HUMAN RESOURCES LINE OF BUSINESS

SEPARATION MANAGEMENT CONCEPT OF OPERATIONS

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

Working for America

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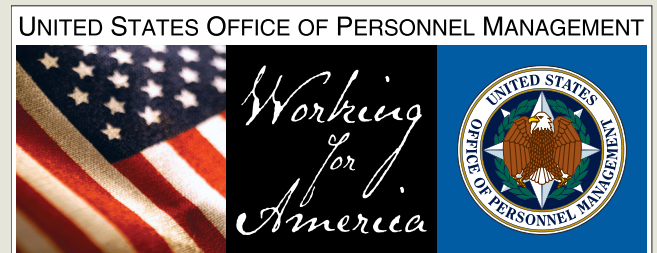
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ABBREVIATIONS AND ACRONYMS

APQC	American Productivity and Quality Center
BRM	Business Reference Model
CDM	Conceptual Data Model
CONOPS	Concept of Operations
DM	Date Model
DW	Data Warehouse
EA	Enterprise Architecture
E-Gov	Electronic Government
EHRI	Enterprise Human Resources Integration
eOPF	Electronic Official Personnel File
EOD	Entrance on Duty
ESB	Enterprise Service Bus
FAQ	Frequently Asked Questions
FEA	Federal Enterprise Architecture
HR	Human Resources
HR LOB	Human Resources Line of Business
HRIS	Human Resources Information System
IEE	Internal Efficiency and Effectiveness
IT	Information Technology
LDM	Logical Data Model
MAESC	Multi-Agency Executive Strategy Committee
OMB	Office of Management and Budget
OPM	Office of Personnel Management
PM	Performance Model
PMA	President's Management Agenda
PMO	Program Management Office
SCM	Service Component Model
SDM	Service Delivery Model
SME	Subject Matter Expert
SMWG	Separation Management Work Group
SOA	Service Oriented Architecture
SSC	Shared Service Center
TCC	Temporary Continuation of Coverage
TM	Technical Model

1   INTRODUCTION

1.1   Human Resources Line of Business

The President's Management Agenda (PMA) requires Federal agencies to expand the use of electronic Government (E-Gov) to improve the efficiency and effectiveness of the services provided to citizens. Under the PMA, domain owners have established several lines of business to consolidate, improve, and streamline business processes across the Executive branch.

The Office of Personnel Management (OPM) launched the Human Resources Line of Business (HR LOB) initiative in 2004 to support the vision articulated in the PMA. The HR LOB Concept of Operations (CONOPS) proposes a near-term service delivery model where HR services relating to human resources information systems (HRIS) and payroll operations move from agencies to HR Shared Service Centers (SSCs). Over time, as HR SSCs evolve and expand their capabilities, more transactional and administrative activities may shift from the agency to its Shared Service Center. This approach will allow agencies to increase their focus on core mission activities and the strategic management of human capital, while SSCs deliver the HR services defined in the HR LOB CONOPS in an efficient and cost-effective manner with a focus on customer and service quality.

OPM expects the HR LOB to help the Federal Government realize the potential of electronic Government, significantly enhance human resources service delivery for civilian employees of the Executive branch and realize Program objectives that were established in 2004:

Objectives	Goals
Improved Management Improve the government wide strategic management of human capital	- Faster decision making - More informed policy making - More effective workforce management - Improved resource alignment with agency missions
Operational Efficiencies Achieve or increase operational efficiencies in the acquisition, development, implementation and operation of human resources management systems	- Improved servicing ratio/response times - Reduced cycle times - Improved automated reporting
Cost Savings/Avoidance Achieve or increase cost savings/avoidance from HR solution activities	- Reduced duplicative software/ hardware/operations/labor resources - Increased competitive environment
Improved Customer Service Improve customer services	- Increased accessibility to client and value - Improved communication and responsiveness - Enhanced quality - Enhanced timeliness - Enhanced accuracy - Enhanced consistency

Table 1: HR LOB Strategic Objectives

1.2   HR LOB FEA Reference Models

The HR service delivery approach the HR LOB is proposing is a new model for doing business in the Federal Government. The breadth of this initiative spans Human Resources for the entire Federal civilian workforce. To help define this new business model, the HR LOB constructed a set of architectural blueprints that provide a common view and a common vocabulary for the business of HR for agencies in the Federal Government. The HR LOB developed these models in

accordance with the Office of Management and Budget's (OMB) Federal Enterprise Architecture (FEA) guidelines.

More information on these guidelines can be found at the following E-Gov link: http://www.whitehouse.gov/omb/egov/a-2-EAModelsNEW2.html

The HR LOB has published five architectural artifacts.

- Business Reference Model (BRM) version 2 – Completed in January 2006, the BRM version 2 provides an end-to-end view of the human resources processes that take place in departments and agencies across the United States Federal Government. Over 300 subject matter experts representing 33 Federal agencies came together to define and validate the BRM. The BRM consists of 45 processes organized into 10 sub-functions. Each of these processes is further decomposed to the activity level. (The BRM can be found at http://www.opm.gov/egov/documents/architecture/#brm)

- Data Model (DM) version 1 – Completed in February 2006, the DM described two different views – a Conceptual Data Model (CDM) and a Logical Data Model (LDM). The CDM is a single integrated data structure that shows data objects along with high-level relationships among data objects. The LDM includes more detail for a subset of the CDM scope: the data to be shared across agencies and SSCs. It shows data entities, attributes and relationships between entities. (The DM can be found at http://www.opm.gov/egov/documents/architecture/#drm)

- Performance Model (PM) version 1 – Completed in June 2006, the PM provides a framework for performance measurement that helps enable a philosophy of continuous improvement for the HR LOB. It identifies a common set of HR performance measures to be used throughout the Federal Government. This framework can be used to measure human capital strategic outcomes and agency mission results. Version 1 focuses on capabilities relating to the BRM sub-functions Compensation Management, Benefits Management and the BRM activities that result in a Personnel Action. (The PM can be found at http://www.opm.gov/egov/documents/architecture/#pm)

- Service Component Model (SCM) version 2 – Completed in September of 2007, the SCM identifies HR and HCM services – service components – and proposes the means for providing them to its customers – service delivery. It provides a framework and vocabulary for guiding discussions between service providers and customer agencies and is meant to be a catalyst for true cross-agency collaboration. (The SCM can be found at http://www.opm.gov/egov/documents/architecture#scm)

- Technical Model (TM) version 2 – Completed in January of 2008, the TM defines the standards, specifications and technologies of the four service areas for HR LOB (Service Access & Delivery, Service Platform & Infrastructure, Component Framework, and Service Interface & Integration). The TM provides agencies with a foundation to understand the standards and technologies supporting the secure delivery, exchange and construction of business (or service) components and e-Government solutions specific to the HR LOB. It provides the groundwork for re-use of technology and component services across the Federal Government through standardization. (The TM can be found at http://www.opm.gov/egov/documents/architecture/index.asp#tm)

1.3 Separation Management

The Business Reference Model (BRM) describes a governmentwide view of the sub-functions, processes and activities agencies perform to deliver HR services to employees of the Federal Government. "Separation Management" is the 10th BRM sub-function and is defined: "Conduct efficient and effective employee separation programs that assist employees in transitioning to non-Federal employment; facilitate the removal of unproductive, non-performing employees; and assist employees in transitioning to retirement."

The Separation Management process described in this report begins with management identifying an employee for separation or an employee notifying management of their intent to separate and ends when the appropriate staff receives close-out documentation and uses it as prescribed. Separation Management in this context specifically refers to the automated collection and distribution of employee information pertaining to their separation. It includes:

- Notifications to relevant Federal staff, e.g., payroll, facilities, Employee Relations
- The exchange of data between agencies, their SSC/payroll providers, and between SSCs/payroll providers and OPM
- The transfer of knowledge from a separating employee to an agency
- Exit processing which includes collecting Government resources from a separating employee

In the Federal Government, agencies typically collect separation information from a separating employee via activities requiring the employee to manually complete paper forms. Many of these forms require the employee to provide the same information multiple times. HR personnel receive, organize, and review those paper forms. Some forms are manually input into a system, while others are simply filed in a hard-copy folder for reference. This CONOPS describes a business capability that will leverage technology to bring efficiencies to this process. The implementation of such a capability will result in a return on investment that produces both human capital and financial benefits.

1.4 Objective of the HR LOB Separation Management Project

The objective of this project was to describe and summarize Separation Management-related services in terms of FEA guidance and provide agencies with background information they can use to streamline and modernize their Separation Management-related services. This included:

- Reviewing current Separation Management processes to determine:
  - Current inefficiencies
  - Opportunities for process modernization and streamlining
  - Future efficiencies through the use of technology
- Identifying standard performance measures
- Providing a standardized governmentwide process perspective
  - Process flows
  - Process descriptions
  - Requirements
- Providing a basis for detailed service design
- Providing a basis for a business case

1.5 Separation Management Service Overview

Modern Separation Management-related services should have a formal process which tracks and coordinates the completion of vital tasks in accordance with agency requirements. The services should be standardized for an entire organization. This standardization requires a functional review to accommodate the requirements of all customers being supported. Service and technology needs should be reviewed regularly and analyzed to ensure agencies can meet workforce and customer needs.

Separation Management-related services should leverage technology to enable an efficient process. It is useful to look at Separation Management practices that various enterprises – both inside and outside the Federal Government – have successfully deployed.

- Collection, sharing, and review of separation information. Data is seamlessly and automatically shared between systems to provide a reduction of data entry and manual processing tasks. Employee access to systems for information review and data entry is designed to be user-friendly and intuitive. An employee is able to save a separation annuity calculation and the employee does not have to enter data more than once. Information is populated based on a key employee indicator, e.g., "employee number." A key consideration for information review, data collection and data sharing efforts is around reducing keystrokes, repetitive data entry, and increasing efficiency while eliminating paper copies of actions and requests.

- Communication. Automated communication is delivered to the separating employee and to personnel supporting the Separation process whenever possible. The communication is advisory in nature providing, for example, updates to employees on the separation process, reminders to complete certain tasks, and invitations to counseling or separation seminars. Once Separation Management tasks are completed, notifications are sent to managers or HR as appropriate.

- Process monitoring. Separation Management tasks are monitored for completion and appropriate staff notifications and reminders are sent when timelines are not met. Separation Management-related services allow managers, HR personnel, and other staff to easily monitor these tasks – preferably through a dashboard type view. Compliance with legal, regulatory, and policy requirements is considered when determining what to monitor. Privacy and security of personal data is carefully safeguarded.

- Government resource retrieval. An effective resources turn-in process ensures separating employees return the Government's assets and other resources before departing the agency. These resources could include: workstation, desktop computer, ID badge, desk phone, cell phone, and office supplies. If specific resources are associated with a position, the resource turn-in requirements are visible by a position code. When HR submits a Request for Personnel Action to separate an employee, the system notifies employees of the resource turn-in requirements. Managers have the capability to track resource turn-in and resolve issues when an employee fails to comply with turn-in requirements – preferably before the employee leaves the organization.

- Personnel action process triggers notification of exit processing requirements. When a request for personnel action for separation is submitted, a notification of exit processing requirements is automatically sent to the employee. The notification provides an employee

with a list of exit processing tasks that must be completed prior to separation. This can be expanded to include knowledge transfer requirements as well.

- Team rooms and shared drives. "Team rooms" and "shared drives" are created to capture, organize, or distribute knowledge specific to a team or an organization to ensure it is available for future users. Agencies use this capability to define what should be posted, specify the access rules for posting, and provide employees with guidance and instruction of what and how to post.

- Virtual interactive sessions. Employees contemplating separation have the option to participate in virtual briefings or forums. An employee can use an online chat session to ask a question regarding a submitted request for separation and receive immediate feedback.

- Knowledge-based portal. Knowledge-based separation portals provide employees the capability to calculate a retirement annuity based on a scenario selected by the employee. Employees can review separation and benefits information related to their specific circumstance. Frequently Asked Questions (FAQ) can be included to allow employees to learn from the experiences of others. Questions that can not be answered using the portal can be referred to a customer service representative.

2   APPROACH

2.1   Scope of Separation Management

The Separation Management sub-function has one process that includes six activities. The activities within this process that were decomposed to the task level for the Separation Management CONOPS are shown in Table 2.

Process	10.1 Manage Employee Separation	
ID	**Activity Name**	**Activity Definition**
10.1.4	Provide Separation Support Role: HR Organization	**Inputs:** Documentation of Separation, Agency Specific Checklists Conduct counseling activities, when appropriate or requested, to assist employee and / or family with the transition and provide help to complete necessary documentation (e.g., retirement seminar, outplacement services, Temporary Continuation of Coverage (TCC) information, required forms). **Outputs:** Counseling Documentation, Agency Specific Checklists, Completed Employee Forms
10.1.5	Conduct Knowledge Transfer Role: Management	**Inputs:** Agency Specific Checklists, Project Tracking Information Initiate necessary interaction with the separating employee to capture institutional knowledge, intellectual capital, job-related information and status of current and pending assignments. **Outputs:** Statues Reports, Position Documentation, Work Products
10.1.6	Conduct Exit Processing Role: Management HR Organization Employee	**Inputs:** Separation Notification, Documentation of Separation, Completed Employee Forms Meet with and survey the exiting employee to understand the reasons behind the separation. The results of the discussion will be used to identify trends and develop appropriate intervention strategies to improve retention. During the session, the parties will complete exit checklist and collect agency property. Notify appropriate third parties of the event for action or coordination (e.g., benefits providers, payroll, facility services, security, IT). Gather and distribute appropriate materials to assist the employee and family with the separation. **Outputs:** Attrition Statistics, Retrieved Agency Assets, Exit Interview Results, Separation Notifications, Separation Materials

Table 2: Separation Management Activities in Scope

The three activities not decomposed to the task level are shown in Table 3 below. These three activities are decision-related activities performed by managers, HR staff or employees outside technology enabled processes. The results of the decisions provide outputs, e.g., Separation Notification and Employee entitlements that link to Activity 10.1.4, Provide Separation Support.

