

BUSINESS REQUIREMENTS

Project for Implementing Digital Document Management System

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REVISION HISTORY TABLE

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| 1.0 | 5/10/13 | Deborah Reece | Finalized Document Template | Added Administrative Processes |
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INTRODUCTION

Purpose

This document provides all requirements that are implemented in the Document Management System project utilizing Laserfiche software at ICM. This document lists the business requirements, business rules, user requirements, and functional/nonfunctional requirements for the project. It also contains use case scenarios to help clarify the processes required for the project.

Requirements Accountability

The requirements in this Requirements Document are traced to the appropriate deliverables in the development and testing phases to ensure that all requirements are properly implemented and tested.

Intended Audience

The target audience for this Requirements Document includes business, technical, governance, and project management stakeholders. Specific users will include software or system developers and testers.

GLOBAL REQUIREMENTS

The system will replace a paper based, server records storage system with a digital “paperless” document management system. The global requirements for the digital document management system are described in the sections below.

Design/Performance

For the expected and desired requirements related to system design and performance capabilities, refer to the “*Project Description*” section of the “**Scope Project Management Plan**”.

Records Management

The records management application of the document management system provides the following functionalities:

- Data is input into forms and stored within the new document management system server hierarchy.
- Protection of records from loss and tampering while allowing the record manager access to necessary information.
- Allow records to be refiled in different folders or series after their initial filing in order to meet DoD 5015.2 criteria.
- Provide a way to control the metadata fields associated with every record, record series, and record folder through usage of the Dublin Core metadata element set according to DCMI standard ways to refine elements.
- Metadata fields will include the following: 1) Title; 2) Creator; 3) Subject; 4) Description; 5) Publisher; 6) Contributor; 7) Date; 8) Type; 9) Format; 10) Identifier; 11) Source; 12) Language; 13) Relation; 14) Coverage; and 15) Rights.
- Digital document data will reside in the appropriate folder/file structure on the system server.

Linking

The records management application will do the following in regard to linking functionalities:

- Allow users to indicate related records through linking, a form of metadata that defines and creates relationships between digital documents.
- Allow document links to be established by all users at the time of filing.
- Allow authorized users only to create, modify, or remove links post-filing.

Versioning

The records management application will do the following in regard to versioning functionalities:

- Allow users to establish record versioning to indicate an auto-incremented sequence of revisions to a particular record.
- Allow retrieval of versions as if they were independent documents containing their own metadata.
- Clearly indicate if a record has multiple versions, and which version is the most recent.

Security Tags and Audits

The records management application will do the following in regard to security tags and audits functionalities:

- Allow the records manager to define security tags (i.e., metadata fields) that restrict access to records, while aiding in their classification and retrieval.
- Allow users assign tags to records when filing them.
- Allow authorized users only to modify or remove security tags after filing.
- Support the audit of all filing, handling, and disposition of records.

Vital Records

Vital records are those records deemed essential for resuming business operations immediately after a disaster, such as legal and financial records.

The records management application will do the following in regard to vital records functionalities:

- Allow them to be subject to periodic review and update.
- Provide a way to assign a review cycle for vital records and detail when they were last reviewed.
- Provide a way to retrieve all vital records, identify when they were last reviewed, and indicate vital records that are due for review at any given time.

Transparent Records Management

A transparent record implies that records have a definite life cycle that involves various stages.

The records management application will do the following in regard to transparent records management functionalities:

- After record creation, provide a way for a record to be filed according to a well-defined file plan so it is easily accessible to authorized users.
- Allow managers to retain control over how information is categorized and filed outside of the view of everyday users of the system.
- Offer a check-in/check-out collaboration feature that allows multiple users to modify documents and track changes without them being overwritten.
- Allow record managers to create a file plan and manage retention schedules to determine if a record needs to be destroyed for compliance with state and federal regulations after it has been retained for a specified time period.
- Allow records managers to handle records transparently so that once it is set up, users won't have to actively participate in the process while records managers still have control over ultimate file indexing, archiving, and disposition.

Security/Privacy

System security should let every authorized employee perform required duties from a desktop, laptop, or remote office location over the Web without compromising the integrity of the database, system, or network.

The records management application will do the following in regard to data security and privacy functionalities:

- Records must be protected from tampering or unauthorized release.
- Auditing functionality must allow the records manager to monitor user actions on a record.
- Allow the system administrator tools to control access rights for who can log on the system.
- Allow the system administrator tools to control feature rights over which individuals can perform on documents they have access to.

- Allow the definition of feature rights that determine a range of actions, including adding pages, annotating, and copying or deleting records.
- Allows high-level users rights to redact (black out or white out) confidential data within files.
 - Allow the definition of security rights concerning individual users' ability to view redacted text.
- Allow authentication that requires users to enter a user name and password in order to access the system.
- Allow authorization that controls access to objects such as files and folders:
 - Permit the assignment of access rights to specific folders and documents at both the group and individual level.
 - Allow system administrators to limit the actions that users are able to perform on folders and documents at the individual and group level.
 - Allow the use of groups with inherited or predetermined rights so system administrators can quickly assign viewing privileges.
 - Allow individual level security for specific users, such as managers, to view documents that the rest of the group cannot.
 - Disallow users from viewing objects for which they do not have viewing privileges.
- Allow audit trails and reports that detail system activities:
 - Provide the ability to log all users, documents reviewed, actions performed, and the time they were performed.
 - Log any unsuccessful attempts to perform actions.
- Provide watermarks to authenticate printed documents.

Data

Master Files

- The master data files maintained in the system database is determined at a future date (TBD) based on requirements gathering meetings with Project Stakeholders, Product Owners, and Developers.
- Instructions is provided at a future date (TBD) regarding what happens to the manual/electronic inputs after they are entered into the master file/database and verified.

Inputs

Data input is allowed into the digital document management system in the following formats:

- Manual data input through forms for each process that can be accessed from the main menu.
- Scanned data input by running paper documents through any system ADF scanner.
- Transfer of electronic data from any other internal or external systems that are allowed to interface with ICM's document management system.
- The ICM system will have the ability to export and import allowable data from the following external program systems;
 - ADP Payroll System
 - Aperture Billing System
 - Curtis Billing System
 - Customer Relationship Management (CRM) System

Outputs

- All requirements for reports and related data sharing with other systems or agencies, etc. will be determined and listed at a future date (TBD) based on stakeholder meetings.
- Requirements for how long system reports and any other outputs is needed for Agency business, and when they is destroyed or deleted, is determined and listed at a future date (TBD) based on stakeholder meetings.

Retention

Retention describes how long the data is maintained before disposition.

The records management application will do the following in regard to data retention functionalities:

- All system data is retained in storage for no less than seven (7) years.
- To assist in disaster recovery planning, the software must enable users to copy records to disc or other unalterable media for off-site storage.
- The system must allow the ability to take snapshots of the ICM website at regular intervals and retain these files according to a specified retention schedule.
- Allow backups of entire document repositories to be stored on CDs, DVDs, or other media for disaster recovery purposes.
- Provide built-in viewers on published CDs and DVDs so documents can be immediate accessed from any PC with a CD or DVD drive, even if the network remains offline for an extended period.

Disposition

Disposition describes where the data is maintained, and when the data is deleted or destroyed.

