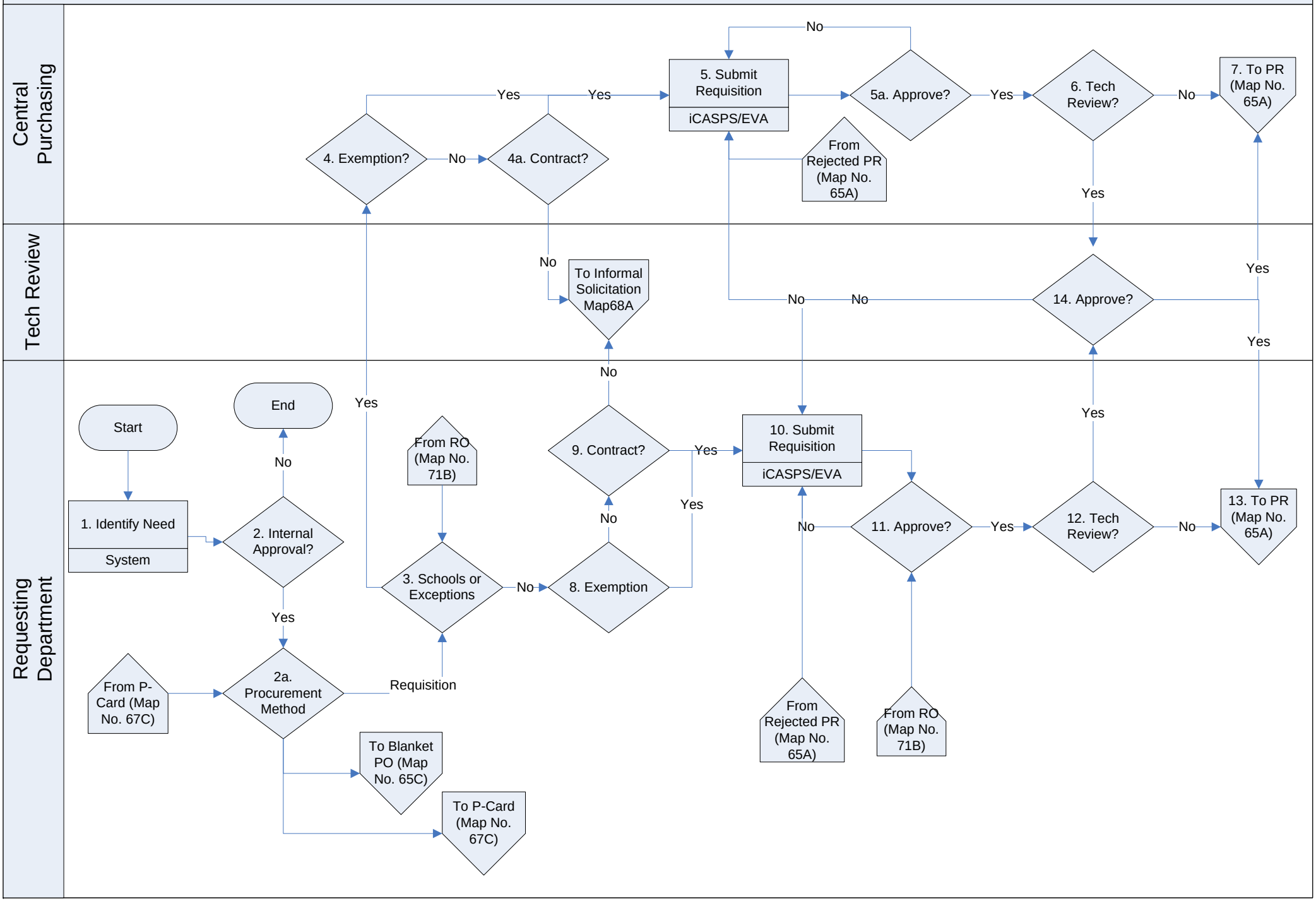
IT Support:

Application/System Name	***Technology Description***
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
InfoWeb	County and Schools intranet portal, which includes a contract register
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:
- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Requisition – 10-50K/10-30K

Map Name: PUR_REQ_10_50K
Map No.: 64C



Process Name: Purchasing	**Map Name:** PUR_REQ_10_50K
Sub-Process Name: Requisition – 10-50K/10-30K	**Map Number:** 64C

Sub-Process Purpose and Objectives: Create and approve requisitions that are between $10,001 and $50,000; $10,001 and $30,000 for professional services

Sub-Process Description

1. The Requesting Department identifies the need, which includes the following: defining the specifications, checking prices, making a preliminary determination of available funding, and other research. Each agency has their own variation to this process that more or less includes these activities. **[MAP SHAPE 1]**
2. The requisition is submitted to an authorized approver within the office or agency. If the requisition is rejected, the process ends. The rejected request could also be modified to respond to rejection comments and resubmitted for approval. **[MAP SHAPE 2]**

2a. As a part of the informal approval, the purchasing method is selected. At this dollar level the choices are: iCASPS-PR, iCASPS-BP, eVA, or P-Card. **[MAP SHAPE 2a]**

3. If the purchase requisition process was selected and there is an exception, Central Purchasing checks existing contracts. If none exist, four (4) legitimate vendor quotes must be sought or an informal solicitation must be issued. (The eVA quick Quote system is the preferred method for seeking quotes.) Then a formal Purchase Requisition (PR) is entered into iCASPS/eVA. This approval point includes an automatic budget check by iCASPS against FAMIS (an iCASPS error message will be received if funds are not available). There is no automatic budget check in eVA. (In general, exceptions include School material requests submitted by individual schools or when a County department Initiator is not available.) **[MAP SHAPE 3, 4, 4a, 5, 5a]**
   - *A separate sub-process is required for Informal Solicitation, Map 68A.*
4. If the requisition is approved with no exception, then the requisition is reviewed for an exemption (legal and actuarial services are exempt). **[MAP SHAPE 8]**

4a. For Schools, the requisition is usually created first before the contract/informal solicitation is created. **[MAP SHAPE 4, 5, 9, 10]**

5. If there is not an exemption, the Initiator conducts a review of existing contracts. If none exist, four (4) legitimate vendor quotes must be sought or an informal solicitation must be issued. (The eVA quick Quote system is the preferred method for seeking quotes.) Then a formal Purchase Requisition (PR) is entered into iCASPS/eVA. This approval point includes an automatic budget check by iCASPS against FAMIS (an iCASPS error message will be received if funds are not available). There is no automatic budget check in eVA. (In general, exceptions include School material requests submitted by individual schools or when a County department Initiator is not available.) **[MAP SHAPE 8, 9, 10, 11, 4, 4a, 5, 5a]**
   - *If a contract does not exist, the Initiator has the capability to conduct quick quotes and submit a no vendor requisition to DPSM, or they have the option to conduct their own informal quotes.*
6. Once the requisition is submitted and approved, a Technical Review may be required if the requisition includes items that are subject to technical standards or specifications (e.g. computer hardware or software). Review is based upon the Fairfax County Identification Number (FCIN) assigned to the requisition. **[MAP SHAPE 5a, 6, 11, 12]**
7. If the PR is not subject to Technical Review, iCASPS routes the requisition to a buyer queue for conversion to a PO. See Purchasing Process Map 65A. **[MAP SHAPE 6, 7, 12, 13]**
8. If the PR is subject to Technical Review, then the PR is routed to the respective Technical Review department (e.g., DIT) to review and approve. **[MAP SHAPE 14]**
9. If the PR is rejected under Technical Review, it is routed back to either CP or the Initiator (wherever it originated from) to resolve and resubmit. **[MAP SHAPE 14, 5, 10]**
10. If the PR is approved under Technical Review, iCASPS routes the requisition to a buyer queue for conversion to a PO. See Purchasing Process Map 65A. **[MAP SHAPE 6, 12, 14, 7, 13]**

Triggers:
- Requesting Department identifies need

Key Process Participants:
- Central Purchasing
- Tech Review
  - Budget Department
- Requesting Department/Initiator

Inputs:

Input	*Format*
Requisition	Various

Outputs:

Output	*Format*
Purchase Order	Various

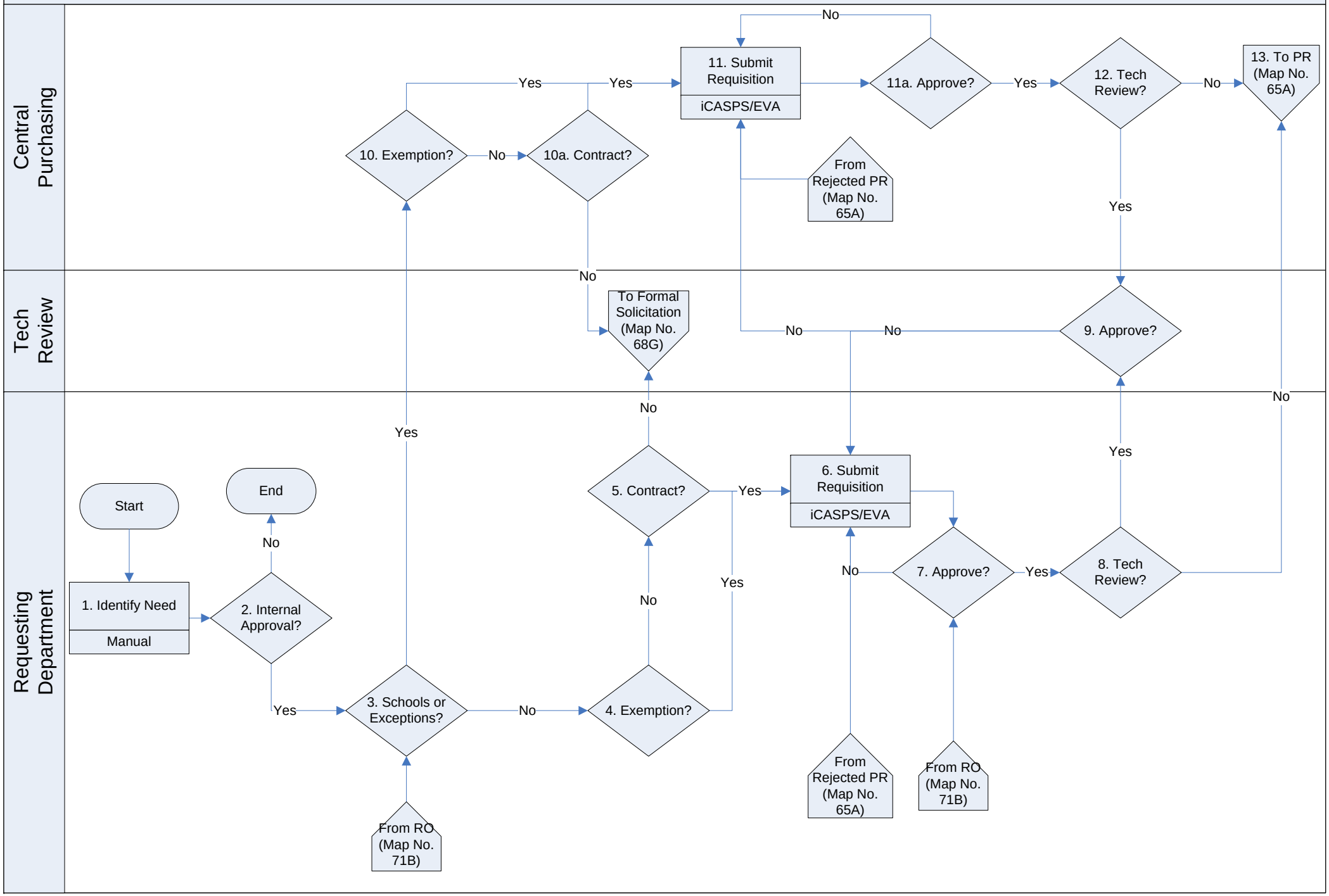
IT Support:

Application/System Name	*Technology Description*
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
InfoWeb	County and Schools intranet portal, which includes a contract register
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:
- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Requisition – Over 50K/30K

Map Name: PUR_REQ_50K+
Map No.: 64D



Process Name: Purchasing	**Map Name:** PUR_REQ_50K+
Sub-Process Name: Requisition – Over 50K/30K	**Map Number:** 64D

Sub-Process Purpose and Objectives: Create and approve requisitions that are greater than $50,000; $30,000 for professional services

Sub-Process Description:

1. The Requesting Department identifies the need, which includes the following: defining the specifications, checking prices, making a preliminary determination of available funding, and other research. Each agency has their own variation to this process that more or less includes these activities. **[MAP SHAPE 1]**
2. The requisition is submitted to an authorized approver within the office or agency. If the request is rejected, then the process ends. The rejected request could also be modified to respond to rejection comments and resubmitted for approval. **[MAP SHAPE 2]**
3. If the requisition is approved and there is an exception or it is a Schools request, Central Purchasing checks existing contracts. If none exist, they conduct the Formal Solicitation (IFB or RFP) process. Then a formal Purchase Requisition (PR) is entered into iCASPS/eVA (In general, exceptions include School material requests submitted by individual schools or when a County department Initiator is not available.) **[MAP SHAPE 2, 3, 10, 10a, 11]**
4. If the requisition is approved with no exception, the request is reviewed for an exemption (legal and actuarial services are exempt). **[MAP SHAPE 4, 10]**
5. If there is no exemption, the Initiator conducts a review of existing contracts. If none exist, a formal Contract Process must be conducted (Contract Process). If the request is exempt, then a Purchase Requisition (PR) is entered into iCASPS/EVA. This approval point also includes an automatic budget check against FAMIS (an iCASPS error message will be received if funds are not available). There is no automatic budget check in eVA. If the PR is rejected, it is routed back to the Initiator to resolve and resubmit. **[MAP SHAPE 4, 5, 6, 7, 10, 10a, 11, 11a]**
6. Once the requisition is submitted and approved, a Technical Review may be required if the requisition includes items that are subject to technical standards or specifications (e.g., IT hardware and software). Review is based upon the Fairfax County Identification Number (FCIN) assigned to the requisition. **[MAP SHAPE 7, 8, 11a, 12]**
7. If the PR is not subject to Technical Review, iCASPS routes the requisition to a Central Purchasing buyer queue for conversion to a PO. See Purchasing Process Map 65A **[Map Shape 8, 12, 13]**
8. If the PR is subject to Technical Review, then the PR is routed to the respective Technical Review department (e.g., DIT) to review and approve. **[MAP SHAPE 8, 12, 9]**
9. If the PR is rejected under Technical Review, it is routed back to either CP or the Initiator (wherever it originated from) to resolve and resubmit. **[MAP SHAPE 9,6,11]**
10. If the PR is approved under Technical Review, iCASPS routes the requisition to a Central Purchasing buyer queue for conversion to a PO. See Purchasing Process Map 65A. **[MAP SHAPE 9, 13]**

[Exception] There is an exception to this process for vehicles, which require a requisition before a review of existing contracts is performed.

Triggers:

- Requesting Department identifies need

Key Process Participants:

- Central Purchasing
- Tech Review
  - Budget Department
- Requesting Department/Initiator

Inputs:

Input	*Format*
Requisition	Various

Outputs:

Output	*Format*
Purchase Order	Various

IT Support:

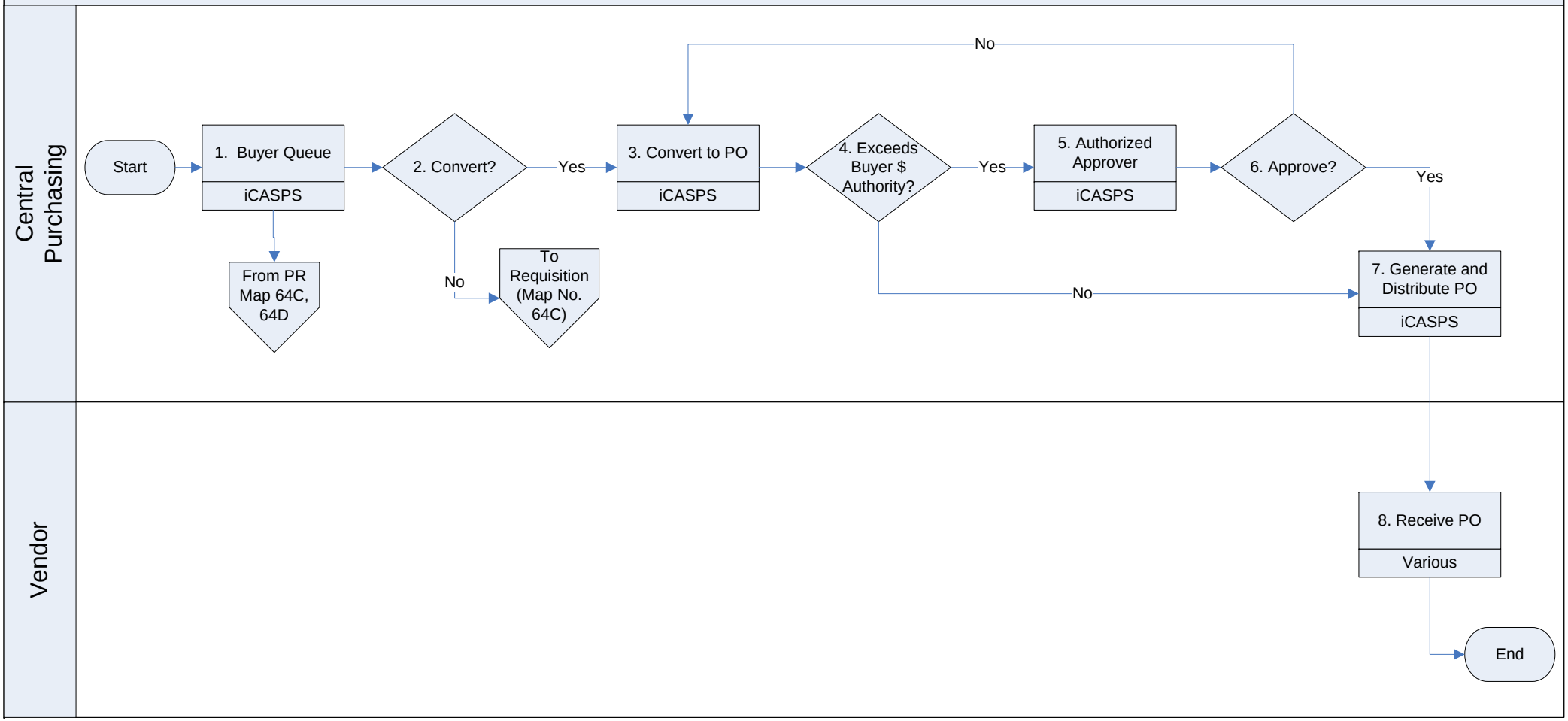
Application/System Name	***Technology Description***
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
InfoWeb	County and Schools intranet portal, which includes a contract register
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:

- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Purchase Order – Over 10K

Map Name: PUR_PO_10K+
Map No.: 65A



Process Name: Purchasing	**Map Name:** PUR_PO_10K+
Sub-Process Name: Purchase Order – Over 10K	**Map Number:** 65A

Sub-Process Purpose and Objectives: Create and distribute the PO

Sub-Process Description:

1. Central Purchasing (Buyer) receives and reviews the Purchase Requisition (PR) into their approval queue **[MAP SHAPE 1]**
2. The Buyer evaluates whether a PR should be converted and whether the information is correct (e.g., contract number, price). Buyer can add notes to the PR. Buyer can also transfer the PR to a different buyer if it was routed to the wrong queue or to accommodate work load or staff absences, etc. To be converted to a PO, PRs must reference either a contract number or an eVA Quick Quote number. Sole source or emergency purchases must be documented with a "Determination and Findings" to support the PO. **[MAP SHAPE 2]**
3. If the PR is not converted, it is rejected and an email notification explaining the rejection is sent to the Initiator. The Initiator must access the PR and either cancel it or modify and resubmit it. **[To Requisition Process Map No. 64C]**
4. If the PR is approved, it is converted to a Purchase Order (PO) in CASPS. **[MAP SHAPE 2,3]**
5. Once the PO is converted, if the amount exceeds the Buyer's dollar authority, it is routed to a supervisor for approval. If the Buyer Supervisor's authority is also exceeded, the PO will route to the Buyer Supervisor's Supervisor for final approval. **[MAP SHAPE 4, 5, 6]**
6. If the PO is rejected by the supervisor, the PO is routed back to the Buyer that initially converted the PR to a PO **[MAP SHAPE 6, 3]**
7. Once the PO has received its final approval, iCASPS encumbers the PO in FAMIS and the PO is generated in iCASPS. **[MAP SHAPE 7]**
8. Once it is generated, Central Purchasing distributes the PO using one of several options: Batch FAX which automatically faxes the PO to the vendor, Batch Print or on-line print. Printed POs are delivered to the vendor via several means: postal mail, imaging and email, fax, hand delivery, etc. Some departments choose to screen print the authorized PO and forward it to the department receiver to facilitate the receiving process. **[MAP SHAPE 8]**
9. eVA POs are routed to CP Buyers for review and approval much like the iCASPS POs. Approved eVA POs are distributed by email or fax, by the eVA system. **[MAP SHAPE 3, 4, 5, 6]**

Triggers:

- ❑ Purchase Requisition
- ❑ Replenishment Order

Key Process Participants:

- ❑ Central Purchasing
  - Buyer
  - Supervisor
- ❑ Requesting Department

Inputs:

Input	*Format*
Purchase Requisition	Electronic

Outputs:

Output	*Format*
Purchase Order	Various

IT Support:

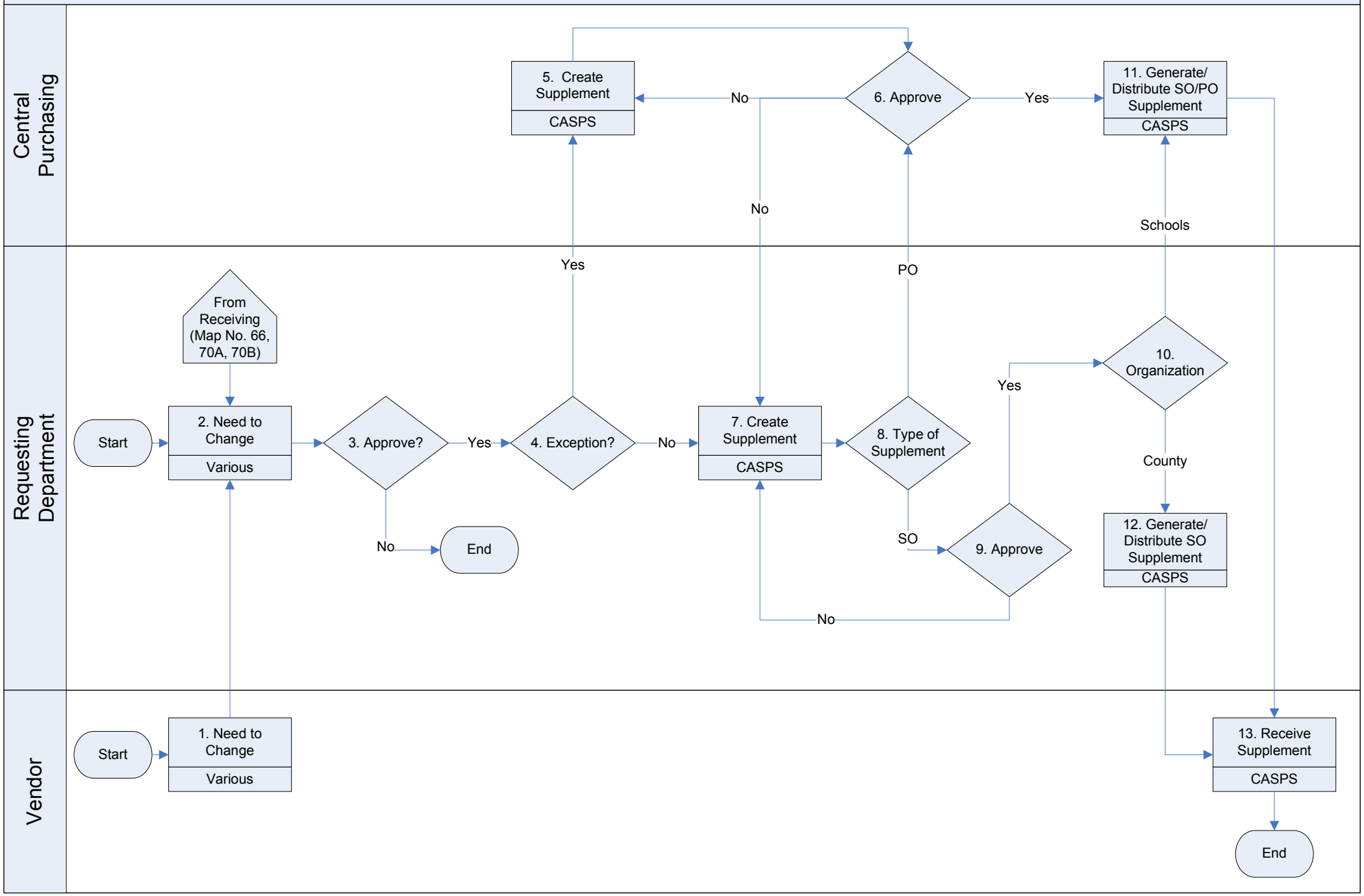
Application/System Name	*Technology Description*
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:

- o Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Purchase Order – Supplement

Map Name: PUR_PO_SUPP
Map No.: 65B



Process Name: Purchasing	**Map Name:** PUR_PO_SUPP
Sub-Process Name: Purchase Order – Supplement	**Map No.**: 65B

Sub-Process Purpose and Objectives: Request and approve SO and PO supplements

Sub-Process Description:

1. Vendor or the Requesting Department (RD) identifies need for a change to a SO or PO and requests a Supplement. **[MAP SHAPE 1, 2]**
2. The RD approves or rejects the request for a change. If rejected, the SO/PO remains the same. Alternatively the request for change may be modified and resubmitted. **[MAP SHAPE 3]**
3. If the request is approved and there is no exception, the RD creates a supplement in iCASPS. **[MAP SHAPE 4, 7]**
4. If the request is approved and there is an exception, Central Purchasing (CP) creates a supplement in iCASPS. **[MAP SHAPE 4, 5]**
5. If a Supplement is created by the RD, it is subject to approval depending on whether it is a SO or PO supplement. All PO Supplements route to CP for approval. SO Supplements are approved by the RD. **[MAP SHAPE 7, 8, 6, 9]**
6. If any Supplement (SO or PO) is rejected, it is routed back to the Initiator in RD or the initiating Buyer in CP to resolve and resubmit. **[MAP SHAPE 5, 6, 7, 9]**
7. If a SO supplement is approved and originates from the County, the RD generates and distributes the SO supplement to the vendor. **[MAP SHAPE 9, 10, 12, 13]**
8. If a SO supplement is approved and originates from Schools, CP generates and distributes the SO supplement to the vendor. **[MAP SHAPE 6, 9, 10, 11, 13]**
9. All Supplements (SO and PO) created by CP are approved by CP and all Supplements approved by CP are generated and distributed by CP. **[MAP SHAPE 5, 6, 11]**
10. When a Supplement receives its final approval, iCASPS modifies the SO/PO encumbrance in FAMIS. **[MAP SHAPE 6, 9]**
11. Once generated, SO and PO Supplements are distributed using one of several options: Batch FAX which automatically faxes the Supplement to the vendor, Batch Print or On-line Print. Printed Supplements are delivered to the vendor via several means: postal mail, imaging and email, fax, hand delivery, etc. Some departments choose to screen print the authorized Supplement and forward it to the department receiver to facilitate the receiving process. **[MAP SHAPE 8]**

Triggers:

- ❑ Need for supplement is identified

Key Process Participants:

- ❑ Requesting Department
  - Initiator
- ❑ Central Purchasing
  - Buyer
- ❑ Technical Review

Inputs:

Input	*Format*
Request for Supplement	

Outputs:

Output	*Format*
PO or SO Supplement	Paper, EDI

IT Support:

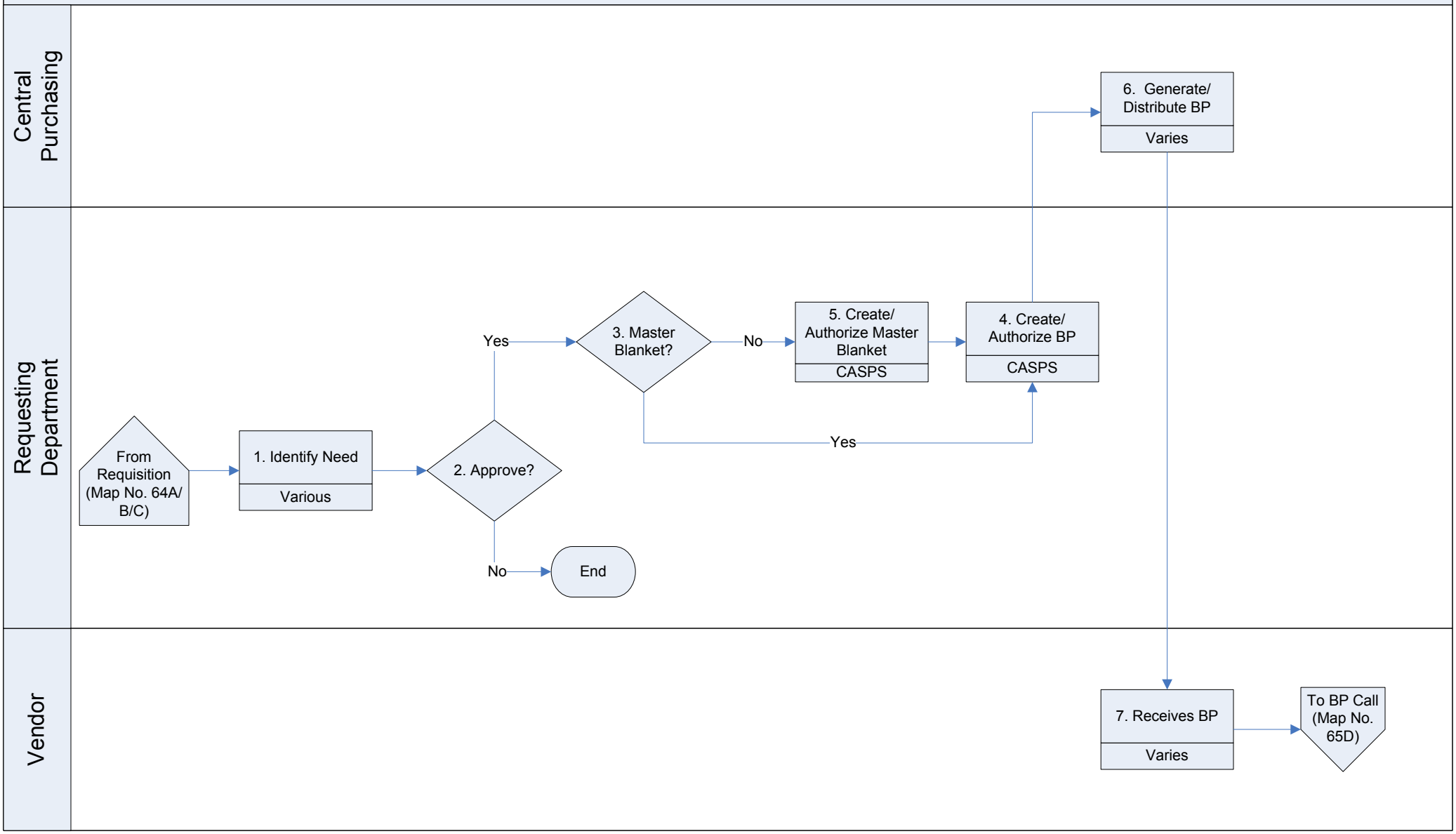
Application/System Name	*Technology Description*
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:

- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Purchase Order – Blanket Purchase Order

Map Name: PUR_PO_BP
Map No.: 65C



Process Name: Purchasing	**Map Name:** PUR_PO_BP
Sub-Process Name: Purchase Order – Blanket Purchase Order	**Map No:** 65C

Sub-Process Purpose and Objectives: Create and authorize a Master Blanket and Blanket Purchase Order

Sub-Process Description

1. The Requesting Department identifies the need for a blanket purchase order (BP), which includes the process of determining whether a County contract exists. **[MAP SHAPE 1]**
2. Requesting Department reviews contract and evaluates the request to use a BP. This may include a discussion with the vendor/contractor. **[MAP SHAPE 2]**
3. If the request is rejected, then the BP process ends and other purchasing techniques are considered to place the required orders, e.g. SO, P-Card, etc. **[MAP SHAPE 2]**
4. If the request is approved, the RD determines how much money to encumber in FAMIS to support the anticipated orders. If a Master Blanket (MB) does not exist, then the RD must create and authorize the MB in iCASPS to encumber the funds. Then the RD can create and authorize a BP in iCASPS. **[MAP SHAPE 3, 5, 4]**
5. If the request is approved, the RD determines how much money to encumber in FAMIS to support the anticipated orders. If a Master Blanket (MB) exists or has been created, the RD may have to create a MB Supplement to increase the funds encumbered in FAMIS. Then the RD can create and authorize a BP in iCASPS. **[MAP SHAPE 3, 4]**

5a. When the BP is authorized, it has a value of $1 and iCASPS automatically decreases the encumbered value of the MB by $1 and creates a BP encumbrance of $1.