Process	10.1 Manage Employee Separation	
ID	**Activity Name**	**Activity Definition**
10.1.1	Initiate Separation Role: Management HR Organization Employee	**Inputs:** Separation Notification (voluntary / involuntary), Separation Policies, Governmentwide Laws, Rules and Regulations Notify appropriate parties that an employee is leaving an agency. (e.g., voluntary / involuntary separation, transfer, retirement, death). Notification event could be employee to manager, employee to HR to manager; family to manager or HR to employee. **Outputs:** Separation Notification (to HR / Manager / Employee), Type of Separation
10.1.2	Conduct Workforce Shaping Activities Role: Management HR Organization	**Inputs:** Workforce Plan, Separation Notification, Separation Policies, Governmentwide Laws, Rules and Regulations Conduct workforce shaping activities such as Reduction-In-Force, A-76 Studies, Voluntary Early Retirement determinations, Voluntary Separation Incentive determinations, etc. **Outputs:** Separation and Internal Placement Determinations, Type of Separation, Type of Internal Placement Actions, Separation and Placement Entitlements
10.1.3	Determine Terms of Separation Role: Management HR Organization	**Inputs:** Separation Notification, Type of Separation, Separation Policies Determine the terms and entitlements of separation by examining the reasons behind the event and what the employee will receive, where applicable, when the separation takes place (e.g., leave balance pay out or transfer of account, severance, pension, Temporary Continuation of Coverage (TCC), etc). **Outputs:** Documentation of Separation, Employee Entitlements

Table 3: Separation Management Activities out of Scope

2.2   Development of the Separation Management CONOPS

The HR LOB, through the Multi-Agency Executive Strategy Committee (MAESC), convened a Separation Management Working Group (SMWG). A total of 38 participants representing 14 agencies met in working sessions over several months to develop the work products specified in this CONOPS.

2.2.1   Workgroup Kick-off

The HR LOB conducted a kickoff meeting at OPM attended by 20 representatives from eight agencies. Representatives were briefed on the objective of the Separation Management effort as discussed in section 1.4. The HR LOB outlined a workshop schedule that included a process definition workshop in May 2008 and a requirements workshop in June 2008. They also explained what work products would be completed and how the products would be coordinated prior to CONOPS publication.

2.2.2   Process Definition Workshop

The HR LOB Business Reference Model (BRM) was the SMWG's starting point for developing the detailed Separation Management process. For BRM activities 10.1.4 through 10.1.6, the

workgroup group identified specific tasks and organized them into flow diagrams. The workgroup developed detailed definitions for each task, the role that performed the task, and associated each task with the role that performs the task. The workgroup tested the process models by walking through various operational scenarios, e.g., voluntary retirement, resignation, and involuntary separation. In each instance, the models were successfully accommodated by each scenario.

The work products can be found in the appendices:

- Process model for 10.1.4 Provide Separation Support – Appendix A
- Task descriptions for 10.1.4 Provide Separation Support – Appendix B
- Process model for 10.1.5 Conduct Knowledge Transfer – Appendix C
- Task descriptions for 10.1.5 Conduct Knowledge Transfer – Appendix D
- Process model for 10.1.6 Conduct Exit Processing – Appendix E
- Task descriptions for 10.1.6 Conduct Exit Processing – Appendix F

2.2.3   Requirements Definition Workshop

When the *HR LOB Target Requirements for Shared Service Centers* were first developed in 2005 – 2006, the workgroup that originated the Separation Management requirements scrutinized the activities that comprise Separation Management to generate discussion about the services that could be put into place to support these activities and the requirements that would govern these services. The workgroup identified a total of 37 requirements for the BRM sub-function Separation Management; one additional requirement was added in a subsequent version of the Target Requirements report. (Report can be found at:
http://www.opm.gov/egov/documents/requirements/index.asp).

For the current effort, the SMWG developed detailed requirements for the tasks identified in the Process Workshop discussed above. They also reviewed and included previously developed EOD requirements that were applicable to the Separation Management-related services. (EOD Report can be found at: http://www.opm.gov/egov/documents/EOD/index.asp). These requirements will be considered for inclusion in the next version of the *HR LOB Target Requirements for Shared Service Centers.* The requirements for activities 10.1.4 - 10.1.6 can be found in Appendix G.

2.2.4   Workshop Collaboration and Work Product Approval

The SMWG participants worked together to produce information based on successful practices and practical knowledge of Separation Management-related services. The collaborative efforts provided an opportunity for the agencies to voice their priorities and concerns regarding the Separation Management-related services. The SMWG reached consensus on the work products during the workshops and review process. The MAESC reviewed and approved the SMWG work products before their inclusion in this document.

Approval by these stakeholders establishes this document as the guiding document for agencies and SSCs to assess their capabilities to provide Separation Management-related services and underlying information technology (IT) support. Agencies and SSCs can work together to use the assessment to build or improve Separation Management-related services.

3   CONCEPT OF OPERATIONS

The HR LOB Common Solution(s) White Paper and Concept of Operations (CONOPS), published in 2004, discussed two concepts that are critical to the Federal line of business strategy: *common solutions* and *standardization*.

The concept of common solutions is based on the business-driven premise that standardized, scalable, and portable HR services can be developed and deployed for use across multiple Federal Government agencies. Shared Service Centers will be fundamental to delivering the common solutions and producing efficiencies and economies of scale that will lead to realization of the four goals of the HR Line of Business:

- Reduced cost
- Improved efficiency
- Improved customer service
- Improved management of human capital

Standardization produces the common and repeatable processes that make common solutions possible. The HR LOB architectural artifacts, described in a previous section, provide the framework and vocabulary for making decisions around standardization.

Two desirable outcomes should result from standardization and common solutions – *reusability* and *interoperability*:

- *Reusability* is the ability to utilize a business asset in more than one context – by multiple organizations or across multiple processes.
- *Interoperability* is the ability to exchange assets for like assets without undue impact. It enables the purchaser of an asset to trade out one for another. Because the asset is self-contained and independent in terms of what it accomplishes and the resources it needs, there is minimum rippling effect when the trade-out occurs.

This Separation Management Concept of Operations is a "*solution level*" CONOPS. It takes the HR LOB Program-level CONOPS, the HR LOB architectural artifacts, and the *HR LOB Target Requirements for Shared Service Centers* to a greater level of detail for the limited scope that was established at the onset of this initiative – BRM activities 10.1.4, 10.1.5, and 10.1.6. These detailed results describe a *common* approach to Separation Management. Service providers that deliver Separation Management-related services are encouraged to *standardize* this common approach. Providers are encouraged to develop *interoperable* assets that can be *reused* in multiple contexts. This solution-level CONOPS thus is meant to advance the vision of the HR Line of Business.

3.1   Business Capability Description

The following detailed results provide the basis for the *business capability* portion of the Separation Management CONOPS:

- Process Specification – describes a common task-level process for Separation Management
- Detailed Requirements – provides expectations of providers of Separation Management-related services
- Service Components – identifies the potential Separation Management services providers may include in their portfolio of services

These results are described in the subsections that follow.

As these Separation Management capabilities were specified, it became evident that existing governmentwide initiatives and programs influence the Separation Management process. These initiatives and programs include: OPM's retirement solution (RetireEZ) and Enterprise Human Resources Integration (EHRI) – which includes Electronic Official Personnel Folders (eOPF), Data Warehouse, and analytical tools. Each of these initiatives and programs was considered in the Separation Management process.

3.1.1   Process Specifications

The design points identified for the development of the process flows were to modernize and streamline Separation Management-related services. With these design points in mind, the workgroup examined the activities and developed process flows for each of the activities in scope. The process flows identified in the process workshop were reviewed and used as a basis for developing task descriptions and requirements. The three activities were:

- Activity 10.1.4 Provide Separation Support involves assisting the employee and / or his or her family with the transition to separated status and helps them complete necessary documentation. It starts when an employee requests separation information or when a manager or HR staff member identifies an employee for separation; it ends when the close-out information is filed at an appropriate location. Thirty-one tasks were identified and described to document this portion of the process.

- Activity 10.1.5 Conduct Knowledge Transfer involves interaction with the separating employee to capture institutional knowledge, intellectual capital, job-related information, and status of current and pending assignments. Seven tasks were identified and described to document this portion of the process.

- Activity 10.1.6 Conduct Exit Processing involves conducting exit interviews, completing exit checklist tasks, and providing any appropriate materials to assist the employee and family with the separation. Eight tasks were identified and described to document this portion of the process.

Four overall design points surfaced from the discussions as the work group identified and defined these tasks:

1. Federal employees require access rights to enter and review their personal data, and Government staff requires access to employee information for the employees they supervise or support. Since data access has specific rules, security requirements for each user are specific and should be considered.

2. There must be interoperability between Separation Management-related services. Data and notifications must flow based on the action taken.

3. HR is the control point but managers, provider personnel – and other staffs – must be involved to drive and manage an employee's separation processing.

4. The key Governmentwide initiative influencing the Separation Management process is OPM's retirement solution. All Separation Management-related services must meet interoperability requirements to capitalize on OPM's retirement solution functionality. Agencies may also use other retirement systems if the systems also meet interoperability

requirements. Any retirement system must meet the data exchange requirements for both EHRI and eOPF.

As service providers acquire or develop capability, they should be aware of these design points and consider providing them in their service offerings.

3.1.2   Detailed Requirements

The workgroup examined the process flows and task descriptions developed during the process workshop. Keeping in mind the design points to modernize and streamline Separation Management-related services, the workgroup identified detailed requirements for each task. The requirements, combined with the process flows, and task descriptions provide sufficient detail to better understand how to modernize and streamline Separation Management-related services.

The SMWG took a similar approach to requirements definition used by prior workgroups to generate the detailed Separation Management requirements that appear in this report. They scrutinized the newly identified tasks to consider what requirements should be put into place to support the tasks. Each requirement was linked to the task that yielded the requirement. Requirements that applied to more than one task were labeled "global." Additionally, detailed requirements from the Entrance on Duty (EOD) CONOPS were leveraged for this Separation Management CONOPS.

The *HR LOB Target Requirements for Shared Service Centers* remain intact. These more detailed requirements simply represent an extension of the target requirements for the scope defined for this initiative. Just as providers are expected to comply with *HR LOB Target Requirements for Shared Service Centers*, they are expected to comply with these requirements with regard to their Separation Management-related service offerings. The detailed requirements do not have priority designations (mandatory – critical – useful) or role designations (SSC, agency, SSC/agency). These designations were left to future service offering design teams.

The main themes identified in these requirements are:

▪ Determining/validating eligibility – identifying employees ineligible for separation early in the process

▪ Data integration and information sharing – focuses on standard data that is available to authorized users and can be used across systems

▪ Computing benefit and annuity estimates – allowing employees to complete various scenarios with multiple variables so they can determine when to separate and what benefits they would receive

▪ Notifications – advising staff and employees of intent to separate, action needed and actions taken, requirements for information and documentation, and approvals and disapprovals

▪ Reporting – capability for management to track separation information using standard and ad-hoc reports

▪ Scheduling – allowing employees to schedule time to discuss benefits and the separation process, obtain detailed information, and receive answers to any separation questions

▪ Self service – provides the capability for staff and employees to go to a portal and receive separation information, provide required separation information, view approval and other communication

- Technical functions – system specifications, availability, administration, ease of use and access

The 172 detailed Separation Management requirements identified appear in Appendix G of this report.

3.1.3   Performance Indicators

High performing organizations learn from results. These organizations establish practices for monitoring business activities and outcomes and making adjustments to continuously improve performance. The Human Resources Line of Business Performance Model (PM) provides a framework for performance measurement that helps enable this philosophy of continuous improvement for the HR LOB. It identifies a common set of HR performance measures to be used throughout the Federal Government. The Performance Model focuses on the *outcomes* of the common HR processes and activities defined by the BRM.

Similarly, the performance indicators proposed in this CONOPS (Table 3) focus on the *outcomes* of the common HR tasks defined in the detailed Separation Management task-level process. These performance indicators were a product of discussions that took place during Separation Management work sessions. These indicators may be used in the future to provide visibility to Separation Management-related performance and to identify opportunities for improvement.

Task #	Name	Definition	Purpose
4.1b	Response Time for SSC to Provide Separation Information Requested by an Employee	The period of time between the date the employee requests separation information to the date the employee receives the information, e.g., benefits for which an employee is eligible	May indicate opportunity for process improvement, e.g., providing more generic separation information on the intranet
4.3	Time For an Employee or Staff to Calculate Retirement Benefits	The amount of time (in seconds) between the submission of a retirement calculation to receipt of the calculation	May indicate opportunity for process improvement in an automated environment
4.3	Employee Satisfaction with Retirement Calculator	The percentage of employees satisfied with the retirement calculator	May indicate opportunity for process improvement, e.g., access to calculations and number of calculations allowed
4.7b	Number of Employees Ineligible for Separation	The number of employees who do not meet the eligibility requirements for separation	May indicate that employee is not fully informed of separation requirements, employee failed to provide requisite information, or bad data in the system, etc.
4.11	Time for Employee to Schedule an Appointment	The period of time from the date an employee requests a separation appointment to the date an employee receives notification of the appointment date.	May indicates potential workload increase or the level of service
4.12	Employee Satisfaction with Separation Counseling	The percentage of employee satisfied with the separation counseling they received	May indicate opportunity for process improvement

Task #	Name	Definition	Purpose
4.14 and 4.18	Time for SSC to Submit Separation Package	The period of time between the date all required information was received by the SSC to the date the SSC submits the separation package for close-out	May indicate opportunity for process improvement and provide input for other Governmentwide reporting
4.28	SSC Separation Processing Accuracy	The percentage of separations processed without SSC errors	May indicate opportunity for process improvement or the provider service level
4.31	Aging Report of Separations	A collective report reflecting the time to process all separations for a period of time	May indicate opportunity for process improvement or the provider service level
4.18 and 4.31	Time For SSC to Close-Out Separation	The period of time between the date a separation request is received by an SSC to the date they have completed the processing the request and forwarded it for close-out	May indicate opportunity for process improvement or the provider service level
4.31	Separation Processing Volume	The number of Separations processed by an SSC in a year (FY or CY)	Looks at the workload an SSC is handling each year
5.4	Employee Knowledge Transfer Participation Rate	Percentage of employees that participated in the knowledge transfer process	Identifies the number of employees who may have returned intellectual capital and information to the organization
6.4	Employee Exit Survey Participation	Percentage of employees that participated in the exit survey	Measure the number of employees who completed the exit survey
6.4	Employee Exit Survey Results	Capture employee feedback such as organizational satisfaction, reasons for separating, potential future employers, etc	Qualitative data that may be used for organizational changes and workforce planning, e.g., salary issue, working conditions, etc.
6.5	Employee Conduct Exit Processing Participation	Percentage of employees that participated in exit processing	Identifies the number of employees who took part in exit process, e.g., returned government resources

Table 4: Performance Indicators

It is not expected that an agency or provider would use all of the indicators; rather, a small number of indicators would be selected to support process improvement and business case validation. More information on these performance indicator results can be found in Appendix H.

3.2   Technical Capability

The following detailed results provide the basis for the *technical capability* portion of the Separation Management CONOPS:

▪ Service Components – identifies the potential Separation Management services that providers may include in their portfolio of services

▪ Technical Standards – describes the technology that enables Separation Management service components

▪ Service Delivery – recommends how services may be delivered to users of those services, given technical capability is in place to enable the delivery method

These results are described in more detail in the subsections that follow.