The records management application will do the following in regard to data disposition functionalities:

- Provide for internal transfers for disposition.
- Provide for final disposition through the use of accession and destruction.
- Allow the exportation of entire record folders and their metadata values for transfer and accession.
- Following the confirmation of successful transfer, the application is able to maintain the records in one of two ways:
 - The system will maintain only the metadata; or
 - The system will completely delete the records.

Freezing

The system provides functionalities to freeze a folder.

If a folder is frozen, then:

- No record in the folder can be removed; and
- No record in the folder can be modified.

BUSINESS REQUIREMENTS

This section outlines all user processes for the system, along with process workflows and use cases.

Administrative Processes

Process for Check Request

Business Purpose

This process provides a process whereby checks for OCHS, Payees, Staff Training, or miscellaneous other items (e.g., Christmas parties or other events) can be requested for payment and issued to the person or company that the check is being requested for. The employee can either select an option to have the check mailed out, or it can be picked up by the designated person. All requests for checks must be entered on the Check Request Form, and then they are routed to the Supervisor for approval. If the Supervisor approves the check request, then it is routed to Accounting for processing.

Process Workflow for Check Request

The system shall allow users to perform the following process for check request processing:

1. Employee selects "Check Request" from the System Menu.
2. System displays the Check Request Form with fields for entering a check request.
3. The employee enters the date of request in the Date field.
4. The employee enters the name of the customer in the Customer field.
5. The employee selects the name of the person/employee requesting the check in the Requested By field.
6. The employee selects either "OHCDS", "Family Support", "Customer Account", or "Other: specify" in the Select One field.
7. The employee enters the amount of the check request in the Amount field.
8. The employee enters the name that the check is issued to in the Pay to the Order of field.
9. The employee enters the reason for the check request in the For field.
10. Select checkbox for "Mailed to" or "Picked Up by".
 - For mailed to box, enter "Name and Address of Company or Person that check is being mailed to".
 - If this picked up box is checked, enter the "Name of person picking up check".
11. The employee enters any additional information or details in the Comments field.
12. Employee clicks the "Save" button.
13. The check request form is saved in the requesting employee's folder on the server for storage.
14. Employee clicks the "Submit" button.
15. A confirmation message displays that the check request form data has been submitted.
16. The process routes the check request form to the requesting employee's Supervisor for review, approval, and submission:
 - The requesting employee's Supervisor receives an email notification that the check request form has been submitted to him/her for approval.
 - The check request is saved in the Supervisor's folder on the server.
 - The Supervisor will review and approve or not approve the check request.
 - If the reimbursement request is **approved**:
 - The form is routed to Accounting for payment.

- The form is saved in the folder for Accounting on the server with the date paid.
- The employee receives an email notification stating that the check request was approved and paid on the pay date.
- The paycheck is issued.
- If the reimbursement request is **not approved**:
 - The requesting employee receives an email notification that the check request was denied, along with the reason.
 - The process allows the employee to edit the form, if applicable, and resubmit at a later date.

17. The process ends.

Exceptions

N/A

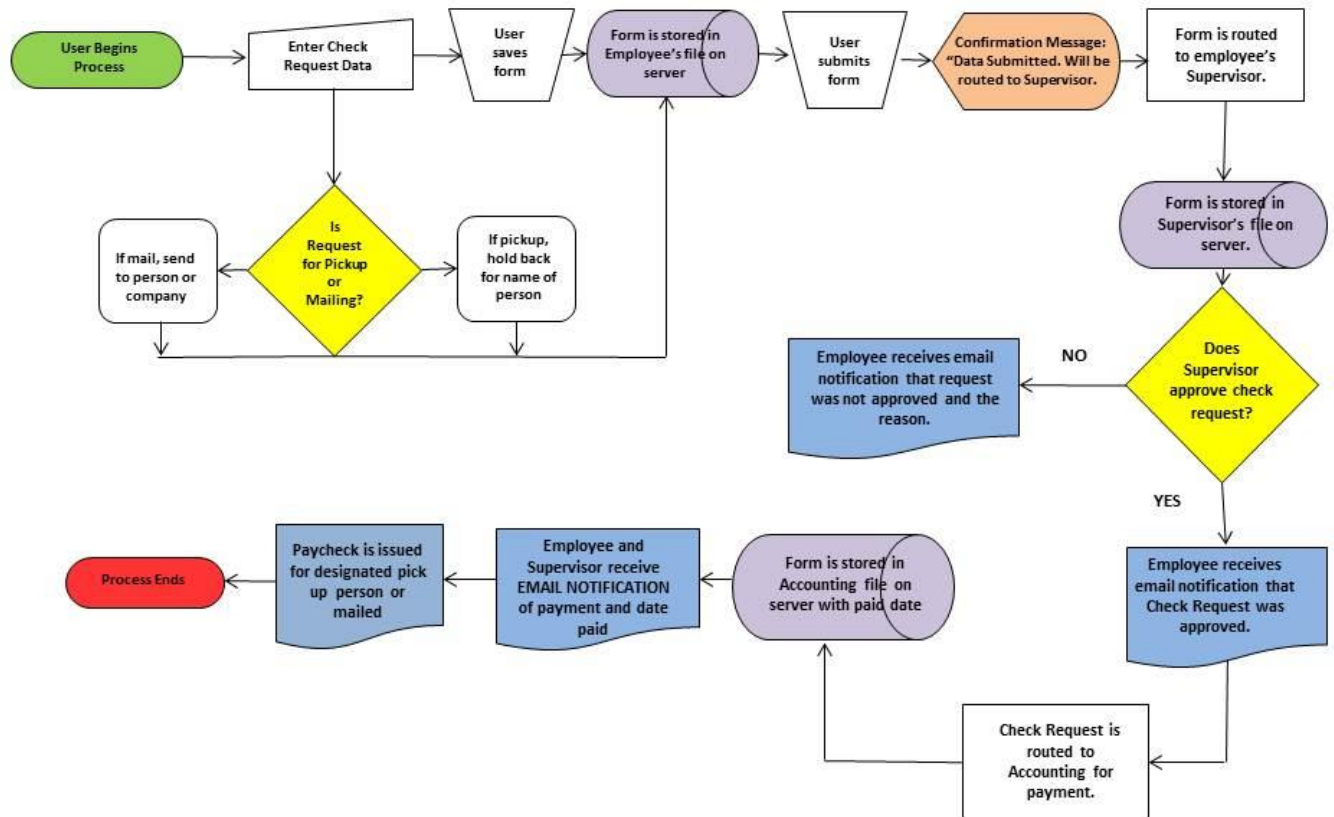
Process Stakeholders

- Department Regional Supervisors
- Department Supervisors
- Administrative Staff
- Accounting Department

Use Case Steps for Check Request Process

Note: The five different status categories are "In Review", "Approved", "In Development", and "Completed".

