LOB #52:

FOCUS BUSINESS SUPPORT GROUP - HUMAN CAPITAL MANAGEMENT AND SECURITY

Purpose

The FBSG Human Capital Management (HCM) team provides functional system administration oversight for the Human Capital Management modules in the FOCUS system including Payroll, Benefits Administration, Time Evaluation and Approval, Employee Self Service/Manager Self Service, Organizational Management and Personnel Administration. This team of subject matter experts provides functional program policy and governance support for human resources-related activities that impact the system and enables continuous improvement and smooth operation of the production systems. The HCM team works to improve upon the implementation and provide support for changing Human Capital Management business processes. In addition, this LOB includes the functional security team that provides overall management of security for end user access and processing in FOCUS. The Functional Security team creates and maintains roles and profiles for end users that control access and insure proper segregation of duties.

Description

The HCM modules are utilized by the entire workforce of approximately 18,000 which includes cyclical and part-time employees plus many volunteers. FOCUS is used to record time worked, process payroll actions, process payroll, manage benefits, and maintain the organization's structure.

The Human Capital Management portion of this LOB provides functional project and systems implementation planning and estimating, change management and enhancement prioritization, and project management leadership associated with the maintenance of current functionality and the implementation of new functionality for the following areas:

- TM (Time Management)
- BN (Benefits)
- PY (Payroll)
- OM (Organizational Management)
- PA (Personnel Administration)
- ESS/MSS (Employee/Manager Self-Service)

The staff in this LOB serve as the Functional Project Manager for major projects and in that work, are the subject matter expert leads and work with their counterparts in the Department of Information Technology to:

- Partner with business stakeholders to successfully perform critical business functions on a daily, weekly, bi-weekly, monthly or annual basis (e.g. payroll, W-2, benefits open enrollment)
- Monitor and manage inbound and outbound interface processing for systems that send data to and receive data from FOCUS.
- Investigate, diagnose, and resolve complex system-related problems.
- Perform configurations in the FOCUS system to implement new functionality or change existing functionality.
- Provide support during various audits being performed by the external auditor, the FCG or FCPS internal audit organizations, and the BOS or FCPS Board Auditor(s).

- Participate in special projects, providing subject matter expertise, for applications that have a direct impact on or that will interface with FOCUS.

The primary business process owner is the Department of Human Resources (DHR), and the stakeholders include all payroll contacts, HR managers, and employees of Fairfax County Government. In that work, the HCM team conducts business process and systems analyses, applies in-depth SAP knowledge, subject matter expertise, and theoretical knowledge and experience in supporting highly complex functional system administration processes associated with the business and associated legislative and other legal and statutory requirements for human resources functionality. These professionals analyze business requirements and determine the appropriate ERP options to meet those needs through participation in special projects, providing HCM subject matter expertise for applications that have a direct impact on or that will interface with FOCUS. Examples include the Dell Identity Management implementation, the training software upgrade, and the implementation of the suite of Talent Management applications including e-recruit, e-learning, and performance management.

Staff responsible for Payroll support work with DHR to ensure timely and accurate biweekly payments to more than 16,000 County employees in compliance with applicable federal, state and County laws and regulations, timely payment of federal and state taxes, and accurate year-end close-out including the production of W-2s.

Staff responsible for Benefits Administration support work with DHR to ensure accurate system processing of all benefits including County provided health care, life insurance, deferred compensation, and retirement benefits including enrollment, coverage, deductions of premiums, open enrollment, and reporting to vendors.

Staff responsible for Organization Management ensure that the Organizational Units required to represent any type of organizational entity designated to perform a specified set of functions within an organization such as departments, divisions, organizational reporting units, and positions are accurately maintained and updated. This is the reporting hierarchy of an organization and is separate from the financial structure. Organizational Objects facilitate the overall organizational hierarchy (departments, positions, supervisors, and employees), organizational management and historical reporting for restructures/reorganizations, usage of time management and approval, management of supervisory to subordinate relationships, classification of jobs as they tie to the pay structure and compensation rules, position control and management of attributes that must inherit to the employee (e.g. dual encumber, job share, FICA eligibility, expiration dates) and the capture of data required for federal/state-mandated reporting requirements.

Org Reporting Requirements include but are not limited to:

- Virginia Employment Commission – state required (Multiple Worksite Report)
- Occupational, Safety and Health Administration (OSHA) – federally required
- Virginia Occupational, Safety and Health Administration (VOSHA) – state required
- Equal Employment Opportunity (EEO) Commission – federal required – EE04 and EE05
- Position Count – Broken down by status
- Position Detail Report or equivalent
- Vacant Position Report
- Report of expiration dates (i.e., grants and other short term positions)
- Ability to report on background checks (Criminal Background, Credit, Commercial Driver's License)
- Organizational Chart reporting capability

Staff responsible for Personnel Administration maximize the automation of complex HR processes and procedures through the management of various validity dates such as start and end dates, retro dates and future dates. The personnel administration data is the backbone for assignment of system security, accurate

payroll processing, benefits administration and other actions including personnel actions related to the administration of complex personnel procedures, such as hiring a new employee, changing the organizational assignment of an employee, changing an employee's pay, setting an employee's status to early retiree or pensioner, and documenting when an employee leaves or re-enters the enterprise. In addition personnel administration maintains the personal identifying data for an employee/applicant such as name, birth date, Social Security Number (SSN), nickname, and marital status. This data integrates with several modules for proper processing; for example, Benefits will require name, SSN, date of birth, gender and marital status, while Payroll will require name and SSN.