3.2.1 Service Components

The vision of the HR Line of Business is to provide "Governmentwide, modern, cost-effective, standardized, and interoperable HR solutions providing common, core functionality to support the strategic management of human capital". Common solutions can be considered at both the business level and at the technical level. To advance common solutions at the business level, the HR LOB is promoting the concept of shared services: encouraging Federal agencies to consider employing HR LOB-endorsed service providers to support them in their high volume, administratively intense, non-mission critical activities. The shared services concept may help free up agency personnel and resources to focus on the more strategic complexity and delegate some of the operational complexity to their provider.

The HR LOB Service Component Model (SCM) identifies these *business level* common solutions – service components. They are potential service offerings that SSCs may include in their services portfolios and offer to their customers. The HR LOB SCM provides a common vocabulary that can be used across SSCs and customer agencies to talk about providers' service offerings. The HR LOB SCM identifies all of the service components that could be put into place to support all ten sub-functions of the HR LOB BRM.

The service components identified in this subsection are those service components that could be put into place to support the detailed Separation Management process. A total of 18 service components were identified. Sixteen were extracted from the HR LOB SCM. Two additional service components were identified as a result of the detailed Separation Management process discussions. A recommendation will be made to add these newly identified service components to the next version of the HR LOB SCM.

The Separation Management-related service components are:

Service Component	Service Type	Description
Assistance Request	Customer Initiated Assistance	Defines the set of capabilities that support the solicitation of support from a customer.
Benefits Counseling	Human Resources	Advises individuals on a wide range of benefit options, eligibility and impacts. Provides information, counseling, assistance, and advocacy to employees regarding their benefits, and entitlements.
Case Management	Tracking and Workflow	Defines the set of capabilities for managing the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing, assignment and closing of a case as well as collaboration among case handlers.
Conflict Resolution	Tracking and Workflow	Defines the set of capabilities that support the conclusion of contention or differences within the business cycle
Content Management	Information Services	Defines the capabilities that allow for the review and approval of interactive programs and separation document contents.
Data Classification	Data Management	Defines the set of capabilities that allow the classification of data
Data Exchange	Data Management	Supports the interchange of information between multiple systems or applications; includes verification that transmitted data was received unaltered

Service Component	Service Type	Description
Employee Self Service	Human Resources	Allows employees to be self-sufficient in updating and retrieving their data
Inbound Correspondence Management	Routing and Scheduling	Defines the set of capabilities for the management of externally initiated communication between an organization and its stakeholders.
Knowledge Management	Information Services	Defines the set of capabilities that facilitate collection of data and information, and classification of data and information into specific layers or types to support an organization,
Manager Self Service	Human Resources	Allows managers to be self-sufficient in updating, retrieving and analyzing basic employee and organization data
Outbound Correspondence Management	Routing and Scheduling	Defines the set of capabilities for the management of internally initiated communication between an organization and its stakeholders.
Personnel Action Processing	Human Resources	Initiates, validates, approves, updates and documents personnel action and data
Records Management	Information Services	Provides the capability to store, protect, archive, classify, retrieve and retire documents and information
Reporting	Business Intelligence	Retrieves, manipulates and presents information as needed.
Retirement Modeling (Predictive Analysis)	Analysis and Statistics	Provides retirement modeling services that allow employees (or HR Staff) to model their retirement income based upon their retirement plan.
Scheduling	Customer Initiated Assistance	Defines the set of capabilities that support the plan for performing work or service to meet the needs of an organization's customers
Separation Counseling	Human Resources	Provides retirement counseling for Federal employees who are planning to retire or separate from Government service.

Table 5: Service Component Definitions

A mapping of service components specific to Separation Management tasks can be found in Appendix I. The service components data classification and data exchange apply globally and are not included in the appendix.

3.2.2 Service Delivery Model

The HR LOB Service Component Model provides a framework for identifying and defining the business services that could be put into place to support the HR LOB BRM business processes. The HR LOB service delivery model extends the analysis further and recommends how each service may be made available to the consumers of the service.

The HR LOB service delivery model identifies and defines the various consumers of services, or "user types". It maps those users to service components, and for each instance proposes the "delivery channel" to be used to deliver the service in an effective and efficient manner. This mapping is performed for each of the services in the HR LOB Service Component Model.

There are four possible delivery channels:

- Tier 0: The direct access tier enables the user to perform an action without any direct involvement or guidance from another person. This environment provides the capability for managers and employees to receive accurate, consistent information and enter data and

supports the processes that involve the distribution of content from a virtual integrated repository to the various users that access the integrated environment.

▪ Tier 1: The general assistance/call center tier supports the processes that involve the management of content stored in the various repositories. HR generalists usually provide support to employees and managers utilizing scripts and a knowledge base. HR generalists escalate questions and issues as necessary.

▪ Tier 2: The subject matter expert tier interprets policy to respond to escalated issues and questions. They also populate the information repository underlying the knowledge base. The subject matter expert usually has a specialized experience or knowledge in a specific topic related to the service component (e.g., benefits processing) and is typically empowered to make routine or low-risk decisions. The subject matter expert interprets policy and handles complex issues and questions.

▪ Tier 3: The decision maker tier responds to complex issues, questions, and critical incidents. The decision maker interprets policy and has decision-making authority around complex issues, questions and critical incidents.
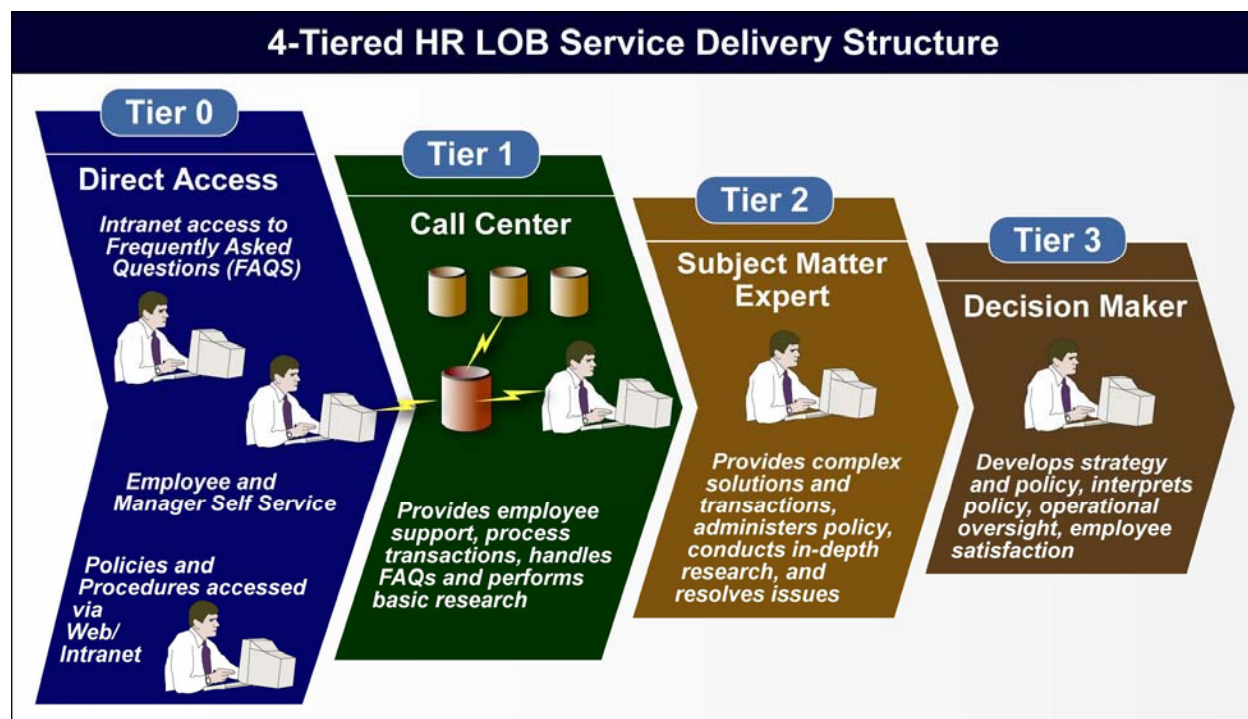
Figure 1: Tiered Service Delivery Model

The 16 service components specific to Separation Management-related services were mapped to user types and delivery channels. A service component delivery matrix showing specific relationships can be seen in Appendix J. The figure that follows summarizes that service delivery matrix. Some services span tiers because different users access the service at different levels. For instance, Records Management and Reporting span all of the tiers. HR staff may define and generate a report – accessing that capability at Tier 0; an employee may request a report via the call center at Tier 1. A high level manager may need a very specific, unique report that requires a specialist to generate – accessing the capability through a subject matter expert at Tier 2. An

executive outside the HR organization may telephone his peer-level HR executive to request a report, essentially requesting a report at Tier 3.
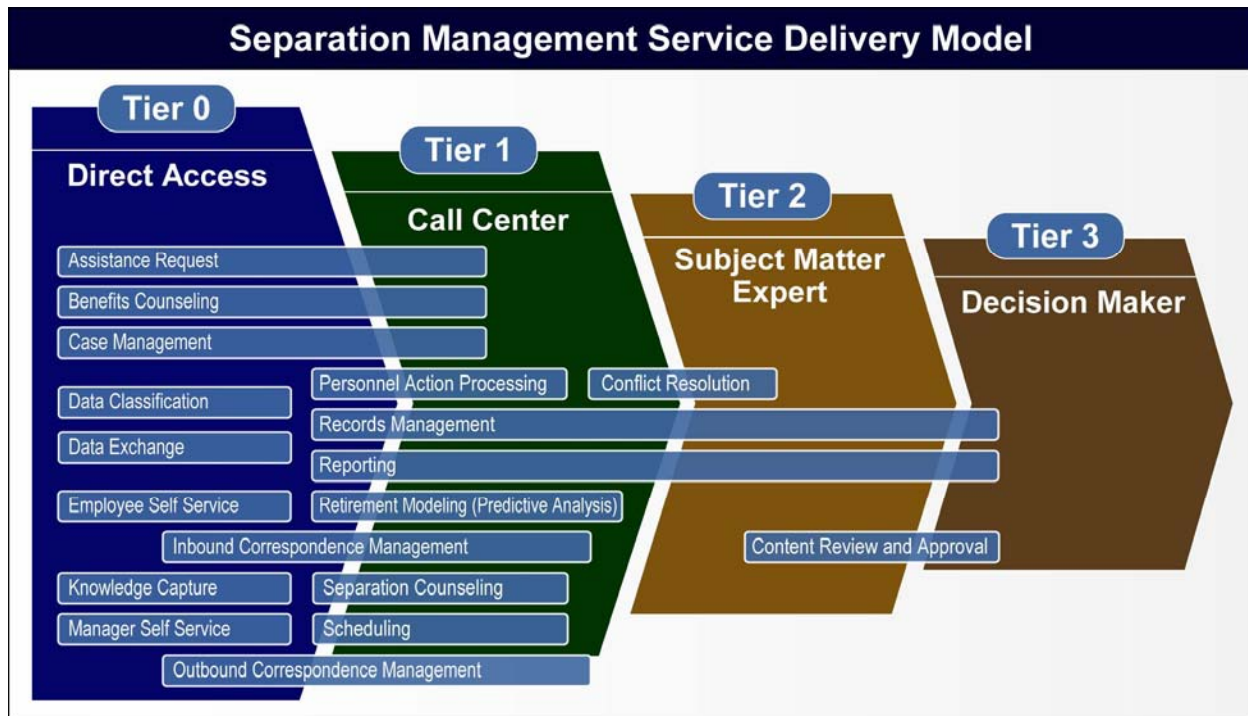
Figure 2: Separation Management Service Delivery Model

Technology is a critical enabler of this service delivery model.

3.2.3   Technical Components and Standards

Just as the Service Component Model (SCM) identifies the business services that could be put into place to support the BRM, the HR LOB Technical Model (TM) identifies the technical services that could be put into place to enable the business services – thus advancing the ideal of common solutions at the technical level. The HR LOB TM identifies the core technologies for the HR LOB sub-functions that support the Federal Government information technology (IT) transition towards interoperability.

The HR LOB TM specifies all of the technical services required to deliver the HR LOB SCM service components to the people who receive those services. The TM, however, does not identify application systems. It identifies more generic technical building blocks that can be combined into application systems and the infrastructure that underlie and interconnect application systems.

The following diagram provides an overall view of how the elements of this CONOPS relate to one another. A business function consists of business processes that, in turn, consist of activities; each activity has one or many tasks. (Tasks for Separation Management have been described in the Appendices B, D, and F.) These business tasks are supported by one or more service components. These service components are enabled by technology – more specifically three categories of technology mechanisms: technical services, data structures, and infrastructure. Mechanisms are combined into application systems that deliver information and capability to the business community.
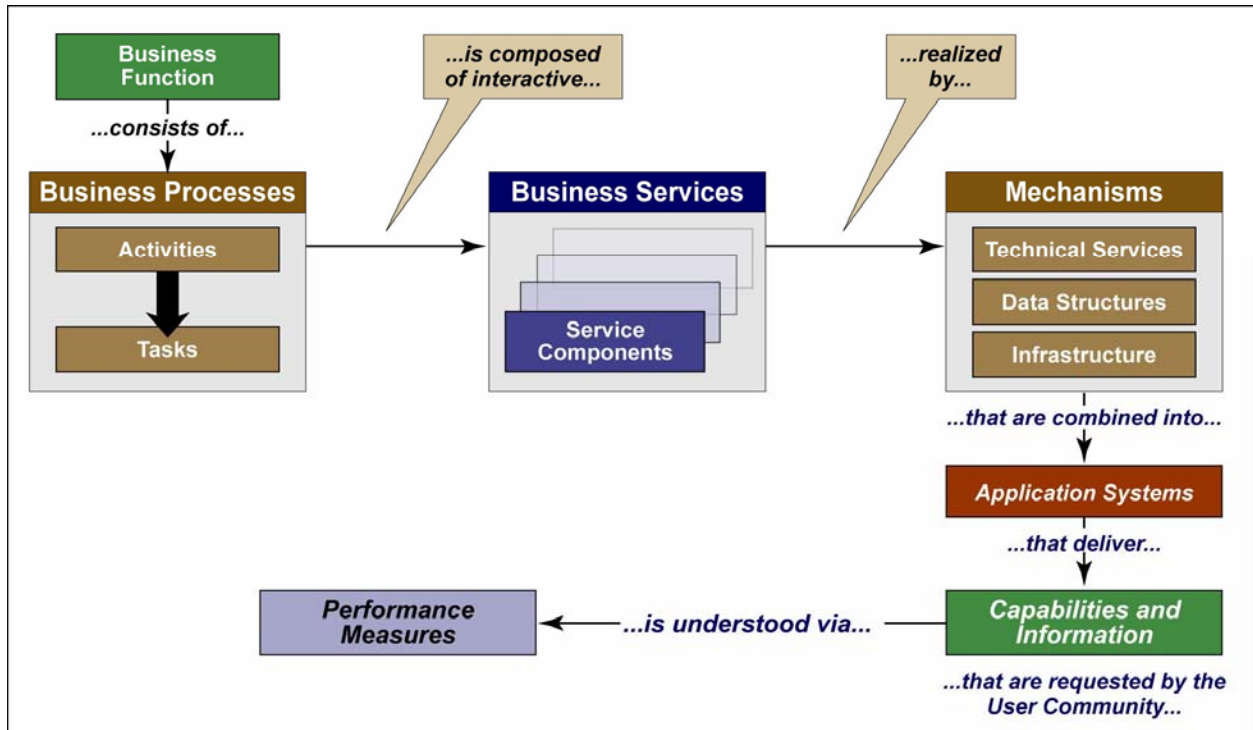
Figure 3: Service Delivery Concept of Operations

The HR LOB TM addresses the technical services mechanisms in the above depiction. The following diagram breaks out the general categories of technical services that are contained in the HR LOB TM and depicts them in an application flow perspective. For each of these categories, the HR LOB TM identifies all the technology services required to support all of the service components identified in the HR LOB SCM.

