**ESS Leave Tool Implementation Strategy**

*State of Washington*

*Department of Enterprise Services*

Version 2.0

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# Introduction

The purpose of this document is to outline the implementation strategy for deployment of the ESS Leave Tool to agencies. The ESS Leave Tool is a leave application designed for leave request processing and posting. It is not a method for collecting time, but rather a web interface for employees to request time off (i.e. vacation, sick, etc.) and managers to approve that leave. Approved leave requests are automatically posted directly into HRMS with no additional manual entry required.

The ESS Leave Tool was first released to the Department of Personnel ( DOP) in October 2010 and was extremely successful with every DOP employee using this tool. The tool improved morale, reduced paperwork and increased productivity across the department. The employees found it convenient and easy to use. Plus, the turn-around time on a leave request has been greatly reduced due largely to the tool's ease of use and the ability to request and approve leave totally online.

## How the ESS leave Request Tool works:

**Employees**

         Employees access the leave tool through Employee Self Service (ESS)

         Employees can see real time leave balances

         Employees cannot submit a leave request if it exceeds their available leave balance

         Employees can submit a leave request that spans a range of dates for full days, partial day requests require a separate leave request for each day

         When an employee submits a leave request, it is automatically routed to his/her supervisor for approval, and an email is generated notifying the supervisor that a leave request has been submitted

* Employees can change or delete previously submitted leave requests

**Supervisors**

         Supervisors access the leave request tool through ESS

         The supervisor can go to a work list to select and approve or reject leave requests

         Supervisors can review a “team calendar” to view all leave submitted by their employees

         When a supervisor approves or rejects a leave request, an email notification is automatically sent to the employee’s email address on file in HRMS

         Supervisors and managers can submit/approve leave requests on behalf of their employees

**Leave Request Administrator**

         There is a new HRMS role called “Leave Request Administrator”

         The Leave Request Administrator can run reports for the status of leave requests submitted in ESS

         The Leave Request Administrator is notified if there are errors when posting leave requests via email and researches for resolution

## Decisions and considerations when implementing the ESS leave Tool

**Organizational Structure**

* Agencies must review their Organizational Structure in HRMS and ensure that the correct reporting relationships are set up.
* An agency’s Org Structure should be set up the same as its “leave reporting structure”.
* Chief positions which are “double filled” will result in the position with the lower Personnel number receiving the Supervisor notification emails from the Leave Tool – both chiefs will be able to go into ESS and approve leave for employees with reporting relationships to them but only one will receive the email notifying them that there is leave to be approved.

**Employee Email Address**

* It is highly recommended that all employees have an email address on file in HRMS.
* This email address is used for password resets and the leave request notification process.
* If an agency has any employees who do not have a work email address, the agency will need to determine an internal business process to notify employees of the status of a leave request.

**Work Schedules**

* It is the agency’s responsibility to ensure the employee’s work schedules are accurate in HRMS.
* The leave tool uses the work schedule on file in HRMS to validate the employee does not request leave that exceeds their scheduled work day.
* For salaried employees with a valid work schedule in HRMS, ESS knows when a scheduled holiday occurs and prevents a leave request for the holiday to be submitted.
* For a leave request that crosses over a holiday, separate requests are required for the days before and after the holiday.
* Employees with 24/7 work schedules must submit a separate request for EACH DAY of leave taken. If an employee's shifts cross over days (i.e. 10:00 p.m. - 7:00 a.m.), two leave requests must be submitted for one shift.
* Adding work schedules is not included in the ESS Leave Tool implementation effort.
* If an agency requires additional work schedules to support their ESS implementation, the agency will need to submit a ticket to the DES Service Center.

**Leave Types Available in ESS Leave Tool**

* The majority of leave types are configured in the ESS Leave Tool.
* Agencies can choose to process any leave type outside the leave tool but will need to manage these with a manual process.

**Payroll Offices**

* Payroll Offices will not have the ability to review and correct leave requests submitted using the leave tool prior to their posting to HRMS.
* Absences entered outside of the ESS Leave Tool will be displayed in ESS and cannot be changed or deleted in ESS.

**Agency Leave Administrators email distribution list**

* This distribution list will be used by the system to email the ESS Posting Error email notification. The list must include appropriate personnel such as, agency payroll staff, agency HR staff or agency attendance keepers based on agency business procedures.

**Agency Leave Policies**

* Agencies with Represented Employees should review bargaining agreements and may need to manually manage employee leave requests in cases where bargaining rights exceed what the system allows.
* Requests submitted thru ESS post automatically to HRMS upon approval with no payroll intervention point.
* Supervisor training on agency leave policy and CBA’s may be needed to ensure compliance for approved leave requests for employees.

**Leave Processes**

* Using the Leave Tool will require an update to the agencies’ leave processes.
* New procedures may result in new roles and/or responsibilities for affected personnel.

**GAP 1**

* Agencies that currently submit leave using GAP1 (Time and Leave interface) can still use the ESS Leave Tool.
* The Leave Tool has **no impact on GAP1 submitting time worked entries**.
* Once employees start to enter leave using ESS, the agency **should not send leave data** through GAP1 as there is a risk of overlaying leave data.