Staff responsible for Time Management maintain, monitor, and update master records based on business requirements and resolve issues associated with the key data utilized to record work schedules, absences and attendances, quotas and accruals, assignment information such as FTE (full-time equivalency) and employee status to create the basic time information for the evaluation and accounting of employees' working times. This includes the daily monitoring of reports after time transfer and time evaluation programs run each night. If errors are found on these reports, the errors must be corrected prior to payroll processing for the pay period.

Staff responsible for Employee Self Service (ESS) and Manager Self Service (MSS) provide oversight, monitor, maintain, and triage all activities associated with the internet-based access to the FOCUS system that provides employees and managers with the self-service functionality.

The Security portion of this LOB is required to support all County and FCPS end users who utilize FOCUS functionality to complete not only their daily finance, budget and procurement functions in support of their organization but also those users who access FOCUS for human resources-related processing (e.g. time entry, benefits open enrollment). The Security portion of this LOB is responsible for validation and management of requests for end user access to the system including initial provisioning, reviewing requests for changes to access and delimiting/end dating access, auditing and reporting on end user access across the various platforms in FOCUS, role development and management, management of profiles/ authorization objects and user master management.

This group works in partnership with staff in the Department of Information Technology, Information Security Office to manage risks and controls, and apply overall security policies and principles related to securing access to SAP to ensure the overall objectives of security support are met.

- Improving compliance of all regulations regarding information security and data protection.
- Enforcing the principle of separation of duties in users' authorizations.
- Preventing conflict of interest issues.
- Standardizing security authorizations for users across Fairfax business units to the extent possible.
- Optimizing user administration and authorization management.

Specifically, the FBSG security team is responsible for the following:

- Managing on-boarding and off-boarding activities for FOCUS users in coordination with DIT.
- Maintaining the standard authorization roles and structural authorization profiles.
- Maintaining the authorization assignment of these roles/profiles to the appropriate approved users.
  - Managing the creation and maintenance of roles/profiles.
  - Coordinating and develop IDM and Enterprise roles.
  - Overseeing the monitoring of user activities in FOCUS.
  - Working in concert with DIT and the auditor to regularly audit users' authorizations.
  - Troubleshooting authorization issues.

Benefits

The FBSG HCM LOB provides services to the entire County, but most directly to DHR, payroll contacts and HR managers. The FBSG leverages County IT investments to optimize project management oversight, engage strategic thinking for new opportunities, promote consistent change management practices, and ensure that the ERP platform remains functional, compliant, and current. The LOB ensures processes within HCM meet County strategic and business goals for human resource management. Additionally, they enable and promote innovation, foster quality customer service and efficient cross-agency business processes, and ensure compliance with state and federal regulations, County regulations, and County policies and procedures.

The FBSG Security LOB provides services to all end users of FOCUS. In addition, the LOB supports the internal controls required to ensure that access is managed and controlled to meet all risk, compliance and audit standards.

Staff supporting this LOB regularly evaluate business process impacts, assist in reviewing alternatives, propose resolutions, and implement resolutions to problems. Significant value is added as staff work continuously to leverage and extend the investment in an enterprise resource planning solution by finding synergies and efficiencies.

Mandates

This LOB is not a state or federal mandate, the LOB manages a technology solution that supports state or federal mandates in agencies and compliance policies which must be performed under County, state, and/or federal guidelines. For example:

- Payroll activities must remain in compliance with the tax reporting deadlines, appropriate wage reporting, and appropriate taxation of wages earned as specified in Publication 15, Employer's Tax Guide, of the Internal Revenue Service.
- Payroll/Time/Personnel Administration activities must remain in compliance with the Fairfax County Personnel Regulations and the Fairfax County Personnel Payroll Administration Policies and Procedures that apply to positions and persons in competitive service for pay, time reporting, and leave programs and personnel administration.
- Payroll activities must remain in compliance with Fair Labor Standards Act (FLSA) regulations on minimum wage rates, overtime pay, child labor, and equal pay for employees covered by the law.

Trends and Challenges

HCM
With a workforce that varies from 14,000 to more than 16,000 over the course of the year, payroll activity is voluminous as employees are hired, transferred, promoted, and terminated across more than forty-five agencies. The FBSG payroll team successfully partners with DHR to ensure all payroll activities are completed on time and accurately in compliance with applicable federal, state, and County laws and regulations. As part of that effort, HCM works with DHR to provide regular updates and training to promote consistent, accurate application of payroll and time entry policies and procedures in the system.