The HR LOB TM also identifies applicable technology standards. The TM standards provide guidance for the development of technical and system architectures that are interoperable and reusable. Equivalent to "building construction code" for HR technology in the Federal Government, the TM standards provide a common foundation for the realization and implementation of the components defined in the TM.
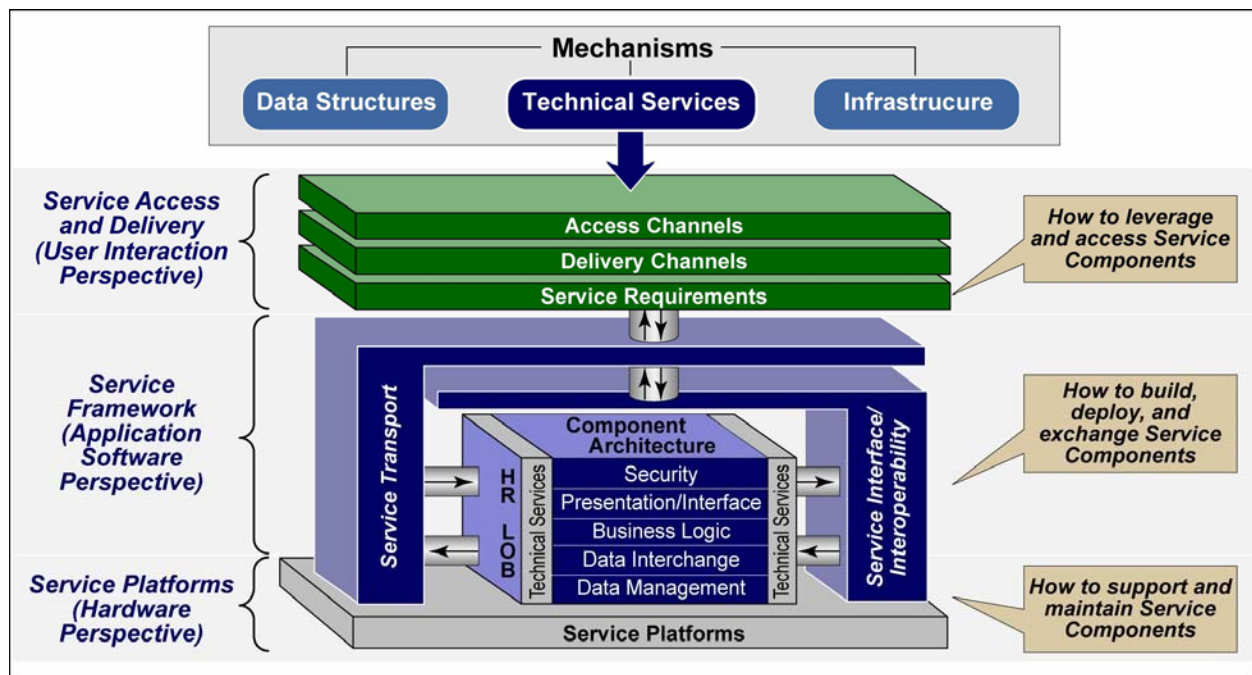
Figure 4: Application Flow View of the Technical Model

While the HR LOB TM identifies all the technical services and standards that support all the HR LOB service components, the TM included in this CONOPS identifies only the technical services and standards that support the service components associated with Separation Management. These technical services specific to Separation Management are depicted in the following diagram. Twenty-seven technical services were leveraged from already-identified services that were published in OMB's Federal Enterprise Architecture reference models. Six technical services were originated in the analysis that led to the HR LOB TM.
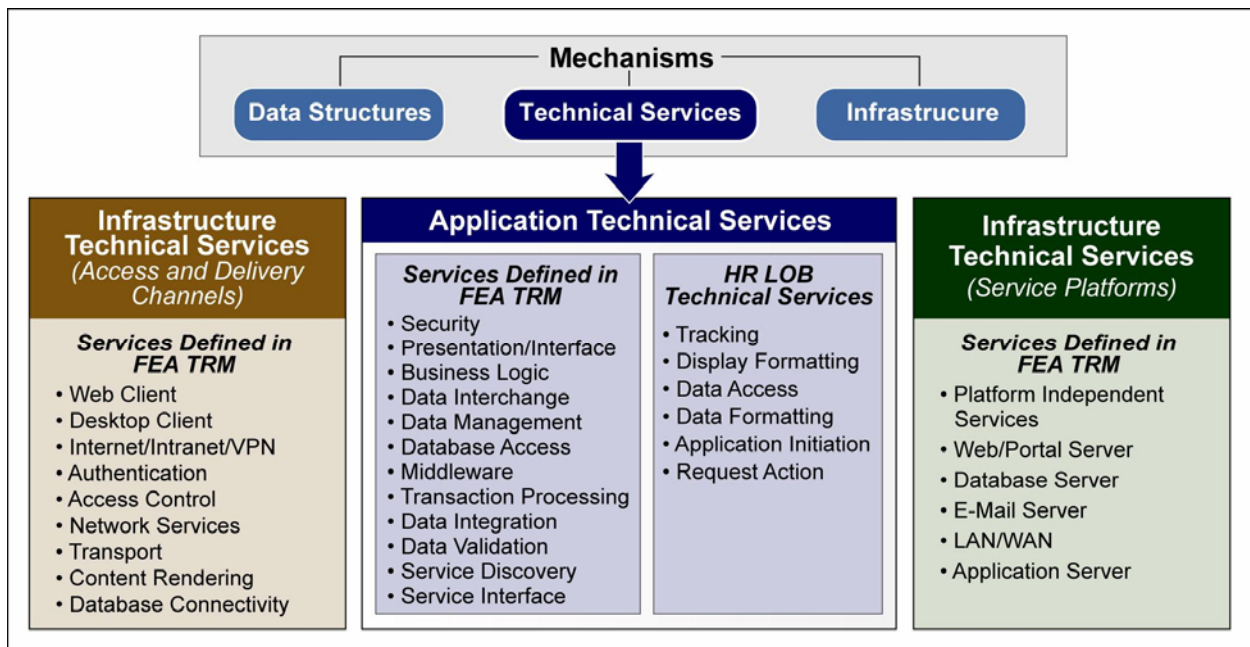
Figure 5: Technical Services Supporting Separation Management

All of these technical services are described in more detail in Section 2 of the HR LOB TM (http://www.opm.gov/egov/documents/architecture/HRLOBTMv1.pdf). The standards that govern these services are listed in Appendix D of the TM.

4   RECOMMENDATIONS AND NEXT STEPS

A basic premise that underlies the HR LOB is investments made over time will support HR LOB strategic objectives and also be consistent with the ideals and assumptions implicit in the architectures the HR LOB has built over the years. The HR LOB Service Component Model explicitly states: *"Two desirable outcomes result from building out the dimensions of standardization and common solutions – reusability and interoperability."* Interoperability is an important element in the delivery of HR LOB services and integration initiatives.

Both OMB and the Architecture and Infrastructure Committee of the Federal CIO Council have endorsed the concept of "Service Oriented Architecture" (SOA) in the Federal Government as a means of achieving business agility. By adopting a service component-based environment – attained in part via a SOA strategy – the HR LOB can increase the interoperability and reusability of existing legacy applications and between different vendor solutions. Moving toward a service component-based environment implies the Federal Government is moving away from an application-based environment where traditional business information systems are linked to other business information systems through data interfaces. Reusable, interoperable components are acquired or built and inserted into a new environment that can manage these components. The following section further explains this concept.

4.1   Service Oriented Architecture (SOA) and Service Component-based Environments

Service-Oriented Architecture (SOA) is an application framework that leverages the power of Internet technologies to meet the growing requirements for greater flexibility and for the creation of new business models that will support secure and seamless inter-processing with disparate internal and external resources. SOA helps to enable a component-based environment. It allows for organizing and utilizing component capabilities that may be distributed and / or under the control of different ownership domains.

From a business perspective, in an SOA environment, business tasks are accomplished by executing a series of "services," jobs, or applications that have well-defined ways of linking to these business tasks and well-defined ways in which they link back. In some sense, it does not matter how a particular service is implemented, as long as it responds in the expected way to commands and offers the quality of service required. This means the service must be appropriately secure and reliable – and have sufficient speed and scalability. Achieving interoperability is a key requirement for successful SOA-based solutions. Business processes and services are only as good as their capacity for interacting with different services developed on different technologies.

In a service component-based environment, information systems are not acquired and interfaced to other information systems. Rather, reusable components are assembled into a collection of capabilities that meets solution requirements:

- Already existing reusable components may be leveraged to support these new, additional requirements.
- New components may be developed to support these new requirements, with future reusability in mind.
- Functionality may be stripped from existing information systems and adapted to this reusable, interoperable environment.

In a service component-based environment, early investments cost more because there are fewer existing components to leverage. Over time, the return on investment is realized from reuse of the components; future solutions should cost less as fewer new components are required to support new solutions.

The adoption of a service component-based services strategy raises interesting implications for service providers and customer agencies. Agencies will not use traditional acquisition approaches to identify, evaluate, and procure Separation Management-related services, systems or solutions. Rather, they may look to their respective Shared Service Center to deploy these services in accordance to the capabilities described in the previous section. Shared Service Centers should view this document as a guide for evolving their Separation Management-related services toward "governmentwide, modern, cost-effective, standardized, and interoperable" services – and the vision of the HR Line of Business.

4.2   Separation Management Near-term Delivery Approach

Providers may choose to take a partial step toward SOA and component-based end state by implementing a *blended approach* in which:

- Some services are modernized and "componentized" into interoperable, reusable components and
- Some existing functionality remains embedded in a traditional application (e.g., HRIS)

The application and componentized services link via an "enterprise service bus" (ESB). An ESB is an SOA element that is a "super mediator" across various applications and technology and enables SOA by providing the connectivity layer between services.

The ESB:

- Triggers the required services
- Brokers the relevant data among the services
- Provides the process engine that choreographs the flow of activities between services
- Manages any workflow invoked by the services

In general, an ESB is a combination of architectural elements such as:

- Communication infrastructure
- Request routing and version resolution (mediation)
- Transformation and mapping
- Service orchestration, aggregating and process management
- Transformation management
- Security
- Quality of service
- Service registry and metadata management
- Extensibility for message enrichment
- Monitoring and management
- Support for the service life cycle

An ESB also typically provides data management services that transform application data into a common data format to enable effective communication between disparate applications, components, and services.

The benefit of the blended approach described above is that while the Separation Management solution could be a self-contained application, implementation of an ESB is a significant first step toward realizing the benefits of the component-based vision.

The following figure illustrates near-term options for integrating some most-used HR LOB service components – Employee Self-Service, Manager Self-Service, and Personnel Action Processing – using the ESB concepts.

The figure also illustrates that the ESB will serve as an integrating mechanism for other HR LOB applications and solutions such as EHRI, retirement solution, and core HR solutions. Integration of these common HR LOB solutions are being addressed in a separate project named Integration Support Project undertaken by the HR LOB PMO and sanctioned by the MAESC.
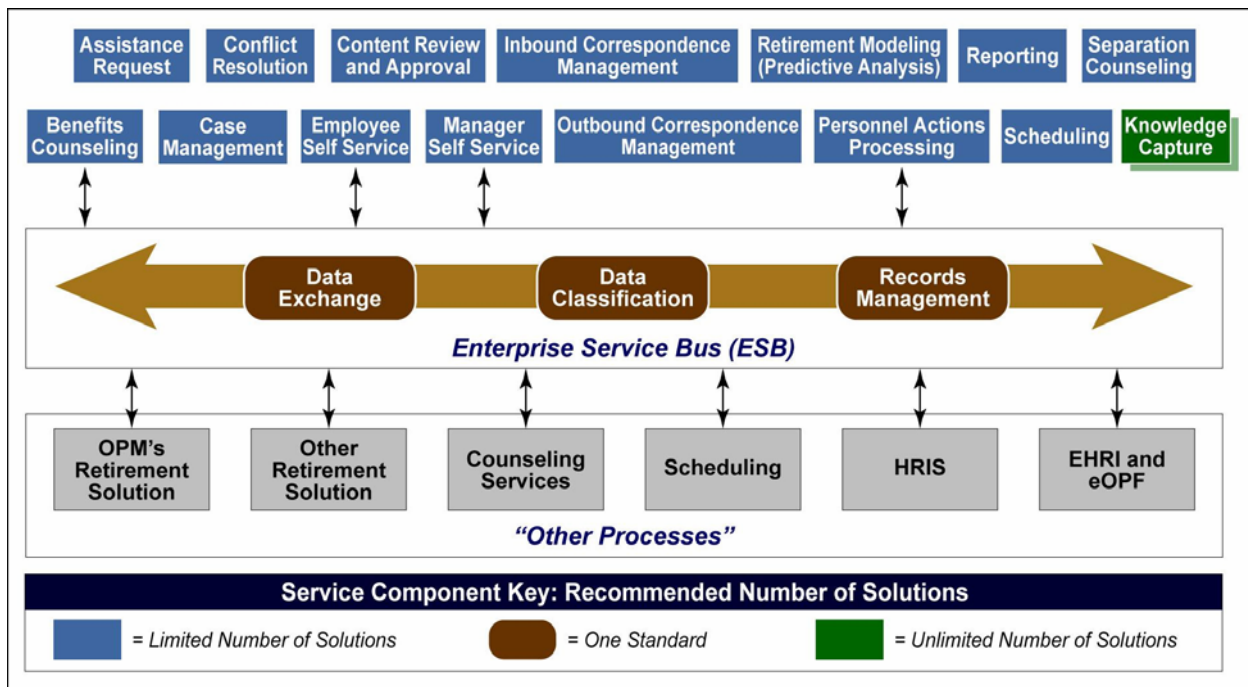
Figure 6: Separation Management Near-Term Delivery Approach

This type of model involves enabling communication between leveraged service components, other processes, and the Separation Management functionality of an HRIS.