| | |
|-------------------------------|---|
| Use Case ID: | 1.1 |
| Title: | Check Request Process |
| Description: | This process allows employees to submit requests for checks for miscellaneous items on the ICM Check Request Form. The form is then approved or not approved by the Supervisor. |
| User: | ICM Employee or Customers |
| Preconditions: | <ul style="list-style-type: none"> User is logged into the Document Management System. |
| Postconditions: | Check report data for the logged in user is placed into the system. |
| Main Success Scenario: | <ol style="list-style-type: none"> Employee selects "Check Request Process" from the System Menu. System displays the Check Request Process Form with fields for entering check request data. The employee enters the date of request. The employee enters the name of the customer. The employee enters the name of the person/employee requesting the check. The employee selects either "OHCDS", "Family Support", "Customer Account", or "Other: specify" in the Select One field. The employee enters the amount of the check request. The employee enters the name that the check is issued to. The employee enters the reason for the check request in the For field: <ol style="list-style-type: none"> If this box is checked, the check is given to: "Name of person picking up check". The employee enters any additional information or details in the Comments field. Employee clicks the "Save" button. Employee clicks the "Submit" button. Employee expense data is entered into the System and a confirmation message displays. |
| Exceptions: | If any data is missing after employee saves the data, an error message displays stating that all fields need to be entered. |
| Frequency of Use: | Periodically as needed. |
| Status: | In Review |
| Owner: | Shelley Myers, Regional Supervisors, Cindy Alberding |

Process Workflow Diagram for Check Request

Process for Expense/Mileage Reimbursement

Business Purpose

ICM employees are reimbursed for some expenses incurred as a part of their job duties. The Check Request Process allows the employee to enter expenses related to office supplies, postage, food and motel while traveling overnight, etc. The employee can only be reimbursed after entering the required data in the form and sending itemized expense receipts for each entry to the Supervisor. The Supervisor can then approve the entered allowable expenses and add them to the payroll system so they can be reimbursed on the next payroll check.

Process Workflow for Expense/Mileage Reimbursement

The system shall allow users to perform the following process for expenses and mileage reimbursement:

1. Employee selects "Expense/Mileage Reimbursement" from the System Menu.
2. System displays the Expense/Mileage Reimbursement Form with fields for entering mileage and travel expenses.
3. The employee enters the travel expense data:
 - a) Enter mileage and total dollar amount of mileage in the Mileage Log section:
 - I. Indicate the month in which mileage is being documented.
 - II. Indicate the date that the report is completed.
 - III. Indicate the work related activities, customer served, etc. in the Person/Place field.
 - IV. Indicate the origin city and destination city of travel in the City From and City To fields.
 - V. Indicate the total number of miles driven in the Mileage Total field.
 - b) Enter hotel/motel overnight stay expenses that have not been paid in advance via credit card.
 - c) Enter cost of breakfast meal on the date incurred in the Breakfast field.
 - d) Enter cost of lunch meal on the date incurred in the Lunch field.
 - e) Enter cost of dinner meal on the date incurred in the Dinner field.
4. Employee enters the cost of business supplies:
 - a) Enter cost of postage on the date incurred in the Postage field.
 - b) Enter cost of office supplies on the date incurred in the Office field.
 - c) Enter cost of administration items on the date incurred in the Admin field.
 - d) Enter cost of benevolent items on the date incurred in the Benev field.
 - e) Enter the cost of phone calls on the date incurred in the Phone field.
 - f) Enter any other miscellaneous costs in the Other field.
5. Employee clicks the "Total" button (to total each row and column of the expense report data and display it on the form).
6. The system displays a Yes/No checkbox for "Attach expense receipt copies?" along with the message: "Receipts must be attached or the petty cash can't be reimbursed."
 - If employee selects "Yes" to attach scanned copies of receipts to the form, then the following occurs;
 - The process provides an option to scan the receipts and attach them to the form.
 - If employee selects "No" (receipt copies won't be attached), then the following occurs:

- The following message displays: " Mileage/Expense Reimbursement Form can't be approved until the receipts are attached. Your form is saved for resubmission at a later date. Please attach the receipts at a later date for submission and approval."
 - The process provides an option for the employee to pull up the saved form at a later time to attach the receipts and submit the form.
 - The process exits.
7. Employee clicks the "Save" button.
 8. The mileage/expense form and any attached receipts are saved in the requesting employee's folder on the server for storage.
 9. Employee clicks the "Submit" button.
 10. A confirmation message displays that the mileage/reimbursement form data has been submitted.
 11. If the receipts are attached, then the following process occurs:
 - The process routes the expense/mileage reimbursement form and attached receipts to the requesting employee's Supervisor for review, approval, and submission.
 - The requesting employee's Supervisor receives an email notification (through workflows) that the expense/mileage reimbursement form has been submitted to him/her for approval.
 - The Supervisor reviews and approves or doesn't approve the reimbursement request:
 - If the reimbursement request is **approved**:
 - The form is routed to HR and the payroll department for reimbursement on the next payroll check.
 - The form and receipts are saved in the appropriate folders for HR and Accounting (payroll) on the server for storage.
 - The process provides an audit trail for accounting concerning the amount and date reimbursed and save it in the folders for storage.
 - The employee receives an email notification stating that his/her "Reimbursement request was approved and will appear on the next pay check."
 - The paycheck is issued.
 - If the reimbursement request is **not approved**:
 - The requesting employee receives an email notification that the expense/mileage reimbursement request was denied, along with the reason.
 - The process allows the employee to edit the form, if applicable, and resubmit it at a later date.
 12. The process ends.
 13. If the following data entry errors do occur, then these exceptions will be handled as shown below:
 - 3.b. The motel expense has already been paid in advance:
 - System displays error message saying that the motel bill was prepaid with credit card.
 - 3.c. The cost entered for breakfast meal exceeds \$10.00:
 - System displays error message saying the cost of breakfast exceeds the allowed limit.
 - 3.d. The cost entered for lunch meal exceeds \$10.00:
 - System displays error message saying the cost of lunch exceeds the allowed reimbursement limit.
 - 3.e. The cost entered for dinner meal exceeds \$15.00.

- 3.e.1 System displays error message saying the cost of dinner exceeds the allowed reimbursement limit.