**Other Agency Implementations**

* Once an agency implements the ESS Leave Tool it is expected they help support the change management process of up to two other agencies.
* Support will include making a resource available to answer questions and provide guidance to the implementing agency.

# Security

Security for the ESS Leave Tool is an extremely important element of this Implementation strategy. Without proper security, employees and managers would not be able to request leave and approve the requested leave. The following security steps have been tested and prove to be the most effective and efficient way to collect and deploy security:

* Agency executes the Staff Assignments report (S\_AHR\_61016503) and selects the layout O-S-P-CH to verify the Chief assignments are correct.  You can use this report to fill out the Security Spreadsheet.  Link to OLQR: [OM - Staffing Assignments](http://www.hr.wa.gov/SiteCollectionDocuments/Payroll/HRMSSupport/TrainingAndOLQR/HRMSReports/Staff%20Assignment_S_AHR_61016503.doc).
* Agency fills out the security spreadsheet identifying the leave approvers (chiefs) and leave administrators and sends to the DES Service Center no later ***than 30 day***s prior to the ESS Leave Request Tool implementation date. Link to [spreadsheet and instructions](http://hr.wa.gov/SiteCollectionDocuments/Payroll/EmployeeSelfService/AgencyLeaveReq/Security_Spreadsheet_update.xls).
* Once the security spreadsheet has been submitted to the DES Service Center it is important the agency does not make any additional changes to the organizational reporting structure.

# Change Management Strategy

The Change Management Strategy for the ESS Leave Tool Implementation is made up of three core elements:

* Identify the Agency's Sponsor/Change Agent(s)
* Establish and execute an effective communications plan
* Deliver a training plan that will support the Go-live effort and continuous improvement

The following sections will outline the Change Management Strategy, the guidelines, and the importance that this has on implementation.

## Identify Agency sponsor/Change Agent(s)

Identifying Agency Sponsor/Change Agent(s) is a major task for this change management strategy. The ESS Leave Tool Request form will capture the Agency Sponsor/Change Agent(s) to ensure the successful Implementation of the ESS Leave Tool. The Agency Sponsor/Change Agent will support the ESS Leave Tool implementation and:

* Is the ultimate owner of the implementation and has agency decision-making power
* Maintains the final authority for agency implementation
* Promotes the ESS Leave Tool throughout the agency

# Communication

The purpose of the communication plan is to ensure effective and efficient continuous information sharing on all aspects of the implementation. Effective communication is the key to successfully deploying initiatives such as the ESS Leave Tool. The Agency’s Sponsor/Change Agent(s) may develop a variety of communication vehicles (i.e. ESS website, broadcasts emails, and other methods of communication). Various milestones and achievements of the implementation may also be communicated.

## Communication Timeline and Goals

The proposed communication timeline will take place over a 4 - 5 month period.

* ***First Month:*** the agency reviews the marketing material on the [ESS Leave Tool Website](http://hr.wa.gov/payroll/ESS/Pages/AutomatedLeave.aspx). The duration of this task will vary depending on the amount of time the agency needs to review and complete the prerequisite packet.
* ***2nd - 3rd Month:*** the agency will receive the Implementation date and will start communicating to the agency users the new ESS Leave Tool that will be deployed, the changes that will be coming once deployed, and any other pertinent information.
* ***30 days Prior:*** the agency will send out the implementation date to agency users to prepare for the cut-over to the new tool.
* ***One week Prior:*** the agency will send out a reminder email of the implementation date and links to training, FAQs, and helpful hints.
* ***Implementation Date:*** the agency will send out the communication that the new tool is available.



Communication guidelines and goals:

* Understand and manage the expectations of end users
* Communicate frequently and early
* Target communications for specific user groups
* Make responses to questions, concerns, or comments timely and appropriate
* Provide a means for end users to ask questions of and provide feedback to the agency

# Training

The purpose of the agency Training Plan is to provide training to end-users. The Agency Training Plan may include help documents from the Internal ESS website, On-line Training Documentation, FAQs, Demonstration Video, and helpful hints. The detail and amount of training will depend on the complexity of the agency (i.e. size, represented, non-represented). The Agency's Help Desks and/or support personnel should be trained to ensure adequate support during and after implementation.

# Purpose

This implementation strategy will encompass all activities and tasks aimed at assisting the agencies in implementing the new ESS Leave Tool. A structured implementation process and an effective change management approach is critical to the success of the ESS Leave Tool.

## Implementation Strategy

The Strategy will focus on a two-phrase approach to the implementation of the ESS Leave Tool.

The first phase is the agency's preparation of the new tool. The prerequisites will include the set-up of the organizational structure and evaluating business processes and agency readiness.

The second phase includes the technical preparation required to set-up the agency for using the ESS Leave Tool. The completion of this phase will follow the DES release management practices which include the determination of an actual implementation date.

# Implementation Team

The implementation team is designed to ensure the successful implementation of the ESS leave Request Tool.