4.3 Separation Management Target Delivery Approach

The target delivery model provides a point in the future toward which to aim and align development. While it is significant that the business capabilities described in this report represent the consensus of a group of agencies on Separation Management-related services, the recommendations outline these capabilities in a target model based on a Service Oriented Architecture (SOA) framework endorsed by sources outside the work group – OMB's Federal Enterprise Architecture Program (FEAP) and the Architecture and Infrastructure Committee of the Federal CIO Council. The recommended target solution model is depicted in the Separation

Management Target Delivery Model figure below. This model is the target for the future; each implementation team should define and invest in this model as appropriate for its mission, business requirements, and technical capabilities.

In this model, the service components identified across the top of the figure are necessary to fulfill the Separation Management service. These components may actually reside in an HRIS, EHRI, or other applications, but the capability is being reused for this service.
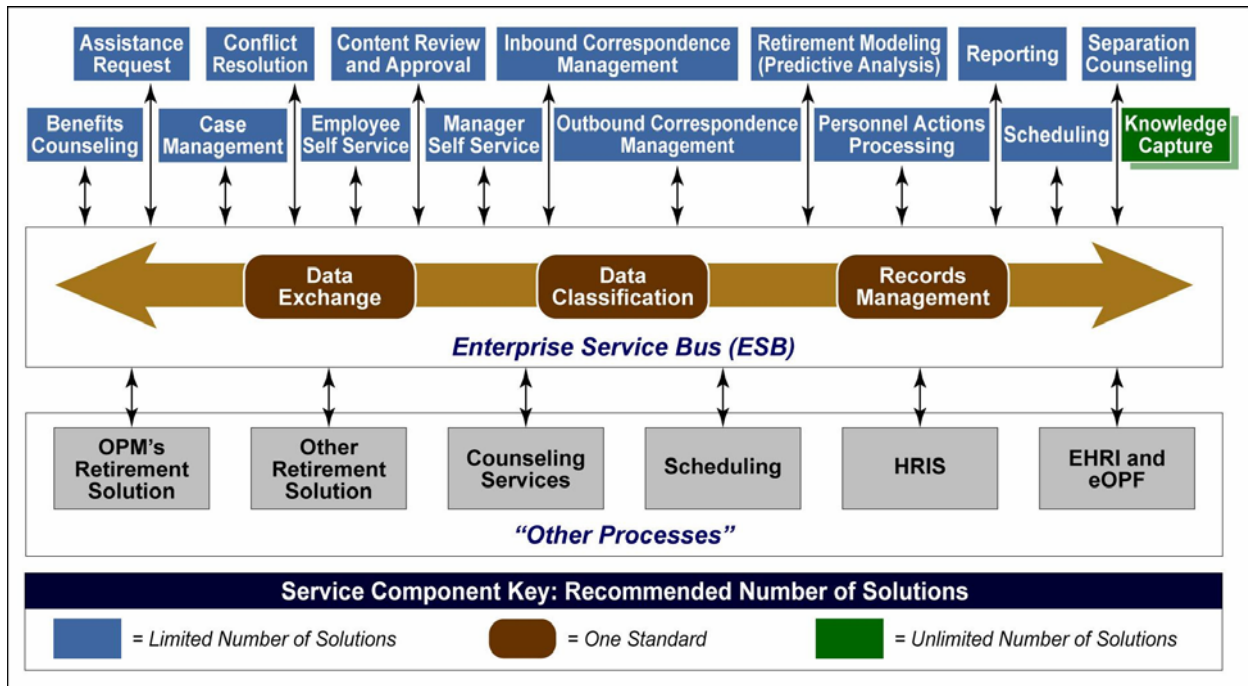
Figure 7: Separation Management Target Delivery Approach

The target delivery model assumes the full scale implementation of an SOA including functionally-rich ESB. In this model all HR LOB service components are integrated through the ESB. Today's use of the term ESB is largely tied to integration hubs relying on underlying standard runtime containers, such as Java EE or .NET, the next generation ESBs provide direct accessibility to the services and grid computing. The future ESBs will provide added value beyond basic integration such as policy driven mediation and process integration.

The benefits of both the near-term and target delivery approaches are comparable to the benefits that can be expected from Service Oriented Architecture in general:

▪ Reduced cost
  – economies of scale are achieved through shared component use
  – elimination of redundancy, greater information sharing, and data interoperability
▪ Continuous business process improvement
  – capabilities can be continually refreshed
  – new value from existing systems
▪ Flexibility to respond to changing legislation/policy
  – components can be adapted or replaced with reduced ripple effects

- flexible business model
- Compliance
  - adheres to OMB's FEA guidelines
  - designed with the FEA Reference Architecture in mind

The risks are comparable as well:

- The model is unfamiliar. While commercial companies are implementing and have seen benefits from this approach, there are very few examples of this type of model being implemented in the Federal Government space.
- Expertise is scarce. As a new approach, the skills and knowledge to implement a solution that is aligned to these models is not common.
- Initial investment larger due to ESB implementation. The ESB implementation may add cost to a Separation Management solution.
- Initial increased cost for the "other processes" as connections to the ESB are built.

While the risks are not to be overlooked, the benefits of moving toward a Service Oriented Architecture will accrue and, over time, begin accruing exponentially as more and more reusable assets are in place.

4.4   Recommendations

Readers of this report should view this CONOPS as an illustration of how to move a business area toward "governmentwide, modern, cost-effective, standardized, and interoperable" services – and the vision of the HR Line of Business in general, and Separation Management in particular. It describes a business capability in terms of business process, requirements, and performance indicators and specifies a component-based technical capability that can be put into place to meet business needs. The report provides a basis for the following recommendations.

This Separation Management CONOPS report was initiated because the Separation Management process is not working as well at it should be and significant improvement opportunities exist. SSCs and customer agencies should work together to deliver the business and technical capability described in this report – making the separation experience simpler and more efficient for separating employees, their managers and supervisors, and other constituents of the Separation Management process.

SSCs must establish a point of view toward the vision of the HR LOB. SSC personnel are encouraged to evaluate their capabilities against the capabilities described in this CONOPS and determine how they want to execute it and move toward the vision. SSCs must consider how to "componentize" Separation Management into a set of components, acquire these components, and assemble them into a full service component-based Separation Management offering. An optimal solution will be delivered in a manner consistent with the HR LOB strategic objectives with a focus on:

- Leveraging existing capabilities
- Interoperability
- Data exchange capabilities
- Scalability
- Alignment with FEA guidance

Moving to a component-based structure is a long-term proposition. Existing applications and technology must be replaced or re-architected and componentized. But, by embracing this strategy the HR LOB can increase the interoperability and reusability across existing legacy applications and between different vendor solutions – advancing the vision and objectives of the HR Line of Business.

APPENDIX A – PROVIDE SEPARATION SUPPORT, TASK LEVEL PROCESS MODEL

The following chart is a graphical representation of the Separation Management tasks for the activity Provide Separation Support. The activity starts when an employee requests separation information or when a manager or HR staff member identifies an employee for separation. The process ends when the close-out information is filed at an appropriate location.

User Role Definitions:

Other Staff	A non HR individual who uses HR products and services to assist in the performance of their official duties.
Manager	Any individual who manages resources for the organization.
HR Staff	Individuals who are involved in developing and implementing HR policies, procedures and processes.
Employee*	An individual occupying a position in or under the executive branch of the US government. In some cases this could be a designated individual acting on behalf of an employee, e.g., widow of a deceased employee.

Keys for reading the chart:

This document describes the shapes we used in the models.

In our models we have swim lanes to show who the players are in our process and tasks for which they are responsible. This provides a quick graphical depiction of who is doing what. A task may be in a single swim lane, i.e., Employee, Example 1 below, or more than one player may be responsible and the task would then cross into the swim lanes of those responsible, Example 2.

<Process Name>			
Other Staff			
Manager	Example 2		
HR / SSC / PP		**4.11** **Schedule** **Separation** **Counseling**	
Employee	Example 1 4.1c Notify Appropriate Staff of Separation		
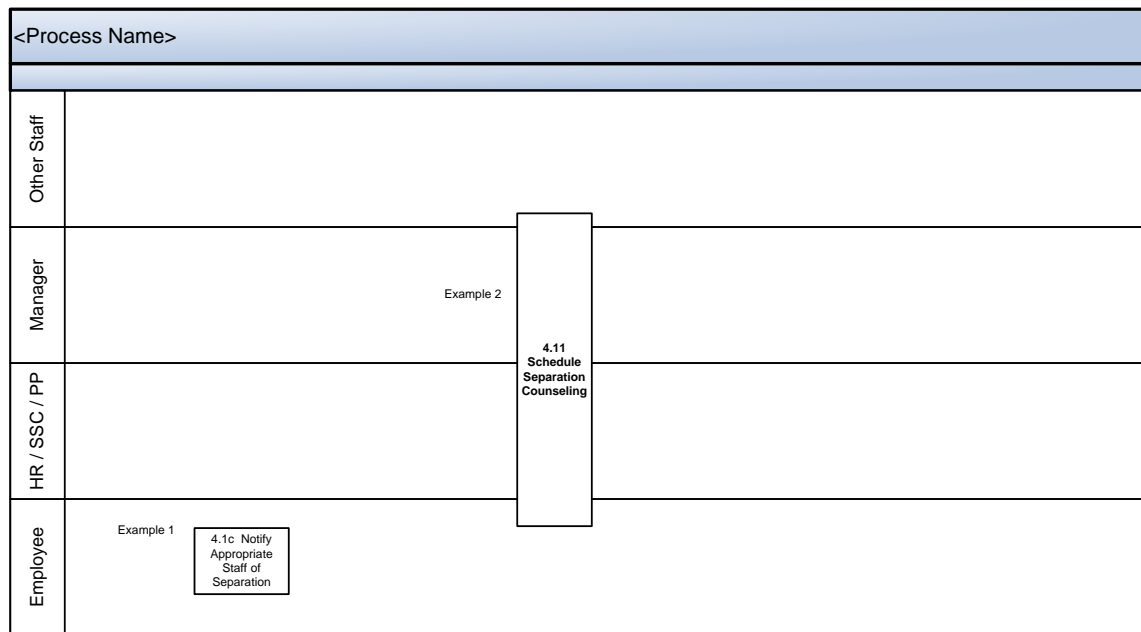
For the two shapes described below, it matters what swim lane they are in. These shapes require action by a player in the process.

4.1c Notify Appropriate Staff of Separation
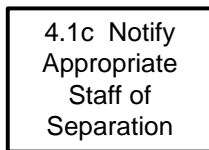
This is a task shape. It requires action by a player and those actions are described in the description and requirements.

4.15 Information Complete?
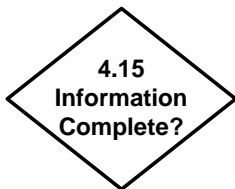
The diamond shape represents a decision. It allows us to branch off into different parts of a model. There is always a "determine" shape in front of a decision shape to set up the decision.

For the next three shapes described below, it doesn't matter what swim lane they are in. These shapes do not depict who is taking action; they direct you where to go next in the process.

Go to 4.4a

This shape is an on-page connector. The only time it is used is on page 1. It directs you to the next task. This on-page connector allows you to keep a clean model, i.e., not having multiple lines crossing all over the model.

This shape is the "out" portion of an off-page connecter. It directs you out to a task on another page. It is shaded grey so you can immediately identify when you are directed out of a task to a different page.
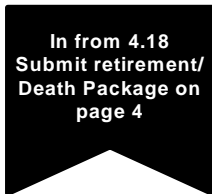
This shape is the "in" portion of an off-page connecter. It shows the link from a task coming in from a different page. It is shaded black so you can immediately identify when you have input coming in from a task on a different page

The shading of a task signifies that an IT capability currently exists. Agencies that don't currently have the capability can examine what's available and choose an IT solution that best fits their needs.

10.1.4 Provide Separation Support (This model describes Activity 4, Provide Separation Support, for Process 10.1, Manage Employee Separation, of the Sub-function 10, Separate)

Other Staff	

Out to start of Conduct Knowledge Transfer on page 6

Out to start Conduct Exit Processing on page 7

In from 4.7a Eligible to Request Separation?

Manager

4.4a Receive Notification of Separation

HR / SSC / PP

4.1a Identify Categories of Separations

Start

4.2 Provide Separation Options

4.3 Model Separation Benefits

4.3a Review Separation Benefits Information

4.5 Determine Separation Type

Out to 4.6 Separation Type? On page 2

4.4b Determine If Further Action is Required

Yes

No

Out to 4.4c Further Action Required? On page 2

Employee

4.1b Request Separation Information

4.1c Notify Appropriate Staff of Separation

Go to 4.4a

4.3b Determine Whether to with Continue Separation

4.4 Proceed with Separation?

10.1.4 Provide Separation Support (This model describes Activity 4, Provide Separation Support, for Process 10.1, Manage Employee Separation, of the Sub-function 10, Separate)

Other Staff

Out to 4.9 Notify Employee of Next Steps on page 3

Yes

Manager

In from 4.12b on page 3

Yes

In from 4.25 Disability retirement Approved? On page 5

HR / SSC / PP

In from 4.5 Determine Separation Type on page 1

4.6 Management initiated separation?

No

4.7 Determine Eligibility to Request Separation

4.7a Eligible to Request Separation?

No

Out to 4.2 Provide Separation Options on page 1

4.8 Coordinate Action with Appropriate Staff for Further Action

4.4c Is further action needed?