Process Stakeholders

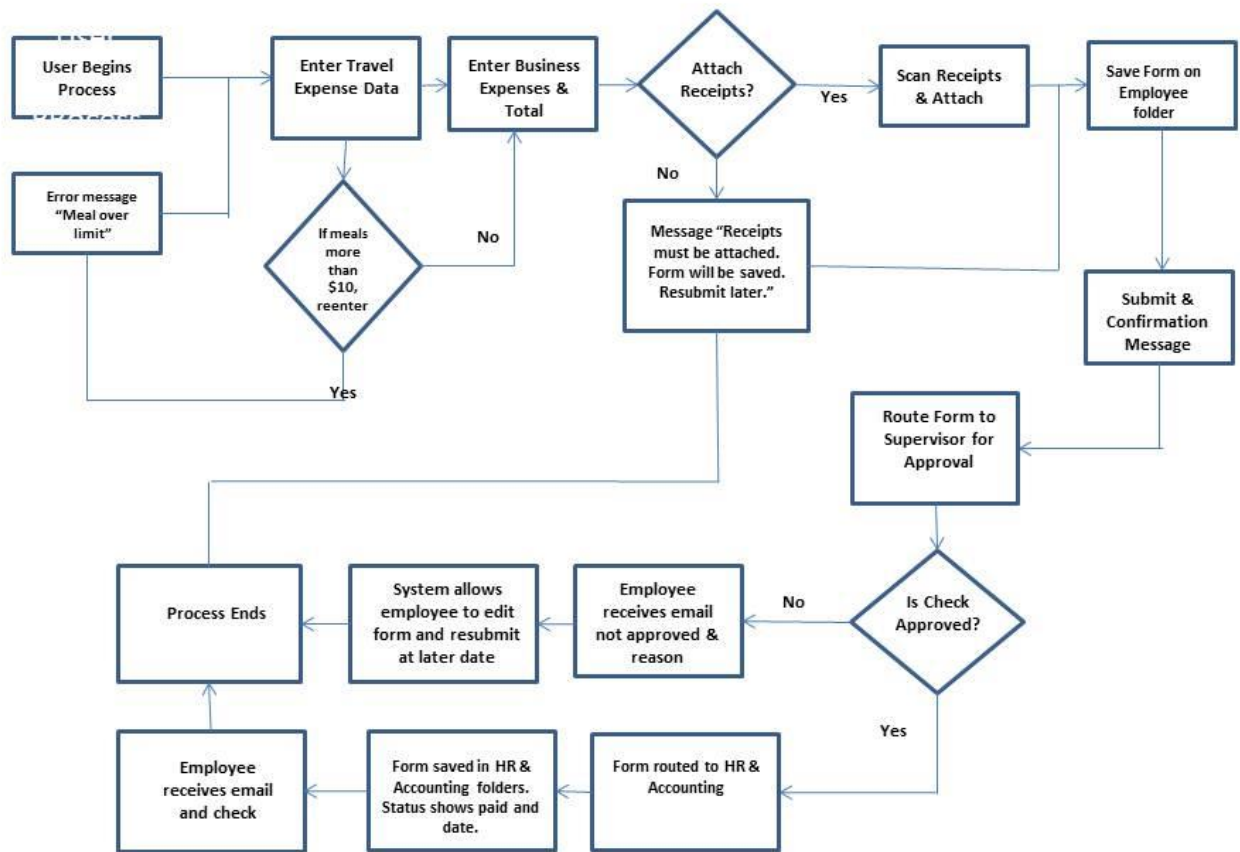
- Shelley Myers
- Regional Supervisors
- Cindy Alberding

Use Case Steps for Expense/Mileage Reimbursement

Note: The five different status categories are "In Review", "Approved", "In Development", and "Completed".

| | |
|-------------------------------|---|
| Use Case ID: | 2.1 |
| Title: | Completing the Expense/Mileage Reimbursement Report Form |
| Description: | Employee accesses the Document Management System and views the Expense/Mileage Reimbursement form. Then employee enters the expense data in the form that is necessary for reimbursement of company sponsored travel expenses and office supply costs. The form is then approved or isn't approved by the Supervisor after submitting all of the necessary receipts. |
| User: | ICM Employee |
| Preconditions: | User is logged into the Document Management System. |
| Postconditions: | Expense report data for the logged in user is placed into the system. |
| Main Success Scenario: | <ol style="list-style-type: none"> 1. Employee selects "Expenses/Mileage Reimbursement" from the System Menu. 2. System displays the Expenses/Mileage Reimbursement Form with fields for entering travel expenses and costs for office supplies. 3. Employee enters travel expense data. <ol style="list-style-type: none"> a. Itemize the mileage and total dollar amount of mileage in the Mileage Log section. b. Enter hotel/motel overnight stay expenses that <u>have not</u> been paid in advance via credit card. c. Enter cost of breakfast meal on the date incurred. d. Enter cost of lunch meal on the date incurred. e. Enter cost of dinner meal on the date incurred. 4. Employee enters cost of business supplies: <ol style="list-style-type: none"> a. Enter cost of postage on the date incurred in the Postage field. b. Enter cost of office supplies on the date incurred in the Office field. c. Enter cost of administration items on the date incurred in the Admin field. d. Enter cost of benevolent items on the date incurred in the Benev field. e. Enter the cost of phone calls on the date incurred in the Phone field. f. Enter any other miscellaneous costs in the Other field. 5. Employee clicks the "Total" button (to total each row and column |

| | |
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| | <p>of the expense report data and display it on the form).</p> <p>6. Employee clicks the "Save" button.</p> <p>7. Employee clicks the "Submit" button.</p> <p>8. Employee expense data is entered into the System and a confirmation message displays.</p> |
| Exceptions: | <ul style="list-style-type: none">• 3.b. The motel expense has already been paid in advance.<ul style="list-style-type: none">○ 3.b.1 System displays an error message stating that the motel bill was prepaid with credit card.○ 3.b.2 Employee either backs out of case or tries again after rectifying the cause.• 3.c. The cost entered for breakfast meal exceeds \$10.00.<ul style="list-style-type: none">○ 3.c.1 System displays an error message stating that the cost of breakfast exceeds the allowed limit.○ 3.c.2 Employee either backs out of case or tries again after rectifying the cause.• 3.d. The cost entered for lunch meal exceeds \$10.00.<ul style="list-style-type: none">○ 3.d.1 System displays an error message stating that the cost of lunch exceeds the allowed reimbursement limit.○ 3.d.2 Employee either backs out of case or tries again after rectifying the cause.• 3.e. The cost entered for dinner meal exceeds \$15.00.<ul style="list-style-type: none">○ 3.e.1 System displays an error message stating that the cost of dinner exceeds the allowed reimbursement limit.○ 3.e.2 Employee either backs out of case or tries again after rectifying the cause.• If any data is missing, an error message displays stating that all fields need to be completed. |
| Frequency of Use: | Periodically as needed when employees are required to travel on business. |
| Status: | In Review |
| Owner: | Shelley Myers, Regional Managers, Cindy Alberding |

Process Diagram for Expense/Mileage Reimbursement

Process for Petty Cash Expenses/Reimbursement

Business Purpose

Monitoring the daily balance of petty cash is required to audit accounting accuracy, and ensure that an appropriate amount of petty cash is available in the office fund at all times. Once the petty cash balance has reached or fallen below \$30.00, employees will complete the Petty Cash Reimbursement Form to request reimbursement for the exhausted portion of the fund. The system will prompt you to scan in all receipts, which will then be attached to the form and submitted to the Regional Manager (RM) for review and approval. Once reimbursement funds have been received from the corporate office and the petty funds have been replenished, the form and original receipts will be marked as paid with the reimbursement date and saved in the Accounting folder on the server.