6. Some Requesting Departments print and distribute a copy of the blanket purchase order to the individual who requested it so that she/he knows she/he can place calls. **[MAP SHAPE 4]**
7. Once the BP has been authorized in iCASPS, Central Purchasing generates and distributes the BP to the vendor using one of several options: Batch FAX which automatically faxes the BP to the vendor, Batch Print or On-line Print. Printed BPs are delivered to the vendor via several means: postal mail, imaging and email, fax, hand delivery, etc. **[MAP SHAPE 6]**
8. The vendor receives the BP but does not fulfill the order until the County issues BP Calls. **[MAP SHAPE 7]**

Triggers:

- Requesting Department identifies the need

Key Process Participants:

- Central Purchasing
- Requesting Department
  - Initiator
- Vendor

Inputs:

Input	*Format*
A Need	Manual
Blanket Purchase Order	CASPS

Outputs:

Output	*Format*
Master Blanket	CASPS
Blanket Purchase Order	CASPS

IT Support:

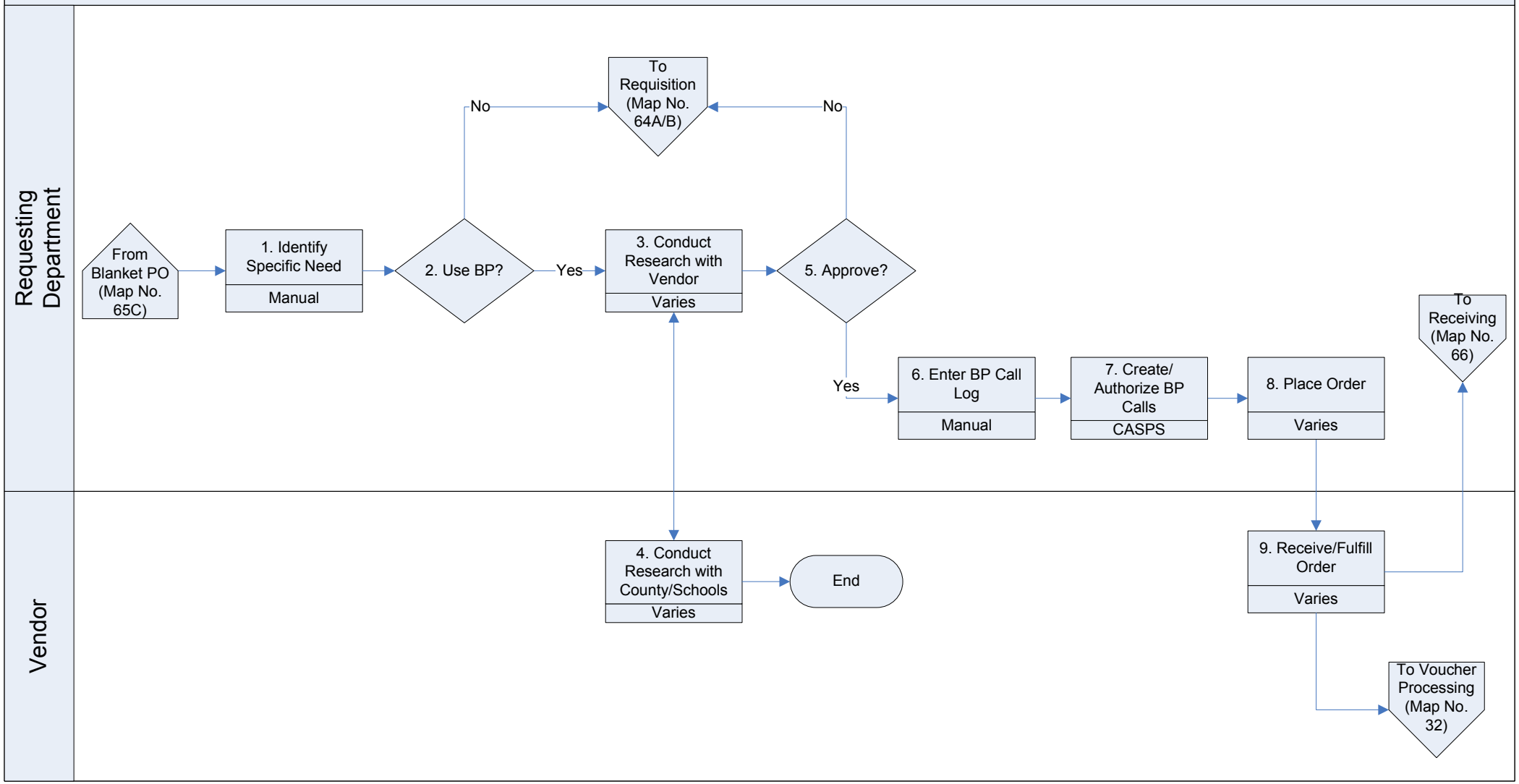
Application/System Name	*Technology Description*
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:

- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Purchase Order – Blanket Purchase Order Call

Map Name: PUR_PO_BP_CALL
Map No.: 65D



Process Name: Purchasing	**Process Identifier:** PUR_PO_BP_CALL
Sub-Process Name: Purchase Order – Blanket Purchase Order Call	**Map Number:** 65D

Sub-Process Purpose and Objectives: Create and authorize a Blanket Purchase Order Call

Sub-Process Description

1. The Requesting Department identifies a specific need that can be fulfilled using an existing Blanket Purchase Order (BP). **[MAP SHAPE 1]**
2. The Initiator evaluates the decision to use the BP or another purchasing method. **[MAP SHAPE 2]**
3. If the Initiator decides to not use the BP, they enter the Requisition Process (Map 64A or 64B) at the 'Procurement Method ' shape. **[MAP SHAPE 2]**
4. If the Initiator decides to use the BP, she/he contacts the vendor to confirm price, part number, etc. **[MAP SHAPE 3, 4]**
5. In some departments a final informal internal approval may be required before the order is placed with the vendor. **[MAP SHAPE 5]**
6. The Initiator creates and authorizes the BP calls in iCASPS (and if a manual BP Call Log is maintained, logs the call) and places the order with the vendor (e.g., phone, postal mail, e-mail, fax) Based on which options the department is using BP Call processing steps (log entry, BP call creation, BP call authorization, order placement, etc.) can be performed in varying sequences. **[MAP SHAPE 6, 7, 8]**
7. The vendor receives and fulfills the order. **[MAP SHAPE 9]**
8. When a BP Call is authorized, iCASPS automatically increases the value of the BP by the amount of the call, and increases the BP encumbrance/decreases the MB encumbrance in FAMIS by the BP Call amount. **[MAP SHAPE 7]**

Triggers:

- ❑ Requesting Department identifies the need

Key Process Participants:

- ❑ Requesting Department
- ❑ Vendor

Inputs:

Input	***Format***
Request	Various

Outputs:

Output	***Format***
Blanket Purchase Order	CASPS
Master Blanket	CASPS

IT Support:

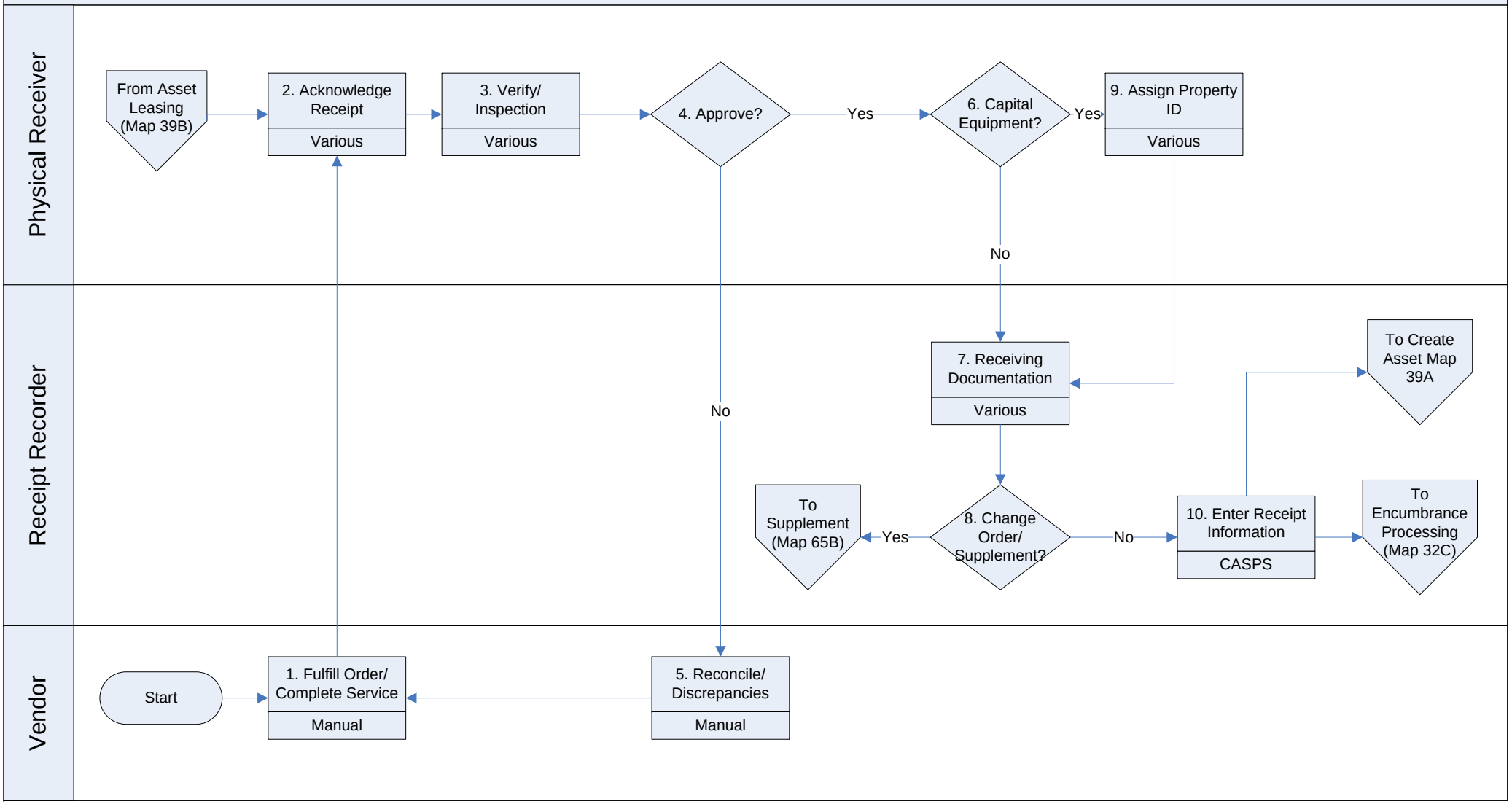
Application/System Name	***Technology Description***
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
FAMIS	Financial and Accounting Management Information System Used by County and Schools

Regulations:

- o Purchasing Resolution

Purchasing [FINAL]
Sub-Process: Receiving Goods & Services

Map Name: PUR_RECEIVING
Map No.: 66



Process Name: Purchasing	**Map Name:** PUR_RECEIVING
Sub-Process Name: Receiving Goods & Services	**Map No.:** 66

Sub-Process Purpose and Objectives: Receiving goods and services

Sub-Process Description

1. The vendor fulfills the order and delivers the good or completes the service. **[MAP SHAPE 1]**
2. The Physical Receiver acknowledges delivery of the goods or completion of services. A Pre-receipt report may be printed to assist with the receipt acknowledgement process. **[MAP SHAPE 2]**
3. The Physical Receiver or a separate person will verity and inspect the order. **[MAP SHAPE 3]**
4. The Physical Receiver or a different person designated to inspect and verify the receipt will evaluate the receipt information with the order (in most cases he/she will communicate with the Requisitioner). If there is a problem with the goods (e.g., damaged) or service (e.g., poor work performed), it is reconciled with the vendor as needed (e.g., refusal, return, hors adjusted, rework performed etc.). **[MAP SHAPE 4, 5]**
5. If there are no problems with the goods/service, the packing slip, delivery ticket, or similar document is signed and dated indicating approval for further processing.. **[MAP SHAPE 4]**
6. Once the item is accepted/approved, if the good is capital equipment, it is assigned a property ID and the identification data from the equipment is captured and included in the receiving documentation. In both cases, the Receiver sends the Receipt Recorder the original receiving documentation. **[MAP SHAPE 4, 6, 9]**

6a. Property ID number is issued by CP and often the department Property Manager, a separate person from the physical receiver, affixed the ID onto the property and notifies the Receipt Recorder of the number, etc. so it can be entered into iCASPS. In some departments the Receipt Recorder obtains the property ID number from CP. **[MAP SHAPE 9]**

7. The Receipt Recorder reviews the documentation and determines if a change order or supplement is required. If a supplement is required, they enter the *Supplement Process*. **[MAP SHAPE 7, 8]**
8. If no supplement is required, the Receipt Recorder enters the receipt information into iCASPS and if an invoice has been received, initiates the *Accounts Payable Process*. A Post-receipt report may be printed to assist with the accounts payable process. **[MAP SHAPE 10]**

Exception: For pre-pay orders the invoice process is completed in advance of the receipt process. However, the receipt process needs to be completed to validate the delivery of goods or completion of services and to close related procurement documents which finalizes the process.

Triggers:

- ❑ Vendor fulfills the order

Key Process Participants:

- ❑ Physical Receiver
- ❑ Receipt Recorder
- ❑ Requisitioner
- ❑ Vendor

Inputs:

Input	***Format***
Goods/Services Receipt Information	Various

Outputs:

Output	***Format***
Fixed Asset Data (Property ID, serial number, property location, manufacturer, model)	CASPS, FASGov, etc.
Pre-Receipt Report	Paper

	Post-Receipt Report	Paper

IT Support:

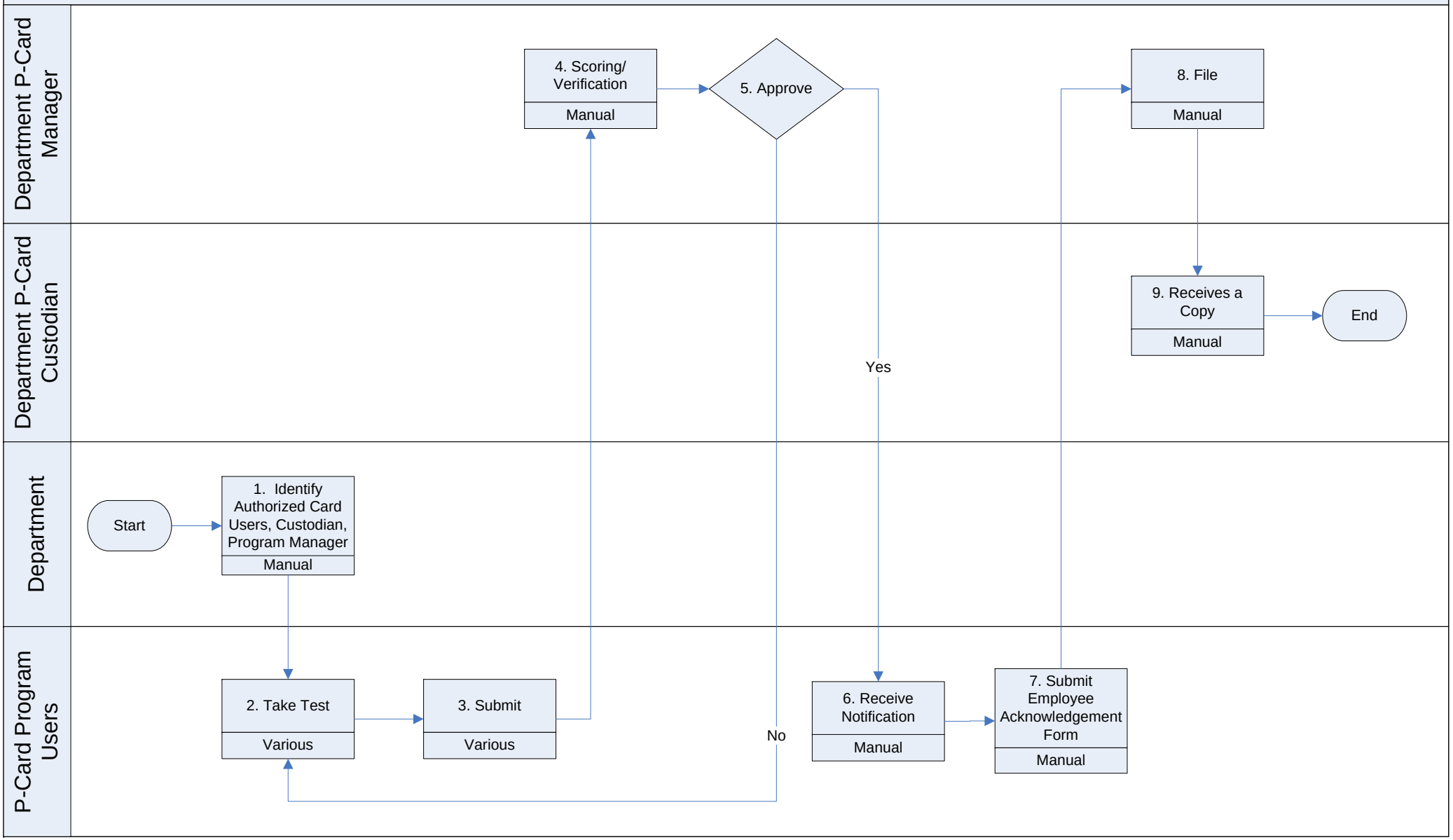
Application/System Name	***Technology Description***
iCASPS	County and Schools purchasing system (Walker Interactive Software)
FASGov	Asset management system

Regulations:

- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: P-Card – User Management

Map Name: PUR_PCARD_USER
Map No.: 67A



Process Name: Purchasing	**Map Name:** PUR_PCARD_USER
Sub-Process Name: P-Card – User Management	**Map No:** 67A

Sub-Process Purpose and Objectives: Manage certification of users

Sub-Process Description:

NOTE: P-Card users are any County or Schools employee who is a Department P-Card Custodian, Manager, or Shopper.

1. Department determines who their users, custodian and program manager will be. **[MAP SHAPE 1]**
2. At the County, users are required to take a P-Card test (Web-based training and test), whereas Schools users just have a form to fill out. **[MAP SHAPE 2, 3]**
3. Department card manager (or other, varies by department) scores test or verifies form. If user do not pass, it goes back to "take test" step, otherwise the manager notifies the user that they are approved. **[MAP SHAPE 4, 5]**
4. Employee must complete and sign an acknowledgement form. **[MAP SHAPE 6, 7]**
5. Manager or card custodian files forms and may enter data into department user database. Card custodian maintains list of approved users. In Schools, when a shopper requests to use a P-Card for the first time, the shopper completes an Employee Acknowledgement form. The original is filed by card custodian. A user list may or may not be maintained. Schools Department P-Card Managers are not involved in this step of the process. **[MAP SHAPE 8, 9]**
6. Card users (shoppers) are responsible for notifying custodians, program managers and bank of lost/stolen cards.
7. These steps are not applicable to Schools. Schools does not administer any formal training or require a test. **[MAP SHAPE 2, 3, 4, 5, 6]**

NOTE: Schools do not administer any formal training or require a test.

Triggers:

- None

Key Process Participants:

- Department card manager
- Employee (shopper)
- Department card custodian

Inputs:

Input	*Format*
NA	

Outputs:

Output	*Format*
Authorized users	
List of authorized users	

IT Support:

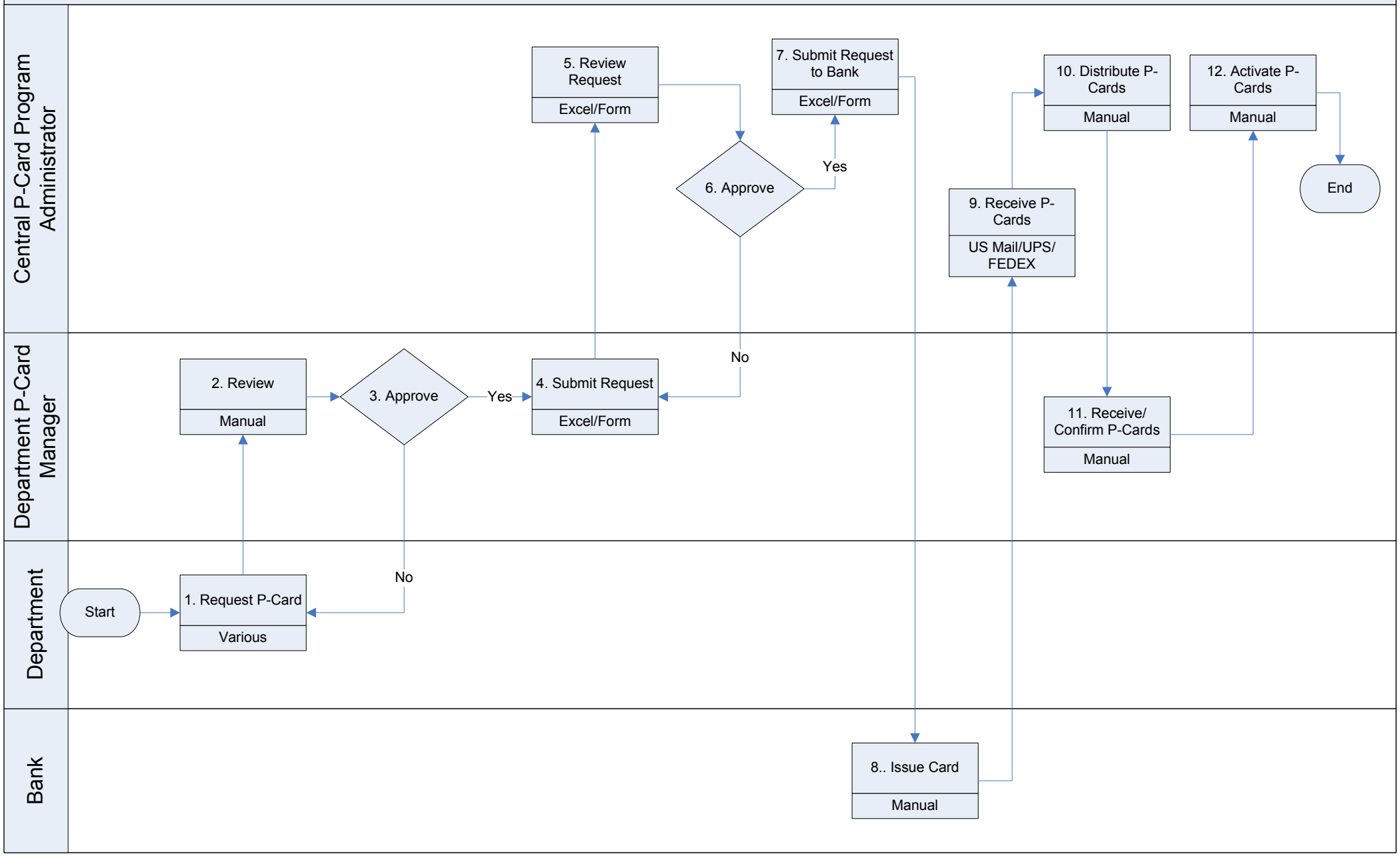
Application/System Name	*Technology Description*
InfoWeb	P-Card test (custom developed)

Regulations:

- Purchasing Resolution

Purchasing [FINAL]
Sub-Process: P-Card – Card Management

Map Name: PUR_PCARD_CARD
Map No.: 67B



Process Name: Purchasing	**Map Name:** PUR_PCARD_CARD
Sub-Process Name: P-Card – Card Management	**Map No.:** 67B

Sub-Process Purpose and Objectives: Manage distribution of cards and certification of users

Sub-Process Description:

1. Department identifies need for card. **[MAP SHAPE 1]**
2. Department staff requests card from department card manager via email, including justification. **[MAP SHAPE 1]**
3. Department card manager approves request. Approval can be verbal if agency allows this. **[MAP SHAPE 2, 3]**
4. Central P-Card Program Administrator requires a formal application from Department P-Card Manager. Schools use New Cardholder Enrollment form. County uses an Excel based P-Card application. **[MAP SHAPE 4]**
5. Central P-Card Program Administrator reviews for accuracy and returns it for corrections or additions if necessary. May include a discussion of card/transaction limits. **[MAP SHAPE 4, 5, 6]**
6. Central P-Card Program Administrator submits Commercial Card Cardholder Account Form or Excel spreadsheet to the bank. **[MAP SHAPE 7]**
7. Bank issues card to Central Program Administrator who distributes cards to department card manager. If a P-Card database is maintained, the card data is entered into the database. **[MAP SHAPE 9, 10, 11]**
8. The Central P-Card Administrator authorizes/activates card. In Schools after the card is activated, the Department P-Card Manager submits an Employee Acknowledgement form to the Central P-Card Program Administrator which is then filed. **[MAP SHAPE 12]**

Triggers:

- ❑ Identified need

Key Process Participants:

- ❑ Department Card Manager
- ❑ Department
- ❑ Central P-Card Program Administrator
- ❑ Bank

Inputs:

Input	*Format*
Card Request	Manual

Outputs:

Output	*Format*
P-Card	Manual

IT Support:

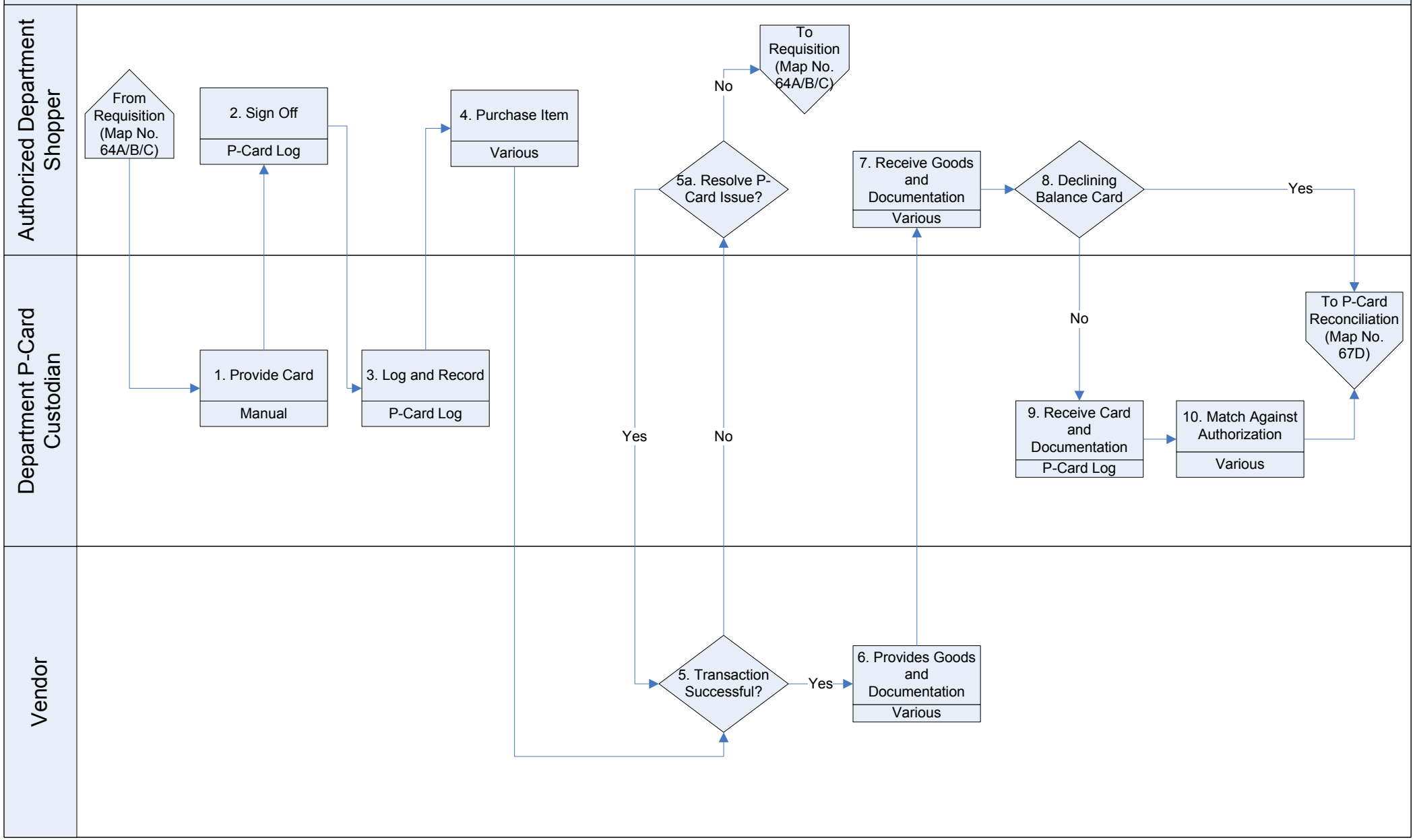
Application/System Name	*Technology Description*
Excel	Spreadsheet application

Regulations:

- o Purchasing Resolution

Purchasing [FINAL]
Sub-Process: P-Card – Transaction

Map Name: PUR_PCARD_TRANS
Map No.: 67C



Process Name: Purchasing	**Map Name:** PUR_PCARD_TRANS
Sub-Process Name: P-Card – Transaction	**Map No.:** 67C

Sub-Process Purpose and Objectives: Make a purchase using the procurement card

Sub-Process Description:

1. Process starts from Requisitions (decision already made to use P-card, following appropriate business rules as detailed on requisition map) **[MAP SHAPE 1]**
2. If shopper is not a cardholder, they have to get the card checked out from a card custodian (departmental) and sign for it on P-Card log. Authorization requires justification filled out, and shopper has to be a certified card user. **[MAP SHAPE 2, 3]**
3. Shopper purchases item – controls exist on the cards themselves. Can be done online, email, fax, telephone, or on-premise. **[MAP SHAPE 4]**
4. Vendor provides good or service and documentation (receipt, delivery notice, etc.) If there's a problem with the card transaction, shopper has to determine a course of action to resolve the P-Card issue. This may involve the Department P-Card Manager, the Central P-Card Program Administrator, and customer service at the bank, JPM Chase. In the case of declining balance cards, all discrepancies are resolved by the school and the school's buyer. **[MAP SHAPE 5, 5a, 6]**

4a. Bank Customer Service is facilitated by Central P-Card Administrator. Shoppers do not have authorization to interact with the bank, JPM Chase, directly regarding appropriated cards, unless to report a lost or stolen card. **[MAP SHAPE 5a]**

5. Card custodian matches receipt documentation to authorization, and sends to reconciler (if tax or other erroneous charges, reconciler has to work to get those charges removed). In some cases, the card custodian may also serve as card reconciler. If it's a declining balance card, documentation goes straight to reconciliation process, not to custodian. **[MAP SHAPE 9, 10]**

NOTE: Declining balance cards have extremely high balances and transaction limits and are used primarily for Schools construction activity.

Triggers:

- ❑ Requisition and authorization

Key Process Participants:

- ❑ Shopper
- ❑ Card custodian
- ❑ Vendor
- ❑ Department P-Card Manager
- ❑ Central P-Card Program administrator
- ❑ Bank (JPM Chase)

Inputs:

Input	***Format***
Authorization to use card	Various

Outputs:

Output	***Format***
Purchase documentation	Various

IT Support:

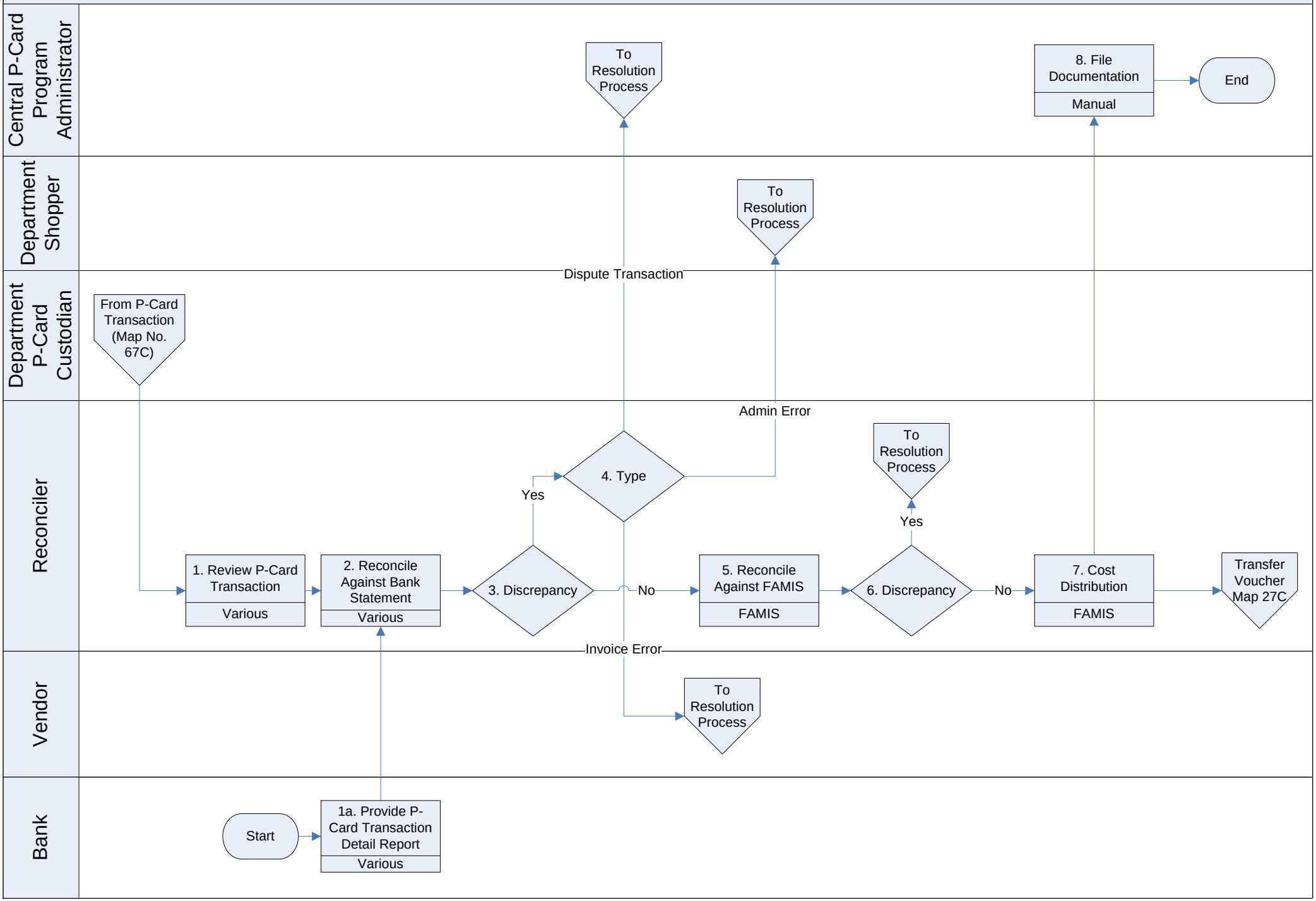
Application/System Name	***Technology Description***

Regulations:

- o Purchasing Resolution

Purchasing [FINAL]
Sub-Process: P-Card – Reconciliation

Map Name: PUR_PCARD_RECON
Map No.: 67D



Process Name: Purchasing	**Map Name:** PUR_PCARD_RECON
Sub-Process Name: P-Card – Reconciliation	**Map No.:** 67D

Sub-Process Purpose and Objectives: Reconcile P-card purchases to bank statement

Sub-Process Description:

1. Posting is done on Mondays (weekly) and reconciliation happens weekly as well. Departments have various systems to do this (Access, Act1000 PO Module, bank online statements, manual logs and statements, etc.) At Schools, reconciliation happens monthly, at a minimum. When Schools rolls out Payment Net, card custodians/reconcilers will have the capability to reconcile weekly.

1a. Bank posts P-Card transactions to its Website daily and makes the P-Card Transaction Detail Report available for download 24x7. **[MAP SHAPE 1a]**

2. Reconciler matches logs and pre-purchase authorization - to receipts - to bank statements or P-Card Transaction Detail Report which is downloaded from bank website by reconciler or Dept P-Card Manager. Some departments may include authorizations as part of the matching process, but many departments do not have formal authorizations. Schools Central P-Card Program Administrator provides Transaction Detail reports to the reconcilers. **[MAP SHAPE 1, 2]**
3. If there are no discrepancies, proceed to matching against FAMIS. **[MAP SHAPE 3, 5]**
4. If there are discrepancies or frauds/disputes go to Department P-Card Manager and Central P-Card Program Administrator. Administrative errors go back to the shopper. Invoice errors are handled by the reconciler or the shopper with the vendor. **[MAP SHAPE 3,4]**
5. Reconcile against FAMIS. Prior to this step the Batch Posting Process (Map No. 26A) must have been completed for the period being reconciled**. NOTE: Local school activity cards do not post to FAMIS; therefore there is no reconciliation step for these.** County requires a monthly reconciliation, but in practice reconciles weekly. Schools reconcile monthly (will move to weekly once Payment Net is up and running). **[MAP SHAPE 5]**
6. If there are no discrepancies, send to manager for approval (schools does this earlier in the process than the County), then distribute costs to appropriate expense accounts. Cost Distributions are initiated and approved in FAMIS, transfer voucher process. Approval of the cost distribution occurs in the transfer voucher process. Schools p-card transactions post to index/sub objects tied to card. Schools do not have a "clearing account". Therefore, some charges may need to be distributed, but some will not. **[MAP SHAPE 6, 7]**
7. Schools (capital construction) declining balance cards have an extra step – reconcilers must ensure that the available balance on the declining balance card does not exceed what is in FAMIS otherwise there is risk of overspending the card.
8. If card custodian/reconciler is the same person, reconciliation must be approved by Department P-Card Manager. Documentation is sent to appropriate person and filed. Process then ends. **[MAP SHAPE 8]**

NOTE: The Resolution Process was not mapped. All financial discrepancies are ultimately resolved and corrective actions are taken to bring all accounts into balance. Various means are used by the County, Schools, the vendor, Master Card and the bank to reach the ultimate solutions.