Yes

Employee

In from 4.4b Determine if Further Action Needed on page 1

No

Go to End

Out to Appropriate Task

10.1.4 Provide Separation Support (This model describes Activity 4, Provide Separation Support, for Process 10.1, Manage Employee Separation, of the Sub-function 10, Separate)

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Other Staff

- 4.24a Determine if Disability Retirement Application is Approved
- 4.25 Disability Retirement Approved? — No / Yes
- Out to 4.8 Coordinate Action with Appropriate Staff for Further Action
- 4.26 Send Notice of Approval
- Out to 4.19 Submit Retiremetn/Death package on page 4
- 4.31 Receive Close-out Documentation → End

Manager

- In from Is this a Retirement/ Death Action? No Leg On page 3

HR / SSC / PP

- 4.24 Submit Disability Retirement Application
- 4.23 Is this a disability retirement application? — Yes / No
- 4.27a Complete Close-out Activities
- 4.27b Determine if Separation Action Complete
- 4.28 Separation Action Complete? — No / Yes
- 4.29 Resolve Separation Issues
- 4.30 Submit Close-out Documentation
- 4.27 Receive Notification of Personnel Action (SF 50)

Employee

- In from 4.21a Determine if a Disability Retirement Application on page 4
- In from end of Process Personnel Actions

APPENDIX B – PROVIDE SEPARATION SUPPORT, TASK LEVEL DESCRIPTIONS

Ref. #	Task Name	Description	User Types	Steps
4.1a	Identify Categories of Separation	Upon request, identify individuals who have sufficient Federal service and meet age requirements to retire, or need to separate, voluntarily or involuntarily.	HR Staff, Manager, SSC/Payroll Provider (PP)	HR generates a data extract based on retirement eligibility or need to separate and notifies the requestor.
4.1b	Request separation Information	The employee is contemplating separation and begins to research and gather information.	Employee*, HR Staff, Retirement Calculators (RC), Workflow	Ask agency point of contact (POC) or use a known self help information application. The agency POC or application provides the requested information
4.1c	Notify Appropriate Staff of Separation	An employee* decides to separate without requesting any separation information. This can be with very little notice. This can also apply to an employee who previously went through the process but did not complete separation and has now come back and is planning to separate.	Employee*	Employee* notifies appropriate staff of separation, i.e., employee tells manager that today is their last day.
4.2	Provide Separation Options	An agency POC or self service application provides individuals information regarding separation eligibility, and/or other options.	HR Staff, Manager, Employee*, Workflow, RC	The employee is notified via workflow, telephone or other appropriate means of the options available.
4.3	Model Separation Benefits	An employee or HR Staff member accesses an available modeling tool to extract retirement information.	HR Staff, Employee*, Retirement Tool	Use an available retirement tool to review information, e.g. annuity calculation
4.3a	Review Separation Benefits Information	The employee and/or HR Staff member review the benefits information to determine if the employee is satisfied with the projected benefits.	HR Staff, Employee*	Review the benefits. Discuss options of taking benefits now or later. Ask for clarification regarding benefits as needed.
4.3b	Determine Whether to Continue Separation	The employee has reviewed the benefits information and now must	Employee*	Decide to continue separation or decided to separate later.

*Table header: 10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)*

Ref. #	Task Name	Description	User Types	Steps
10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)				
		evaluate their alternatives regarding taking the benefits now or ending the separation.		
4.4	Proceed with Separation?	Decision Point	Employee*	If "Yes" go to 4.4a, Receive Notification of Separation. If "No" got to 4.4b, Determine if Further Action is Required.
4.4a	Receive Notification of Separation	An event has occurred that requires separation. This could be a retirement, a management initiated separation, death, resignation, an adverse action or other event.	Employee*, HR Staff, Manager, Other Staff	HR uses the separation information received and determines the type of separation. Manager advises employee of Conduct Knowledge Transfer and Exit Processing requirements.
Separation Activity	Out to start of Conduct Knowledge Transfer	Individual goes to the start of Conduct Knowledge Transfer process and accomplishes the required tasks.	Employee*, HR Staff, Manager	In some cases, departing employees may not be able or willing to transfer knowledge. Separation can take place without knowledge transfer.
Separation Activity	Out to start of Conduct Exit Processing	Individual goes to the start of Conduct Exit Processing and accomplishes the required tasks.	Employee*, HR Staff, Manager, Other Staff	In some cases, departing employees may not be able or willing to conduct exit processing. When the exit process is completed, the employee continues the Separation Process. Separation can take place without an employee completing exit processing.
4.4b	Determine if Further Action is Required	Employees choosing to take voluntary separation in lieu of involuntary separation may change their mind. When they do, management has to determine what action to take to separate them.	HR Staff	HR will review the case and determine if further action is required. HR will also determine who to contact if further action is required
4.4c	Is Further Action Needed?	Decision Point	HR Staff	If "Yes" go to 4.8. In some cases an employee may take an early retirement or request a disability retirement in lieu of involuntary separation. If the employee stops processing the voluntary or

	10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)			
Ref. #	**Task Name**	**Description**	**User Types**	**Steps**
				disability retirement, further action must be taken because the employee still needs to be separated. If "No" go to end. In the no case the employee is not being involuntarily separated and can end the process at any time.
4.5	Determine Type of Separation	HR reviews the request and determines if the separation request in a voluntary, employee initiated, or an involuntary, management initiated separation	HR Staff	HR identifies whether the separation is requested by an employee or by management and proceeds accordingly.
4.6	Management Initiated Separation?	Decision Point	HR Staff	If "No" go to 4.9 Notify Employee of Next Steps. If "Yes" go to 4.8 Coordinate Action with Appropriate Staff for Further Action.
4.7	Determine Eligibility to Request Separation	An employee may submit a request for separation without asking HR or their manager for any information. Because this is the first time HR or management is involved in the separation, there must be a check of eligibility before the employee can proceed with the requested separation.	HR Staff	HR reviews the request and determines if the employee is eligible or ineligible.
4.7a	Eligible to Request Separation?	Decision Point	HR Staff	If "Yes" go to 4.9, Notify Employee of Next Steps. If "No" go to 4.2 Provide Separation Options.
4.8	Coordinate Action With Appropriate Staff for Further Action	HR ensures that it has all required information to proceed with the personnel action.	HR Staff, Manager, Other Staff	HR gathers all required information to proceed with the personnel action. This may include resolving an issue related to an employee who initially planned to accept early retirement but has now decided not to accept the early retirement or an employee whose request for disability retirement has been denied. HR

Ref. #	Task Name	Description	User Types	Steps
				must coordinate with other staff to resolve the problem created.
4.9	Notify Employee* of Next Steps	Employee* is advised of all required steps to proceed with separation.	Employee*, HR Staff, Manager	All of the involved parties have met to communicate steps required to complete separation. HR may also advise an employee leaving as a result of a Change of Appointing Office (CAO) of their requirements.
4.10	Request Separation Action	The separation action is requested in accordance with (IAW) Agency guidelines and the GPPA.	HR Staff	HR will leave the separation process and go to the start of the PPA process. The PPA process will include preparing the SF 52, processing the 52, preparing the SF 50, and distributing the 50. Output from the PPA process will come back into the Provide Separation Support Process as required.
4.11	Schedule Separation Counseling	Individuals schedule appointments to discuss separation. This can include eligible family members	Employee*, HR Staff, Other Staff	An employee or eligible family member can schedule in person, via telephone, email, workflow, or other appropriate means.
4.12	Conduct Separation Counseling	An employee and eligible family member take part in separation counseling that prepares the individual for separation from the Federal Government or the agency.	Employee* HR Staff, Other Staff, RC	An employee and eligible family member are notified of what information must be provided to complete the separation or retirement package, e.g., TSP, SSA, and other requirements. This information may be provided via paper forms, electronically or other appropriate means.
4.12a	Determine Whether to Continue with Separation	The employee has received separation counseling and must determine if they want to continue with the separation or end the process.	Employee*	The employee determines whether to separate or end the process.
4.12b	Continue with Separation	Decision Point	Employee	If "Yes" go to 4.13. If "No" go to 4.12c.

10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)

10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)				
Ref. #	Task Name	Description	User Types	Steps
4.12c	Determine if Further Action is Required	Employees choosing to take voluntary separation in lieu of involuntary separation may change their mind. When they do, management has to determine what action to take to separate them.	HR Staff	HR will review the case and determine if further action is required. HR will also determine who to contact if further action is required
4.12d	Is further Action Needed?	Decision Point	HR Staff	If "Yes" go to 4.8. If "No" got to end.
4.13	Provide completed information for separation	The employee provides completed information to HR Staff to continue with the separation.	Employee, HR Staff, eOPF, Workflow	Provide required information by the appropriate means, e.g., paper, electronically, telephonically, workflow. The information provided will be reviewed for accuracy and completeness.
4.14	Review required information	The HR Staff reviews the information provided for accuracy and completeness.	HR Staff	The HR Staff will determine if the information provided is complete.
4.14a	Determine if Information is Complete	HR, based on their review, determines if the information is complete and accurate.	HR	Determine completeness. Determine accuracy.
4.15	Information complete?	Decision Point	HR Staff	If "Yes," go to "4.15a, Determine if this is a Retirement/Death Action." If "No," go to 4.13 "Provide Completed Information for Separation."
4.15a	Determine if this is a Retirement/Death Case	HR reviews the action and determines if it is a retirement or death action.	HR Staff	Determine if Retirement action. Determine if death action.
4.16	Is this a Retirement/Death action?	Decision Point	HR Staff	If "Yes", go to 4.17 Provide a Copy of Retirement/Death Package". If "No" continue the process at 4.24 "Complete Close-out Activities."
4.17	Provide Copy of Retirement/Death Package	The HR Staff provides the employee with a copy of the completed retirement/death information. The Retirement	Employee*, HR Staff	HR staff gives the employee all of the information available.

		10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)		
Ref. #	**Task Name**	**Description**	**User Types**	**Steps**
		portion of this package could include a Disability Retirement Application also know as a Preliminary Disability Retirement.		
4.18	Submit Retirement/Death Action	An employee submits retirement/death action.	Employee*, HR Staff, Manager	The employee submits retirement/death action. This could be through the Manager, HR Staff or workflow. HR will later process a personnel action based on this request (IAW) agency policy and the GPPA.
Separate Process	Out to Start of Process Personnel Actions	HR will leave the separation process and go to the start of the PPA process.	HR Staff, SSC/PP	The PPA process will include preparing the SF 52, processing the 52, preparing the SF 50, and distributing the 50. Output from the PPA process will come back into the Provide Separation Support Process as required. Technology exists to send automatic separation processing notification to an employee when a personnel action request has been started.
Separate Activity	Out to start of Conduct Knowledge Transfer	Individual goes to the start of Conduct Knowledge Transfer process and accomplishes the required tasks.	Employee*, HR Staff, Manager, Workflow	In some cases, departing employees may not be able or willing to transfer knowledge. Separation can take place without knowledge transfer.
Separate Activity	Out to start of Conduct Exit Processing	Individual goes to the start of Conduct Exit Processing and accomplishes the required tasks.	HR Staff, Employee*, Manager, Other Staff	When the exit process is completed the employee continues the Separation Process. Separation can take place without an employee completing exit processing
4.19	Submit Retirement/Death Package	HR Staff submits retirement/death package.	HR Staff, SSC/PP	Transmit the retirement/death package to the appropriate processing office. A request for Disability Retirement goes through the process the first time as an application (Preliminary Disability

Ref. #	Task Name	Description	User Types	Steps
**10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)**				
				Retirement). An approved Disability Retirement follows the retirement path. For an approved disability retirement the package will be only include the additional information required.
4.20	Receive Retirement/death Package	SSC/PP receives the retirement/death package, and continues to process the retirement	HR Staff, SSC/PP	Receive and review the retirement/death package.
4.21	Process Retirement/death Package	SSC/PP completes retirement/death processing of package.	HR Staff, SSC/PP, Other Staff	When the retirement/death package is complete, continue the process. The SSC/PP can send the package to the appropriate agencies.
4.21a	Determine if This a Disability Retirement Application	The appropriate staff reviews the action and determines if it is a Disability Retirement Application.	HR Staff, SSC/PP	Determine if this is a Disability Retirement action.
4.22	Receive Notification of Personnel Action (SF 50)	SSC/PP receives the Notification of Personnel Action (SF 50) and continues to process the separation. This could be from a retirement or other type of separation	HR Staff, SSC/PP	The SSC/PP uses the SF 50 as an authorization to proceed with completing close-out activities.
4.23	Is this a Disability Retirement Application?	Decision Point	HR Staff, SSC/PP	If "Yes go to 4.24 Submit Disability Retirement Application. If "No" go to 4.27 Complete Close-out Activities.
4.24	Submit Disability Retirement Application	HR submits the disability retirement application to OPM	HR Staff, SSC/PP	Send the application to OPM for decision.
4.24a	Determine if Disability Retirement Application is Approved	OPM determines if the Disability Retirement is approved.	Other Staff (OPM)	Determine if this is a Disability Retirement is approved.
4.25	Disability Retirement Approved?	Decision Point	Other Staff (OPM)	If "Yes" go to 4.26 Send Notice of Approval. If "No" go to 4.8 Coordinate Action With Appropriate Staff for Further

Ref. #	Task Name	Description	User Types	Steps
				Action.
4.26	Send Notice of Approval	OPM sends notice of approval to the agency.	Other Staff (OPM)	Agency receives approval notice and takes appropriate action.
4.27	Receive Notification of Personnel Action (SF 50)	SSC/PP receives the Notification of Personnel Action (SF 50) and continues to process the separation. This could be from a retirement or other type of separation	SSC/PP	The SSC/PP uses the SF 50 as an authorization to proceed with completing close-out activities.
4.27a	Complete Close-out Activities	SSC/PP completes the separation.	SSC/PP	Process the IRR, debts, uniform allowances, unreturned equipment, T&As, etc.
4.27b	Determine if Separation Action Complete	The appropriate staff determines if the Separation Action is complete.	HR Staff, SSC/PP	Determine if this is a Separation Action is complete.
4.28	Separation Action Complete?	Decision Point	SSC/PP	If "Yes" got to 4.30, Submit Close-out Documentation. If "No" got to 4.29, Resolve Separation Action Issues.
4.29	Resolve Separation Action Issues	HR Staff resolves separation action issues.	HR Staff, SSC/PP	SSC/PP continues separation action processing.
4.30	Submit Close-out Documentation	SSC/PP verifies separation package completeness and submits the package to the required agencies, e.g., OPM.	SSC/PP, Other Staff	After the Separation package has been submitted, the process ends.
4.31	Receive Close-out Documentation	The appropriate staff receives the close-out documentation and uses it IAW with their Policy.	Other Staff	The process ends.

Table heading: **10.1.4 Provide Separation Support (*Employee --The employee, a family member or a designated individual, e.g. , widow of a deceased employee)**

APPENDIX C – CONDUCT KNOWLEDGE TRANSFER TASK LEVEL PROCESS MODEL

According to an APQC benchmarking study of organizations that excel in knowledge retention, all leading-practice organizations reported that the issue of knowledge loss is recognized as a strategic issue within their organization. In contrast, only 64 percent of other participating organizations recognized knowledge loss as a strategic issue. The recognition at a strategic level enables leading organizations to make a business case for resources to help address issues such as retirement and develop tools and approaches to deal with knowledge transfer.

[Source: APQC, "Retaining Valuable Knowledge, Proactive Strategies to Deal with a Shifting Work Force," (Houston, TX: APQC Publications, 2002): 20, 36]

The following chart is a graphical representation of the Conduct Knowledge Transfer activity tasks. The activity starts when an employee is notified of knowledge transfer requirements and ends when the employee has met those requirements.

User Role Definitions:

Other Staff	A non HR individual who uses HR products and services to assist in the performance of their official duties.
Manager	Any individual who manages resources for the organization.
HR Staff	Individuals who are involved in developing and implementing HR policies, procedures and processes.
Employee*	An individual occupying a position in or under the executive branch of the US government. In some cases this could be a designated individual acting on behalf of an employee, e.g., widow of a deceased employee.