Business Workflow for Petty Cash

The system shall allow users to perform the following process for Petty Cash:

1. Employee selects "Petty Cash Expenses/Reimbursement" from the System Menu.
2. System displays the Petty Cash Expenses/Reimbursement Form with fields for entering petty cash expenses.
3. The process displays a Yes/No question box for "Has petty cash amount dropped below \$30?"
4. Employee selects "Yes" or "No":
 - If Employee selects Yes, then the following prompt displays: "Enter the total amount of receipts in the Total Cash Reimbursement Field";
 - Employee enters the total amount that is being submitted to the corporate office for reimbursement in the Total Petty Cash Reimbursement field.
 - Employee enters his/her name in the Requested By field.
 - Employee enters the date in the Requested Date field.
 - Employee enters the requested petty cash amount in the Requested Amount field.
 - Employee enters the current amount of petty cash on hand in the Petty Cash Available field.
 - The Shortage/Surplus field displays the default amount of \$200.00.
 - Employee itemizes the petty cash expenses in the Expense Report section:
 - Enter cost of postage on the date incurred in the Postage field.
 - Enter cost of office supplies on the date incurred in the Office field.
 - Enter cost of administration items on the date incurred in the Admin field.
 - Enter cost of benevolent items on the date incurred in the Benev field.
 - Enter the cost of phone calls on the date incurred in the Phone field.
 - Enter any other miscellaneous costs in the Other field.
 - Employee clicks the "Total" button (to total each row and column of the expense report data and display it on the form).
 - The system displays a Yes/No checkbox for "Attach receipt copies?" along with the message: "Receipts must be attached or the petty cash can't be reimbursed."
 - If employee selects "Yes" to attach scanned copies of receipts to the form, then the following occurs;
 - i. The process provides an option to scan the receipts and attach them to the form.
 - If employee selects "No" (receipt copies won't be attached):

- i. The following message displays: “Petty Cash Reimbursement Form can’t be approved until the receipts are attached. Your form is been saved for a later date. Please attach the receipts at a later date for submission and approval.”
 - ii. The process provides an option for the employee to pull up the saved form at a later time to attach the receipts and submit form.
 - i. The process ends.
 - If Employee selects No, then the following occurs:
 - A prompt displays stating “This form can’t be submitted if the petty cash amount is below \$30. Your data won’t be saved. Retry at a later time.”
 - The process will end without saving.
8. Employee clicks the “Save” button:
 - The request form and any attached receipts are saved in the appropriate local office folder for storage.
 - The request form and any attached receipts are saved in the requesting employee’s folder on the server for storage.
9. Employee clicks the “Submit” button.
10. The petty cash reimbursement data is entered in the system, and a confirmation message displays.
11. If receipts are attached, then the following occurs:
 - The process routes the petty cash reimbursement form and attached receipts to the Regional Manager (RM) for review, approval, and submission;
 - The RM will receive an email notification that the petty cash reimbursement form is waiting for him/her to review and approve or not approve.
 - The RM will go into Laserfiche to review the form and attached receipts, and have the option to either approve or not approve the petty cash reimbursement request.
 - If the request is **approved** by RM:
 - I. The RM enters his/her name in the RM Approval field.
 - II. The form is routed to the employee, and the employee receives an email notification that the request has been approved by RM.
 - III. The form is routed to Accounting;
 - a) The Accounting Department receives an email notification that the approved form has been submitted for reimbursement.
 - I. The form is saved in the folder for Accounting on the server for storage.
 - II. The petty cash request is paid;
 - a) The process provides an audit trail to mark the form as “paid”, and records the date that reimbursement was received.
 - b) The requesting office and employee receive an email notification that the petty cash reimbursement was paid, along with the date.
 - If the request is **not approved** by RM:
 - i. The process sends an email notification to the the requesting employee and local office that the petty cash reimbursement request was denied, along with the reason.
 - 12. The process ends.

Exceptions

If any data is missing after employee saves the data, an error message displays stating that all fields need to be entered.

Process Stakeholders

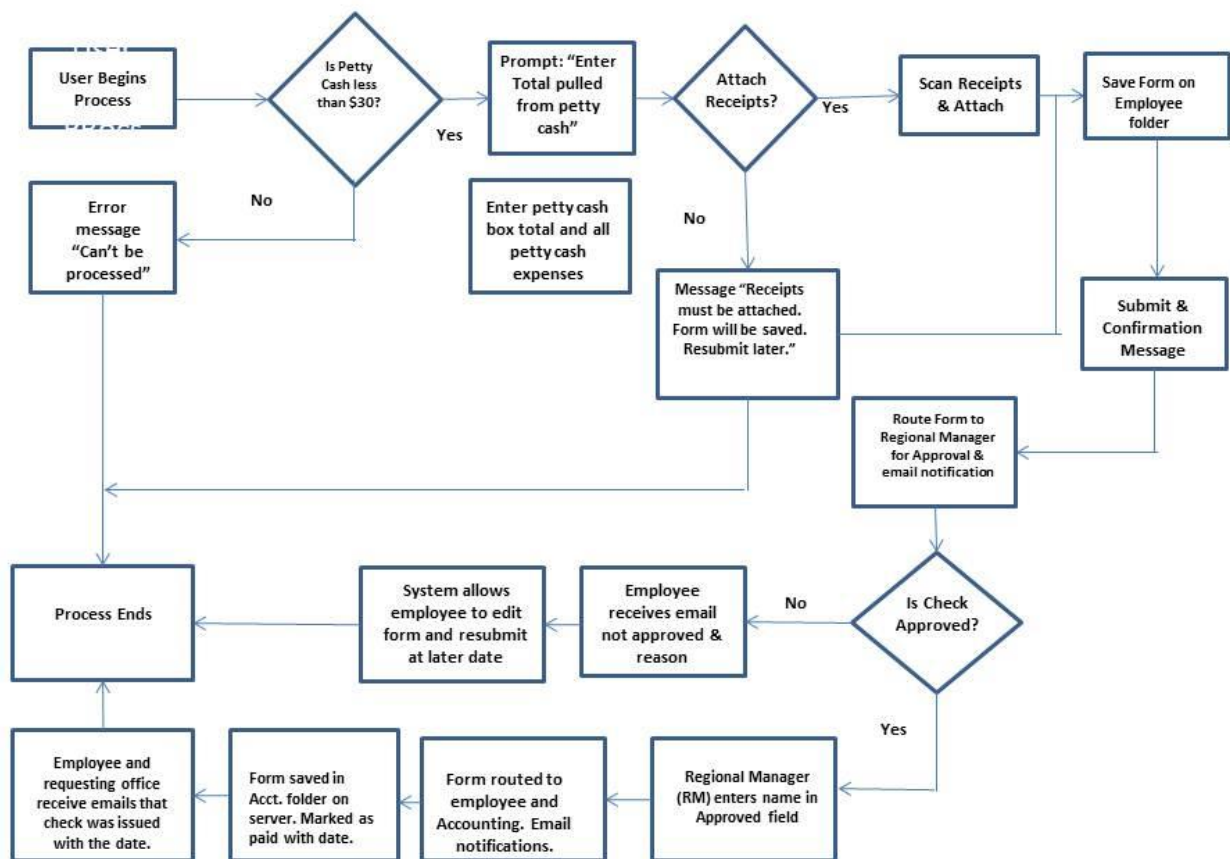
- Shelley Myers
- Regional Managers
- Cindy Alberding

Use Case Steps for Petty Cash

Note: The five different status categories are "In Review", "Approved", "In Development", and "Completed".