Triggers:	**Key Process Participants:**
❑ Weekly/Monthly calendar driven process	❑ Reconciler ❑ Bank ❑ Shopper ❑ Finance (FAMIS) ❑ Department card manager ❑ Central Purchasing
Inputs:	**Outputs:**

Input	*Format*

Output	*Format*

IT Support:

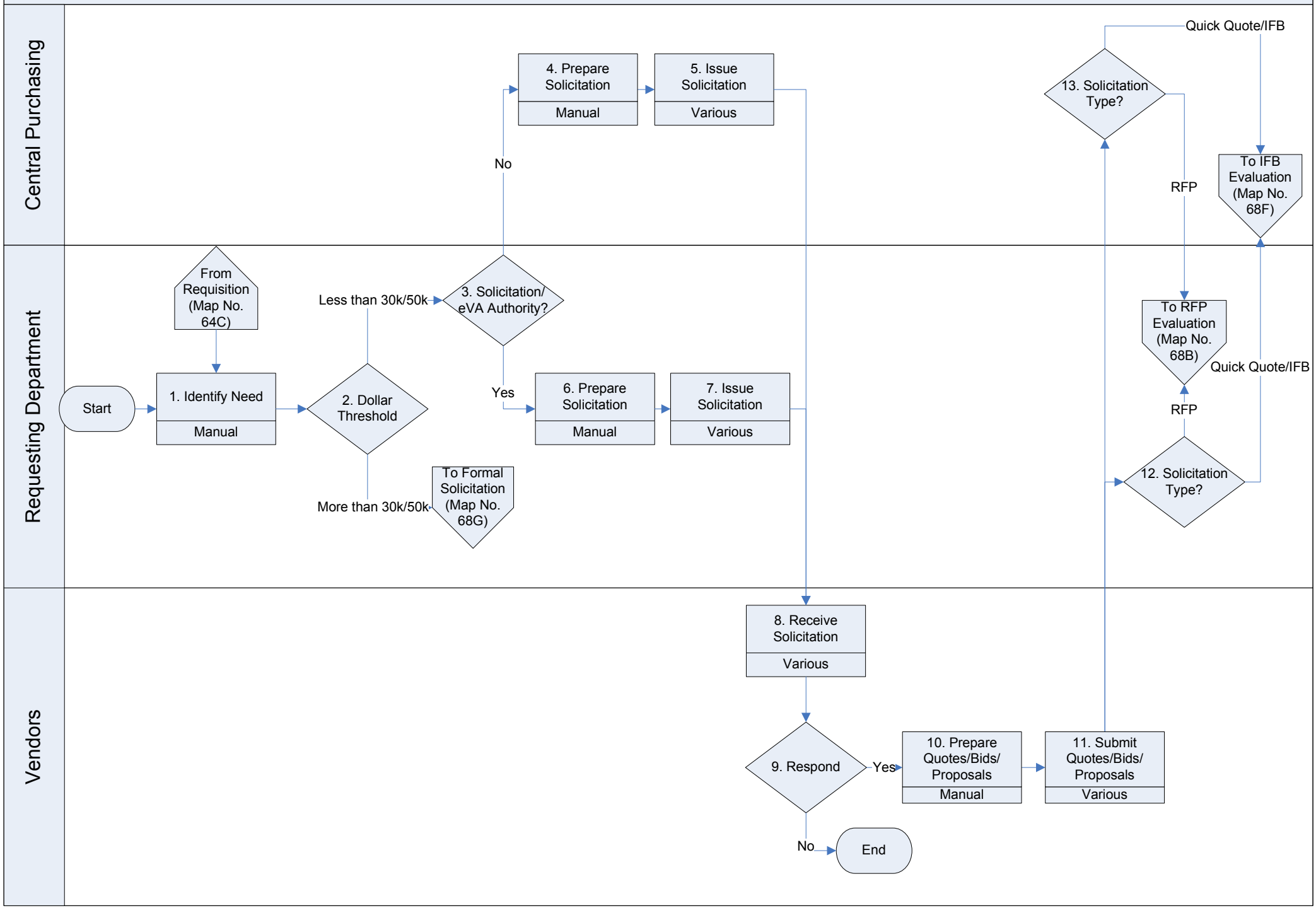
Application/System Name	*Technology Description*
FAMIS	County and Schools financial system
Payment Net	JPM Chase web-based reporting system

Regulations:

- Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting – Informal Solicitation

Map Name: CNTRT_INF_SOL
Map No.: 68A



Process Name: Contracting	**Map Name:** CNTRT_INF_SOL
Sub-Process Name: Contracting – Informal Solicitation	**Map No.:** 68A

Sub-Process Purpose and Objectives: Solicit informal bids and proposals

Sub-Process Description:

1. Departments identify need and check for existing contracts and budgets. If an existing contract cannot satisfy the need, the department must determine if the competitive process must be formal or informal based on $30k/$50k cutoff (professional services/goods & non-professional services). NOTE: Sole source procurement requires Central Purchasing approval prior to going to negotiation. **[MAP SHAPE 1, 2, 3]**
2. Departments that have authority and eVA access may use eVA to prepare and issue a Quick Quote or issue an informal Request for Proposals (RFP). **[MAP SHAPE 6, 7]**
3. Departments that are not authorized or cannot use eVA request that Central Purchasing prepare and issue the Quick Quote or informal solicitation (RFP). **[MAP SHAPE 4, 5]**

3a. Pre-proposal conference, question and answer period are not required, but may be conducted by the RD or CP as appropriate. **[MAP SHAPE 5, 7]**

4. Vendors receive solicitation and determine whether they are going to respond or not. **[MAP SHAPE 8, 9]**
5. If the vendor chooses to respond, the response goes to CP or the department that issued the solicitation. The recipient reviews the responses received for completeness and forwards them to the appropriate evaluators based upon whether the solicitation was an informal RFP or a Quick Quote/IFB. **[MAP SHAPE 10, 11, 12, 13]**

Triggers:

- ❑ Department determines need

Key Process Participants:

- ❑ Department
- ❑ Central Purchasing
- ❑ Vendor

Inputs:

Input	*Format*
Solicitation Request	Manual

Outputs:

Output	*Format*
Bid solicitation package	MS Office
Vendor bids	MS Office

IT Support:

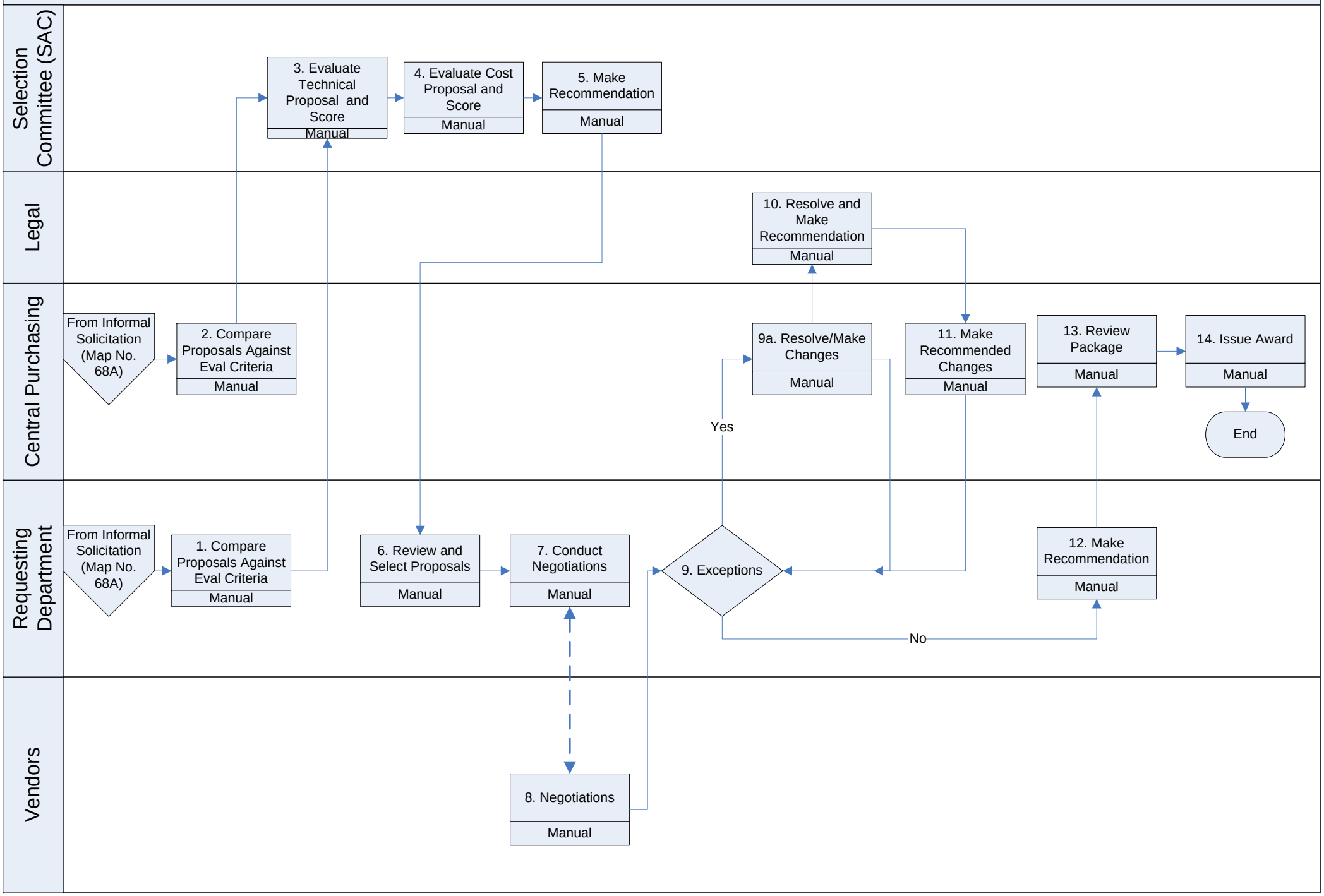
Application/System Name	*Technology Description*
Various systems and manual processes	MS Office-based
eVA	State system
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting – Evaluation Process (Informal RFP)

Map Name: CNTRT_EVAL_INF_RFP
Map No.: 68B



Process Name: Contracting	**Map Name:** CNTRT_EVAL_INF_RFP
Sub-Process Name: Contracting – Evaluate Informal RFP	**Map No.:** 68B

Sub-Process Purpose and Objectives: Evaluate informal proposals and make award.

Sub-Process Description:

1. Requesting Department (RD) or Central Purchasing (CP) receives proposals and compares against base evaluation criteria. **[MAP SHAPE 1, 2]**
2. RD or CP forwards to the Selection Advisory Committee (SAC). RD creates evaluation criteria and appoints SAC. **[MAP SHAPE 3]**
3. SAC evaluates and scores the technical proposals, and then the cost proposals. If needed, the SAC may include representatives from risk management, legal, or other departments to facilitate the scoring. SAC may include demos and orals in the evaluation process. **[MAP SHAPE 3, 4]**
4. SAC makes a recommendation to the RD. **[MAP SHAPE 5]**
5. RD selects top rated vendor, and takes the lead on negotiating the contract. Contract negotiation team typically SAC and a buyer representative from the RD. In some cases CP may issue the informal RFP and perform these functions. **[MAP SHAPE 6, 7, 8]**
6. Exceptions are resolved by CP or the legal department. **[MAP SHAPE 9, 9a, 10]**
7. RD makes final recommendation to CP. **[MAP SHAPE 9, 12]**
8. CP prepares the contract documents, coordinates signatures with Vendor and RD, and announces the contract award. **[MAP SHAPE 14]**

Triggers:

- ❑ Receipt of proposals
- ❑

Key Process Participants:

- ❑ Department
- ❑ SAC
- ❑ Vendor
- ❑ Central Purchasing
- ❑ County or Schools Attorney

Inputs:

Input	*Format*
Proposals	Paper and electronic

Outputs:

Output	*Format*
Award	Paper and electronic

IT Support:

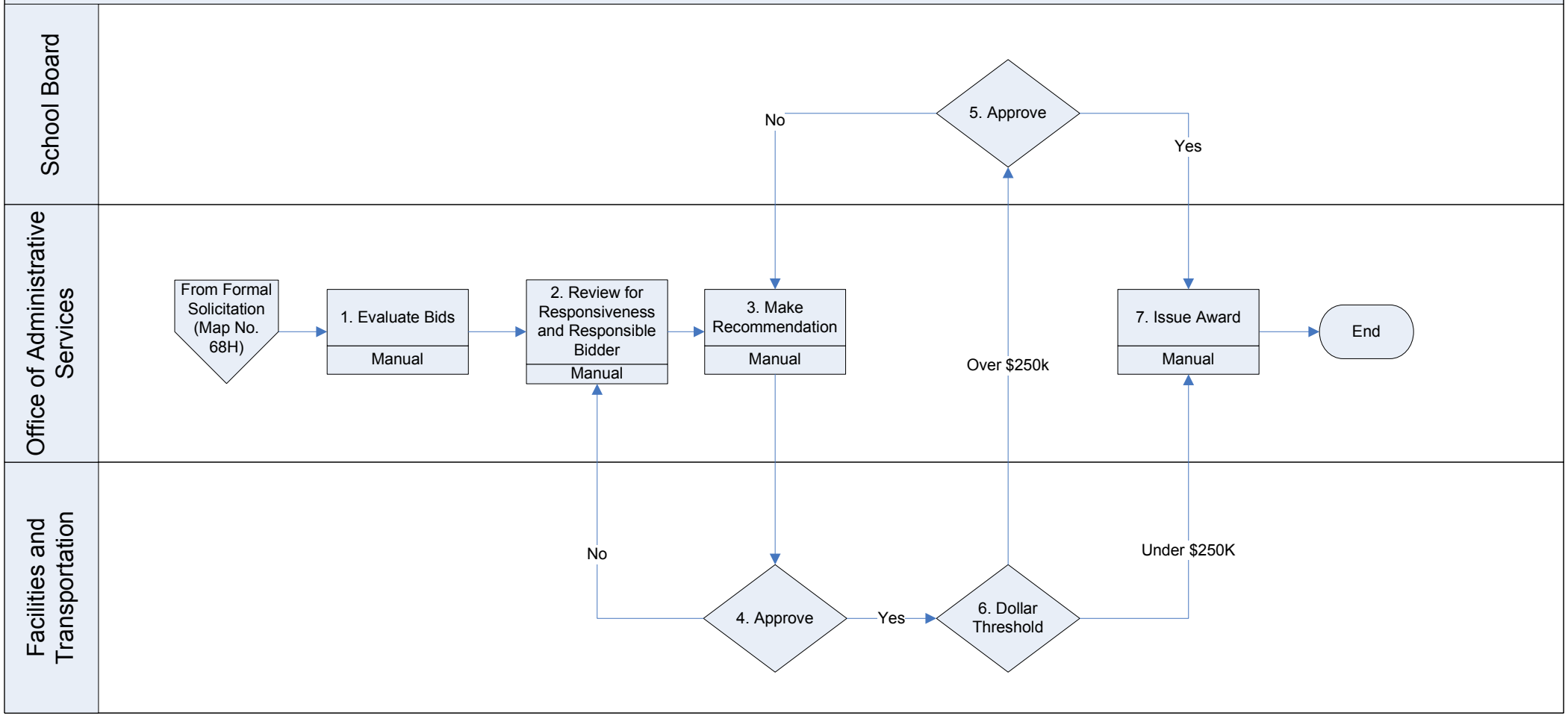
Application/System Name	*Technology Description*
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system
CASPS/iCASPS	County and Schools purchasing system (Walker Interactive Software)
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting – Evaluation Process Schools Capital Construction (Formal Bids)

Map Name: CNTRT_EVAL_FML_BID
Map No.: 68C



Process Name: Contracting	**Map Name:** CNTRT_EVAL_FML_BID
Sub-Process Name: Contracting – Evaluation Process Schools Capital Construction (Formal Bids)	**Map No.:** 68C

Sub-Process Purpose and Objectives: Evaluate formal bids and make award

Sub-Process Description:

1. Office of Administrative Services (OAS) prepares a bid tabulation and evaluates bids. **[MAP SHAPE 1]**
2. OAS reviews bids for responsive, responsible bidders. **[MAP SHAPE 2]**
3. OAS makes recommendation to internal FTS staff and to Director of Design & Construction or Facilities Management for approval. **[MAP SHAPE 3]**
4. Director approves or rejects recommendation. If rejected, returned to OAS for additional review/documentation. **[MAP SHAPE 4]**
5. Once recommendation is approved by Director, OAS prepares contract award documents; awards up to $100K are executed by Director; awards up to $250K are executed by the Chief Operating Officer. **[MAP SHAPE 6, 7]**
6. Accepted recommendations $250K and greater require School Board approval. OAS prepares contract award documents. Chief Operating Officer executes contract award after School Board approval. **[MAP SHAPE 6, 5]**

Triggers:

- Receipt of formal bids

Key Process Participants:

- OAS
- Facilities and Transportation Services
- Vendors
- School Board

Inputs:

Input	*Format*
Formal bids	Paper or electronic

Outputs:

Output	*Format*
Award	Manual

IT Support:

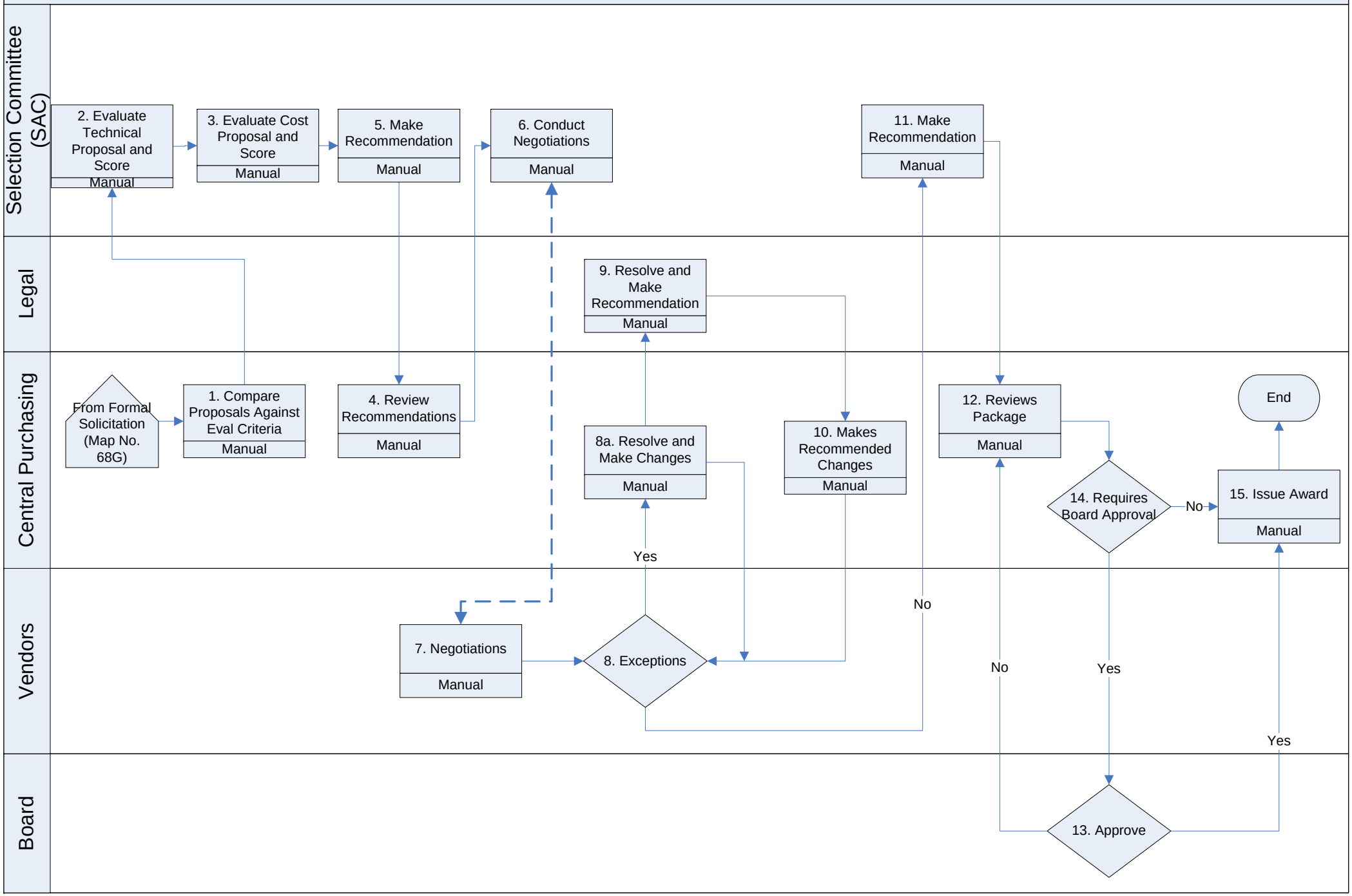
Application/System Name	*Technology Description*
MS Office	

Regulations:

- Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting – Evaluation Process (Formal RFP)

Map Name: CNTRT_EVAL_FML_RFP
Map No.: 68D



Process Name: Contracting	**Process Identifier:** CNTRT_EVAL_FML_RFP
Sub-Process Name: Contracting – Evaluation Process (Formal RFP)	**Map Number:** 68D

Sub-Process Purpose and Objectives: Evaluate formal proposal and make award

Sub-Process Description:

1. Central Purchasing (CP) receives proposals, ensures they are complete, breaks them down, and forwards to Selection Advisory Committee (SAC). CP will have previously received detailed evaluation criteria and weights from the Requesting Department (RD) and appointed the SAC. **[MAP SHAPE 1]**
2. SAC evaluates and scores the technical proposals, and then the cost proposals. If needed, the SAC can request CP contact vendors for demos and/or interviews as part of this step. Finalists' proposals are reviewed by Architecture Review Board (ARB) for DIT-related purchases. ARB can veto a proposal based on internal technical criteria. **[MAP SHAPE 2, 3]**
3. SAC makes a recommendation to CP. **[MAP SHAPE 5]**
4. CP reviews the recommendation and invites top rated vendors to negotiate. CP and SAC negotiate contract. Contract negotiation team typically includes SAC members, RD manager(s) and a CP Contract Specialist. May also include representatives from legal, risk management or others. **[MAP SHAPE 4, 6, 7]**
5. Exceptions are resolved by CP or the legal department. **[MAP SHAPE 8, 8a, 9, 10]**
6. Change to read, SAC makes final recommendation for contract award to CP. **[MAP SHAPE 11]**
7. If Board approval is required, CP coordinates preparation of the board item with the RD and others. **[MAP SHAPE 12, 13, 14]**
8. Central purchasing issues the award (if board approval is required, that must be received first). **[MAP SHAPE 15]**
9. If board rejects the item, it goes back to Central Purchasing to resolve issues and resubmit. Alternatively, if issues cannot be resolved, Central Purchasing may choose to go to second place vendor. **[MAP SHAPE 13, 12]**

Triggers:

- ❑ Receipt of proposal

Key Process Participants:

- ❑ Central Purchasing
- ❑ Requesting Department
- ❑ Legal
- ❑ SAC
- ❑ Board
- ❑ Vendors

Inputs:

Input	*Format*
Proposals	Paper or electronic
Evaluation criteria	Paper or electronic

Outputs:

Output	*Format*
Award	Paper or electronic

IT Support:

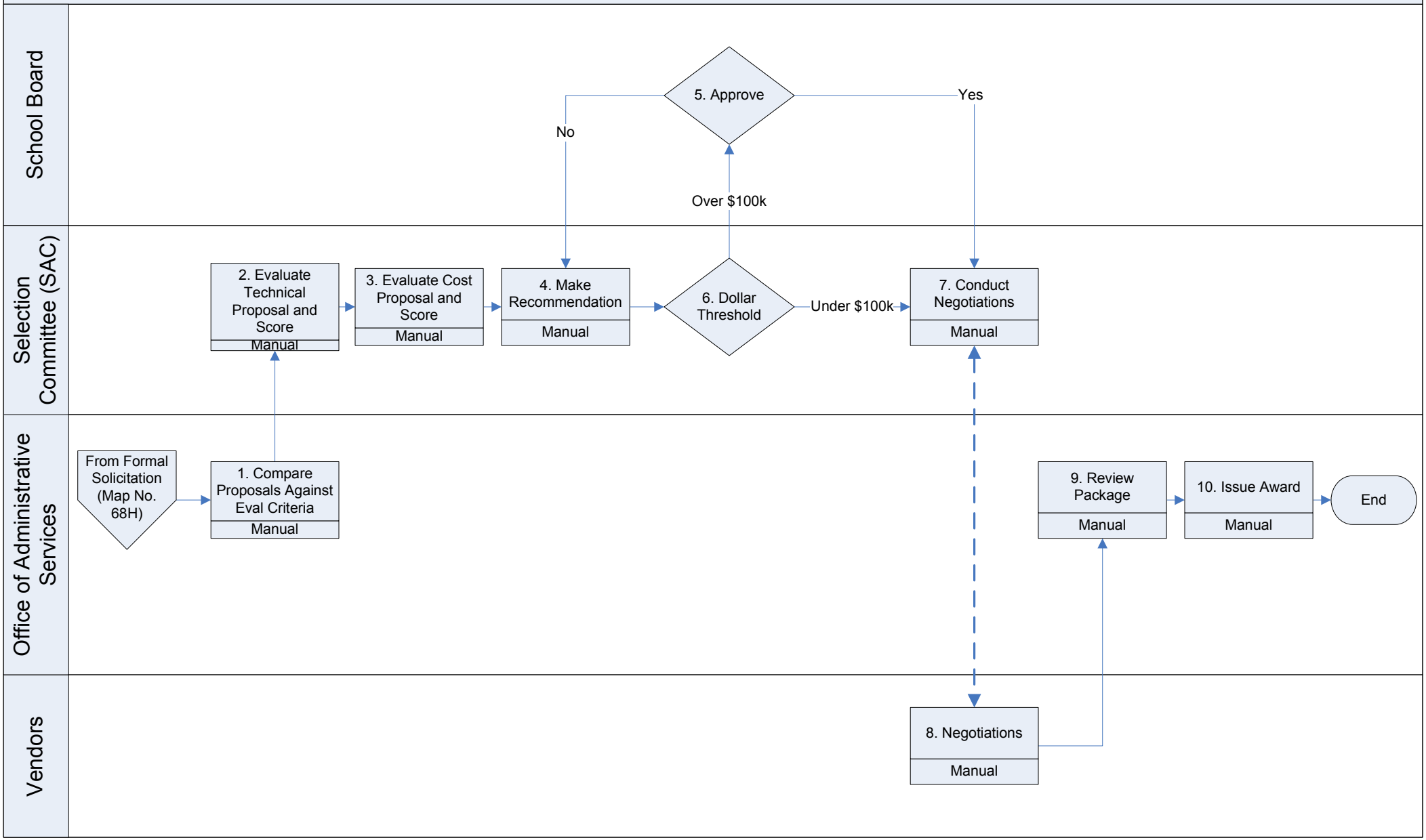
Application/System Name	*Technology Description*
MS Office	
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting – Evaluation Process Schools Capital Construction (A&E Services Formal RFP)

Map Name: CNTRT_EVAL_FML_RFP_SCH
Map No: 68E



Process Name: Contracting	**Map Name:** CNTRT_EVAL_FML_RFP_SCH
Sub-Process Name: Contracting – Evaluation Process Schools Capital Construction (A&E Services Formal RFP)	**Map No:** 68E

Sub-Process Purpose and Objectives: Evaluate formal proposals and make award

Sub-Process Description:

1. Office of Administrative Services (OAS) evaluates proposals against basic submittal criteria. **[MAP SHAPE 1]**
2. Acceptable proposals are forwarded to Selection Advisory Committee (SAC). The SAC may include Design & Construction (D&C) and Facilities Maintenance (FM) staff. **[MAP SHAPE 2]**
3. SAC evaluates and scores technical proposals, then cost proposals, and makes recommendation. **[MAP SHAPE 3, 4]**
4. If the contract value is over $100,000, school board approval is required. Otherwise proceed to negotiations step. **[MAP SHAPE 6,5]**
5. SAC negotiates with vendors **[MAP SHAPE 7,8]**
6. Once negotiations are complete, OAS reviews the proposal and contract package and issues the award. **[MAP SHAPE 9,10]**

Triggers:

- ❑ Receipt of formal proposals

Key Process Participants:

- ❑ OAS
- ❑ SAC
- ❑ Vendors
- ❑ School Board

Inputs:

Input	*Format*
Formal proposals	Paper or electronic

Outputs:

Output	*Format*
Award	Manual

IT Support:

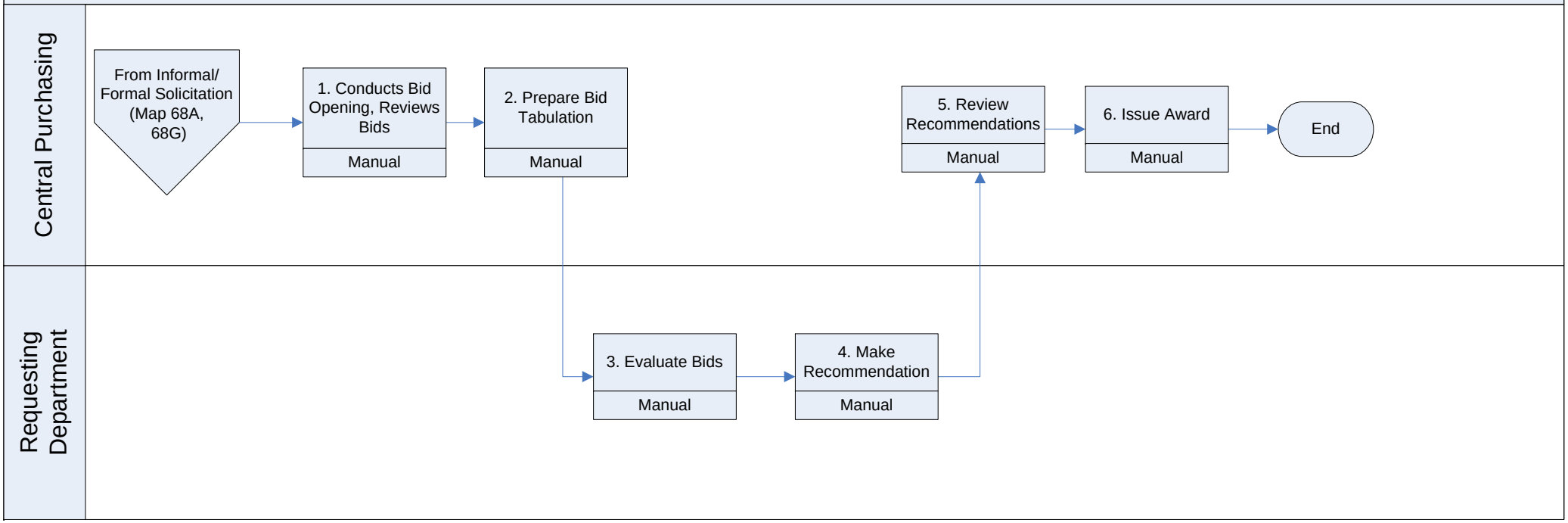
Application/System Name	*Technology Description*
MS Office	

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting – Evaluation Process (IFB)

Map Name: CNTRT_EVAL_IFB
Map No: 68F



Process Name: Contracting	**Map Name:** CNTRT_EVAL_IFB
Sub-Process Name: Contracting – Evaluation Process (IFB)	**Map No:** 68F

Sub-Process Purpose and Objectives: Evaluate formal bids and make award

Sub-Process Description:

1. Central Purchasing (CP) conducts bid opening, and compares bid to evaluation criteria and prepares bid tabulation. See Step 5, in the case of informal solicitations there is no formal bid opening and these steps may be performed by the RD. **[MAP SHAPE 1, 2]**
2. Bid tab is forwarded to the Requesting Department (RD). **[MAP SHAPE 3]**
3. RD evaluates the bid tab and sends award recommendation to CP. **[MAP SHAPE 3, 4]**
4. CP reviews and approves the recommendation and issues the award to the vendor. If the recommendation is not approved, CP and the RD confer to resolve issues. **[MAP SHAPE 5, 6]**
5. In the case of quotes or other informal bids resulting from an informal solicitation (Map No. 68A), whoever receives the quotes or bids prepares a bid tabulation, which is evaluated by the RD. If the solicitation was a Quick Quote, the RD prepares a PR in eVA or iCASPS which may route to CP for approval. If the solicitation was an informal bid request, the RD forwards a contract award recommendation to CP for approval.