10.1.5 Conduct Knowledge Transfer (This model describes Activity 5, Conduct Knowledge Transfer, for Process 10.1, Manage Employee Separation, of the Sub-function 10, Separate)

Other Staff	**In from 4.4a** Receive Notification of Separation on page 1
Manager	Start → 5.1 Identify Knowledge Transfer Requirements
HR / SSC / PP	**In from 4.18** Submit retirement/ Death Package on page 4 — 5.2 Notify Employee of Knowledge Transfer Requirements → 5.3 Schedule Knowledge Transfer → 5.4 Transfer Knowledge → 5.5 Determine if Knowledge Transfer Complete → 5.6 Knowledge Transfer Complete? — Yes → End; No → 5.6a Determine if there are Exceptional Issues → 5.7 Exceptional Issue?
Employee	No; Yes → Out to Exception Processing

APPENDIX D – CONDUCT KNOWLEDGE TRANSFER TASK LEVEL DESCRIPTIONS

|	10.1.5 Conduct Knowledge Transfer (*Employee---The employee, a family member or a designated individual, e.g. , widow of a deceased employee)			
Ref #	**Task Name**	**Description**	**User Types**	**Steps**
5.1	Identify Knowledge Transfer requirements	Manager identifies what information must be transferred based on the employee's position.	Employee, Manager	Manager identifies documents, files, reports, and any other information that belongs to the government that the individual must return and prepare to notify the employee.
5.2	Notify employee of Knowledge Transfer Requirements	The Manager notifies the employee of what the knowledge transfer requirements are and the not later than (NLT) date the requirements must be met.	Employee Manager, Other Staff, Workflow	Manager communicates to the employee the knowledge transfer requirement, including the NLT date. The manager oversees scheduling of the transfer between the employee, coworkers, and or Other Staff.
5.3	Schedule Knowledge Transfer	The manager schedules time with the employee and Other Staff to complete the knowledge transfer.	Employee, Manager, Other Staff, Workflow	Use available means to schedule transfer, e.g. telephonic, in person, e-vite,
5.4	Transfer Knowledge	The employee provides required information to their manager, fellow employees, and other appropriate individuals.	Employee, Manager, Other Staff, Workflow	Employee hands over paper documents, reports, electronic documents, research, or any other information that belongs to the government. Conduct a transition meeting with a replacement or any other designated employee. This transfer will be verified before the employee departs the organization.
5.5	Determine if Knowledge Transfer Complete	The Manager checks to make sure that the employee has completed the knowledge transfer requirement previously identified.	Employee, Manager, Other Staff, Workflow	Manager uses the appropriate method to verify that the employee has completed the knowledge transfer, e.g., checklist or statements from those who received the transferred information.
5.6	Knowledge Transfer Complete?	Decision Point	Manager, Workflow	Manager reviews the appropriate method used to verify the transfer. If "Yes" the employee proceeds. If "No" the Manager notifies the employee of the transfer requirements that must still be met. While it is highly encouraged, some separating employees may choose to depart without transferring knowledge.
5.6a	Determine if there are Exceptional Issues	The appropriate staff identifies if there are any exceptional issues.	HR Staff, Manager	Determine if there is an exceptional issue.
5.7	Exceptional Issue?	Decision Point	Employee, HR Staff, Manager, Workflow	If "Yes" Knowledge Transfer ends. If "No" send back to task 5.2, 5.3, or 5.4.

APPENDIX E – CONDUCT EXIT PROCESSING TASK LEVEL PROCESS MODEL

The following chart is a graphical representation of the Conduct Exit Processing activity. The activity starts when an employee is notified of exit processing requirements and ends when the employee has met those requirements.

User Role Definitions:

Other Staff	A non HR individual who uses HR products and services to assist in the performance of their official duties.
Manager	Any individual who manages resources for the organization.
HR Staff	Individuals who are involved in developing and implementing HR policies, procedures and processes.
Employee*	An individual occupying a position in or under the executive branch of the US government. In some cases this could be a designated individual acting on behalf of an employee, e.g., widow of a deceased employee.

10.1.6 Conduct Exit Processing (This model describes Activity 6, Conduct Exit Processing, for Process 10.1, Manage Employee Separation, of Sub-function 10, Separate)

Other Staff	

In from 4.4. receive Notification Of Separation on page 1

Manager

Start

6.1 Identify Agency-specific Exit Processing Checklist

6.2 Notify Employee of Exit Processing Requirements

6.3 Schedule Exit Processing

6.4 Complete Exit Processing

6.6 Checklist Complete?

End

6.8 Follow Agency Procedures for Disposition

Yes

HR / SSC / PP

In from 4.18 Submit retirement/Death Package on page 4

6.5 Determine if Exit Processing is Complete

No

6.6a Determine if there are Exceptional Issues

6.7 Exceptional Issue?

Employee

No

Yes

Out to Exception Processing

APPENDIX F – CONDUCT EXIT PROCESSING TASK LEVEL DESCRIPTIONS

10.1.6 Conduct Exit Processing (*Employee---The employee, a family member or a designated individual, e.g. , widow of a deceased employee)				
Ref #	**Task Name**	**Description**	**User Types**	**Steps**
6.1	Identify Agency-specific Exit Processing Checklist	HR Staff and/or Manager identify which checklist an employee will use based on position and clearance.	HR Staff, Workflow, Manager, Other Staff	HR and/or Manager identify which checklist to provide the employee based on position and clearance. HR and/or Manager will notify the employee of the requirement by the appropriate means, e.g., paper, electronic.
6.2	Notify Employee of Exit Processing Requirements	The Manager and/or HR Staff communicate the exit processing requirements to the employee and appropriate staff.	HR Staff, Employee, Manager, Workflow, Other Staff	All parties involved in the employee's exit processing now know the employee has to complete exit processing.
6.3	Schedule Exit Processing	As necessary, the employee schedules out processing appointments.	Employee, Other Staff, Manager	Employee schedules out processing appointments.
6.4	Complete Exit Processing	The employee complies with the exit processing requirements	Employee, HR Staff, Manager, Other Staff, Workflow	The employee, as necessary: Turns in keys, employee badge, and credit card(s) Get security debrief Financial Disclosure Form The Manager Turns in equipment (e.g., phone, computer) Deactivates email account Conduct exit interview and surveys All exit processing on the checklist will be reviewed for completeness.
6.5	Determine if Exit Checklist is Complete	A reviewer verifies that the employee's checklist is complete.	Employee, Manager, HR Staff, Workflow	Manager and/or HR Staff check(s) that the employee has met exit processing requirements.
6.6	Checklist Complete?	Decision Point	Employee, HR Staff, Workflow	If "Yes" go to 6.8 Follow Agency Procedures for Disposition. If "No" go to 6.6a Determine if there are Exceptional Issues.
6.6a	Determine if there are Exceptional Issues	The appropriate staff identifies if there are any exceptional issues.	HR Staff, Manager	Determine if there is an exceptional issue.
6.7	Exceptional Issue?	Decision Point	Employee, HR Staff, Manager, Workflow	If "Yes" go to Exception Processing process. Examples of exceptions include: If "No" send back to task 6.2, 6.2a, or 6.3.

10.1.6 Conduct Exit Processing (*Employee---The employee, a family member or a designated individual, e.g. , widow of a deceased employee)				
Ref #	Task Name	Description	User Types	Steps
6.8	Follow Agency Procedures for Disposition	Follow Agency procedures for filing the checklist. Provide a copy of the checklist to appropriate individuals as requested / required.	Manager, Workflow, Employee, HR Staff, Other Staff	Upon request, provide a copy of the completed exit checklist to the individual separating and to the appropriate staff as required. Dispose of IAW agency policy and end the process.

APPENDIX G – SEPARATION MANAGEMENT BUSINESS AND FUNCTIONAL REQUIREMENTS

The requirements below are the results of the Separation Management WG working session. They are linked to the task affected. A requirement that links to more than one task has been labeled as "global."

Assumptions for the following requirements:

- All existing law and regulation will be immediately available, clearly understood, and followed by relevant HR staff
- "HR LOB Target Requirements for Shared Service Centers" remain intact

Req #	Requirement Description	Task # and Name
1	Provide the capability to generate standard lists of employees* by categories	4.1a Identify Categories of Separation
2	Provide the capability to generate ad hoc reports	
3	Obtain approval to proceed with requested action in accordance with regulation or law	
4	Provide the capability to request separation information	4.1b Request Separation Information
5	Provide capability to schedule a separation appointment	
6	Provide capability to receive separation information	
7	Provide the capability to notify appropriate staff of an employee*'s desire to separate	4.1c Notify Appropriate Staff of Separation
8	Provide separation options based on category of separation	4.2 Provide Separation Options
9	Provide legal information regarding an employee*'s intent to separate	
10	Provide separation benefits modeling tools information	
11	Provide the capability to respond to a request for separation information	
12	Compute estimated separation benefits	4.3 Model Separation Benefits
13	Compute an estimated annuity	
14	Provide the employee** the capability to compute an estimated annuity	
15	Provide the capability to schedule a separation benefits review	4.3a Review Separation Benefits Information
16	Determine if an employee* wants to separate	
17	Review separation benefits options	
18	Review separation benefits information	
19	Identify if an employee* wants to continue with separation	4.3b Determine whether to continue Separation
20	Provide the capability to receive notification of separation	4.4a Receive Notification of Separation
21	Coordinate the effective date of an employee*'s separation	

Req #	Requirement Description	Task # and Name
22	Advise an employee* of Conduct Knowledge Transfer requirements	
23	Advise an employee* of Conduct Exit Processing requirements	
24	Notify an employee* of their negotiated effective date of separation	
25	Provide capability to acknowledge receipt of notification of separation	
26	Identify if further action is required	4.4b Determine if Further Action is Required
27	Identify a management-initiated separation	4.5 Determine Type of Separation
28	Identify an employee*-initiated separation	
29	Determine eligibility for an employee* initiated separation	4.7 Determine Eligibility to Request Separation
30	Verify that an employee* has met all employee relations (ER) requirements	4.8 Coordinate Action with Appropriate Staff for Further Action
31	Verify that an employee* has provided the necessary separation documents	
32	Provide capability to receive appropriate separation information	
33	Review appropriate separation documentation	
34	Advise an employee* of separation procedures	4.9 Notify Employee* of Next Steps
35	Provide an employee* with the necessary documents for separation	
36	Advise an employee* of action being taken	
37	Provide the capability to request a separation action	4.10 Request Separation Action
38	Provide the capability to transmit a separation request to HR	
39	Provide the capability to receive a separation request from an employee*	
40	Provide capability to view scheduled appointments	4.11 Schedule Separation Counseling
41	Provide the capability to schedule separation counseling	
42	Provide the capability to conduct separation counseling	4.12 Conduct Separation Counseling
43	Advise an employee* of separation benefits options	
44	Provide an employee* the necessary documents for separation	
45	Advise an employee* of their separation rights	
46	Identify if an employee* wants to continue with separation (Same as 19)	4.12a Determine Whether to Continue with Separation
47	Identify if further action is required (Same as 26)	4.4b Determine if Further Action is Required
48	Return separation documentation	4.13 Provide Completed Information for Separation
49	Provide capability to transmit completed separation documentation	
50	Provide the capability to receive completed separation documentation	4.14 Review Required Information

Req #	Requirement Description	Task # and Name
51	Review the separation documentation for completeness	
52	Review the separation documentation for accuracy	
53	Determine if the separation information is complete	4.14a Determine if Information is complete
54	Determine if the separation is a Retirement	4.15a Determine if this is a Retirement/Death Case
55	Determine if the separation is the result of an employee death	
56	Provide the employee* with a copy of a completed retirement/death package	4.17 Provide a Copy of Retirement/Death Package
57	Provide the capability to receive a retirement/death package	
58	Provide the capability to transmit a retirement/death package	
59	Provide the capability to submit a retirement/death action	4.18 Submit Retirement/Death Action
60	Provide the capability to submit a retirement/death package	4.19 Submit Retirement/Death Package for Processing
61	Notify SSC/Payroll that a retirement/death package has been submitted	
62	Provide the capability to track retirement/death packages	
63	Provide the capability to receive a retirement/death package (same as 50. Can be re-used)	4.20 Receive Retirement/Death Package
64	Provide the capability to notify sender that a retirement/death package has been received	
65	Provide the capability to certify separation package forms	4.21 Process Retirement/Death Package
66	Determine indebtedness	
67	Prepare preliminary IRR for disability retirement applications	
68	Process payroll calculation	
69	Determine if this is a disability retirement application	4.21a Determine if this is a Disability Retirement Application
70	Provide capability to receive notification of Personnel Action	4.22 Receive Notification of Personnel Action (SF 50)
71	Prepare the register for OPM	4.24 Submit Disability Retirement Application
72	Validate the IRR information	
73	Certify an IRR	
74	Transmit preliminary a disability retirement application	
75	Transmit other appropriate documentation	
76	Determine if disability retirement application is approved	4.24a Determine if Disability Retirement Application is Approved
77	Provide the capability to send an agency a decision on a disability retirement application	4.26 Notify Agency of Decision

Req #	Requirement Description	Task # and Name
78	Provide capability to receive notification of Personnel Action (Same as 70. Can be re-used)	4.27 Receive Notification of Personnel Action (SF 50)
79	Prepare the register for OPM (Same as 71. Can be re-used)	4.27a Complete Close-out Activities
80	Validate the IRR information (Same as 72. Can be re-used)	
81	Certify IRR (Same as 73. Can be re-used)	
82	Transmit an IRR.	
83	Transmit other appropriate documentation (Same as 75. Can be re-used)	
84	Calculate payroll for a separating employee*	
85	Prepare an RR	
86	Determine if separation action is complete	4.27b Determine if Separation Action is Complete
87	Resolve any outstanding issue	4.29 Resolve Separation Issues
88	Provide the capability to transmit close-out documentation	4.30 Submit Close-out Documentation
89	Provide the capability to receive close-out documentation	4.31 Receive close-out Documentation
90	Provide reporting capability for cycle time metrics for all administrative Separation Management users	Global-can be used in multiple places
91	Allow designated administrator to add, change, and delete variables in system	Global
92	Provide a solution that is 508 compliant	Global
93	Use plain language	Global
94	Track documents by version	Global
95	Provide the capability to submit system problem report	Global
96	Provide the capability to submit change request	Global
97	Provide the user capability for help roles (System Administrators; Help Desk) to view the Separation Management information	Global
98	Provide date/time stamps where appropriate	Global
99	Update record in real-time	Global
100	Provide tiered help capability	Global
101	Accommodate mass separation	Global
102	Provide role-based print capability	Global
103	Automatically populate Separation Management required data elements from applicable sources	Global
104	Export data (real time or batch) from Separation Management solution to other applicable sources	Global