| | |
|-------------------------------|---|
| Use Case ID: | 3.2 |
| Title: | Petty Cash Expenses/Reimbursement Process |
| Description: | Monitoring the daily balance of petty cash is required to audit accounting accuracy, and ensure that an appropriate amount of petty cash is available in the office fund at all times. Once the petty cash balance has reached or fallen below \$30.00, enter the Petty Cash Reimbursement Form to request reimbursement for the exhausted portion of the fund. |
| User: | ICM Employee |
| Preconditions: | User is logged into the Document Management System. |
| Postconditions: | Petty cash data for the logged in user is placed into the system. |
| Main Success Scenario: | <ol style="list-style-type: none"> 1. Employee selects "Petty Cash Expenses/Reimbursement" from the System Menu. 2. System displays the Petty Cash Expenses/Reimbursement Form with fields for entering petty cash expenses. 3. User answers Yes or No to prompt: "Has Petty cash amount dropped below \$30?" <ul style="list-style-type: none"> • If Employee selects Yes, then do the following: <ul style="list-style-type: none"> ○ Employee enters the total amount that is being submitted to corporate office for petty cash reimbursement in the Total Petty Cash Reimbursement field. ○ Employee enters his/her name in the Requested By field. ○ Employee enters the date in the Requested Date field. ○ Employee enters the requested petty cash amount in the Requested Amount field. ○ Employee enters the current amount of petty cash on hand in the Petty Cash Available field. ○ Employee itemizes all petty cash expenses: <ul style="list-style-type: none"> ▪ Enter cost of postage on the date incurred in the Postage field. ▪ Enter cost of office supplies on the date |

| | |
|--------------------------|--|
| | <p>incurred in the Office field.</p> <ul style="list-style-type: none"> ▪ Enter cost of administration items on the date incurred in the Admin field. ▪ Enter cost of benevolent items on the date incurred in the Benev field. ▪ Enter the cost of phone calls on the date incurred in the Phone field. ▪ Enter any other miscellaneous costs in the Other field. ▪ Employee clicks the "Total" button (to total each row and column of the expense report data and display it on the form). <ul style="list-style-type: none"> ○ Employee will answer Yes or No to the prompt "Attach receipt copies?" <ul style="list-style-type: none"> ▪ If yes, then employee scans in receipts. ▪ If no, then message displays that employee must resubmit later. • If Employee selects No, then the process will end without saving. <ol style="list-style-type: none"> 4. Employee clicks the "Save" button. 5. Employee clicks the "Submit" button. 6. Employee petty cash data is entered into the System and a confirmation message displays. |
| Exceptions: | An error message displays stating that employee needs to complete the form if any fields are missing. |
| Frequency of Use: | Periodically as needed. |
| Status: | In Review |
| Owner: | Shelley Myers, Regional Managers, Cindy Alberding |

Business Workflow Diagram for Petty Cash

Process for Lost/Stolen Check Affidavit

Business Purpose

Payroll checks are mailed on the 1st and 16th of every month unless those dates fall on the weekend. In that case, employees are paid on the Friday before the payroll dates. ICM allows the postal service seven days to deliver the checks before a replacement check is processed. If a payroll check is lost, the employee must fill out the Lost/Stolen Check Affidavit and have it notarized before the replacement check is issued.

Business Workflow for Lost/Stolen Check Affidavit

The system shall allow users to perform the following process for Lost/Stolen checks:

1. Employee selects "Lost/Stolen Check Affidavit" from the System Menu.
2. System displays the Lost/Stolen Check Affidavit form with fields for entering lost/stolen check data.
3. Employee enters the employee's state of residence in the State of field.
4. Employee enters the employee's county of residence in the County of field.
5. Employee enters his/her social security number in the Employee SSN field.
6. Employee enters his/her name in the Employee Affiant's Name field.
7. Employee enters the check number, date and amount in the acknowledge receipt of payroll check statement field.
8. Employee enters the check status ("Lost", "Stolen", or "Destroyed") in the reason field.
9. Employee enters his/her employer's address in the Employer's Address field.
10. Employee enters the name of his/her Supervisor in the Employer's Name field.
14. Employee clicks the "Save" button to save the lost/stolen check affidavit form data.
15. The affidavit form is routed to the employee's folder in the server for storage.
16. Employee clicks the "Submit" button.
17. A confirmation message displays stating that "Employee must print the form out and have it notarized, then scan it back into the system for approval".
18. Employee clicks the "Print" button to print out the form.
19. Employee signs form and has it notarized.
20. After the employee signs the form and has it notarized, a system option is provided for the employee to scan the form back into the system:
 - Employee selects "Submit Signed & Notarized Lost/Stolen Check Affidavit" on the System Menu.
 - Employee scans in request.
 - Employee clicks "Save".
 - A copy of the signed and notarized form is saved in the employee's folder on the server.
 - Employee clicks "Submit".
 - A confirmation message displays that "Lost/Stolen Check Affidavit form is routed to Accounting for processing".
 - The form is routed to Accounting for approval:
 - The appropriate HR and Accounting personnel receives email notifications that the Lost/Stolen Check Affidavit form has been submitted for approval and processing.
 - The employee receives an email notification that the Lost/Stolen Check Affidavit was received by HR and accounting.
 - The form is saved in the appropriate folders for Accounting and HR on the server.
 - If Accounting **approves** the request:

- The process provides an audit trail in the Accounting and HR folders that records the check amount and date issued.
- Accounting processes and issues the replacement check.
- An email notification is sent to the requesting employee that the new check was issued.
- If Accounting **doesn't approve** the request:
 - An email notification is sent to HR and the employee stating that the request was denied, along with the reason.

21. The process ends.

Exceptions

If any information is missing on the submitted form, an error message should display and prompt the employee to complete all required entries.