Triggers:

- ❑ Receipt of bids
- ❑

Key Process Participants:

- ❑ Central Purchasing
- ❑ Department

Inputs:

Input	*Format*
Bids	Paper, electronic

Outputs:

Output	*Format*
Award	Paper, electronic

IT Support:

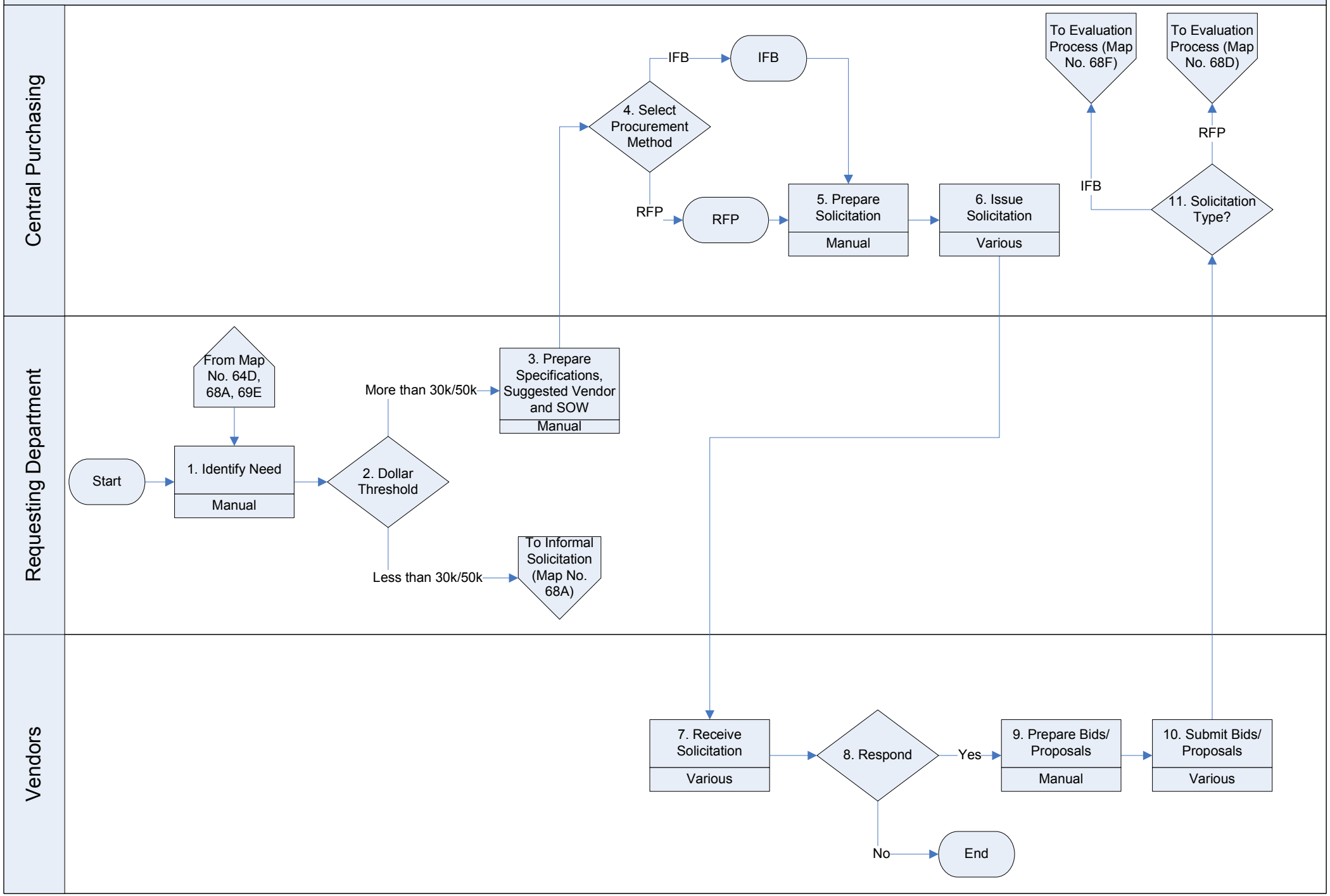
Application/System Name	*Technology Description*
MS Office	
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting – Formal Solicitation

Map Name: CNTRT_FML_SOL
Map No: 68G



Process Name: Contracting	**Map Name:** CNTRT_FML_SOL
Sub-Process Name: Contracting – Formal Solicitation	**Map No:** 68G

Sub-Process Purpose and Objectives: Solicit formal bids and proposals

Sub-Process Description:

1. Requesting Departments (RD) identify need and check for existing contracts and budgets. If an existing contract cannot satisfy the need, the department must determine if the competitive process must be formal or informal based on $30k/$50k cutoff (professional services/goods & non-professional services). NOTE: Sole source procurement requires Central Purchasing (CP) approval prior to going to negotiation. **[MAP SHAPE 1, 2, 3]**
2. RD prepares specifications, statement of work, and potential vendor list, and forwards this package to CP. **[MAP SHAPE 3]**
3. CP determines if an IFB or RFP is required. If RD input is incorrect, material is returned to the RD for correction and resubmission. **[MAP SHAPE 4]**
4. CP prepares and issues the solicitation via eVA. All RFP & IFB are posted to County Website. **[MAP SHAPE 5, 6]**
5. Vendors receive solicitation and determine whether to respond. CP & RD may host a pre-proposal or pre-bid conference to clarify the County or Schools requirements. **[MAP SHAPE 7, 8, 9, 10]**
6. Vendor responses (bids or proposals) are received in central purchasing and after a cursory review entered into the appropriate evaluation process. **[MAP SHAPE 11]**

Triggers:

- ❑ None

Key Process Participants:

- ❑ Department
- ❑ Central Purchasing
- ❑ Vendors

Inputs:

Input	*Format*

Outputs:

Output	*Format*
RFP	Paper and electronic

IT Support:

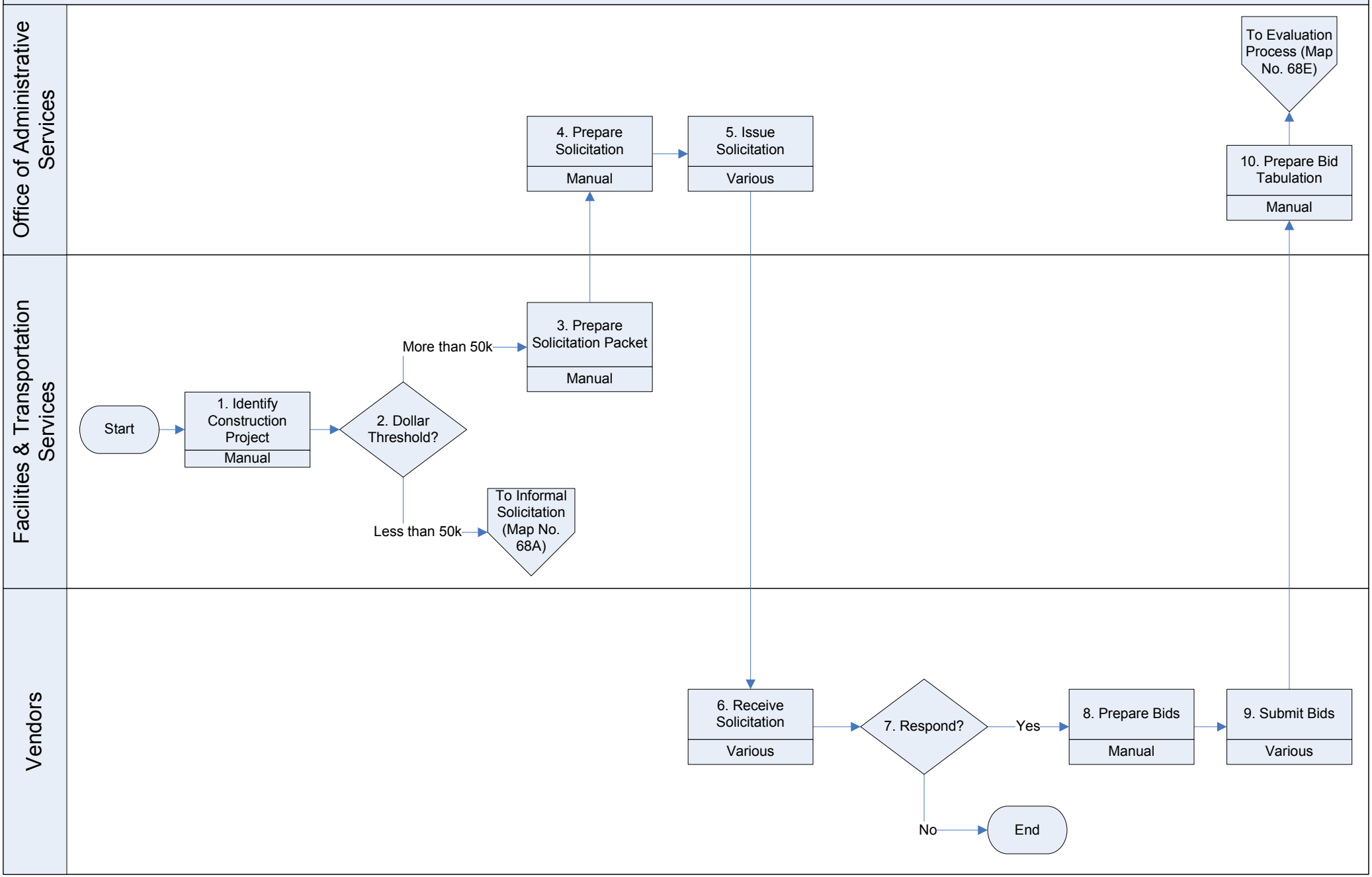
Application/System Name	*Technology Description*
MS Office	
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contracting - Formal Solicitation (Schools Capital Construction and Related Services)

Map Name: CNTRT_FML_SOL_CAP_SCH
Map No.: 68H



Process Name: Contracting	**Map Name:** CNTRT_FML_SOL_CAP_SCH
Sub-Process Name: Contracting – Formal Solicitation (Schools Capital Construction and Related Services)	**Map No:** 68H

Sub-Process Purpose and Objectives: Obtain vendor bids for capital construction projects

Sub-Process Description:

1. Identify construction project from capital plan, or as directed by need or policy (Facilities and Transportation Services, or design, or engineering departments). **[MAP SHAPE 1]**
2. If less than $50,000 – it goes to informal solicitation process, otherwise, proceed with formal process; prepare specifications, Statement of Work, suggested contractor list (solicitation Packet). OAS maintains a contractor list; eVA can also be used to announce opportunities. **[MAP SHAPE 2, 3]**
3. OAS receives solicitation packet. OAS prepares and issues the solicitation. **[MAP SHAPE 4, 5]**
4. Contractors receive solicitation and decide if they are going to bid. **[MAP SHAPE 6, 7, 8, 9]**
5. OAS prepares bid tabs **[MAP SHAPE 10]**

Triggers:

- Capital plan
- Department initiative

Key Process Participants:

- OAS
- Facilities and Transportation Services
- Vendors

Inputs:

Input	*Format*
Capital plan	Paper or electronic

Outputs:

Output	*Format*
NA	

IT Support:

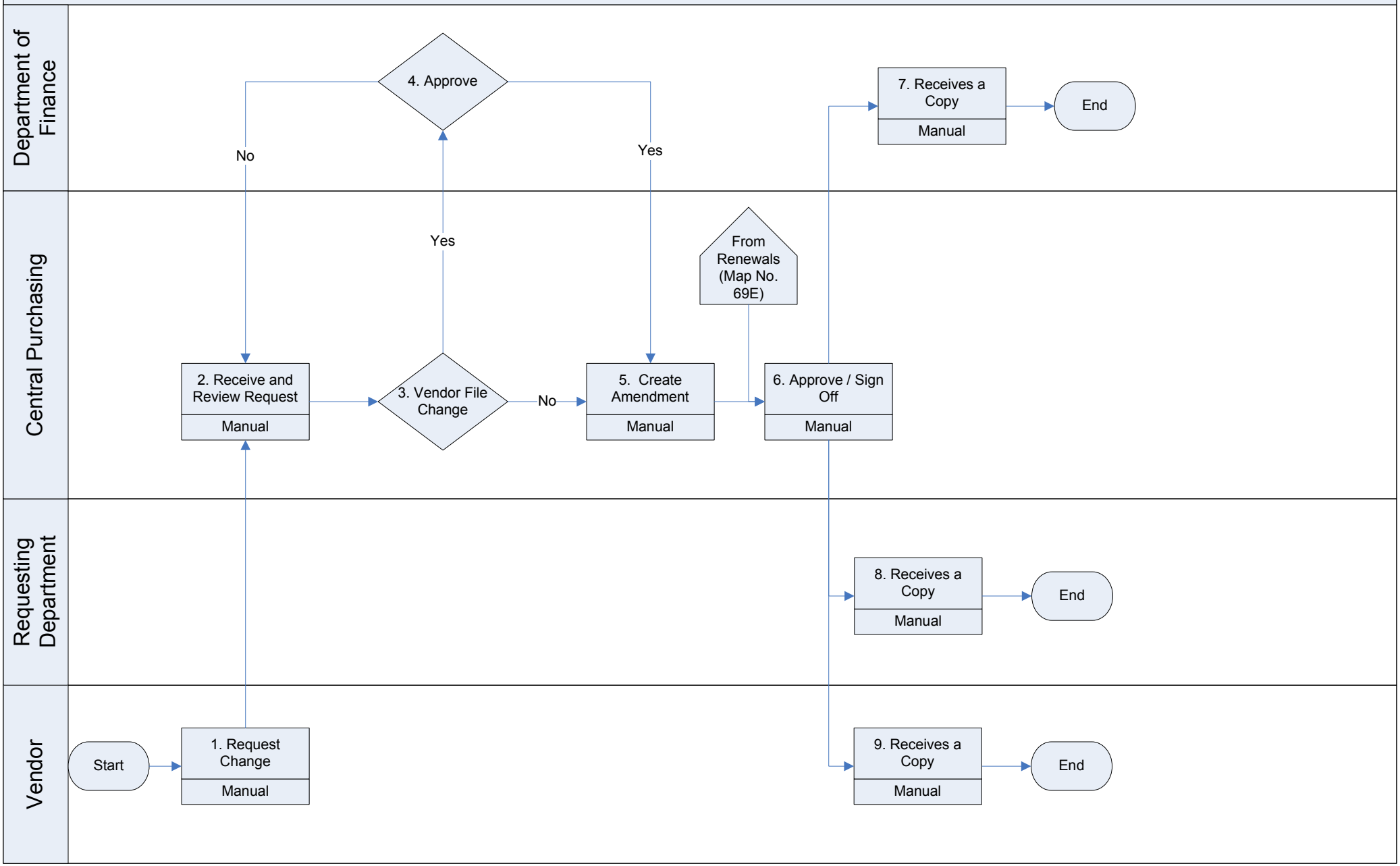
Application/System Name	*Technology Description*
MS Office	
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system

Regulations:

- Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contract Management - Amendments (Administrative)

Map Name: CNTRT_MGMT_AMEND_ADMIN
Map No.: 69A



Process Name: Contracting	**Map Name:** CNTRT_MGMT_AMEND_ADMIN
Sub-Process Name: Contract Management – Amendments (Administrative)	**Map No:** 69A

Sub-Process Purpose and Objectives: Amend contract as a result of administrative changes (e.g. name and address)

Sub-Process Description:

1. Receive notification of change in vendor ownership, name, address, etc. **[MAP SHAPE 1, 2]**
2. Verify that the vendor is in FAMIS – W-9 form only needed if the official, main address changes. **[MAP SHAPE 3]**
3. Verify change with vendor if County hasn't received formal written notice **[MAP SHAPE 3]**
4. Notify Finance for approval to change vendor file (iterative) if required. **[MAP SHAPE 4]**
5. Create contract amendment (may require new contract number). **[MAP SHAPE 5]**
6. If vendor number changes, may need to cancel all existing PO's. **[MAP SHAPE 5]**
7. Forward to purchasing supervisor in Central Purchasing (CP) for approval (CP has business rules for who needs to review amendments). **[MAP SHAPE 5]**
8. CP approves the amendment. Some amendments will have to be forwarded to vendor for signature. Most will not since the vendor requested the administrative change. **[MAP SHAPE 6]**
9. A copy of the amendment is sent to the Requesting Department (RD), the Department of Finance and the Vendor. **[MAP SHAPE 7, 8, 9]**

Triggers:

- ❑ Change of name or address of vendor
- ❑ Mergers and Buyouts of companies
- ❑ Additional business address for company

Key Process Participants:

- ❑ Finance
- ❑ Central Purchasing
- ❑ Vendor
- ❑ Requesting Department

Inputs:

Input	***Format***
Vendor notice	Manual
Return mail	Manual
Request for Contract Change	Manual

Outputs:

Output	***Format***
Amended contract	Manual

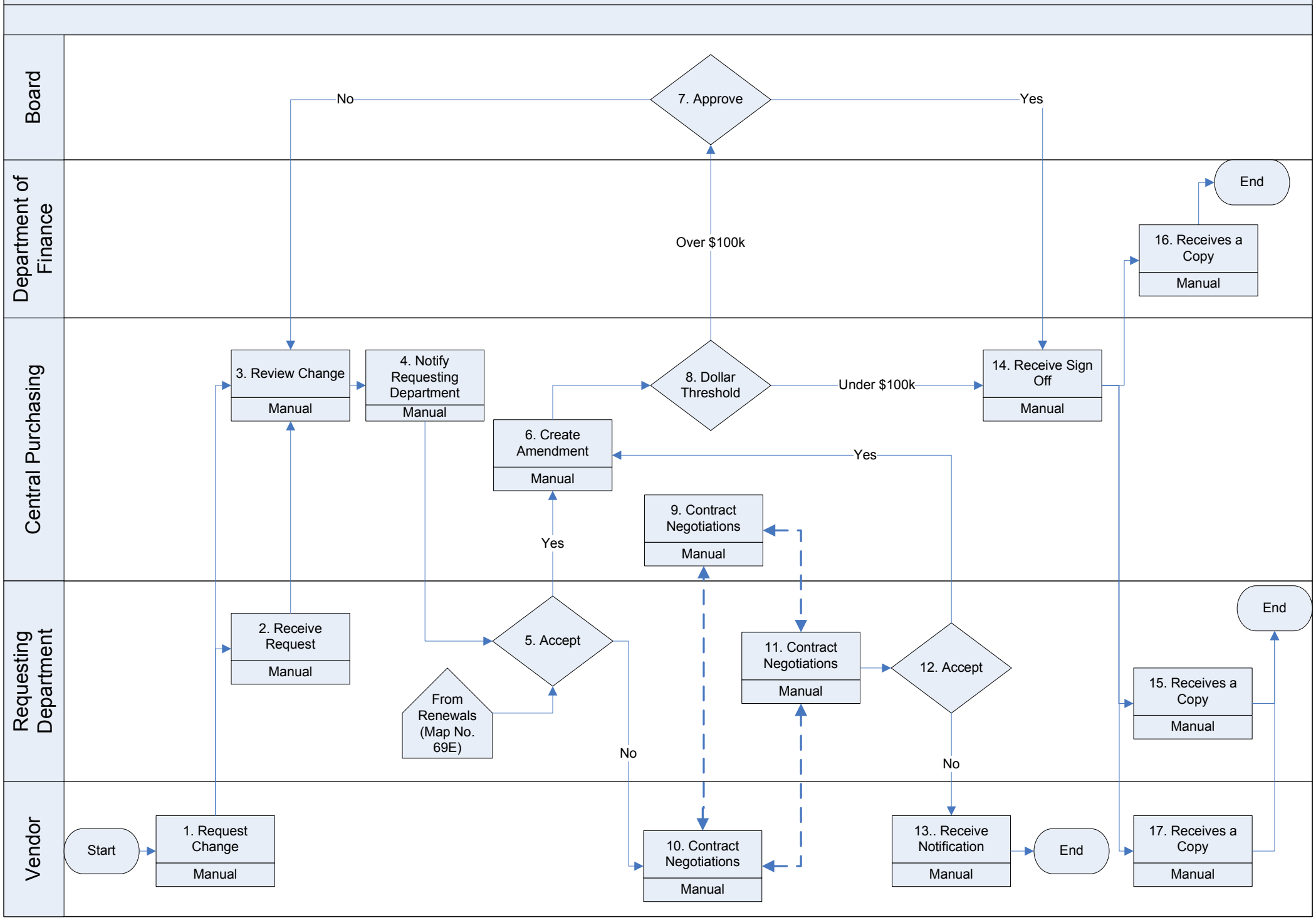
IT Support:

Application/System Name	***Technology Description***
ListServ	
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- o Purchasing Resolution

Contracting [FINAL] Map Name: CNTRT_MGMT_AMEND_PRICE
Sub-Process: Contract Management – Amendments (Price Change) Map No.: 69B



Process Name: Contracting	**Map Name:** CNTRT_MGMT_AMEND_PRICE
Sub-Process Name: Contract Management – Amendments (Price)	**Map No:** 69B

Sub-Process Purpose and Objectives: Amend contract as a result of price changes

Sub-Process Description:

1. Vendor identifies price change requirements and submits request for change to Central Purchasing (CP), or Requesting Department (RD). County may also discover price changes upon receipt of invoice from vendor. **[MAP SHAPE 1, 2, 3]**
2. CP reviews the change (look for justification and verify scope) and sends to RD. **[MAP SHAPE 3, 4]**
3. RD performs budget and acceptability check. If requested change is acceptable, CP creates the amendment. **[MAP SHAPE 5, 6]**
4. If the requested change is not acceptable, RD and CP negotiate with vendor – either amend (includes termination) or no change. **[MAP SHAPE 9, 10, 11]**

5a If negotiations are successful, CP creates the amendment. If not, the vendor is notified and the process ends. **[MAP SHAPE 6, 12, 13]**

5. Board has to see consulting or professional services amendments that result in a contract over $100K. Should the Board disapprove, CP will work with the RD and the Vendor as appropriate to resolve the issues. **[MAP SHAPE 7, 8]**
6. CP creates amendment routes it internally for approval and signature. Amendments changing prices are not signed by the Vendor, so once they are signed by CP they are distributed to DOF, RD and the Vendor. **[MAP SHAPE 6, 14, 15, 16, 17]**
7. Amendment distributed based on list (requesting department and department of finance). **[MAP SHAPE 13, 14, 15, 16]**

Triggers:

- ❑ Price change request
- ❑ Annual price escalation clause in contract

Key Process Participants:

- ❑ Vendor
- ❑ Requesting Dept
- ❑ Central Purchasing (Purchasing Agent)
- ❑ Board
- ❑ Finance

Inputs:

Input	***Format***
Invoice	Paper or electronic
Request for contract change	Paper or electronic

Outputs:

Output	***Format***
Amended Contract	Paper and electronic

IT Support:

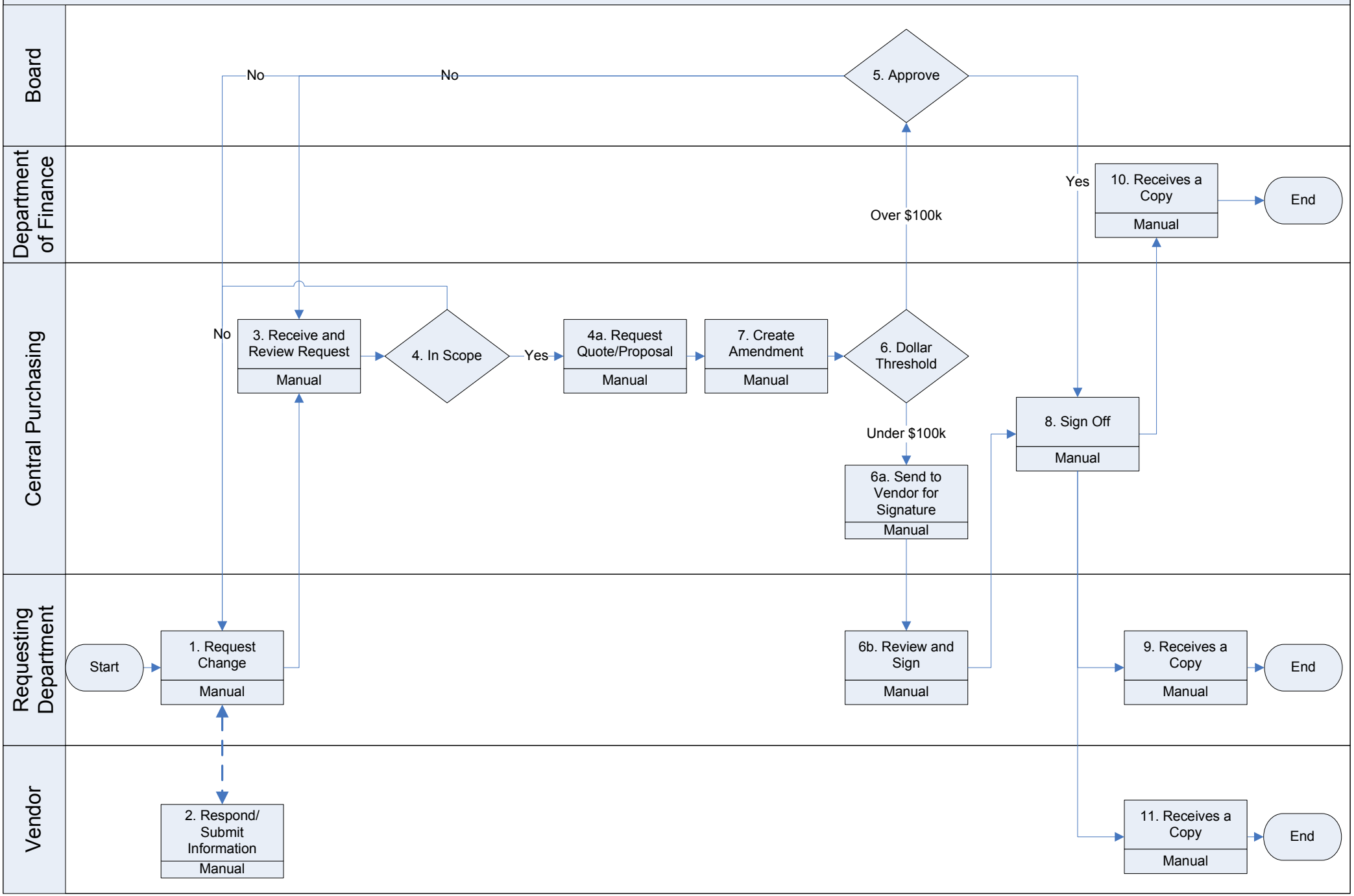
Application/System Name	***Technology Description***
ListServ	
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contract Management - Amendments (Changes to Items or Services)

Map Name: CNTRT_MGMT_AMEND_SCOPE
Map No.: 69C



Process Name: Contract Management	**Map Name:** CNTRT_MGMT_AMEND_SCOPE
Sub-Process Name: Contract Management – Amendments (Changes to Items or Services)	**Map No.:** 69C

Sub-Process Purpose and Objectives: Amend contract as a result of request for new or additional items, or change in scope

Sub-Process Description:

1. Requesting Department (RD) works with vendor to identify contract changes including prices and other information. Often CP is involved in these discussions. **[MAP SHAPE 1, 2]**
2. RD sends a request for a contract change to Central Purchasing (CP). **[MAP SHAPE 3]**
3. CP verifies scope. **[MAP SHAPE 4]**
4. If in scope, amendment is created and routed for approval. If a quote was not obtained from the vendor at the beginning of the process, CP will obtain a quote from the vendor and determine that the quote is acceptable to the RD before creating the amendment. **[MAP SHAPE 7, 4a]**
5. If amendment consulting or professional services results in contract over $100k, board approval is required. **[MAP SHAPE 5, 6]**
6. If not in scope or board does not approve – returned to RD for resolution with CP and Vendor. **[MAP SHAPE 4, 5]**

6a. If the amendment results in contract less the $100k, CP sends the amendment to the Vendor for signature. **[MAP SHAPE 6a, 6b]**

7. CP signs the amendment after the vendor signs it and sends copies of the amendments to the RD, DOF, and the Vendor. **[MAP SHAPE 8, 9, 10, 11]**

Triggers:

- ❑ Scope change
- ❑ Additional items

Key Process Participants:

- ❑ Requesting Department
- ❑ Central Purchasing
- ❑ Vendor
- ❑ Finance
- ❑ Board

Inputs:

Input	*Format*
Item/Service data	

Outputs:

Output	*Format*
Amended contract	

IT Support:

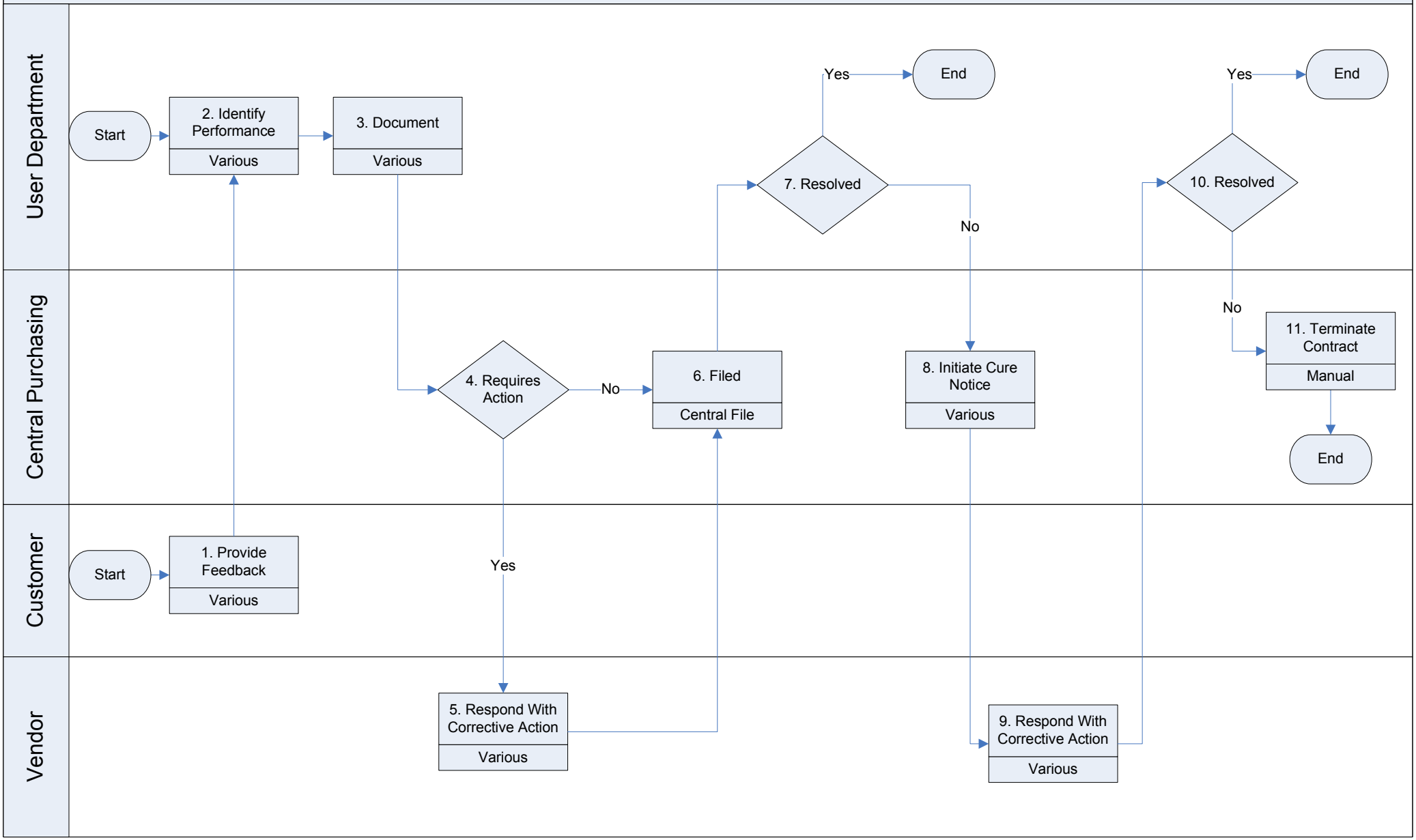
Application/System Name	*Technology Description*
ListServ	
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contract Management – Track Vendor Performance

Map Name: CNTRT_MGMT_PERF
Map No.: 69D



Process Name: Contracting	**Map Name:** CNTRT_MGMT_PERF
Sub-Process Name: Contract Management – Track Vendor Performance	**Map No.:** 69D

Sub-Process Purpose and Objectives: Track and report vendor performance

Sub-Process Description:

1. Customers provide feedback on vendors via a variety of means. **[MAP SHAPE 1]**
2. User department identifies and documents vendor performance (various methods and levels of detail) **[MAP SHAPE 2, 3]**
3. Central Purchasing receives and creates documentation as needed. **[MAP SHAPE 4,6]**
4. If action is required, Central Purchasing notifies vendor **[MAP SHAPE 5]**
5. Vendor provides response with corrective action **[MAP SHAPE 5, 6]**
6. User department determines whether or not the issue is resolved. This cycle of notification, response, and evaluation is iterative, and generally gets more formal over time and multiple iterations. **[MAP SHAPE 7]**
7. If not resolved, Central Purchasing issues cure notice to vendor **[MAP SHAPE 8]**
8. Vendor responds to cure notice with corrective action **[MAP SHAPE 9]**
9. User department determines whether or not the issue is resolved. **[MAP SHAPE 10]**
10. If not resolved, contract is terminated **[MAP SHAPE 11]**

Triggers:

- ❑ Vendor performance

Key Process Participants:

- ❑ Customer(s)
- ❑ User Department
- ❑ Central Purchasing
- ❑ Vendor

Inputs:

Input	*Format*
Customer feedback	Various
Departmental documentation	Various

Outputs:

Output	*Format*
Vendor documentation file	Manual

IT Support:

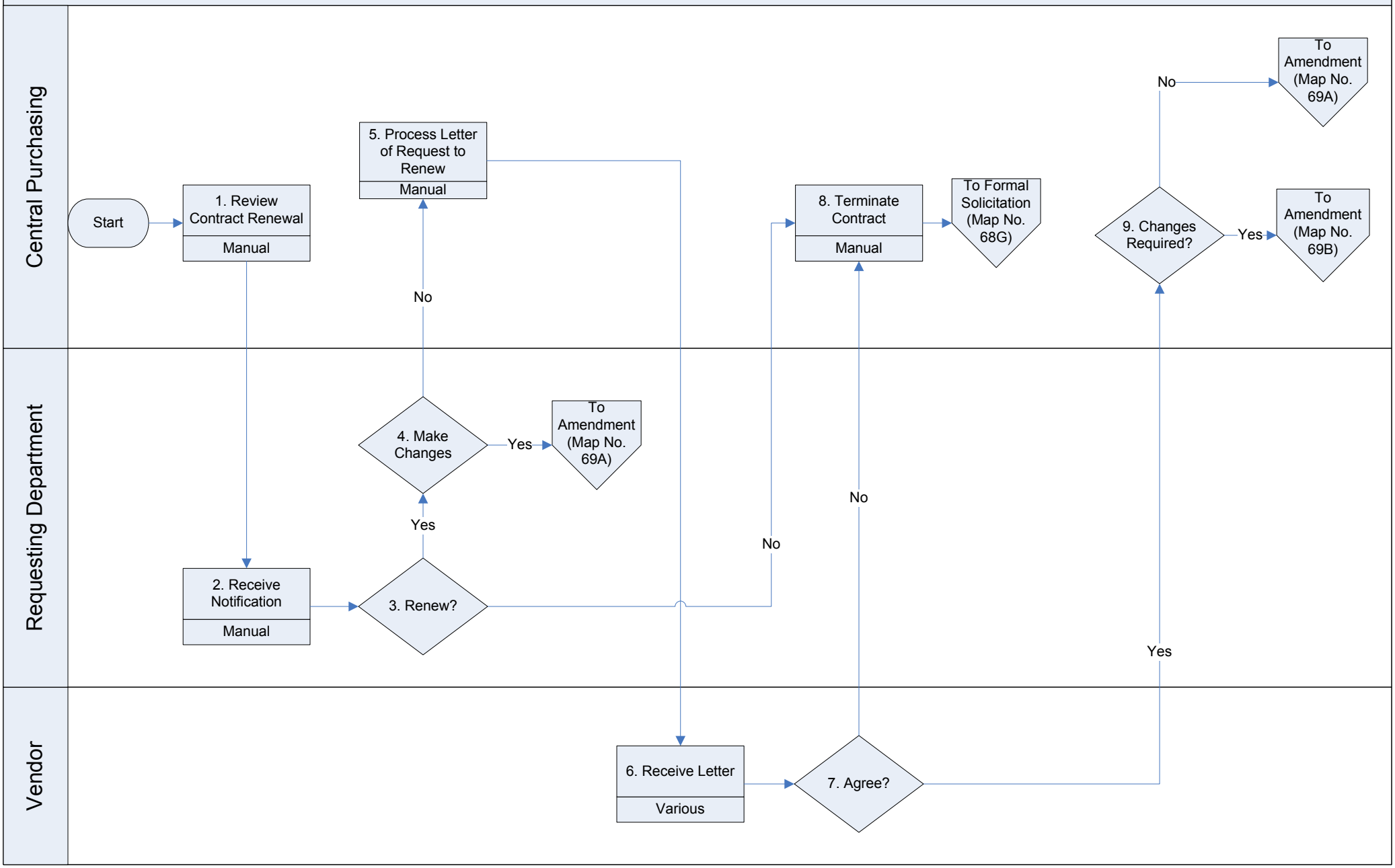
Application/System Name	*Technology Description*
CRTS	Human Services provider tracking

Regulations:

- o Purchasing Resolution

Contracting [FINAL]
Sub-Process: Contract Management – Renewals

Map Name: CNTRT_MGMT_RENEW
Map No.: 69E



Process Name: Contract Management	**Map Name:** CNTRT_MGMT_RENEW
Sub-Process Name: Contract Management – Renewals	**Map No:** 69E

Sub-Process Purpose and Objectives: Amend contract to process periodic renewal.