Beginning in early 2016, the County must comply with the reporting requirements of the Individual Responsibility and Employer Shared Responsibility Rules, also known as the Employer Mandate. As part of this mandate, the County must submit detailed information on employees and dependents to the Internal Revenue Service (IRS) regarding their County benefits coverage, so eligibility for federal subsidies can be determined if any County employees apply for coverage under one of the Health Exchanges. Also, the County must furnish statements to employees showing the information sent to the IRS.

Department of Management and Budget

A Consumer-Directed Health Plan (CDHP) and a Health Savings Account (HSA) were introduced for the 2016 plan year as an additional health insurance option for employees, which will require system modifications as part of implementation.

Another key responsibility of the Payroll Division is the production of W-2's for all County employees, a number in excess of 20,000 annually. All tax reporting is done in-house, including quarterly and annual reporting to the IRS, Social Security Administration and several state governments. It should be noted that since FOCUS implementation, the processing time for W-2s has been reduced. W-2s were mailed nearly two weeks before the federally-mandated deadline in January 2014, which had never been able to be achieved in the old legacy system.

Security
In response to user requests for information with regard to who has what finance and logistics roles and a detailed method to add/remove roles, FBSG has put together new tools to help with the process. The first tool available for end users is an updated instructional tool to aid in the efficient, accurate, and timely submission of requests for user roles. Also available for end users is a role-to-training matrix that provides a list of finance and logistics roles with a description of the role, prerequisite training to get access to the role, and common transactions associated with the role. Additionally, FBSG has created a user roles matrix that contains a listing by department of all FOCUS roles (including HCM roles) that users have been granted. This report can be used to validate that staff have the correct roles, model what a new staff member might need to be granted based on roles currently assigned to an existing staff member and aid in regular review of roles to provide clean-up/adjustment of roles granted to staff when they are promoted, transferred or change responsibilities in the agency.

Beginning in early 2016 the security team, in partnership with the Department of Information Technology, will be heavily involved in the implementation of a new identity management solution for user provisioning.

To enhance the County's ability to conduct routine system use reviews and audit processes for the Internal Auditor, the annual Financial Auditor, the Department of Finance, and the IT Security Office, the SAP GRC (Governance Risk and Compliance) solution is in final stages of being implemented. This solution provides significant improvement over the pseudo-manual processes of role, access, and process reviews, making the annual financial audit more efficient with better accuracy.

Resources

Category	FY 2014 Actual	FY 2015 Actual	FY 2016 Adopted
LOB #52: FOCUS Business Support Group - Human Capital Management and Security			
FUNDING			
Expenditures:			
Compensation	$581,885	$590,319	$700,650
Operating Expenses	53,966	57,150	30,493
Total Expenditures	$635,851	$647,469	$731,143
General Fund Revenue	$0	$0	$0
Net Cost/(Savings) to General Fund	$635,851	$647,469	$731,143
POSITIONS			
Authorized Positions/Full-Time Equivalents (FTEs)			
Positions:			
Regular	9 / 9	9 / 9	8 / 8
Total Positions	9 / 9	9 / 9	8 / 8

Metrics

Metric Indicator	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Estimate	FY 2017 Estimate
Number of W-2 forms produced, printed and mailed	18,375	20,815	21,148	22,735	24,235
Number of HCM jobs/interfaces managed	89	89	89	90	90
Average number of End User Help Desk Tickets per month (Security)	91	79	66	70	70

Number of HCM Jobs/Interfaces Managed:
The teams in this LOB support the core operations of the FOCUS system including the inbound and outbound interfaces from enterprise-wide computer applications for public safety, public health, human services, revenue and taxation, land development, finance and accounting, purchasing, payroll and human resource management, libraries, facilities management, and many others that send data to and from FOCUS. This LOB supports ongoing critical County operational and customer service needs associated with monitoring and maintaining the functionality of the interfaces, ensuring accuracy, and timely transmission of data, and resolving issues.

Number of W-2 Forms Produced, Printed and Mailed:
W-2 forms are processed in-house. Over the last three years, the number produced has increased to reflect the growing number of hires and rehires as well as an increase in the number of categories of individuals that are required to receive a W-2. W-2 forms continue to be distributed to employees prior to the required deadline.

Average number of End User Help Desk Tickets per Month (Security):
As part of ongoing outreach and communication with end users on the best and most effect methods to utilize FOCUS functionality, customer support is a vital component. The FOCUS Business Support Group provides an essential customer service function, serving as a point of contact for resolution of problems, requesting additional access, and answering inquiries on how to utilize functionality. The FBSG team takes ownership of the problem or request and works to resolve it as quickly as possible. All reported problems or service requests are logged as a Help Desk ticket. The FBSG is responsible for the dissemination of problems to the appropriate and responsible organization, whether another FBSG team, a DIT partner group, or a business process owner agency. Regardless of who can resolve the problem, the FBSG retains the oversight for problem resolution and request fulfillment. The FBSG is accountable to its end users and agencies to ensure the problem or service request is handled quickly and effectively.