Process Stakeholders

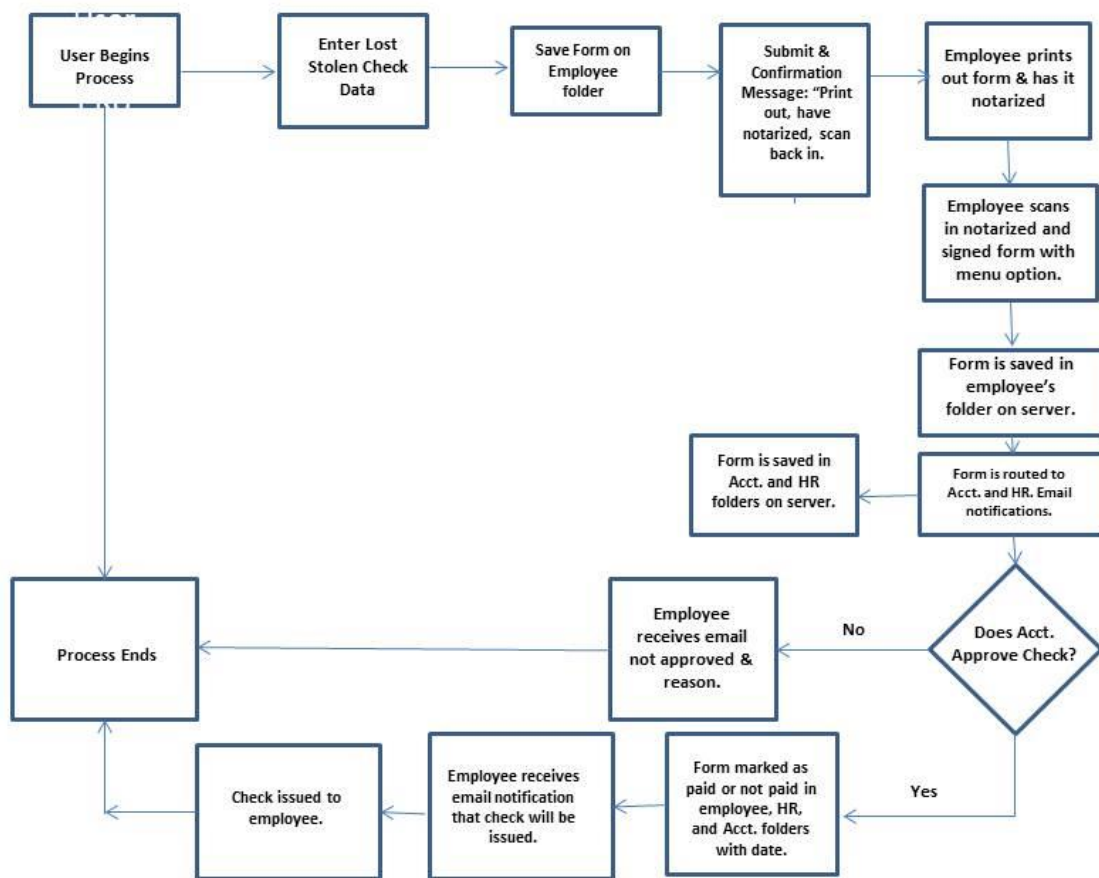
- Shelley Myers

Use Case Steps for Lost/Stolen Check Affidavit

Note: The five different status categories are "In Review", "Approved", "In Development", and "Completed".

| | |
|-------------------------------|---|
| Use Case ID: | 4.2 |
| Title: | Lost/Stolen Check Affidavit |
| Description: | This process allows ICM employees to request a replacement paycheck if they do not receive their paycheck in the mail within seven days of payroll dates. |
| User: | ICM Employee |
| Preconditions: | User is logged into the Document Management System. |
| Postconditions: | Paycheck replacement request data for the employee is logged into the system. |
| Main Success Scenario: | <ol style="list-style-type: none"> 1. Employee selects "Lost/Stolen Check Affidavit" from the System Menu. 2. System displays the "Lost/Stolen Check Affidavit Form" with fields for entering replacement check request data. 3. Employee enters the employee's state of residence in the State of field. 4. Employee enters the employee's county of residence in the County of field. 5. Employee enters his/her social security number in the Employee SSN field. 6. Employee enters his/her name in the Employee Affiant's Name field. 7. Employee enters the check number, date and amount in the acknowledge receipt of payroll check statement field. 8. Employee enters the check status ("Lost", "Stolen", or "Destroyed") in the reason field. 9. Employee enters his/her employer's address in the Employer's |

| | |
|--------------------------|---|
| | <p>Address field.</p> <ol style="list-style-type: none">10. Employee enters the name of his/her Supervisor in the Employer's Name field.11. Employee clicks the "Save" button.12. Employee clicks the "Submit" button.13. Employee Lost/Stolen Check Affidavit data is entered into the System and a confirmation message displays stating that the employee must sign the form and have it notarized.14. Employee clicks the "Print" button.15. Employee signs the request and has it notarized.16. Employee selects "Submit Signed & Notarized Lost/Stolen Check Affidavit" from the System Menu.17. Employee scans signed and notarized request back into the System:<ol style="list-style-type: none">a. Employee clicks "Save".b. Employee clicks "Submit:c. A confirmation displays that the request was submitted for processing. |
| Exceptions: | If any fields are missing, an error message displays stating that employee needs to complete all entries. |
| Frequency of Use: | When employee needs to request a replacement paycheck. |
| Status: | In Review |
| Owner: | Shelley Myers |

Business Workflow Diagram for Lost/Stolen Check Affidavit

Supply Request List Process

Business Purpose

The Supply Request List allows employees to request the ordering of office supplies and routes the list to their Supervisors for approval. The system routes the list to the employee's Supervisor for approval. The Regional Manager (RM) sends the request to the ICM Office Manager in Little Rock where it is processed on the 10th of the month.

Business Process Workflow for Supply Request List

The system shall allow users to perform the following process for Supply Request List:

1. Employee selects "Supply Request List" from the System Menu.
2. System displays the Supply Request List form with fields for entering supply request data.
3. Employee enters the date of the request in the Date field.
4. Employee enters his/her name in the Requested By field.
5. Employee enters the number of the specific item requested in the Number field next to each desired supply item shown on the form.
6. Employee enters the total number of items in the Items field.
7. Employee enters the justification for supply request in the Justification field.
8. Employee clicks the "Total" button to total the cost of all requested items displays in the Cost field.
9. Employee clicks the "Save" button to save the supply request list form data.
10. The process stores a copy of the request in the appropriate server folder for the requesting employee.
11. Employee clicks the "Submit" button to submit the supply request list data for processing.
12. Employee supply request data is entered into the System and a confirmation message displays.
13. The process routes the form to the Supervisor for approval.
14. The process stores a copy of the request in the appropriate server folder for the Supervisor's records.
15. The Supervisor either approves or denies the supply list request:
 - If the request is **approved**:
 - the Supervisor enters his/her name in the Approved By field.
 - The employee who requested the supplies receives an email notification that the request was approved or denied.
 - The process stores a copy of the request in the appropriate server folder for the Supervisor's records.
 - The process routes the form to the RM.
 - The process saves a copy of the form in the RM's folder for storage on the server.
 - The process routes the form to the Administrative Assistant (AA) for processing on the 10th of the month:
 - The process stores the form in the appropriate server folder for the AA's records.
 - The process allows the AA to route the request to Accounting for reimbursement:
 - a. The process saves the request in the Accounting folder on the server for storage.

- b. The process provides an audit trail in the folder for Accounting stating the amount that was reimbursed for the supply request, along with the date paid.
 - The employee who requested the supplies, the Supervisor, and the RM receive an email notification that the request has been paid, and the expected date that the supplies will be available.
- If the request is **not approved**:
 - Email notification is sent to the employee with the reason.
 - The process allows the employee to edit the form, if applicable, and re-submit for approval.

16. The process ends.

Exceptions

If any information is missing on the submitted form, an error message should display and prompt the employee to complete all required entries.