Sub-Process Description:

1. CP monitors renewal period, and notifies department up to 180 days in advance of a contract expiring. **[MAP SHAPE 1]**
2. Department notifies purchasing what they want to do (may include item, price changes, etc. if known) **[MAP SHAPE 2,3,4]**
3. If renewal is desired, CP sends a letter of request to renew to vendor. Letter may include price and/or item changes. **[MAP SHAPE 5]**
4. Vendor either accepts, or may request changes based on items, prices (not scope). **[MAP SHAPE 6, 7]**
5. If there are additional changes (beyond the renewal itself, typically price changes), go to the amendment process map (price change). If there are no additional changes required, go to the amendment process (administrative change) to create the renewal amendment. **[MAP SHAPE 7, 9]**
6. If the vendor does not agree to renew, then the contract is terminated and the solicitation process would need to start to establish a new contract. **[MAP SHAPE 8]**

Triggers:

- ❑ Six months prior to renewal period

Key Process Participants:

- ❑ Department
- ❑ Central Purchasing
- ❑ Vendor

Inputs:

Input	*Format*
Original contract	Paper or electronic

Outputs:

Output	*Format*
Renewed contract	Paper or electronic

IT Support:

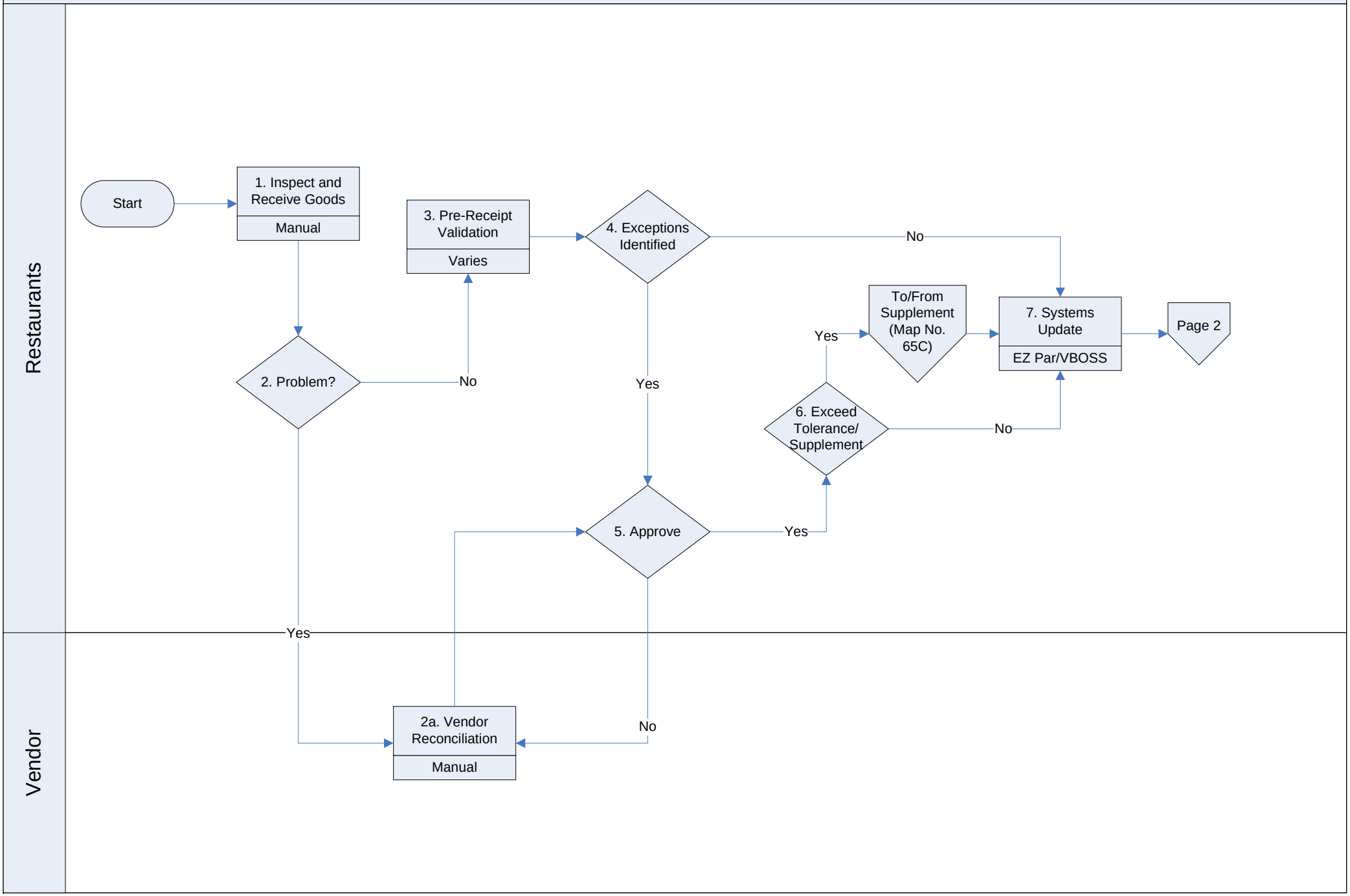
Application/System Name	*Technology Description*
IQ	Solicitation/Contract Workflow Management
Laserfiche	Solicitation/Contract Document Repository
CASPS/iCASPS	County and Schools procurement system (Walker Interactive Software)

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Inventory Receiving – School Cafeteria (Restaurants) Receiving

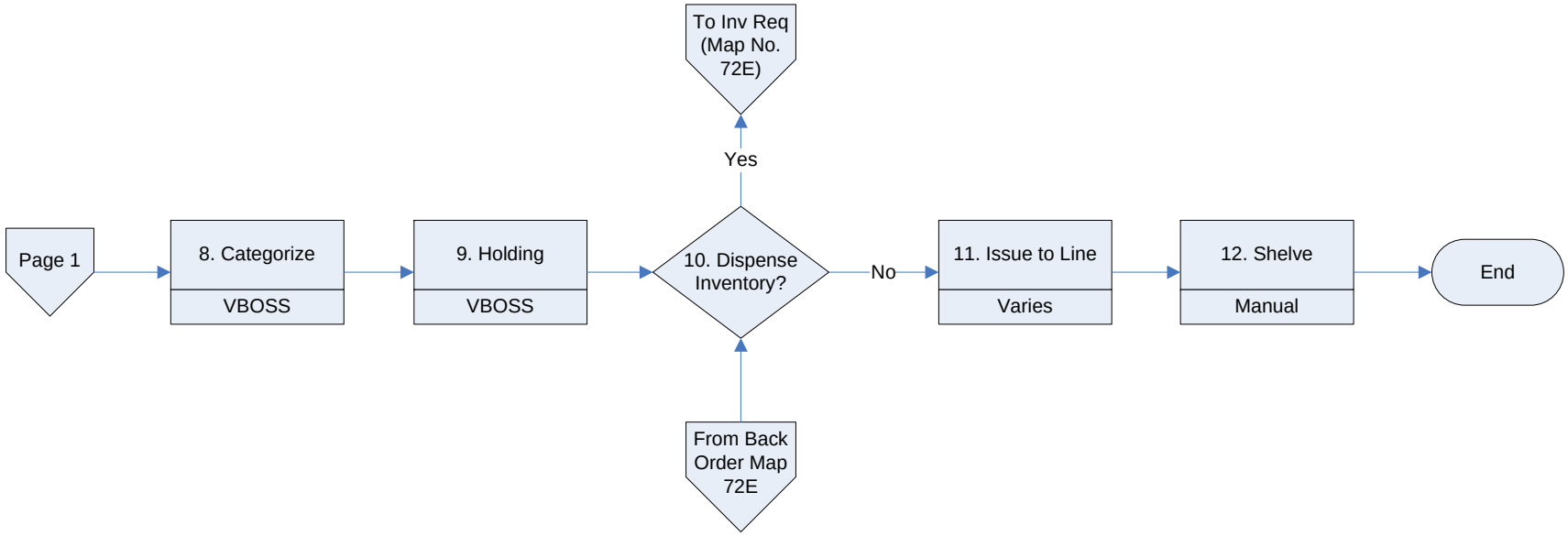
Map Name: INV_REC_REST
Map No.: 70A (Page 1)



Inventory/Warehouse Management [FINAL]
Sub-Process: Inventory Receiving – School Cafeteria (Restaurants) Receiving

Map Name: INV_REC_REST
Map No.: 70A (Page 2)

Restaurants



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_REC_REST
Sub-Process Name: Inventory Receiving – School Cafeteria (Restaurants) Receiving	**Map Number:** 70A

Sub-Process Purpose and Objectives: Receive inventory for school restaurants

Sub-Process Description

1. The School restaurants receive and initially inspect the goods. **[MAP SHAPE 1]**
2. If there is a problem with the goods (e.g., damaged), it is reconciled with the vendor as needed (e.g., refusal, return, etc.). **[MAP SHAPE 2, 2a]**
3. If there are no problems with the goods, then the order is validated. Each restaurant uses a different method to validate the order (e.g., pre-receipting). **[MAP SHAPE 2, 3]**
4. If an exception is identified (i.e., overages, shortages, or substitutions) then it requires approval by a supervisor. If there is no exception, the restaurant updates VBOSS and EZ Par. **[MAP SHAPE 4, 5, 7]**
5. If there is an exception and it is not approved, then it is reconciled with the vendor as needed. **[MAP SHAPE 4, 5, 2a]**
6. If there is an exception and the order is approved, then the order is reviewed to determine if it exceeds pre-determined tolerance levels (there are some orders that are not permitted overage tolerances levels, which will require a supplement). **[MAP SHAPE 4, 5, 6]**
7. If the order exceeds allowable tolerance levels and/or requires a supplement then it enters the *(Supplement Process, Map 65C)*. **[MAP SHAPE 6]**
8. If the order does not exceed the tolerance levels or does not require a supplement, then the restaurant updates the VBOSS and EZ Par with the received and validated goods. **[MAP SHAPE 6, 7]**
9. Once the system is updated, the restaurant categorizes the inventory within VBOSS and the inventory goes into holding. **[MAP SHAPE 8, 9]**
10. If they decide to dispense the inventory (e.g., fulfill back orders that are queued up from Inventory Request Map 72E), they initiate the (*Picking/Pulling Process, Inventory Request Map 72E*). **[MAP SHAPE 10]**
11. If inventory does not need to be dispensed immediately, it is issued to line and then shelved ending the process. **[MAP SHAPE 10, 11, 12]**

Triggers:

- ❑ Goods are delivered

Key Process Participants:

- ❑ Vendor
- ❑ Restaurant
  - School Restaurants
  - Supervisor
  - Food Services Central Restaurant

Inputs:

Input	*Format*
Goods	Physical

Outputs:

Output	*Format*
Available inventory	Physical

IT Support:

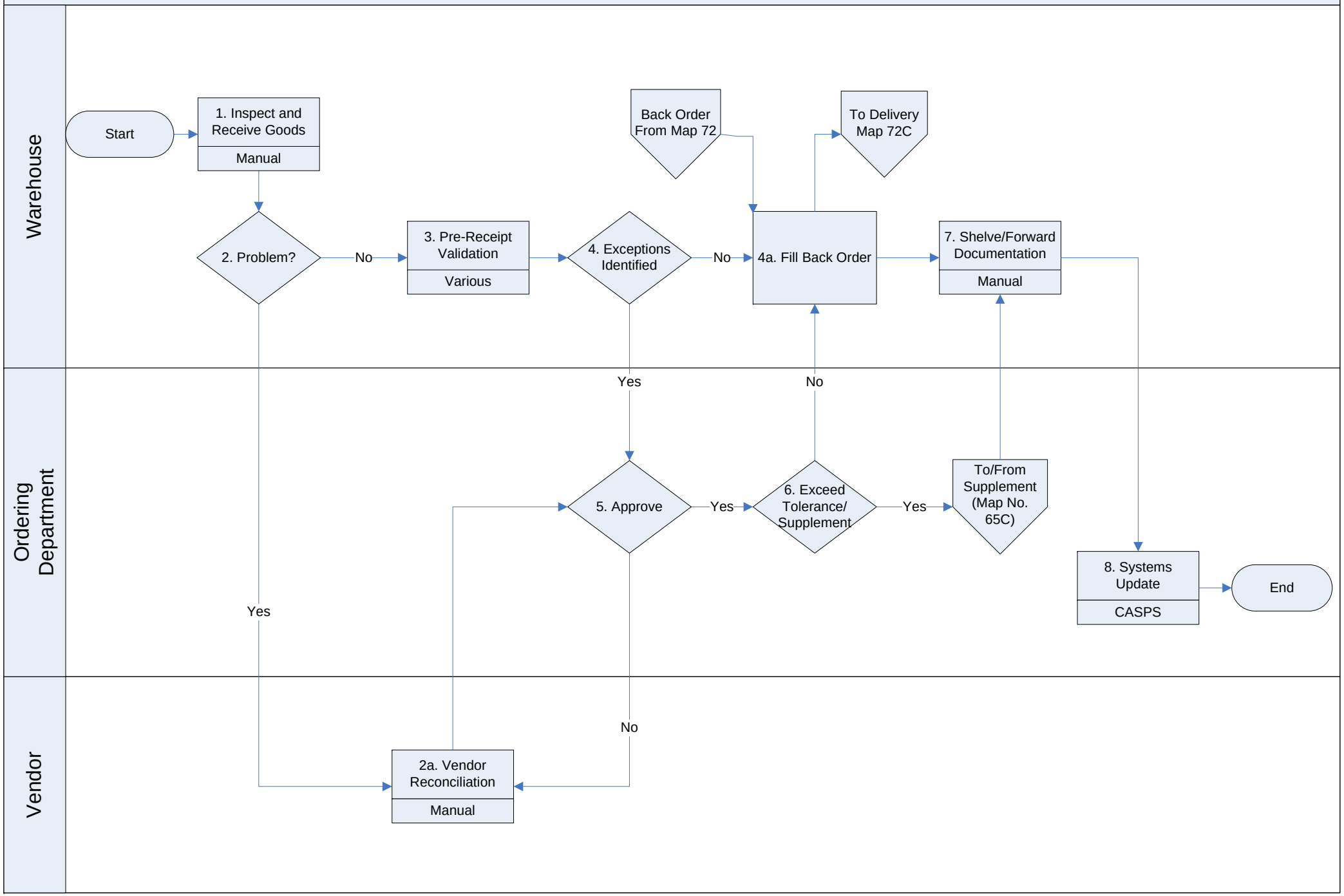
Application/System Name	*Technology Description*
VBOSS	Food Services inventory system
EZ Par	Food Services revenue system

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Inventory Receiving – Central Receiving

Map Name: INV_REC_CENT
Map No.: 70B



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_REC_CENT
Sub-Process Name: Inventory Receiving – Central Receiving	**Map Number:** 70B

Sub-Process Purpose and Objectives: Receive inventory at the central warehouse

Sub-Process Description

1. Central Warehouse receives and initially inspects the goods. **[MAP SHAPE 1]**
2. If there is a problem with the good (e.g., damaged), the Ordering Department reconciles with the vendor as needed (e.g., refusal, return, etc.). (Schools Warehouse) In some inventory accounts, the Ordering Department and the Warehouse are one and the same. **[MAP SHAPE 2, 2a]**
3. If there are no problems with the goods, then the order is validated. Each warehouse uses a different method to validate the order (e.g., pre-receipting). **[MAP SHAPE 2, 3]**
4. If an exception is identified (i.e., overages, shortages, or substitutions) then it is subject to approval by the Ordering Department. If it is not approved, then it is reconciled with the vendor as needed. If the exception is approved, then the order is reviewed for tolerance levels and supplement requirements. **[MAP SHAPE 4, 5, 6, 2a]**
5. If the order exceeds pre-determined tolerance levels and/or requires a supplement then it enters the (*Supplement Process, Map 65C*). If the order does not exceed the tolerance levels or does not require a supplemental, then Central Warehouse fills any Back Orders in the queue and sends them to Delivery (Map 72C) or shelves the items and forwards the documentation to the Ordering Department to update CASPS. If a supplement is required, the shelving and systems update steps begin once the supplement has been created and approved. **[MAP SHAPE 6, 7, 8, 4a]**
6. If there is no exception, then Central Warehouse shelves the items and forwards the documentation to the Ordering Department to update CASPS. **[MAP SHAPE 4, 7, 8]**

NOTE: The Ordering Department does not wait on the Warehouse to shelve the items before they update the system

Triggers:
- ❑ Goods are delivered

Key Process Participants:
- ❑ Central Warehouse
- ❑ Ordering Department
- ❑ Vendor

Inputs:

Input	*Format*
Goods	Physical

Outputs:

Output	*Format*
Available inventory	Physical

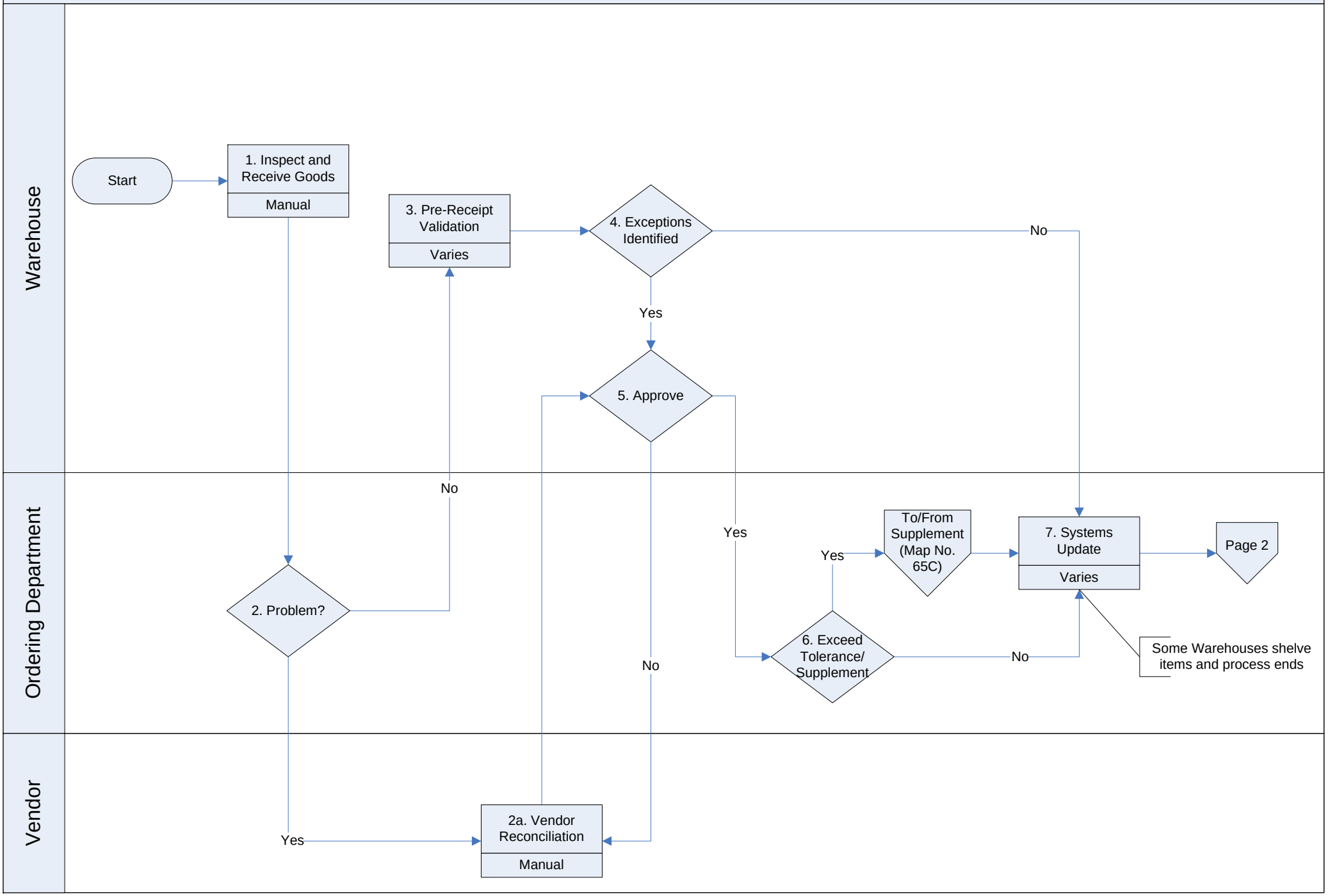
IT Support:

Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system

Regulations:
- o Purchasing Resolution

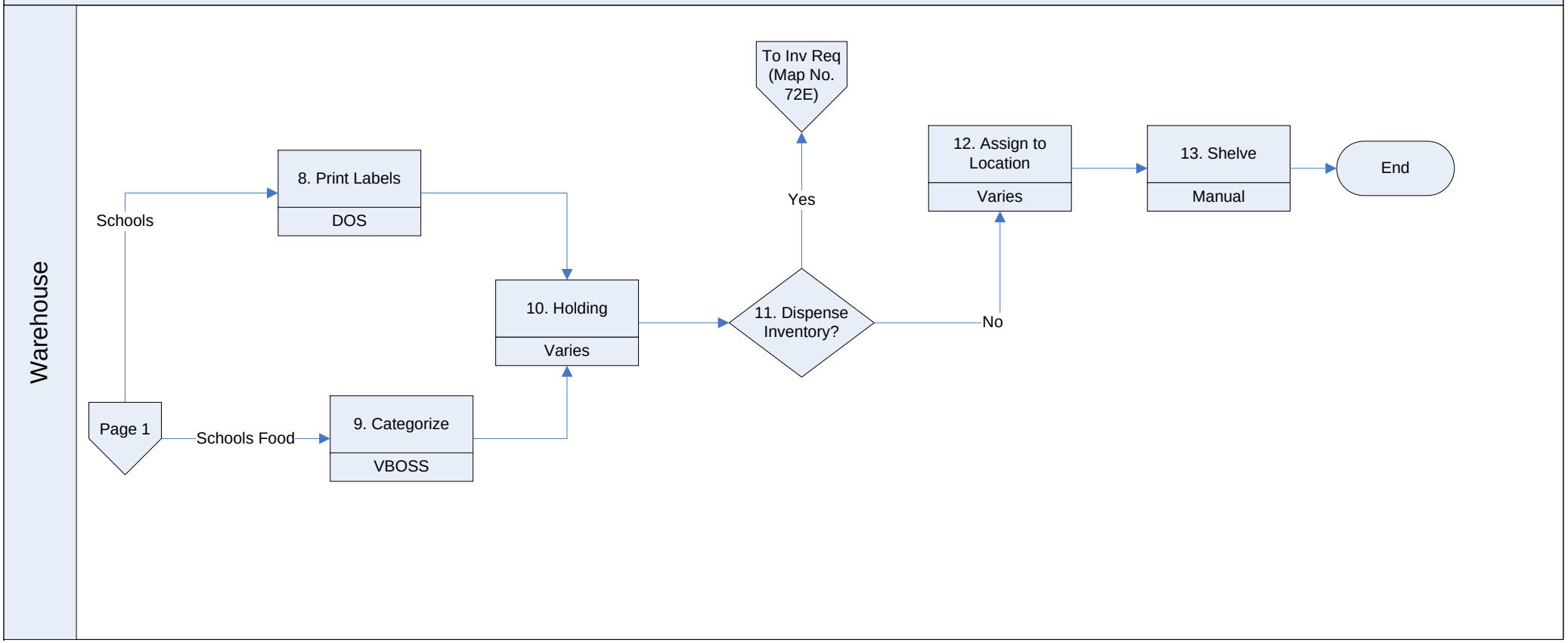
Inventory/Warehouse Management [FINAL]
Sub-Process: Inventory Receiving – Other

Map Name: INV_REC_OTHER
Map No.: 70C (Page 1)



Inventory/Warehouse Management [FINAL]
Sub-Process: Inventory Receiving – Other

Map Name: INV_REC_OTHER
Map No.: 70C (Page 2)



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_REC_OTHER
Sub-Process Name: Inventory Receiving – Other	**Map Number:** 70C

Sub-Process Purpose and Objectives: Receive inventory for all warehouses except for the central warehouse and school restaurants

Sub-Process Description

1. The various warehouses receive and initially inspect the goods. **[MAP SHAPE 1]**
2. If there is a problem with the good (e.g., damaged), the Ordering Department reconciles with the vendor as needed (e.g., refusal, return, etc.). (Schools Warehouse) **[MAP SHAPE 2, 2a]**
3. If there are no problems with the goods, then the order is validated. Each warehouse uses a different method to validate the order (e.g., pre-receipting). **[MAP SHAPE 2, 3]**
4. If an exception is identified (i.e., overages, shortages, or substitutions), it requires approval by the Ordering Department/Supervisor. If there is no exception, then the warehouse updates their respective systems. (Schools Warehouse) **[MAP SHAPE 4, 5, 7]**
5. If there is an exception and it is not approved, then it is reconciled with the vendor as needed. If there is an exception and the order is approved, then the order is reviewed to determine if it exceeds pre-determined tolerance levels (there are some orders that are not permitted overage tolerances levels, which will require a supplement). If the order exceeds allowable tolerance levels and/or requires a supplement, then the Ordering Department creates a supplement and the systems are updated after the *Supplement Process, Map 65C* is complete. **[MAP SHAPE 4, 5, 6, 7]**
6. If the order does not exceed the tolerance levels or does not require a supplement, then the warehouse updates the various systems with the received and validated goods. **[MAP SHAPE 6, 7]**
7. Once the system is updated, Schools prints labels and the Schools Food Services categorizes the inventory within VBOSS. In both cases, the inventory goes into holding and they decide to dispense inventory (e.g., fulfill back orders) (*Picking/Pulling Process, Inventory Request Map 72E*). **[MAP SHAPE 8, 9, 10, 11]**
8. If inventory does not need to be dispensed immediately, it is assigned to a location and then shelved and the process ends. **[MAP SHAPE 11, 12, 13]**

Note: Non-Schools/Schools Food Services warehouses (e.g., DVS) shelve the goods before they process, validate the order within the system, and end the process.

Triggers:

- ❑ Goods are delivered

Key Process Participants:

- ❑ Vendor
- ❑ Ordering Department
- ❑ Warehouse
  - County Warehouses
  - School Warehouses
  - Supervisor
  - Schools Food Services Central Warehouse

Inputs:

Input	***Format***
Goods	Physical

Outputs:

Output	***Format***
Available inventory	Physical

IT Support:

Application/System Name	***Technology Description***

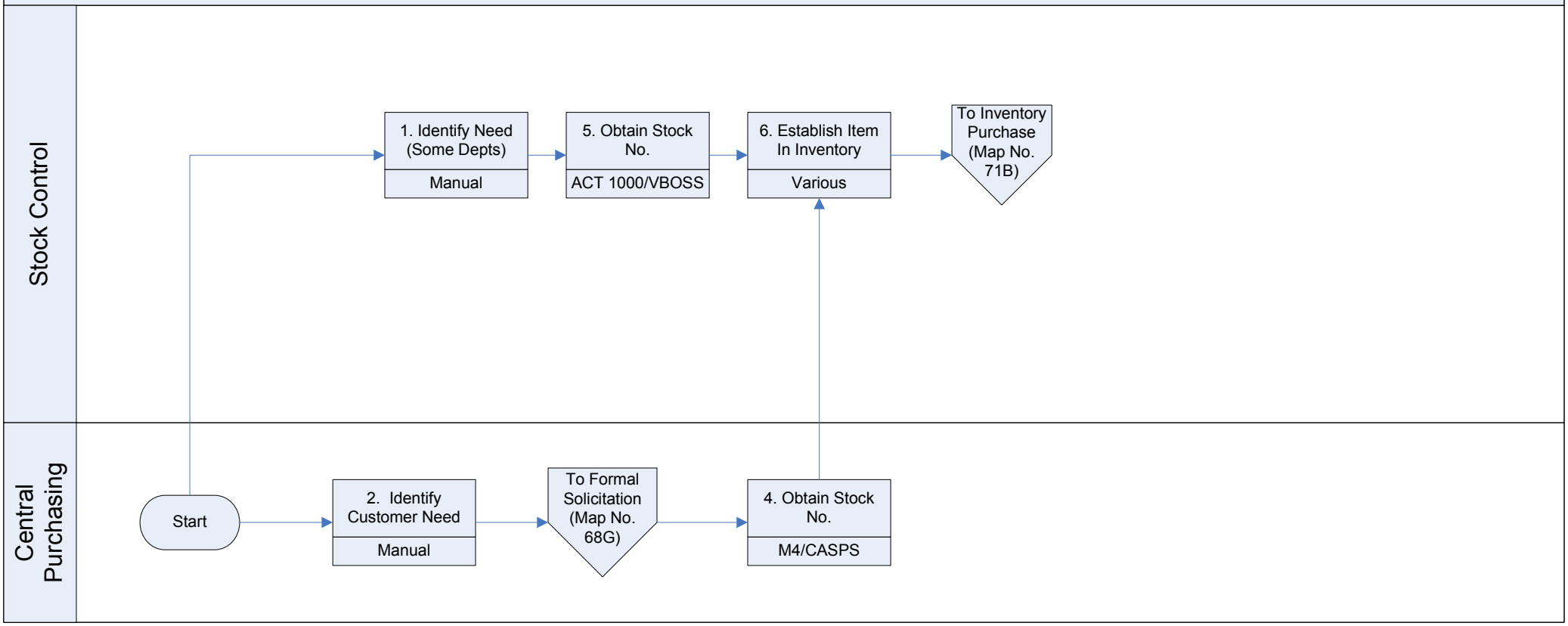
CASP	County and School purchasing system
VBOSS	Food Services inventory system
DOS	Label printing system
Web PO	Homegrown inventory receiving application that bolts on to the ACT 1000 system
M4	Department of Vehicle Services
EZ Par	Food Services revenue system

Regulations:

- Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Inventory Purchases – Establish New Item

Map Name: INV_PUR_NEW_ITEM
Map No.: 71A



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_PUR_NEW_ITEM
Sub-Process Name: Inventory Purchases – Establish New Item	**Map Number:** 71A

Sub-Process Purpose and Objectives: Establish new inventory items in the system

Sub-Process Description:

1. Stock Control or Central Purchasing identifies the need to establish a new inventory item. If a contract for the item(s) is needed and not available the formal solicitation is launched to select a supplier and establish a contract. **[MAP SHAPE 1, 2]**
2. Stock Control or Central Purchasing obtains a stock number for the new item (such as FCIN). Stock numbers can come from an existing contract, Central Purchasing, ACT 1000, or VBOSS depending on the inventory account that is involved. **[MAP SHAPE 4, 5]**
3. Stock Control establishes the item in their respective inventory system. Includes item description, contract number/requirements, vendor catalog, expiration date, shelf life, hazardous materials info, material line codes (seasonal item, etc.), min/max, ordering points for item and the initial order quantity. **[MAP SHAPE 6]**
4. Once the item has been established in the inventory account, it can be ordered via the *Inventory Purchase Process Map 71B.*

Triggers:

- ❑ Need identified

Key Process Participants:

- ❑ Warehouse
- ❑ Central purchasing

Inputs:

Input	*Format*
New Inventory	Manual

Outputs:

Output	*Format*
Stock number (FCIN)	10 digit code
Inventory item	Various

IT Support:

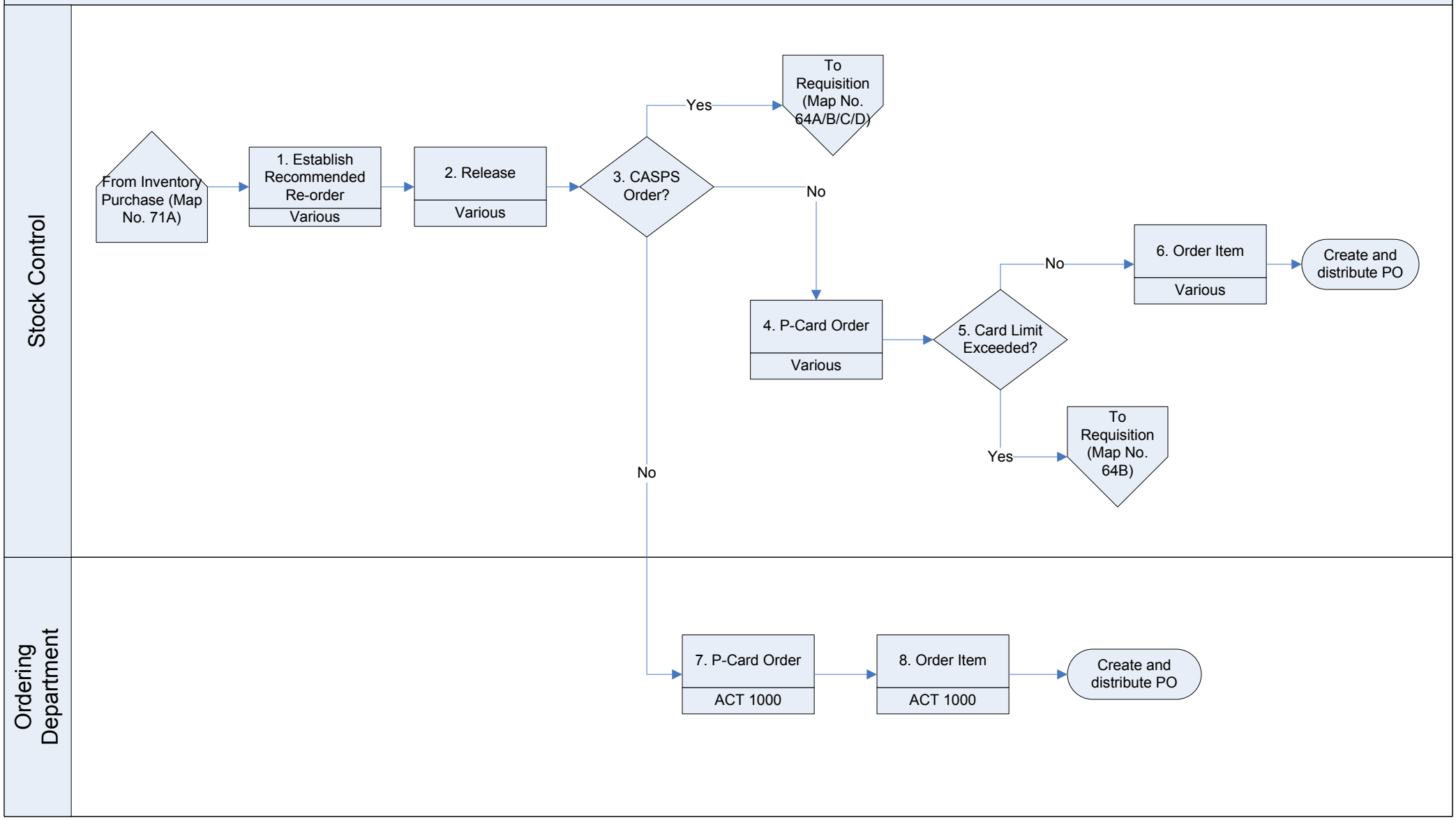
Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system
Maximus – M4	DVS (Department of Vehicle Services) Fleet Management application
VBOSS	Food Services inventory management application
ACT 1000	Facilities and Transportation Services inventory management application

Regulations:

- o Purchasing resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Inventory Purchases – Ordering Stock

Map Name: INV_PUR_ORD_STCK
Map No.: 71B



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_PUR_ORD_STCK
Sub-Process Name: Inventory Purchases – Ordering stock	**Sub-Process Identifier**: 71B

Sub-Process Purpose and Objectives:

Sub-Process Description:

1. Stock Control establishes recommended reorder with two methods: 1) Manually add new item and quantity to system generated reorder list; 2) Use system generated replenishment order for existing items. This list is automatic based on system settings (min/max, stock goal, etc.). **[MAP SHAPE 1]**
2. Stock Control reviews the order, edits if necessary, and releases the recommended order. **[MAP SHAPE 2]**
3. If it is a CASPS order, then it is subject to the Requisition approval process. (*Map 64A, 64B, 64C, or 64D* depending on the value of the requisition). **[MAP SHAPE 3]**
4. If it is a P-Card order (non CASPS), Stock Control places the order via credit card and creates a PO out of M4, Act 1000, or OPS system which are tied to the inventory system. **[MAP SHAPE 3, 4, 7, 8]**
5. If the P-Card purchase exceeds the credit card limit, then it is subject to a CASPS purchase requisition (*Map 64B*). **[MAP SHAPE 5]**
6. If the P-Card purchase is under the limit, the items are ordered and the PO is created and distributed to vendors. **[MAP SHAPE 5, 6]**

[Exception: For DVS, if M4 purchase goes over P-Card limit, a new purchase order must be initiated via CASPS.]