Req #	Requirement Description	Task # and Name
105	Provide a web-based user-friendly system for all Separation Management users (e.g., GUI Interface, style sheets, toolbars, drop down lists etc.)	Global
106	Provide links to page specific help content	Global
107	Provide reporting capability for functional metrics concerning all Separation Management administrative users	Global
108	Allow a designated administrator to set up role based functionality	Global
109	Provide levels of secured access based on role of the user	Global
110	Provide the capability to define the levels of role-based access	Global
111	Provide user access that complies with Federal standards	Global
112	Provide self-service password reset functionality	Global
113	Provide alternate means of access (e.g. In person, via telephone)	Global
114	Group the data collection by category	Global
115	Provide the capability to house libraries (e.g. standard, agency-specific)	Global
116	Automatically terminate temporary accounts after notification of successful record transfer	Global
117	Present agency-specific information	Global
118	Produce counseling sign-in sheet based on specified criteria	Global
119	Identify standard data elements in Separation Management record	Global
120	Identify unique data elements in Separation Management record	Global
121	Comply with EHRI data dictionary for mandatory elements	Global
122	Automatically populate Separation Management required data elements from applicable sources	Global
123	Export data (real time or batch) from Separation Management solution to other applicable sources	Global
124	Use pre-defined selection options to minimize data entry	Global
125	Display format requirement for data entry (e.g. mm/dd/ccyy)	Global
126	Provide auto-save capability	Global
127	Provide manual save capability	Global
128	Provide user capability to determine reentry point	Global
129	Provide the capability for an authorized user to enter data on behalf of an individual	Global
130	Provide edits when specified data is entered at field level	Global
131	Provide summary page for edits prior to data submission	Global

Req #	Requirement Description	Task # and Name
132	Display a list of errors associated with data submission, and provide hyperlinks back to page(s) to enable correction of errors	Global
133	Provide the capability to add documents to the library	Global
134	Use pre-identified criteria (position-driven requirements) to define the data collection	Global
135	Allow designated user to enter effective dates	Global
136	Provide the capability to edit appropriate data	Global
137	Enter data element once	Global
138	Capture statistical data for reports	Global
139	Archive statistical data	Global
140	Capture data entries	Global
141	Overwrite existing data	Global
142	Provide notes capability for designated users	Global
143	Determine ownership of data	Global
144	Group the data collection by category	Global
145	Allow designated user to enter effective dates	Global
146	Provide the capability to edit appropriate data	Global
147	Provide secure transfer of data	Global
148	Capture date of record transfers	Global
149	Provide capability to track data exchange	Global
150	Provide capability to determine data transfer performance (e.g. System performance, measure the transfer of data from one system to another)	Global
151	Provide capability to define data elements exchanged between applicable systems	Global
152	Allow for import of scanned documents (i.e. medical documents)	Global
153	Provide the capability to export a summary to a personal file	Global
154	Automatically terminate temporary accounts after notification of successful record transfer	Global
155	Export data (real time or batch) from Separation Management solution to other applicable sources	Global
156	Provide the capability to generate documents from templates	Global
157	Provide the capability to develop document templates	Global
158	Provide the capability to generate checklists from templates	Global

Req #	Requirement Description	Task # and Name
159	Provide the capability to generate documents in multiple formats	Global
160	Provide the capability to generate reports	Global
161	Provide the capability to produce checklists	Global
162	Provide the capability to develop checklist templates	Global
163	Provide the capability to update a checklist	Global
164	Provide the capability to link checklist to hyperlinks	Global
165	Provide the capability to produce a progress/status view of process (dashboard)	Global
166	Provide the capability to allow manual intervention at various points in the process	Global
167	Provide the capability to add documents to the library	Global
168	Use pre-identified criteria (position-driven requirements) to define the data collection	Global
169	Notify designated personnel that intervention may be required	Global
170	Generate email to notify designated personnel of status (e.g. separation condition, information submission)	Global
171	Provide the capability to notify designated personnel of Separation Management changes	Global
172	Adhere to all Federal standards and executive regulations related to NIST SP, Federal Information Security Management Act of 2002 (FISMA), and the Office of Management and Budget (OMB) Circular A-130.	Global

APPENDIX H – SEPARATION MANAGEMENT MEASUREMENT INDICATOR DEFINITION

Task #	Name	Definition	Calculation	Purpose	Dates Needed	Frequency
4.1b	Response Time for SSC to Provide Separation Information Requested by an Employee	The period of time between the date the employee requests separation information to the date the employee receives the information, e.g., benefits for which an employee is eligible	May indicate opportunity for process improvement, e.g., providing more generic separation information on the intranet	Date of receipt of information minus the date of request	Receipt date and request date	Quarterly
4.3	Time For an Employee or Staff to Calculate Retirement Benefits	The amount of time (in seconds) between the submission of a retirement calculation to receipt of the calculation	May indicate opportunity for process improvement in an automated environment	Receipt time minus submission time (in seconds)	Receipt time and submission time	Quarterly
4.3	Employee Satisfaction With Retirement Calculator	The percentage of employees satisfied with the retirement calculator	May indicate opportunity for process improvement, e.g., access to calculations and number of calculations allowed	The number of employees satisfied divided by the number of employees that used the calculator, times 100	Number of employee satisfied and the number of employees who calculated an annuity	Quarterly
4.7b	Number of Employees Ineligible for Separation	The number of employees who do not meet the eligibility requirements for separation	May indicate that employee is not fully informed of separation requirements, employee failed to provide requisite information, or bad data in the system, etc.	Number of ineligible employees divided by the number of employees who submitted a request to separate, time 100	Number of ineligible employees and the total number of employees who submitted	Quarterly
4.11	Time for Employee to Schedule an Appointment	The period of time from the date an employee requests a separation appointment to the date an employee is assigned an appointment date.	May indicates potential workload increase or the level of service	The date assigned an appointment minus the date an appointment was requested	Date appointment completed and date appointment scheduled	Quarterly
4.12	Employee Satisfaction with Separation Counseling	The percentage of employee satisfied with the separation counseling they received	May indicate opportunity for process improvement	The number of employees satisfied with counseling divided by the total number counsel, times 100	Number of satisfied employees and total number of employees	Quarterly

Task #	Name	Definition	Calculation	Purpose	Dates Needed	Frequency
					counseled	
4.14 and 4.18	Time for SSC to Submit Separation Package	The period of time between the date all required information was received by the SSC to the date the SSC submits the separation package for close-out	May indicate opportunity for process improvement and provide input for other governmentwide reporting	Date of separation package submission minus the date completed information received	Date of separation package submission and date information was received	Quarterly
4.28	SSC Separation Processing Accuracy	The percentage of separations processed without SSC errors	May indicate opportunity for process improvement or the provider service level	The number of actions without SSC errors divided by the total number of separation actions, time 100	Number of actions without SSC errors and number of actions	Quarterly
4.31	Aging Report of Separations	A collective report reflecting the time to process all separations for a period of time	May indicate opportunity for process improvement or the provider service level	The date of separation close-out minus the date the SSC receives the completed separation request	Separation date and separation package receipt date	Quarterly
4.18 and 4.31	Time For SSC to Close-out Separation	The period of time between the date a separation package is received by an SSC to the date they an SSC closes-out the separation	May indicate opportunity for process improvement or the provider service level	Close-out date minus separation package receipt date	Number of voluntary separations and total number of employees	Quarterly
4.31	Separation Processing Volume	The number of Separations processed by an SSC in a year (FY or CY)	Looks at the workload an SSC is handling each year	The total number of separations processed in a year	Number of involuntary separations and total number of employees	Quarterly
5.4	Employee Knowledge Transfer Participation Rate	Percentage of employees that participated in the knowledge transfer process	Identifies the number of employees who may have returned intellectual capital and information to the organization	The number of employees who transferred knowledge divided by the total number of separating employees, times 100	Number of employees who transferred knowledge and total number of separating employees	Quarterly
6.4	Employee Exit	Percentage of employees that	Measure the number of	The number of	Number of	Quarterly

Task #	Name	Definition	Calculation	Purpose	Dates Needed	Frequency
	Survey Participation	participated in the exit survey	employees who completed the exit survey	employees who participated in an exit survey divided by the total number of separating employees, times 100	employees who participated in exit survey the total number of separating employees	
6.4	Employee Exit Survey Results	Capture employee feedback such as organizational satisfaction, reasons for separating, potential future employers, etc	Qualitative data that may be used for organizational changes and workforce planning, e.g., salary issue, working conditions, etc.	The number of employees satisfied (by category) divided by the total number of separating employees, times 100	Number of employees satisfied (by category) the total number of separating employees	Quarterly
6.5	Employee Conduct Exit Processing Participation	Percentage of employees that participated in exit processing	Identifies the number of employees who took part in exit process, e.g., returned government resources	The number of employees who conducted exit processing divided by the total number of separating employees, times 100	Number of employees who conducted exit processing and the total number of separating employees	Quarterly

APPENDIX I – SERVICE COMPONENTS MAPPED TO TASKS

Service Component Tasks within Activity 10.1.4: Provide Separation Support	Employee Self-Service	Manager Self-Service	Payroll Processing	Benefits Counseling	Benefits Processing	Benefits Reporting	Employee Relations	Personnel Action Processing	Separation Counseling	Retirement Modeling	Inbound Correspondence	Outbound Correspondence	Scheduling (Customer Initiated Assistance)	Case/Issue Management	Content Review and Approval	Knowledge Management
10.1.4.1a Identify categories of separation		X														X
10.1.4.1b Request separation information	X											X	X			
10.1.4.1c Notify appropriate staff of separation	X											X	X			
10.1.4.2 Provide separation options				X								X				
10.1.4.3 Model separation benefits										X						
10.1.4.3a Review separation benefits information															X	
10.1.4.3b Determine Whether to Continue Separation															X	
10.1.4.4a Receive Notification of Separation											X					
10.1.4.5 Determine Type of Separation															X	X
10.1.4.7 Determine Eligibility to Request Separation															X	
10.1.4.9 Notify Employee* of Next Steps												X				
10.1.4.10 Request Separation Action												X				
10.1.4.11 Schedule Separation	X											X				

Service Component Tasks within Activity 10.1.4: Provide Separation Support	Employee Self-Service	Manager Self-Service	Payroll Processing	Benefits Counseling	Benefits Processing	Benefits Reporting	Employee Relations	Personnel Action Processing	Separation Counseling	Retirement Modeling	Inbound Correspondence Management (FEA SRM)	Outbound Correspondence Management (FEA SRM)	Scheduling (Customer Initiated Assistance)	Case/Issue Management	Content Review and Approval (Content Management)	Knowledge Management
Counseling																
10.1.4.12 Conduct Separation Counseling				X					X							
10.1.4.13 Provide completed information for separation												X	X			
10.1.4.14 Review required information													X			
10.1.4.17 Provide Copy of Retirement/Death Package												X				
10.1.4.18 Submit Retirement/Death Action												X				
10.1.4.19 Submit Retirement/Death Package												X				
10.1.4.20 Receive Retirement/Death Package												X				
10.1.4.21 Process Retirement/Death Package			X	X												
10.1.4.22 Receive Notification of Personnel Action (SF 50)								X			X		X			
10.1.4.24 Submit Disability Retirement Application												X				
10.1.4.24a Determine if Disability Retirement Application is Approved												X				

Service Component Tasks within Activity 10.1.4: Provide Separation Support	Employee Self-Service	Manager Self-Service	Payroll Processing	Benefits Counseling	Benefits Processing	Benefits Reporting	Employee Relations	Personnel Action Processing	Separation Counseling	Retirement Modeling	Inbound Correspondence Management (FEA SRM)	Outbound Correspondence Management (FEA SRM)	Scheduling (Customer Initiated Assistance)	Case/Issue Management	Content Review and Approval (Content Management)	Knowledge Management
10.1.4.26 Send Notice of Approval												X	X			
10.1.4.27 Receive Notification of Personnel Action (SF 50)								X			X					
10.1.4.27a Complete Close-out Activities			X		X										X	
10.1.4.27a Determine if Separation Action Complete															X	
10.1.4.29 Resolve Separation Action Issues														X		
10.1.4.30 Submit Close-out Documentation											X					

Service Component Tasks within Activity 10.1.5 Conduct Knowledge Transfer	Employee Self-Service	Manager Self-Service	Inbound Correspondence Management (FEA SRM)	Outbound Correspondence Management (FEA SRM)	Scheduling	Case/Issue Management	Knowledge Capture
10.1.5.1 Identify Knowledge Transfer requirements	X	X					
10.1.5.2 Notify employee of Knowledge Transfer Requirements				X		X	
10.1.5.3 Schedule Knowledge Transfer	X		X		X		
10.1.5.4 Transfer Knowledge						X	X
10.1.5.5 Verify Knowledge Transfer Complete					X		

Service Component Tasks within Activity 10.1.6: Conduct Exit Processing	Employee Self-Service	Manager Self-Service	Payroll Processing	Inbound Correspondence Management (FEA SRM)	Outbound Correspondence	Scheduling	Case/Issue Management	Content Review and Approval
10.1.6.1 Identify Agency-specific Exit Processing Checklist		X						X
10.1.6.2 Notify Employee of Exit Processing Requirements					X		X	
10.1.6.3 Schedule Exit Processing						X		
10.1.6.4 Complete Exit Processing			X	X			X	
10.1.6.5 Review Exit Checklist for Completeness		X						X
10.1.6.8 Provide Completed Exit Checklist					X			

APPENDIX J – SERVICE COMPONENT MATRIX

Service Domain	Service Type	Service Component	HR Executive	Executive	Manager	Active Employee	Other Employee	Prospective Employee	HR Staff	Other Govt. Staff	Government Agency	External Vendor/Org	Former Employee	Retiree	Family Member
Back Office Services	Human Resources	Manager Self Service							0	0	0	0			
		Employee Self Service	0		0	0	0		0	0	0	0	1	1	1
		Benefits Counseling			0	0	0		0	0	0				
		Separation Counseling			0	0	0		0	0	0				
		Personnel Action Processing				0	0		0				0	0	
	Data Management	Data Classification			0				0						
		Data Exchange							0	0	0	0			
Customer Services	Customer Initiated Assistance	Assistance Request				0								1	1
		Scheduling			0	0			0					1	1
Business Analytical Services	Business Intelligence	Reporting	2	2	2				0	2	2				
	Analysis and Statistics	Predictive Analysis	2	2	2		2		2	2					
Digital Asset Services	Information Services	Knowledge Management	0	0	0	0	0		0	0	0	0	1	1	1
		Content Management	3	3	0	0		0	0						
		Records Management	2	2	0	0	0		0	2	2		1	1	1

Service Domain	Service Type	Service Component	HR Executive	Executive	Manager	Active Employee	Other Employee	Prospective Employee	HR Staff	Other Govt. Staff	Government Agency	External Vendor/Org	Former Employee	Retiree	Family Member
Process Automation Services															
	Tracking and Workflow	Conflict Resolution	2	2	2										
		Case / Issue Management	2		0	0			0	2					
	Routing and Scheduling	Inbound Correspondence Management			0	0			0						
		Outbound Correspondence Management			0	0			0						

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