## Team organization

The team will consist of:

* ***DES Central Business Owner:*** the ESS Statewide Leave business process owner
* ***Agency Sponsor/Change Agent:*** agency's executive sponsor for the ESS Leave Request Tool implementation
* ***Business Team:*** the Business Team must include representatives from the requesting agency HR and Payroll staff
* ***ISD Implementation Coordinator:*** liaison between ISD Technical Team, Business Team, and Central Business owner
* ***Previous Implementation Representative:*** a coach/mentor to the requesting agency to answer questions and provide guidance based on their prior implementation experience

***DES Central***

***Business Owner***

***ISD***

***Implementation***

***Coordinator***

***HRMS Functional***

***Team***

***Security Team***

*DES Service*

*Center*

***Business Team***

**System Testing**

**Services**

***Change Request Process***

*Labor Relations*

*Office*

***Agency Sponsor/***

***Change Agent***

## Roles and Responsibilities

The following roles and responsibilities that make up the ESS Leave Tool Implementation Team:

|  |  |
| --- | --- |
| **Roles** | **Responsibilities** |
| **DES Central Business Owner** | * Statewide ESS Leave Request Business Process Owner * Provides input for Agency prioritization * Promotes marketing material for ESS Leave Request Tool |
| **Roles** | **Responsibilities** |
| **Business Team** | * Assess agency readiness * Collects Agency Data (i.e. Data Form, Checklist, etc.) * Provides Guidelines/Guidance for Change Management * Defines Project Milestones / Checkpoints * Responsible for agency's implementation plan * Responsible for Production Validation |
| **ISD Implementation Coordinator** | * Drives Technical Implementation * Coordinates Go-Live Date * Liaison between ISD Technical Team, Business Team, and DES Central Business owner |
| **DES Service Center** | * Creates and assigns incident * First line contact for Agency * Directs Agencies to ESS Leave Tool information on the intranet |
| **HRMS Functional Team** | * Creates Change Request * Drives and completes configuration * Completes Unit Testing * Quality check for Agency organizational structure * Pre-release Production Validation |
| **Security Team** | * Executes role assignment tasks * Provides security support during and after Go-Live |
| **System Testing Services** | * Executes the QA Testing |

# Implementation Process - Overview

The implementation process for the release of the ESS Leave Tool is outlined below:

## 1. Agency expresses interest

The agency initiates the contact by expressing interest in using the ESS Leave Tool. An agency representative will contact DES Service Center.

## 2. Direct Agency to Infomation

DES Service Center / DES Central Business Owner will direct the agency to the ESS Leave Tool website that contains all of the resource documentation that supports the ESS Leave Tool.

## 4. Review information

Agency will review the information to determine the next steps. Agency questions regarding implementation will be directed to the DES Service Center.

## 5. complete ESS Leave Request Tool Checklist

Agency will complete the ESS Leave Tool checklist. The checklist includes all the prerequisites that must be met prior to requesting implementation.

## 6. Send completed Leave tool application to the DES Service Center

The Agency will send the completed application to the DES Service Center (ServiceCenter@DES.WA.GOV). This application must be signed by the agency’s Director or Deputy Director. It may be sent hard copy or electronically scanned.

## 7. Log Ticket

The DES Service Center will receive the information and log a ticket assigning it to the ESS Leave Req-Business Response Team. The ESS Leave Req-Business Response Team will assign the incident to the HRMS Tier 2 OM/PA Response Team that an agency has submitted their application.

## 8. Review Organization Structure

The HRMS Tier 2 OM/PA Response Team starts the review of the agency Organizational Structure. If there are any questions and/or issues they will reach out to the agency representative directly (cc’ing the ESS Leave Req-Business Response Team) to complete the prerequisites.

The HRMS Tier 2 OM/PA Response Team completes the QA review and updates the Incident Ticket indicating that the agency has completed the Organizational Structure and is cleared to move to the next step.

## 9. Review Agency Information

The ESS Leave Req-Business Response Team reviews all the documents for completeness. If the Prerequisites have not been completed, then the Agency is contacted to complete. Once completed, the ESS Leave Req-Business Response Team will confirm all data collected.

## 10. Kick off meeting

The ISD Implementation Coordinator schedules a kick off meeting with the Implementation Team to review in detail the implementation process, answer questions, and provide guidance. Agency specific considerations for determining implementation date are identified.

## 11. Create the Change Request

The ISD Functional Team will create a Change Request for review by the ISD Release Planning Team (RPT). Any agency specific considerations for determining implementation date will be notated.

## 12. Determine Work Load and Go-Live Date

The ISD RPT will review the change request and estimated work effort involved to implement the requesting agency. This review will include analyzing other existing priorities and available resources. The team will determine an implementation go-live date. It should be noted that the agency's change management needs are considered when determining the implementation date.

## 13. Send implementation Date to Agency

The ISD Implementation Coordinator will notify the agency sponsor/change agent of the implementation date.

## 14. Review of the Agency implementation plan

Business Team will review the cut-over plan (including the validation process) and, release timeline, for the release from the agency sponsor/change agent.

## 15. Agency Starts the Implementation

Based on the release timeline, the agency will start the execution of the release tasks.