Triggers:

- ❑ Establish recommended order

Key Process Participants:

- ❑ Warehouse
- ❑ Ordering Department

Inputs:

Input	*Format*
Initial Order	Manual
Recommended Order	Manual

Outputs:

Output	*Format*
PO	EDI or paper

IT Support:

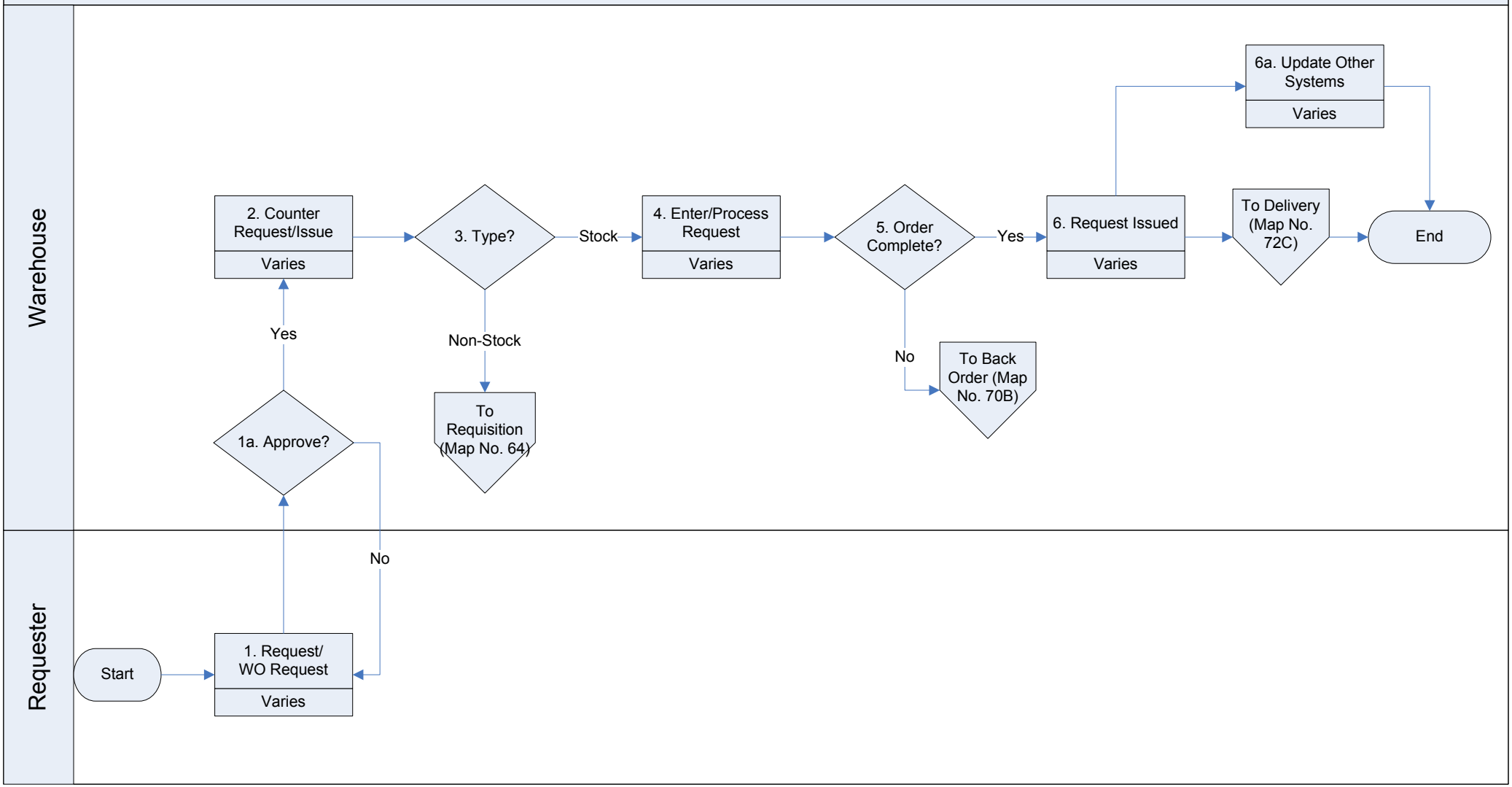
Application/System Name	*Technology Description*
ACT 1000	Work Oder mgmt with inventory management module
VBOSS	Food Services inventory management application
CASPS / iCASPS	County and Schools purchasing system
MAXIMUS M4	Fleet management software that has inventory management module

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Issuance/Distribution – Counter Issues

Map Name: INV_ISSUE_COUNTER
Map No.: 72A



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_ISSUE_COUNTER
Sub-Process Name: Issuance/Distribution – Counter Issues	**Map Number:** 72A

Sub-Process Purpose and Objectives: Issue inventory from stock

Sub-Process Description

1. A department or Requester issues a request for inventory via paper forms and e-mail. **[MAP SHAPE 1]**
2. The Warehouse receives the counter request/issue (generally a paper form or email) and in some warehouses subjects the request to an approval. If disapproved, the requester is advised of the rejection. If approved the warehouse determines whether the item(s) is in stock. **[MAP SHAPE 1a, 2, 3]**
3. If the item(s) is not in stock, the appropriate Requisition Process, based upon the value of the request, is initiated (Map 64A, 64B, 64c, 64D). If the item is in stock, the Warehouse enters the request into their respective system(s) and processes the request/order. Some warehouse print counter issue tickets, others prepare pick lists. Sometimes delivery labels are printed. **[MAP SHAPE 3, 4]**
4. If the order is not complete, they have the option to only partially fulfill the order and/or initiate a Back Order for fulfillment during the Inventory Receiving process (*Map 70B*). **[MAP SHAPE 5]**
5. If the order is completed, the request is closed or considered issued, systems are updated, and they initiate the Delivery Process (*Map 72C* for Schools-OPS) and Update Systems. **[MAP SHAPE 5, 6, 6a]**

Triggers:

- ❑ Requester issues a request for inventory items

Key Process Participants:

- ❑ Warehouse
- ❑ Requester

Inputs:

Input	*Format*
Counter Request	Various

Outputs:

Output	*Format*
Completed Order	Various

IT Support:

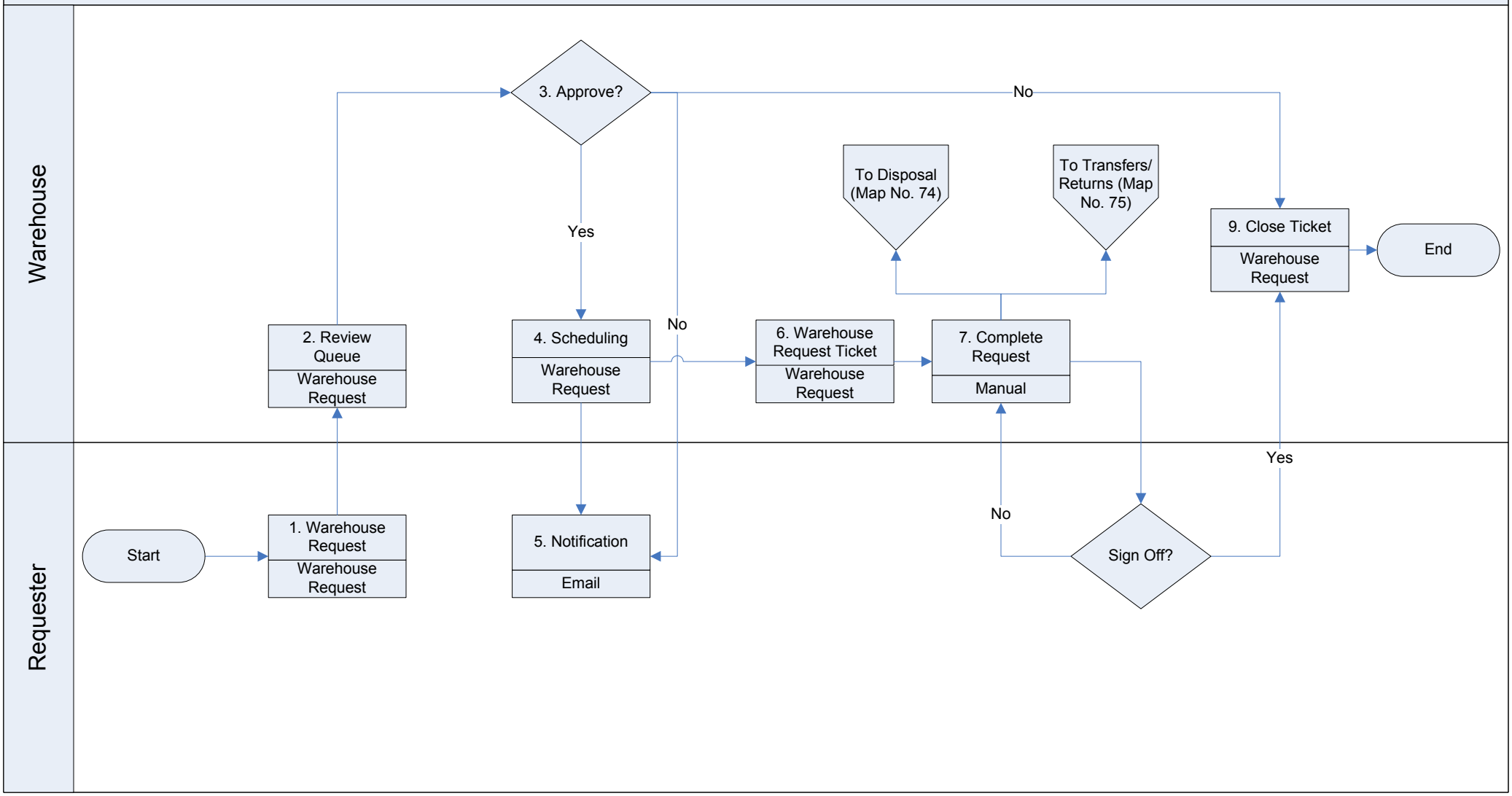
Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system
FAS Gov	Asset management application
MP2	Work order management system

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Issuance/Distribution – Warehouse Job Requests

Map Name: INV_ISSUE_JOB
Map No.: 72B



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_ISSUE_JOB
Sub-Process Name: Issuance/Distribution – Warehouse Job Requests	**Map Number:** 72B

Sub-Process Purpose and Objectives: Issue job and warehouse requests from stock

Sub-Process Description

1. A department or Requester selects and submits a warehouse request via the online Warehouse Request application. **[MAP SHAPE 1]**
2. Warehouse distribution reviews the request queue daily and decides to approve or reject the request. **[MAP SHAPE 2, 3]**
3. If the request is rejected, the Warehouse notifies the Requester and closes the ticket. **[MAP SHAPE 3, 5, 9]**
4. If the request is approved, Warehouse schedules the request and emails the Requester. **[MAP SHAPE 3, 4]**
5. The Requester receives e-mail notification that the request has been approved/rejected. **[MAP SHAPE 5]**
6. The Warehouse prints the warehouse request ticket and fulfills the request. **[MAP SHAPE 6, 7]**
7. If there is a problem with the item(s) delivered (damaged, wrong item, etc.), the delivery is rejected and the warehouse takes appropriate steps to correct the discrepancy. Corrective action may involve the Disposal Process (*Map74)* or the Transfers/Returns Process (*Map 75*). Once the request is completed (i.e., pick-up, delivery, drop-off, receipt, returns, etc.) the Warehouse obtains a signature (sign-off) from the Requester and closes the ticket.**[MAP SHAPE 8, 9]**

Triggers:

- ❑ Requester issues a request for warehouse items

Key Process Participants:

- ❑ Warehouse
- ❑ Requester

Inputs:

Input	*Format*
Warehouse Request	Warehouse Request

Outputs:

Output	*Format*
Completed Order	

IT Support:

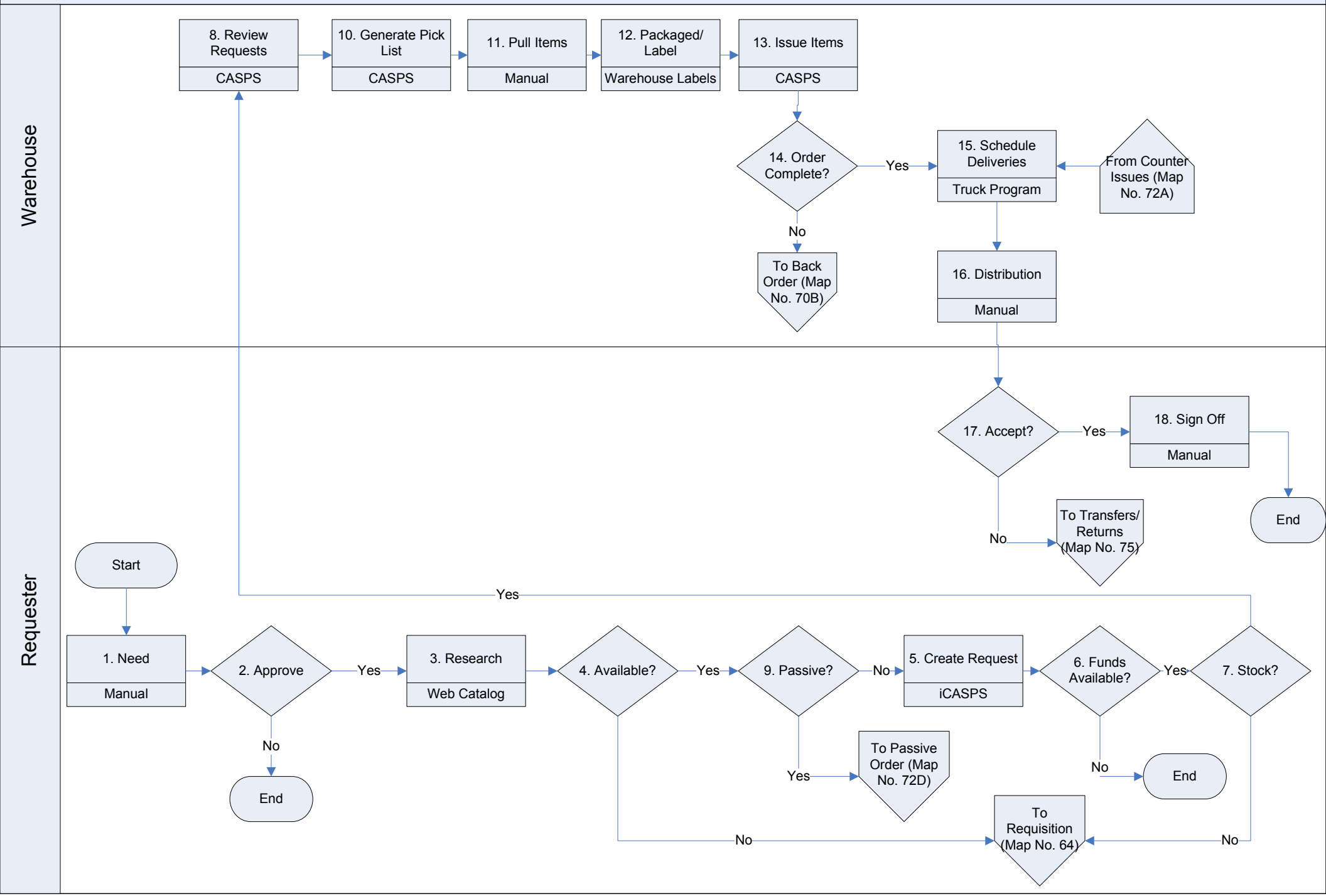
Application/System Name	*Technology Description*
Warehouse Request	Web-based request program

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Issuance/Distribution – Inventory Requests

Map Name: INV_ISSUE_INV_REQ
Map No.: 72C



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_ISSUE_REQ
Sub-Process Name: Issuance/Distribution – Inventory Requests	**Map Number:** 72C

Sub-Process Purpose and Objectives: Issue inventory requests from schools

Sub-Process Description

1. A Requester identifies the need and obtains approval to proceed. If the request is rejected, the process ends. **[MAP SHAPE 1, 2]**
2. If the request is approved, the Requester researches the Warehouse Web Catalog. If the item(s) is not available, they must initiate the Purchase Requisition Process. **[MAP SHAPE 2, 3, 4]**
3. If the item(s) is available, the Requester determines if the item is in the Passive Inventory and enters the Passive Order Process (Map 72D) if it is. If the item is not in the Passive Inventory, the Requester creates the requests in iCASPS and also verifies if funds are available (direct interface with FAMIS). If funds are not available, the process ends. **[MAP SHAPE 4, 9, 5, 6]**
4. If funds are available but the item is not in stock, CASPS initiates the Purchase Requisition Process. If funds are available and the item is in stock, the request is sent to Warehouse for issue. Reports and online views are available in CASPS. **[MAP SHAPE 6, 7, 8]**
5. If the request is determined to be a Passive Request, then they initiate the Passive Request Process. **[MAP SHAPE 9]**
6. If the request is not a Passive Request, then Warehouse generates a pick list in CASPS, physically pulls and packages the item, and issues the items (prints the delivery ticket). **[MAP SHAPE 10, 11, 12, 13]**
7. If the order is not complete because items were not in inventory, the warehouse initiates the Back Order Process (*Map 70B*). **[MAP SHAPE 14]**
8. If the order is complete, Warehouse schedules delivery of the items (i.e., upload the data for the run sheet in the Truck Program) and send the items to distribution. **[MAP SHAPE 14, 15, 16]**
9. Once the order is delivered, if it is acceptable, the Requester signs off on the delivery of the order, otherwise the Requester initiates the Transfer/Return Process (*Map 75C or 75D*). **[MAP SHAPE 17, 18]**

Triggers:

- ❑ Requester issues a request for warehouse items

Key Process Participants:

- ❑ Warehouse
- ❑ Requester

Inputs:

Input	*Format*
Inventory Request	CASPS

Outputs:

Output	*Format*
Completed Order	CASPS

IT Support:

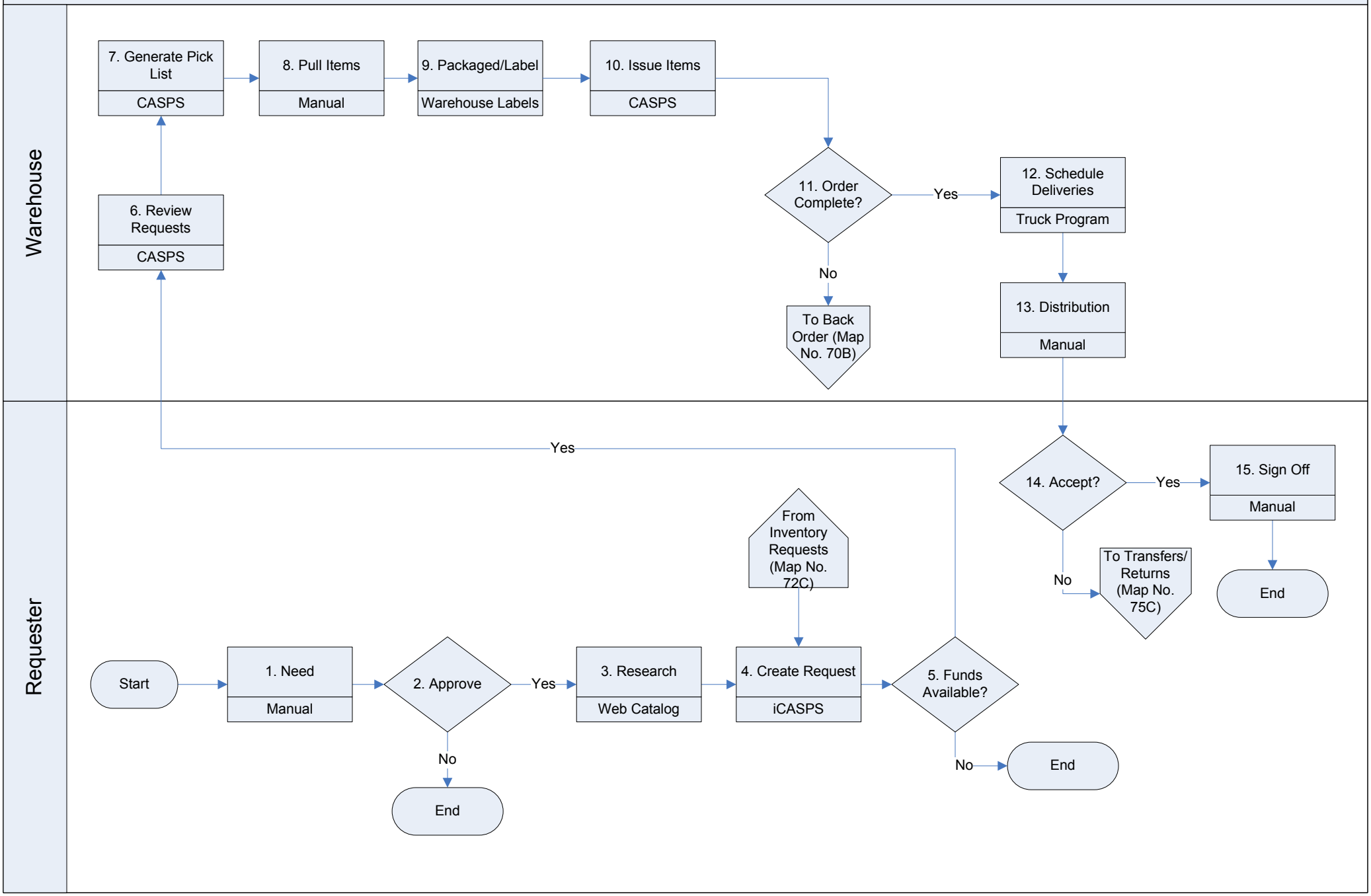
Application/System Name	*Technology Description*
Web Catalog	Web-based inventory catalog
CASPS	County and Schools purchasing system
Warehouse Label	Label printing application
Truck Program	Truck scheduling application

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Issuance/Distribution – Passive Orders

Map Name: INV_ISSUE_PASSIVE
Map No.: 72D



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_ISSUE_PASSIVE
Sub-Process Name: Issuance/Distribution – Passive Orders	**Map Number:** 72D

Sub-Process Purpose and Objectives: Issue and fulfill monthly passive inventory orders from schools and offices

Sub-Process Description

1. A Requester identifies the need, monthly. **[MAP SHAPE 1]**
2. An approver reviews the request and decides whether to approve or reject. If the request is rejected, the process ends. **[MAP SHAPE 2]**
3. If the request is approved, the Requester researches the FCPS Warehouse Web Catalog. **[MAP SHAPE 3]**
4. The Requester creates the requests in CASPS and verifies if funds are available (direct interface with FAMIS). If funds are not available, the process ends.
5. If funds are available, the request is routed to the Warehouse for review. **[MAP SHAPE 4, 5, 6]**
6. Warehouse generates a pick list in CASPS, physically pulls and packages the item, and issues the items (prints the delivery ticket). **[MAP SHAPE 7, 8, 9, 10]**
7. If the order is not complete because items were not in inventory, the warehouse initiates the Back Order Process (Map 70). If the order is complete the next step is to schedule delivery of the items (i.e., upload the data for the run sheet in the Truck Program) and send the items to distribution. **[MAP SHAPE 11, 12, 13]**
8. Once the order is delivered, if it is acceptable, the Requester signs off on the delivery of the order, otherwise they initiate the Transfer/Return Process (*Map 75C*). **[MAP SHAPE 14, 15]**

NOTE: There is a cutoff date (17th of each month) to submit and authorize the request

Triggers:

- ❑ Requester issues a passive order for inventory

Key Process Participants:

- ❑ Warehouse
- ❑ Requester

Inputs:

Input	*Format*
Passive Request	CASPS

Outputs:

Output	*Format*
Completed Order	

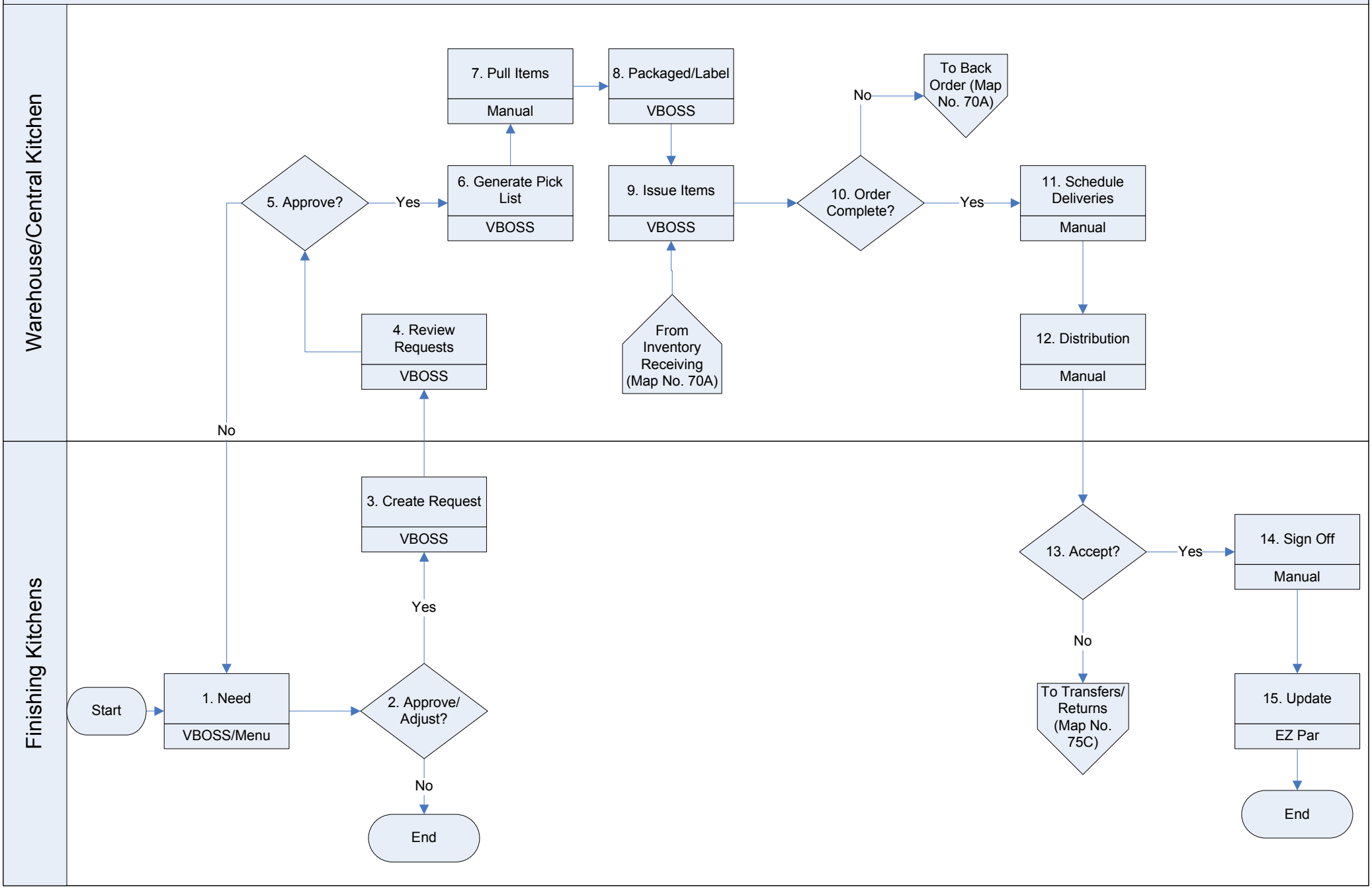
IT Support:

Application/System Name	*Technology Description*
Web Catalog	Web-based inventory catalog
CASPS	County and Schools purchasing system
Warehouse Label	
Truck Program	

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL] Map Name: INV_ISSUE_REQ_FOOD
Sub-Process: Issuance/Distribution – Inventory Requests (Food Services) Map No.: 72E



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_ISSUE_REQ_FOOD
Sub-Process Name: Issuance/Distribution – Inventory Requests (Food Services)	**Map Number:** 72E

Sub-Process Purpose and Objectives: Issue inventory requests from Food Service

Sub-Process Description

1. A Finishing Kitchen (FK) or Requester identifies the need and obtains approval to proceed. If the request is rejected, the process ends. **[MAP SHAPE 1, 2]**
2. If the request is approved and/or adjusted, the FK creates the requests in VBOSS. **[MAP SHAPE 2, 3]**
3. Central Kitchen (CK) reviews the request. If the request is rejected, it is sent back to the FK to adjust and resubmit. **[MAP SHAPE 4, 5, 1]**
4. If the request is approved, CK generates a pick list in VBOSS, physically pulls and packages the item, and issues the items (prints the delivery ticket). **[MAP SHAPE 4, 6, 7, 8, 9]**
5. If the order is not complete because items were not in inventory, CK initiates the (*Back Order Process, Map 70A*). If the order is complete, CK manually schedules delivery of the items and sends the items to distribution. **[MAP SHAPE 10, 11, 12]**
6. Once the order is delivered, and is deemed acceptable by the Finishing Kitchen, they sign off on the delivery of the order and update the EZ Par system to verify the order is complete. **[MAP SHAPE 13, 14, 15]**
7. If the order is not acceptable, the FK initiates the (*Transfer/Return Process Map 75C*). **[MAP SHAPE 13]**

NOTE: Central Kitchen orders are daily and Central Food Services Warehouse orders are weekly

Triggers:

- ❑ Requester issues a request for warehouse items

Key Process Participants:

- ❑ Warehouse/Central Kitchen
- ❑ Requester/Finishing Kitchen

Inputs:

Input	***Format***
Inventory Request	VBOSS

Outputs:

Output	***Format***
Completed Order	VBOSS

IT Support:

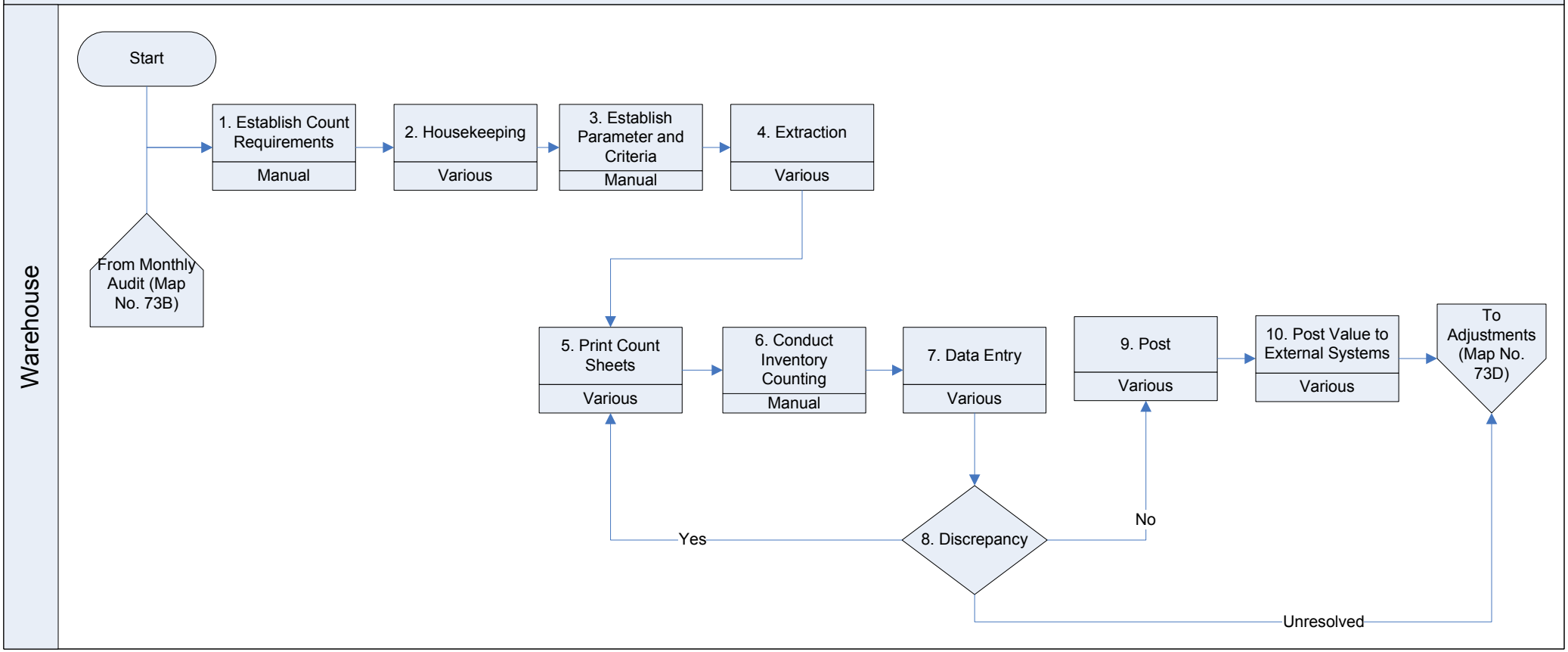
Application/System Name	***Technology Description***
VBOSS	Food Services inventory management application
EZ Par	

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Physical Count – Physical Cycle Counts

Map Name: INV_PHYS_COUNT
Map No.: 73A



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_PHYS_COUNT
Sub-Process Name: Physical Count – Physical Cycle Count	**Map Number: 73A**

Sub-Process Purpose and Objectives: Conduct inventory cycle count process

Sub-Process Description:

1. The Warehouse establishes count requirements. **[MAP SHAPE 1]**
2. The Warehouse performs housekeeping tasks (account for in-process transactions, and freeze system activity), establish parameters and criteria, and extraction (some batch, some real-time). Any errors are researched and fixed, and then re-extracted. **[MAP SHAPE 2, 3, 4]**
3. Count sheets are printed (either with expected quantities or without) and the inventory count is conducted. **[MAP SHAPE 5, 6]**
4. The data entry into the system is different person than the counter, but still within warehouse. **[MAP SHAPE 7]**
5. If there are any discrepancies with the count, the errors are researched, resolved, re-extracted and resubmitted. Discrepancies that cannot be resolved are corrected by posting an adjustment in CASPS with an appropriate adjustment reason code. **[MAP SHAPE 8]**
6. If there are no discrepancies, the results are posted into the Warehouse's system as well as external systems (i.e., FAMIS). **[MAP SHAPE 8, 9, 10]**

Triggers:

- ❑ CAFR for annual inventory (each item must be counted at least once per year prior to June 30 fiscal year end)
- ❑ Quarterly sample audit
- ❑ Schools have operational needs that vary from every two weeks to monthly to once per year

Key Process Participants:

- ❑ Warehouse

Inputs:

Input	*Format*
Physical Inventory	Manual

Outputs:

Output	*Format*
Completed Count Sheets	Report

IT Support:

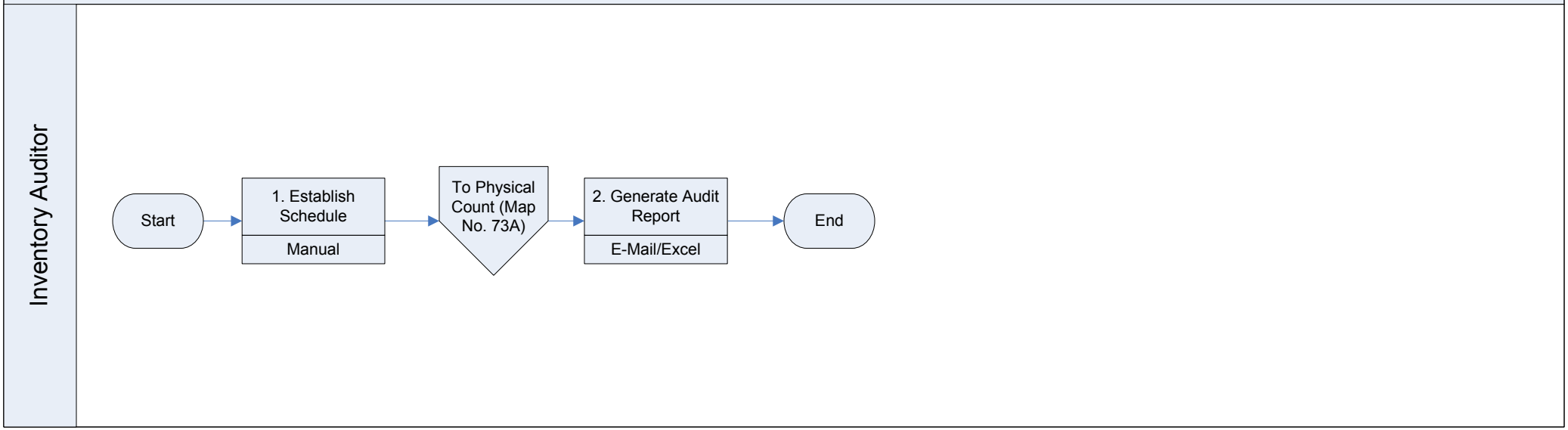
Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system
VBOSS, EZPar,	Food Services inventory and revenue management system
M4	DVS (Department of Vehicle Services) Fleet Management application
MP2	

Regulations:

o

Inventory/Warehouse Management [FINAL]
Sub-Process: Physical Count – Monthly Audit (Schools)

Map Name: INV_PHYS_AUD_SCH
Map No.: 73B



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_PHYS_AUD_SCH
Sub-Process Name: Physical Count – Monthly Audit (Schools)	**Map Number: 73B**

Sub-Process Purpose and Objectives: Audit inventory for the school system

Sub-Process Description:

1. The Inventory Auditor establishes the audit schedule, generates spot-check list from cycle count process (Food Service), and initiates the Physical Count Process. The Auditor also reviews the Inventory report from CASPS (Food Service uses VBOSS). **[MAP SHAPE 1]**
2. Once the counting process is completed, the Auditor generates the Audit Report in Excel. **[MAP SHAPE 2]**

Triggers:

- ❑ Monthly (conducted by finance/purchasing) and ad hoc audits

Key Process Participants:

- ❑ Auditor (Central Purchasing)
- ❑ Warehouse

Inputs:

Input	*Format*
Scheduled Audit	Manual

Outputs:

Output	*Format*
Formal Report	Excel, email

IT Support:

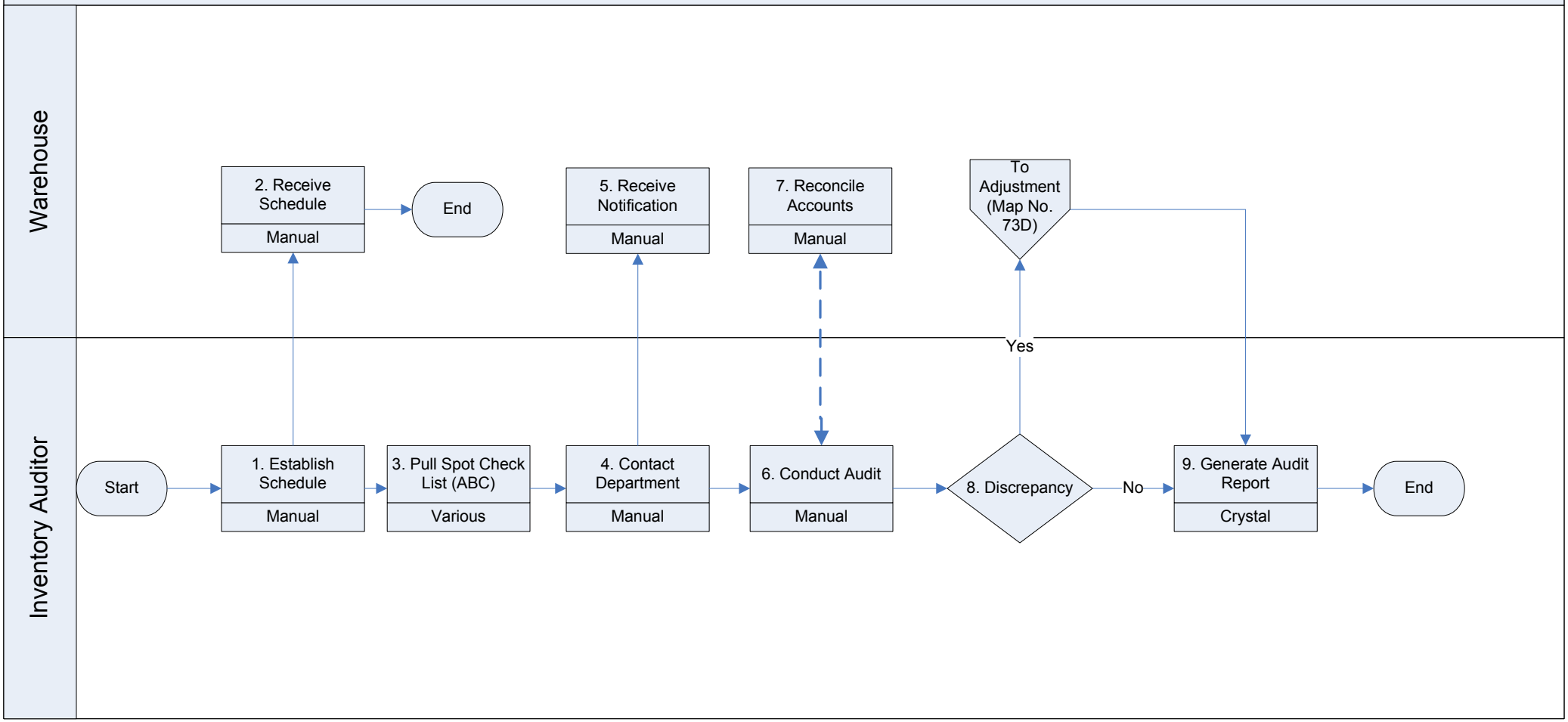
Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system
VBOSS	Food Services inventory management application
Excel	Audit data, statistical analysis

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Physical Count – Quarterly Audit (County)

Map Name: INV_PHYS_AUD_CO
Map No.: 73C



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_PHYS_AUD_CO
Sub-Process Name: Physical Count – Quarterly Audit (County)	**Map Number: 73C**

Sub-Process Purpose and Objectives: Audit inventory levels for the County

Sub-Process Description:

1. Quarterly schedules are established (high performing locations are scheduled every other quarter) by the Inventory Auditor in Central Purchasing and a copy of the audit schedule is sent to the warehouse manager. **[MAP SHAPE 1, 2]**
2. Inventory Auditor generates an ABC-based spot stock list (manual). **[MAP SHAPE 3]**
3. The Inventory Auditor contacts the warehouse to notify them of the visit a day or two in advance. **[MAP SHAPE 4, 5]**
4. The Auditor conducts the audit against expected values (only auditor sees expected values) and reconciles the accounts with the Warehouse. **[MAP SHAPE 6, 7]**
5. If there is an unresolved discrepancy, the warehouse posts an adjustment using an appropriate adjustment reason code to correct the discrepancy (MAP 73D). **[MAP SHAPE 8]**
6. When the reconciliation is complete and any adjustments have been made, the Inventory Auditor prepares formal results memo. **[MAP SHAPE 8, 9]**

Triggers:

- ❑ Quarterly calendar

Key Process Participants:

- ❑ Auditor (Central Purchasing)
- ❑ Warehouse

Inputs:

Input	*Format*
Scheduled Audits	Manual

Outputs:

Output	*Format*
Audit Report	MS Word, Crystal

IT Support:

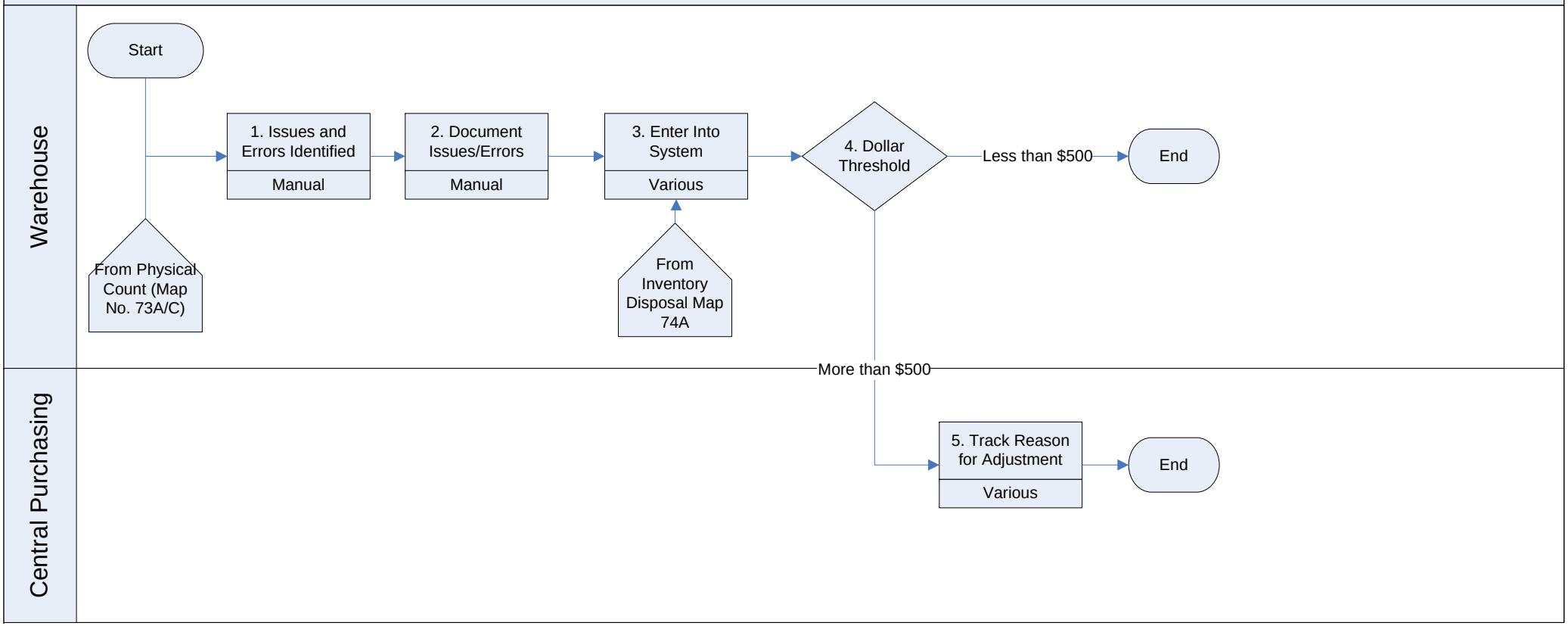
Application/System Name	*Technology Description*
CASPS, M4, Various	Provides data for manual generation of spot check list
Excel	Audit data, statistical analysis
Crystal Reports	Formal report generation

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Physical Count – Price/Quantity Adjustments

Map Name: INV_PHYS_ADJ
Map No.: 73D



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_PHYS_ADJ
Sub-Process Name: Physical Count – Price/Quantity Adjustments	**Map Number: 73D**

Sub-Process Purpose and Objectives: Adjust inventory quantity and prices based on results of cycle count

Sub-Process Description:

1. Identify error (price adjustments are ad hoc as received). **[MAP SHAPE 1]**
2. Document error on pick ticket or other documentation for audit trail. Each warehouse can update their respective systems daily (schools, food svc), however, these adjustments will not update FAMIS until the end of the year. **[MAP SHAPE 2]**
3. Adjustment is entered into the system. **[MAP SHAPE 3]**
4. If the adjustment is less than $500, the process ends. If the adjustment is more than $500, central purchasing is notified via memo. **[MAP SHAPE 4]**
5. Central Purchasing uses the information to track trends to initiate internal control reviews, etc. **[MAP SHAPE 5]**

Triggers:

- ❑ Errors in issuing
- ❑ Errors in counting
- ❑ Not accounting for back orders, or other in-process transactions
- ❑ Expired/obsolete inventory
- ❑ Damaged inventory

Key Process Participants:

- ❑ Warehouse (various staff)
- ❑ Central Purchasing

Inputs:

Input	*Format*
Errors	Manual

Outputs:

Output	*Format*
Documentation for audit trail	Varies

IT Support:

Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system
Maximus – M4	DVS (Department of Vehicle Services) Fleet Management application
VBOSS	Food Services inventory management application
ACT 1000	Facilities and Transportation Services inventory management application

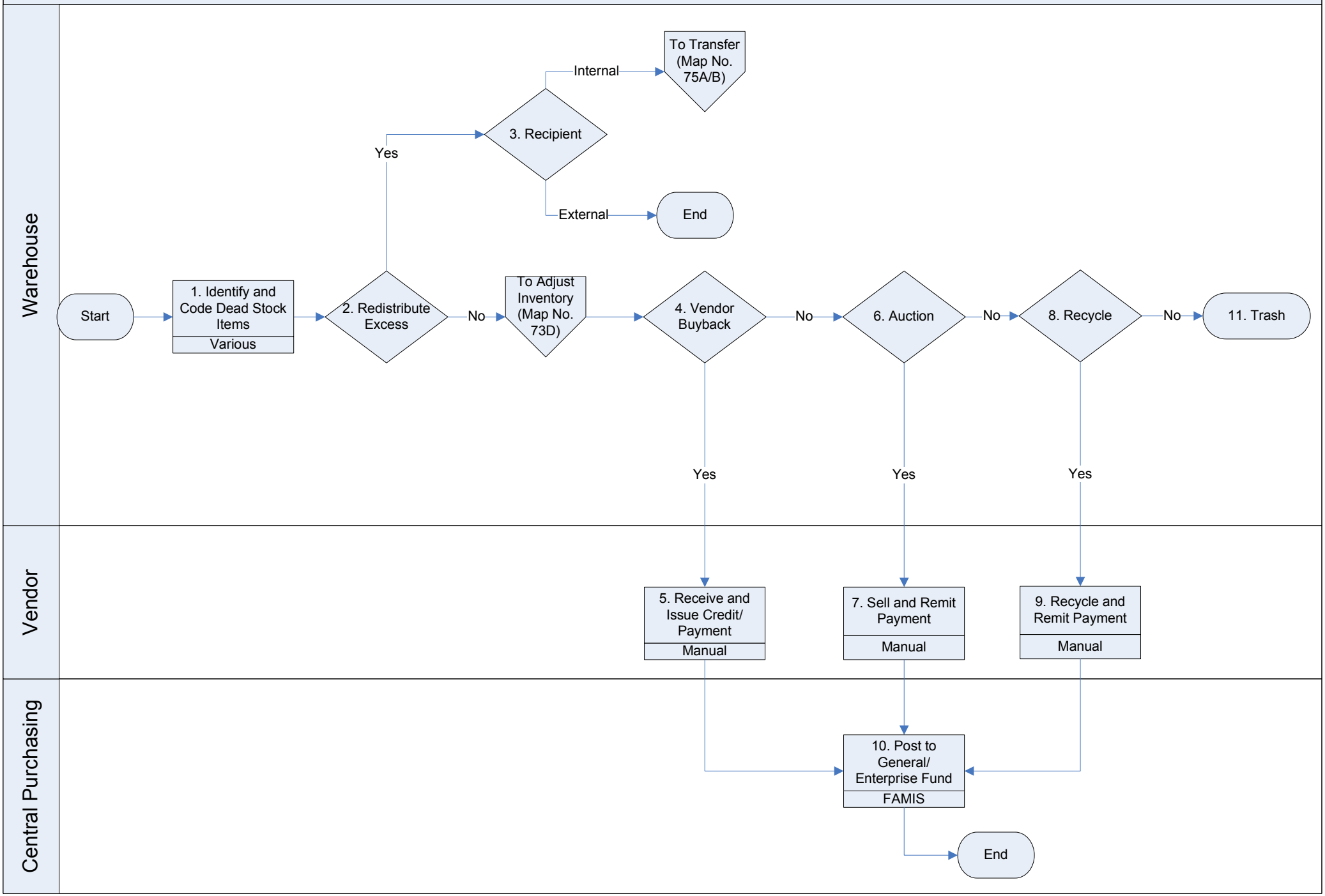
Regulations:

o

Inventory/Warehouse Management
Sub-Process: Disposal – Dead Stock

[FINAL]

Map Name: INV_DISP_DEAD
Map No.: 74A



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_DISP_DEAD
Sub-Process Name: Disposal – Dead Stock	**Map Number: 74A**

Sub-Process Purpose and Objectives: Account for the disposal of dead stock

Sub-Process Description: *Dead = obsolete or outdated, but may be usable by someone else.*

1. The warehouse identifies dead stock (not needed in inventory anymore for a variety of potential reasons) through periodically generated usage report, various other reports, or from vendor, or from contract, or from policy decision. Warehouse marks item as "obsolete" in the system. The warehouse determines disposal method through a hierarchy of options: internal use (redistribute), vendor buyback, auction or sale, recycle, or trash. The order of these decisions can vary by location and/or item. There are also other possible decisions here, such as donation. **[MAP SHAPE 1]**
2. If the item is redistributed within the County, the Transfer Process (*Map 75 A or B*) is initiated. If the recipient is outside the County, inventory levels are adjusted in the system and documented. NOTE: in further discussion, it was decided not to map redistribution of excess stock as a separate sub-process. **[MAP SHAPE 2, 3]**

2a. If the item is not redistributed within the County, an inventory adjustment is made (*Map 73D*) and the items are disposed by Vendor Buyback, Auction, Recycle or Trash. **[Map Shape 2, 4, 6, 8, 11]**

3. If the vendor chooses to buyback the item, the warehouse notifies and/or sends the item to the vendor. **[MAP SHAPE 4]**
4. Once the vendor receives the item, they issue credit/payment or replacement. If a payment or credit is issued, Central Purchasing updates the General or Enterprise Fund. Schools Facilities Management returns funds to their operating account. **[MAP SHAPE 5, 10]**
5. If the item can be auctioned, the warehouse notifies and sends the item to the auctioneer. **[MAP SHAPE 6]**
6. Once the auctioneer sells the item, they remit payment to Central Purchasing, which updates the General or Enterprise Fund. Schools Facilities Management returns funds to their operating account. **[MAP SHAPE 7, 10]**
7. If the item can be recycled or sold to recycling vendors, the warehouse notifies and/or sends the item to the vendor. **[MAP SHAPE 8]**
8. Once the vendor receives the item, they remit payment to Central Purchasing, which updates the General or Enterprise Fund. Schools Facilities Management returns funds to their operating account. **[MAP SHAPE 9, 10]**
9. If the items are not acceptable for the previous options, the warehouse disposes of the item in the trash. **[MAP SHAPE 11]**

Triggers:

- ❑ Periodic and ad hoc (some locations once per year, others twice per year. School food service is much more often)

Key Process Participants:

- ❑ Warehouse
- ❑ Vendor
- ❑ Other Department
- ❑ Dept of Finance (FAMIS)

Inputs:

Input	*Format*
Dead Stock	Manual

Outputs:

Output	*Format*
Adjusted inventory	Various systems
Credits/payments	Manual

IT Support:

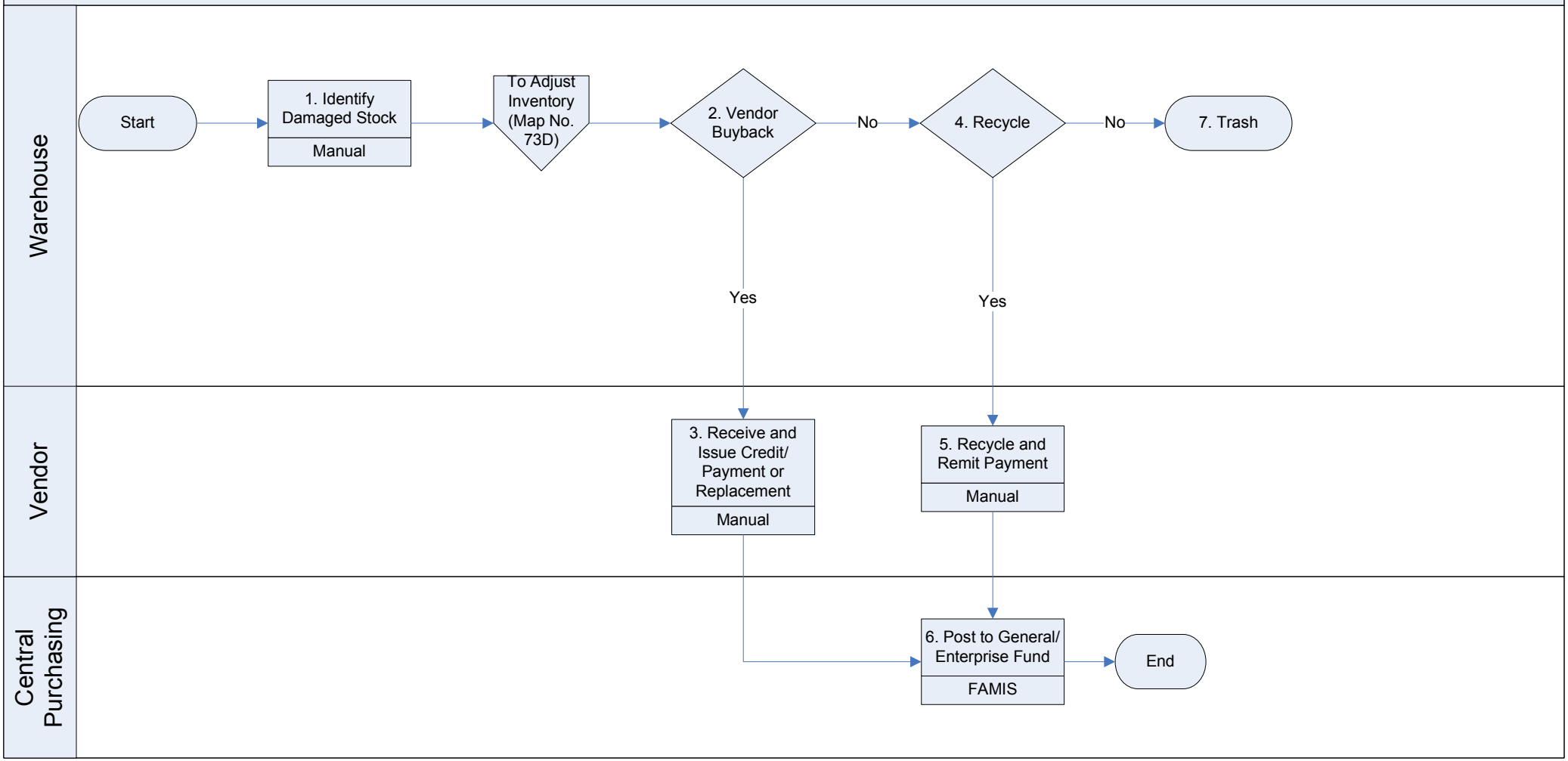
Application/System Name	*Technology Description*
VBOSS	Food Services inventory management application
CASPS	County and Schools purchasing system
Public Service.com	Web-based auction service
FAMIS	County and Schools financial management system

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Disposal – Damaged/Expired Stock

Map Name: INV_DISP_DAM
Map No.: 74B



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_DISP_DAM
Sub-Process Name: Disposal – Damaged/Expired Stock	**Map Number: 74B**

Sub-Process Purpose and Objectives: Account for the disposal of damaged stock

Sub-Process Description:

1. Warehouse identifies damaged items and documents the damage on Shortage List (SL) form. The warehouse determines disposal method through a hierarchy of options; vendor buyback, recycle, or trash. The order of these decisions can vary by location and/or item. **[MAP SHAPE 1]**
2. If the vendor chooses to buyback the item, the warehouse notifies and/or sends the item to the vendor. **[MAP SHAPE 2]**

2a. If the item is not redistributed within the County, an inventory adjustment is made (*Map 73D*) and the item is disposed by Vendor Buyback, Recycle or Trash. **[Map Shape 2, 4, 7]**

3. Once the vendor receives the item, they issue credit/payment or replacement. If a payment or credit was issued, Central Purchasing updates the General or Enterprise Fund. Schools Facilities Management returns funds to their operating account. **[MAP SHAPE 3, 6]**
4. If the vendor does not buyback the item but it can be recycled or sold to recycling vendors, the warehouse notifies and sends the item to the vendor. **[MAP SHAPE 4]**
5. Once the vendor receives the item, they remit payment to Central Purchasing, which updates the General or Enterprise Fund. Schools Facilities Management returns funds to their operating account. **[MAP SHAPE 5, 6]**
6. If the item is not acceptable for the previous options, the warehouse disposes of the item in the trash. **[MAP SHAPE 7]**

Triggers:

- ❑ Damaged identified at receipt or upon usage

Key Process Participants:

- ❑ Warehouse
- ❑ Vendor
- ❑ Central Purchasing

Inputs:

Input	*Format*
Damaged item	Manual

Outputs:

Output	*Format*
Adjusted inventory	Various systems
Credits/payments	FAMIS

IT Support:

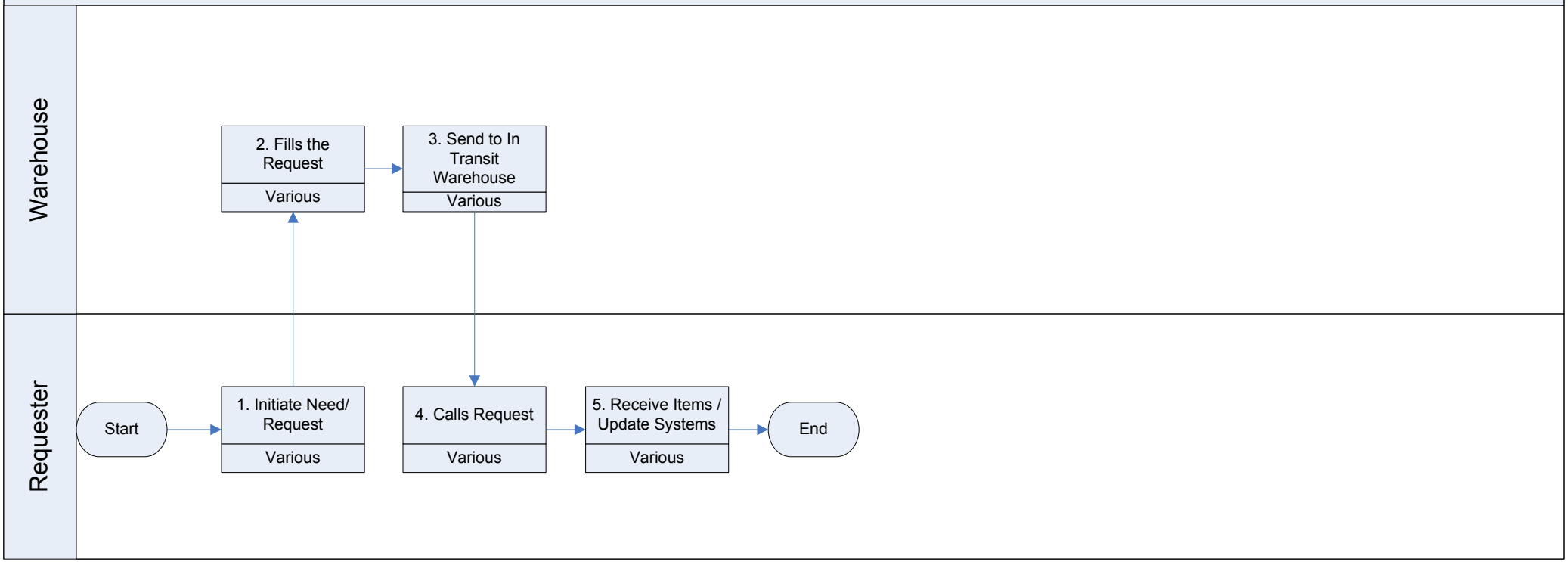
Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system
VBOSS	Food Services inventory management application
FAMIS	County and Schools financial management system

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Transfers/Returns – Indirect Transfers

Map Name: INV_TRANS_IND
Map No.: 75A



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_TRANS_IND
Sub-Process Name: Transfers/Returns – Indirect Transfers	**Map Number: 75A**

Sub-Process Purpose and Objectives: Account for the transfer of stock between locations

Sub-Process Description:

1. Requester (receiving location) initiates request. **[MAP SHAPE 1]**
2. Sending warehouse fills the request and transfers stock to in-transit warehouse in CASPS (in-transit warehouse is a virtual warehouse). The item is physically removed and sent to the requester. There is now a value in the in-transit warehouse and sending warehouse inventory value is adjusted as well. **[MAP SHAPE 2, 3]**
3. Requester pulls up the request in CASPS when the item arrives, receives the item, and updates the inventory values (quantity and price) in the system. The value in the in-transit warehouse is decreased by the receipt. **[MAP SHAPE 4, 5]**

Triggers:

- ❑ Transfer request
- ❑ Receipt of work order for stock item available at another warehouse

Key Process Participants:

- ❑ Warehouse (Sending Warehouse)
- ❑ Requester (Receiving Warehouse)

Inputs:

Input	*Format*
Transfer Request	Various

Outputs:

Output	*Format*
Transferred Item	Various

IT Support:

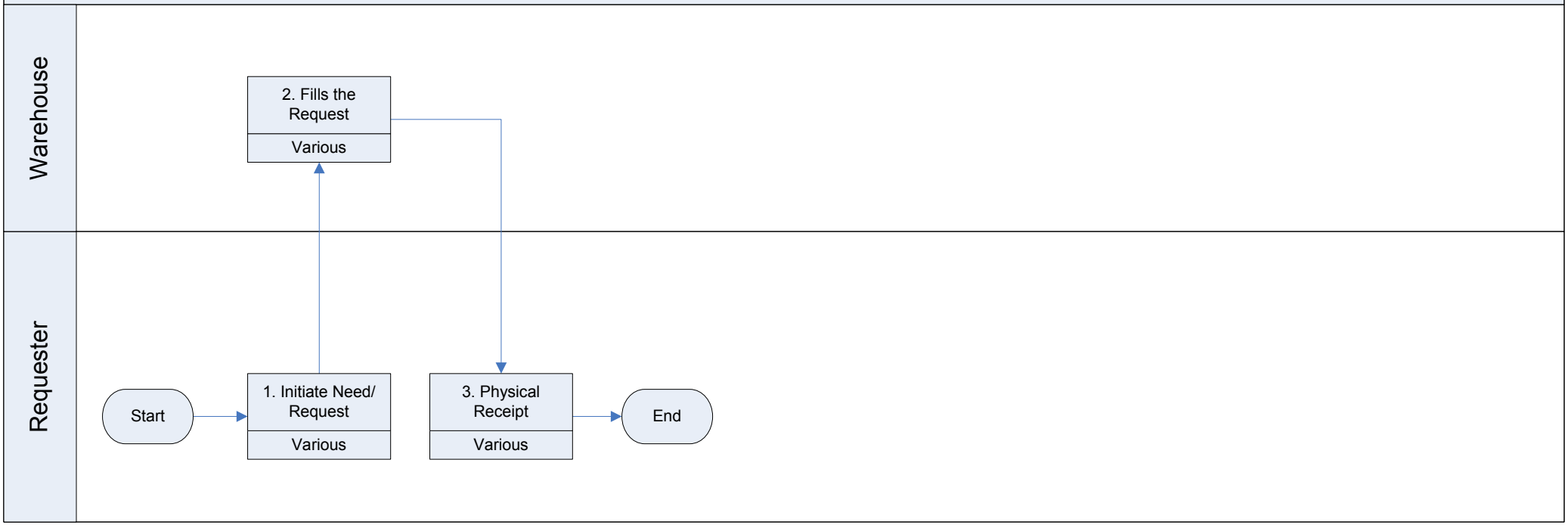
Application/System Name	*Technology Description*
M4	DVS (Department of Vehicle Services) Fleet Management application
CASPS	County and Schools purchasing system
VBOSS	Food Services inventory management system
ACT 1000	Facilities and Transportation Services inventory management application

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Transfers/Returns – Direct Transfers

Map Name: INV_TRANS_DIR
Map No.: 75B



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_TRANS_DIR
Sub-Process Name: Transfers/Returns – Direct Transfers	**Map Number: 75B**

Sub-Process Purpose and Objectives: Account for the transfer of stock between locations

Sub-Process Description:

1. Requester (receiving location) initiates request. **[MAP SHAPE 1]**
2. Sending warehouse fills the request and transfers stock to receiving warehouse. The item is physically removed and delivered to receiving warehouse. Values in both stockrooms are immediately adjusted once the request is processed. **[MAP SHAPE 2]**
3. Requester receives and stows/shelves the item. **MAP SHAPE 3]**

Triggers:

- ❑ Transfer request
- ❑ Receipt of work order for stock item available at another warehouse

Key Process Participants:

- ❑ Sending Warehouse or other location (interdepartmental transfer)
- ❑ Receiving Warehouse or other location (interdepartmental transfer)

Inputs:

Input	*Format*
Transfer Request	Various

Outputs:

Output	*Format*
Transferred Item	Various

IT Support:

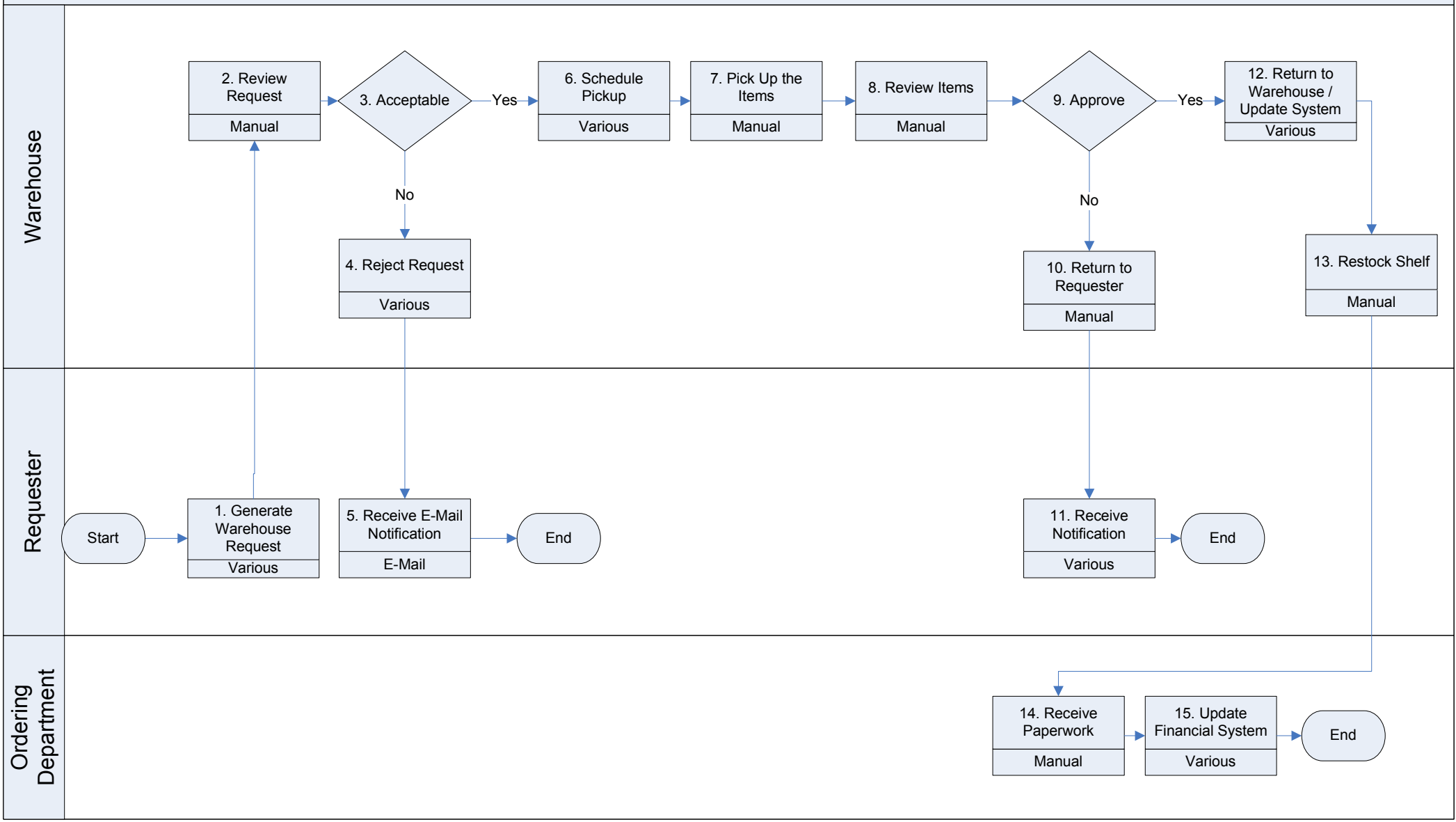
Application/System Name	*Technology Description*
M4	DVS (Department of Vehicle Services) Fleet Management application
CASPS	County and Schools purchasing system
VBOSS/EZPar	Food Services inventory management and revenue system
ACT 1000	Facilities and Transportation Services inventory management application

Regulations:

- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Transfers/Returns – Returns (Schools)

Map Name: INV_RETN_SCH
Map No.: 75C



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_RETN_SCH
Sub-Process Name: Transfers/Returns – Returns (Schools)	**Map Number: 75C**

Sub-Process Purpose and Objectives: Account for the return of stock

Sub-Process Description:

1. Requestor initiates warehouse request with transaction code of 'return for credit'. **[MAP SHAPE 1]**
2. Warehouse reviews to make sure that stock is acceptable. The Warehouse can reject the request if item is not resalable or if the inventory return (IR) number is not valid. **[MAP SHAPE 2]**
3. If the request is rejected, an email is generated back to requestor. **[MAP SHAPE 3, 4]**
4. If the request is accepted, the Warehouse schedules, picks up, and inspects the item at the stock room or warehouse. **[MAP SHAPE 3, 6, 7, 8]**
5. The return is subject to approval, and if rejected, the item is returned to sender. Warehouse calls or emails sender that return could not be processed. **[MAP SHAPE 9, 10, 11]**
6. If approved, the Warehouse will enter a return to stock ticket in CASPS, restock the item, and send the paperwork to Ordering Department. **[MAP SHAPE 9, 12, 13]**
7. Ordering Department receives the paperwork and updates the financial system. **[MAP SHAPE 14, 15]**

Exception: Schools Facilities Management does not use this process. It uses the County process Map 75D.
NOTES: Once restocked, schools (not food service) charge a 25% restocking fee to the department, and department gets credited the rest in FAMIS
Food Service: updates in EZPar themselves (does not route to Central Purchasing), no restocking fee.
In ACT1000, none of this occurs, the initial work order is updated with the revised quantity

Triggers:
- ❑ Item return

Key Process Participants:
- ❑ Warehouse
- ❑ Requestor
- ❑ Ordering Department (except schools food service)

Inputs:

Input	*Format*
Restock request	

Outputs:

Output	*Format*
Updated inventory	ACT1000, EZPar

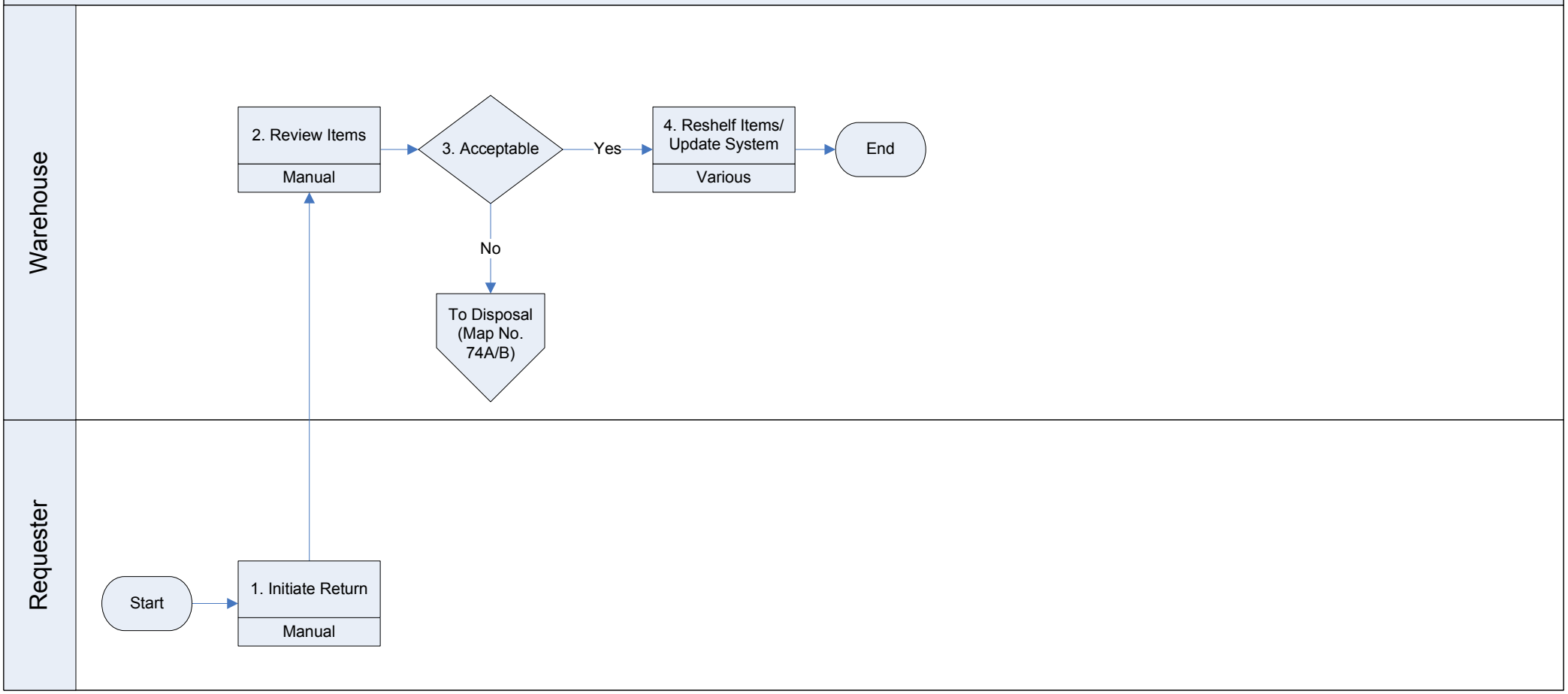
IT Support:

Application/System Name	*Technology Description*
VBOSS	Food Services inventory management application
ACT1000	Facilities and Transportation Services inventory management application
EZPar	Food Services revenue system

Regulations:
- o Purchasing Resolution

Inventory/Warehouse Management [FINAL]
Sub-Process: Transfers/Returns – Returns (County)

Map Name: INV_RETN_CO
Map No.: 75D



Process Name: Inventory/Warehouse Management	**Process Identifier:** INV_RETN_CO
Sub-Process Name: Transfers/Returns – Returns (County)	**Map Number: 75D**

Sub-Process Purpose and Objectives: Account for the return of stock

Sub-Process Description:

1. Requestor returns item (with original work order number if available). **[MAP SHAPE 1]**
2. The Warehouse reviews the item. **[MAP SHAPE 2]**
3. If the item is not resalable, they dispose of it (*Disposal Process Map 74A or B*). **[MAP SHAPE 3]**
4. If the item is acceptable, the Warehouse processes the return transaction in CASPS, prints return ticket (optional) and updates CASPS. **[MAP SHAPE 3, 4]**

Exception: Schools Facilities Management uses this process. It does not use the Schools process Map 75C.

Triggers:

- ❑ Item return

Key Process Participants:

- ❑ Warehouse
- ❑ Requestor

Inputs:

Input	*Format*
Returned Item	Manual

Outputs:

Output	*Format*
Restocked/Disposed Item	Manual

IT Support:

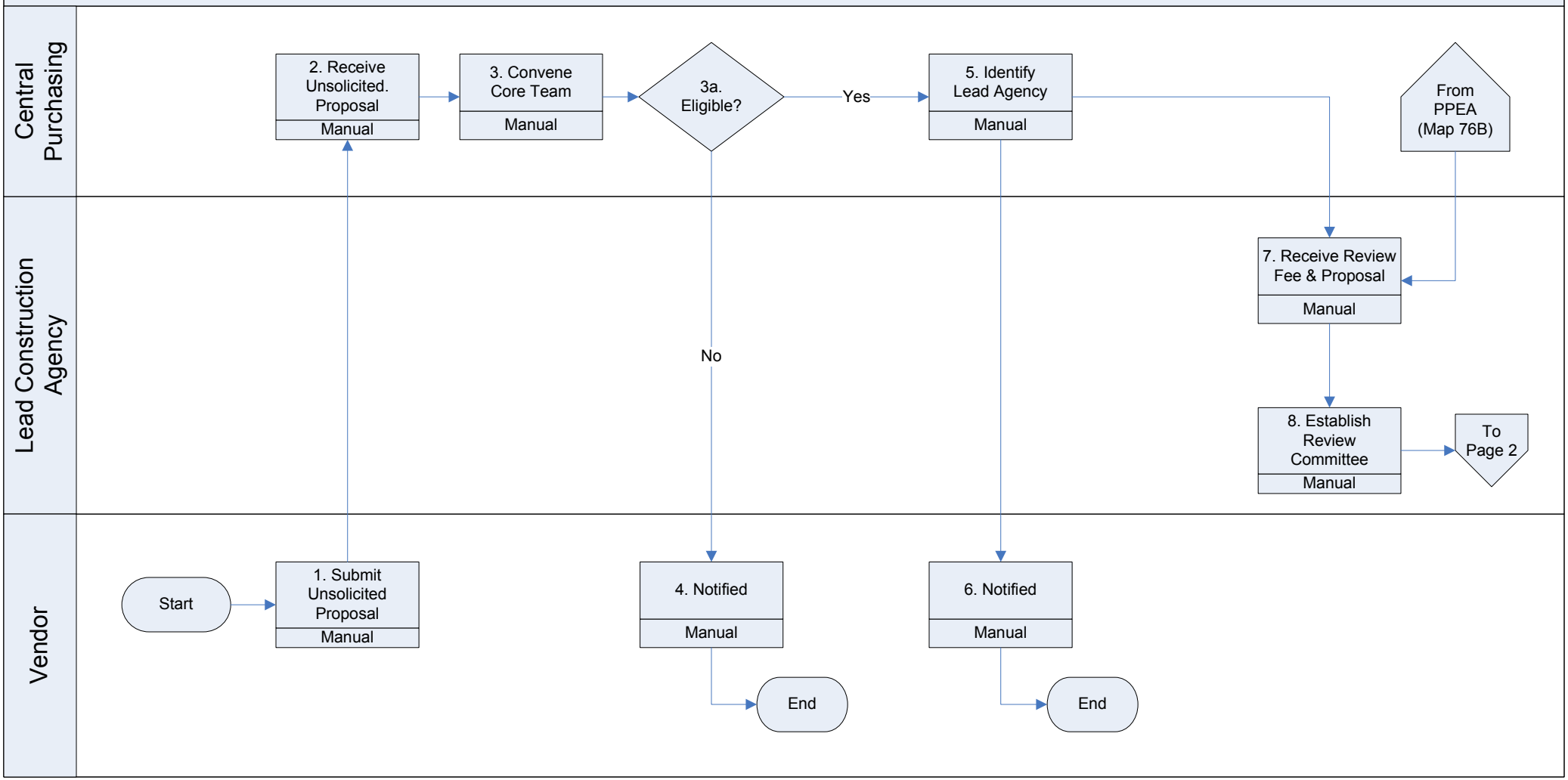
Application/System Name	*Technology Description*
CASPS	County and Schools purchasing system

Regulations:

- o Purchasing Resolution

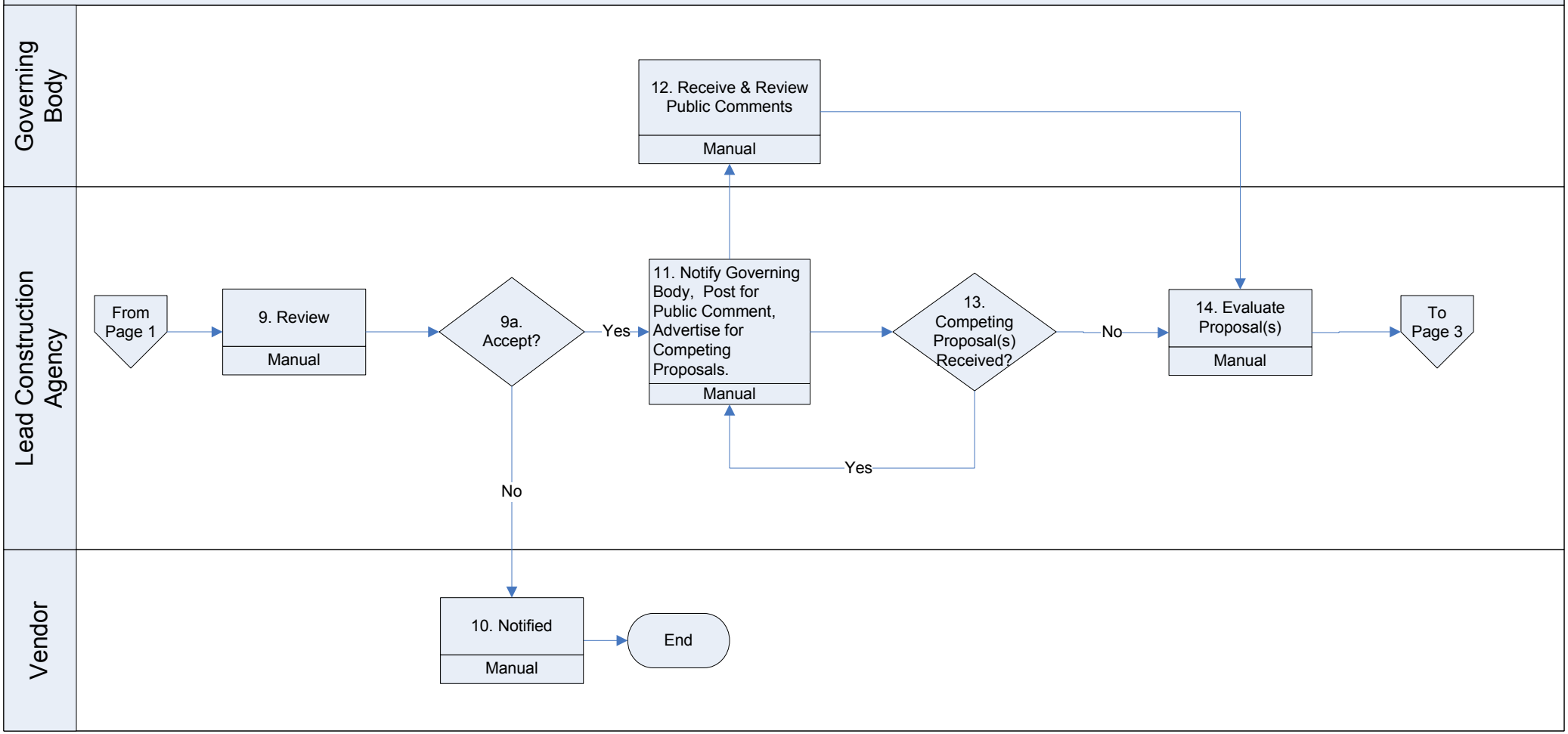
PPEA [FINAL]
Sub-Process: Unsolicited Proposal

Map Name: PPEA_UNSOL
Map No.: 76A (page 1)



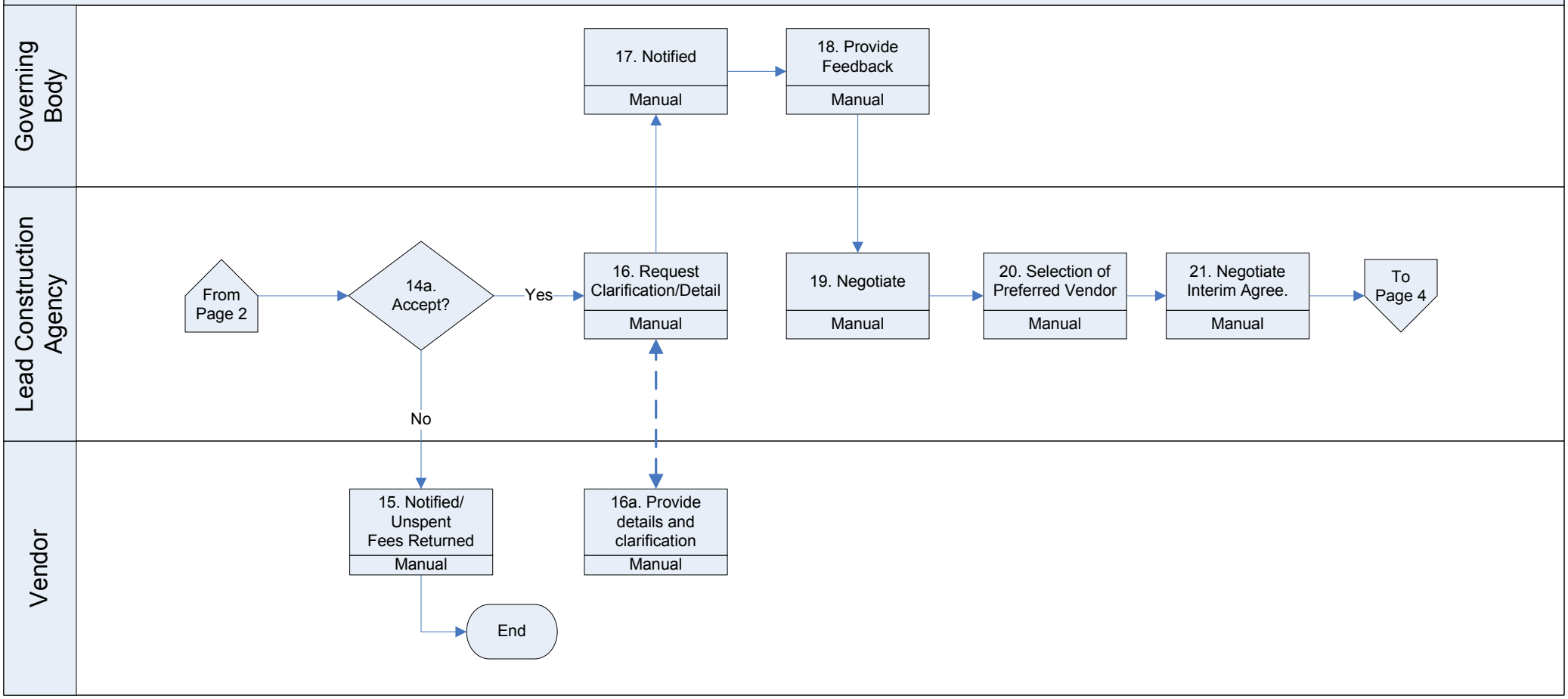
PPEA [FINAL]
Sub-Process: Unsolicited Proposal

Map Name: PPEA_UNSOL
Map No.: 76A (page 2)



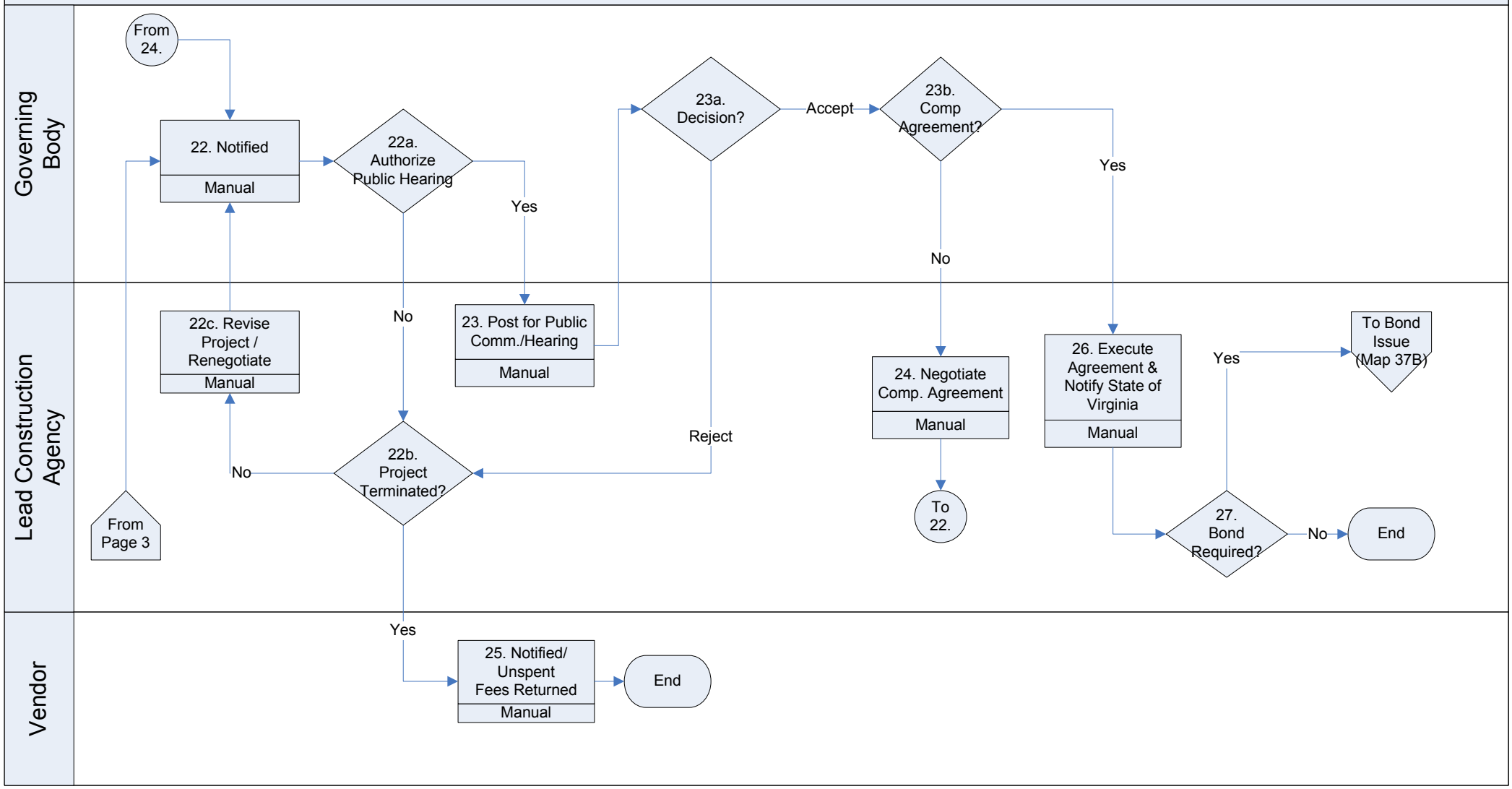
PPEA [FINAL]
Sub-Process: Unsolicited Proposal

Map Name: PPEA_UNSOL
Map No.: 76A (page 3)



PPEA [FINAL]
Sub-Process: Unsolicited Proposal

Map Name: PPEA_UNSOL
Map No.: 76A (page 4)



Process Name: PPEA	**Process Identifier:** PPEA_UNSOL
Sub-Process Name: Unsolicited Proposal	**Map Number:** 76A

Sub-Process Purpose and Objectives: Description of PPEA unsolicited proposal process.

Sub-Process Description:

1. Vendors may submit unsolicited proposals to the County or School System for public/private partnership projects (capital or non-capital). The proposal must include review fees and any other fees that may be required by the County or School System. **[MAP SHAPE 1]**
2. DPSM receives the proposal. DPSM is responsible for coordinating the initial review all PPEA proposals. **[MAP SHAPE 2]**
3. DPSM assembles a Core team (Program Agency representative, Housing representative, Construction Contracting agencies, Debt Manager, County Attorney, etc.) to evaluate the proposal. The Core team is responsible for evaluating the proposal for eligibility, based upon two statutory requirements and four Board of Supervisor criteria. **[MAP SHAPE 3]**
4. If the Core team determines that a submittal is not eligible, the vendor is notified and the proposal along with the submittal fees is returned. **[MAP SHAPE 4]**
5. If the Core Team determines that a submittal is eligible, DPSM, in consultation with the Core Team, assigns a lead construction contracting agency (DPWES, DOT, DHCD, FCPA, or FCPS) and then notifies the vendor by letter that the proposal has been accepted for further evaluation and that a lead agency has been assigned to their proposal. **[MAP SHAPES 6, 7]**
6. DPSM submits proposal package along with the submittal check (fees) to the Lead Agency. From this point forward, the lead agency must track all expenses related to the processing of the proposal. The Lead Agency deposits the check.
7. The Lead Agency establishes a proposal review committee (DPSM serves as a consultant to the committee). The review committee decides to accept or reject the proposal based upon the previous criteria as well as other additional criteria. **[MAP SHAPE 8, 9]**
8. If the proposal is rejected, the vendor is notified and the proposal is returned along with any unspent fees. **[MAP SHAPE 9a, 10]**
9. If the proposal is accepted, the review committee must post the proposal for public review and comment within ten days of acceptance. Comments are collected by the County Clerk and distributed to the Board and Lead Agency. The comments are considered by the Review Committee and can be considered by the Board of Supervisors in their future deliberation of the proposal **[MAP SHAPE 11, 12, 14]**
10. The Lead Agency must also solicit additional proposals once it has accepted an original proposal. (The State requires that vendors be given a minimum of 45 days to respond.) The solicitation does not follow the formal (RFP/IFB) solicitation process. Under the PPEA process, the County solicits additional proposals through newspaper/Internet advertisements. The notice does not need to reflect what the original proposal has to offer but what the public organization wants. The lead agency is responsible for receiving the additional proposals. If additional proposals are submitted, they must be posted for public comment. Throughout this cycle, the review committee evaluates proposals, shortlists them and selects the proposals for negotiations. Rejected proposals are returned to vendors along with any unspent fees. **[MAP SHAPES 11, 12, 13, 14, 14a]**
11. The review team requests more detailed proposals/clarifications from the shortlisted vendors ("Detailed proposal" under the act language.). This is an iterative process until review team is satisfied. **[MAP SHAPE 16, 16a]**
12. Once the review team is satisfied with the detailed proposals, the review team notifies the Board of Supervisors (usually in a closed session briefing) and requests permission to negotiate with one or more vendors. **[MAP SHAPES 17, 18]**
13. The review team negotiates with the selected vendors and identifies a vendor to proceed to interim agreement negotiations. Negotiating an interim agreement is optional. If desirable, a comprehensive agreement may be negotiated following the process beginning at Shape 22. **[MAP SHAPES 19, 20, 21]**
14. Before the interim agreement is signed, the Board of Supervisors is notified and a request to authorize a public hearing on the proposed interim agreement is also submitted to the Board. At this point the board may agree to schedule public hearings, ask for additional negotiations to modify the agreement or terminate the project.

[MAP SHAPE 22, 22a, 22b, 22c, 25]

15. After the public hearing the Board of Supervisors decides whether or not to proceed with the vendor's interim agreement. If it is rejected, the vendor is notified and any unspent fees are returned. The Board may also reject the agreement and request additional modifications which launches additional negotiations.**[MAP SHAPE 23, 23a, 22b, 22c, 25]**
16. If the Board of Supervisors approves an interim agreement after the public hearing period, the Board authorizes the lead agency to proceed with comprehensive negotiations. When the comprehensive agreement is complete, a Public Hearing is required so the Public Hearing process is launched again. **[MAP SHAPE 24, 22]**
17. Once the final comprehensive agreement is approved by the Board, it is executed/signed. A copy of the agreement is sent to the State of Virginia's Auditor of Public Accounts within 30 days of signing. **[MAP SHAPE 23a, 23b, 26]** and a copy is also forwarded to the lead agency.
18. If financing is required, the debt issuance process is followed **[MAP SHAPE 27]**.

Triggers:

- ❑ Need for innovative development concept

Key Process Participants:

- ❑ DPSM (Central Purchasing)
- ❑ DMB (Debt Manager)
- ❑ County Attorney
- ❑ Construction Contracting Authorities (DPWES, FCPA, DCHD, FCPS)
- ❑ Planning and Zoning
- ❑ Program Agencies
- ❑ Governing Body
- ❑ Vendor
- ❑ General Public

Inputs:

Input	*Format*
Proposal	
Public Comment	

Outputs:

Output	*Format*
Comprehensive Agreement/Construction Contract	

IT Support:

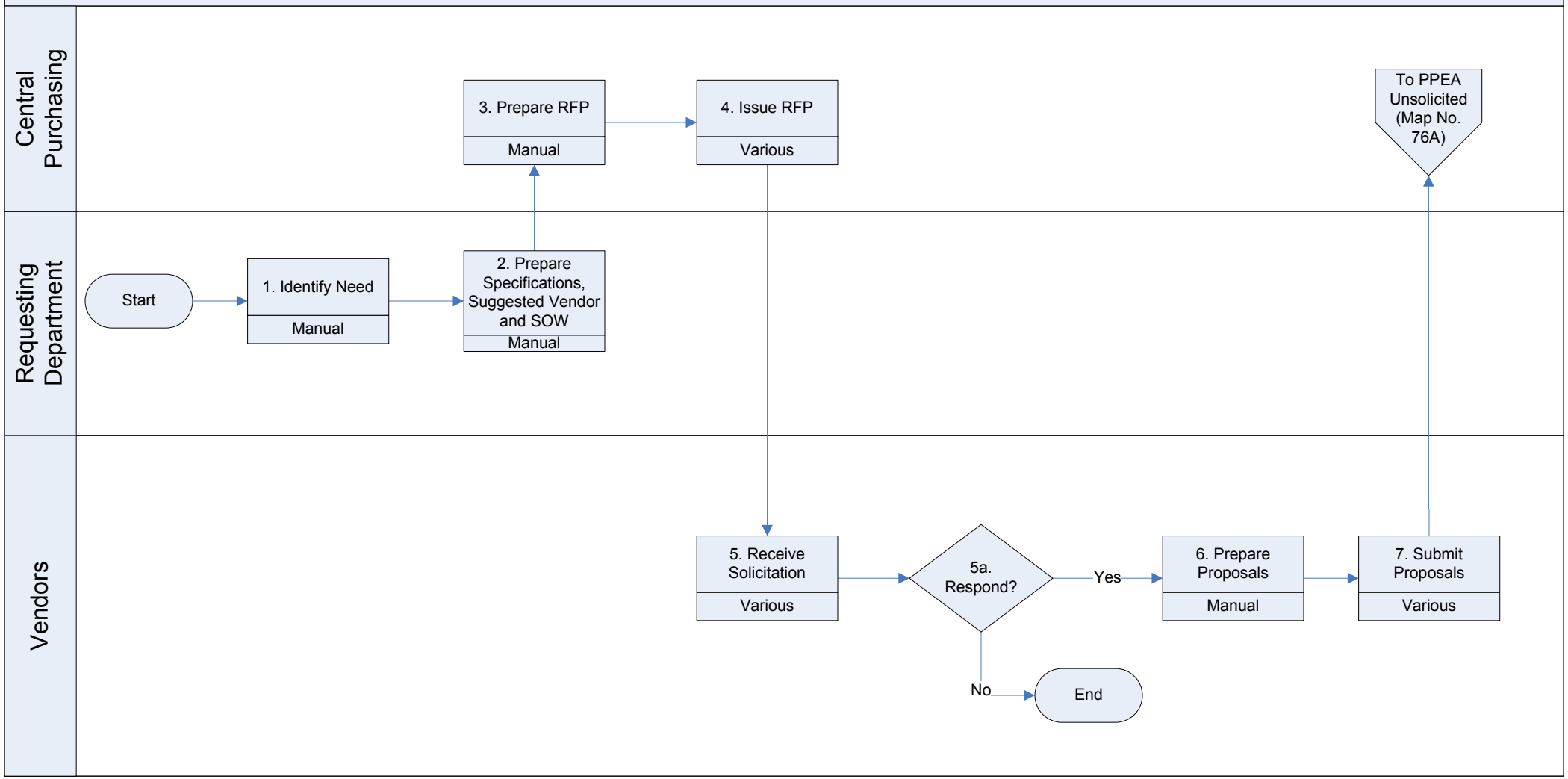
Application/System Name	*Technology Description*
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system

Regulations:

- o Public-Private Education Facilities and Infrastructure Act of 2002

PPEA [FINAL]
Sub-Process: Formal Solicitation

Map Name: PPEA_SOL
Map No: 76B



Process Name: PPEA	**Process Identifier:** PPEA_SOL
Sub-Process Name: Formal Solicitation	**Map Number:** 76B

Sub-Process Purpose and Objectives: Description of PPEA formal solicitation process.

Sub-Process Description:

1. A Department identifies a need for a project that falls within the guidelines of the PPEA. **[MAP SHAPE 1]**
2. The Department identifies/assembles a bidder's list, identifies the specifications and the scope of work. **[MAP SHAPE 2]**
3. Central purchasing prepares and issues the request for proposals (RFP) **[MAP SHAPES 3, 4]**
4. Vendors, who choose to respond, prepare the proposals and submit them to Central Purchasing **[MAP SHAPES 5, 5a, 6, 7]**
5. Central Purchasing assigns a Lead Agency. The Lead Agency review follows the PPEA – Unsolicited process to evaluate and select top rated proposals, and negotiate and execute agreements. **(See Map 76A)**

Triggers:

- ❑ Need for innovative development concept

Key Process Participants:

- ❑ DPSM (Central Purchasing)
- ❑ DMB (Debt Manager)
- ❑ County Attorney
- ❑ Construction Contracting Authorities (DPWES, FCPA, DCHD, FCPS)
- ❑ Planning and Zoning
- ❑ Program Agencies
- ❑ Governing Body
- ❑ Vendor
- ❑ General Public

Inputs:

Input	*Format*
Proposal	
Public Comment	

Outputs:

Output	*Format*
Comprehensive Agreement/Construction Contract	

IT Support:

Application/System Name	*Technology Description*
iCASPS	County and Schools purchasing system
eVA	Virginia Commonwealth's e-Procurement portal; includes contracts and an informal on-line quote system

Regulations:

- o Public-Private Education Facilities and Infrastructure Act of 2002