Process Stakeholders

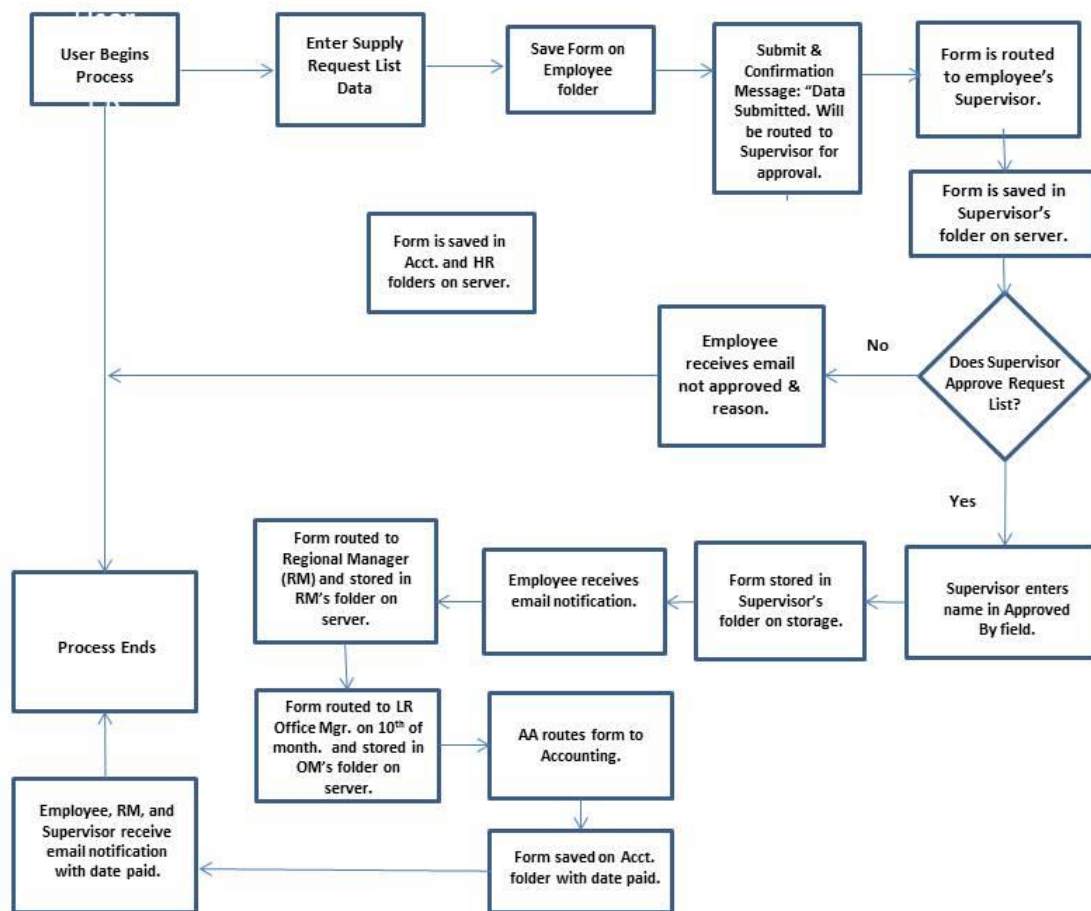
- Shelley Myers
- Regional Managers
- Cindy Alberding

Use Case Steps for Supply Request List

Note: The five different status categories are "In Review", "Approved", "In Development", and "Completed".

| | |
|-------------------------------|--|
| Use Case ID: | 6.2 |
| Title: | Supply Request List |
| Description: | |
| User: | ICM Employee |
| Preconditions: | <ul style="list-style-type: none"> ● User is logged into the Document Management System. ● User has selected the xxx form on the System Menu. |
| Postconditions: | Supply Request List data is entered into the system for the requesting user. |
| Main Success Scenario: | <ol style="list-style-type: none"> 1. Employee selects "Supply Request List" from the System Menu. 2. System displays the "Supply Request List Form" with fields for entering replacement check request data. 3. Employee enters the date of the request in the Date field. 4. Employee enters his/her name in the Requested By field. 5. Employee enters the number of the specific item requested in the Number field next to each desired supply item shown on the form. 6. Employee enters the total number of items in the Items field. |

| | |
|--------------------------|--|
| | <ol style="list-style-type: none">7. Employee enters the justification for supply request in the Justification field.8. Employee clicks the "Total" button to total the cost of all requested items displays in the Cost field.9. Employee clicks the "Save" button to save the supply request list form data.10. Employee clicks the "Submit" button to submit the supply request list data for processing.11. Employee supply request data is entered into the System and a confirmation message displays. |
| Exceptions: | If any information is missing on the submitted form, an error message should display and prompt the employee to complete all required entries. |
| Frequency of Use: | Periodically as supplies are ordered. |
| Status: | In Review |
| Owner: | Shelley Myers, Regional Managers, Cindy Alberding |

Business Process Workflow Diagram for Supply Request List

New Hire – Personnel Processes

Process for Applicant/New Hire Documents

Business Purpose

New hire documents will be created as forms in the system so that employee applications and new hire documents can be filled out online and do not have to be scanned into the system. These documents will only be scanned into the new system if the new hire or job doesn't have access to a computer. The full-time and part-time employee documents which will be made available as forms in the system are listed in the sections below.

What does DCS stand for?

6. An application is picked up at the office or mailed to an applicant or carried by a DCS, print at icm.org, stop by office, mail it to them, or a DCS can take it to them (direct care supervisor)
7. Receive app back by mail, fax, or a DCS carries it to LR office
8. Deb receives app and puts it (scans it into an email and sends to regional managers and DCS and says what area they are in) on server and sends an email to regional managers and DCS with app attached – if DCS brings it, it's customer specific – they want to hire that person for their customer, if DCS manager knows of someone they will give it to them
9. The DCS or regionals match that person by their availability to their customers (ie. Clients).
10. Once an applicant has been selected to be a possible staff person for a client, they are given a part time or full time hire packet. (full time, part time or sub (no benefits) (part time packet)
11. Once hire packet is mailed or delivered by DCS, or they can come in and fill out a hire packet at office. Admin assistants call them in to fill them out.
12. After hire packet is filled out, the AA's check them for signatures.

Business Workflow for Applicant/New Hire Process

The system shall allow users to perform the following for new hire and applicant document processing:

If a paper application is picked up at the office, mailed to applicant, printed out online, or carried by a DCS to applicant:

1. The completed paper job application is received back at the Little Rock (LR) office in one of the following ways:
 - Mail
 - Fax
 - DCS
2. The Administrative Assistant (AA) at the LR office receives the completed paper application and scans it into the AA folder on the server.
3. The system sends an email notification to Regional Managers (RMs) and DCS stating what area the applicant is in, and notifies them to view the application.
4. If the DCS brings the application in for a specific customer, then the AA will scan the application into the system and it will be saved in the AA folder and the DCS folder on the server.
5. The DCS or RMs match that person by their availability to their customers (ie. Clients). (Can people who are matched be saved into a particular file?)
6. Once an applicant has been selected to be a possible staff person for a client, they are given a part time or full time hire packet. (full time, part time or sub (no benefits) (part time packet) (Can the system send out a notification to AA to mail out packet to people who are matched (i.e. selected by DCS or Regional Manager)

7. Once hire packet is mailed or delivered by DCS, or they can come in and fill out a hire packet at office. Admin assistants call them in to fill them out. (Hire packets are scanned in and saved to HR folder?)
8. After hire packet is filled out, the AA's verifies that all signatures are complete and scans the paperwork into the system.
9. The complete new hire packet is saved under the employee's name in the HR folder on the server.
10. Go to *Section "7. Process for Approving New Hire Documents"*.

If the job applicant fills out the application electronically:

1. System displays the New Hire Documents form with fields for entering new hire paperwork.
2. New hire employee selects "New Hire Documents" from the System Menu.
3. New hire employee enters the required fields in each new hire document form.
4. Job applicant selects "Job Application" from the System Menu.
5. Job applicant enters the required fields in the job application form and any other required paperwork.
6. New hire employee or applicant clicks the "Save" button to save the form data.
7. The process stores a copy of the data in New Hire or Job Applicant folder on the server under the name.
8. New hire employee or applicant clicks the "Submit" button to submit the new hire or applicant form for processing.
9. New hire employee or applicant data is entered into the System and a confirmation message displays.
10. The process routes the forms to HR for further processing.
11. The forms are saved in the HR folder on server for New Hire or Job Applicant under the name.
12. The process verifies if all required paperwork is complete:
 - If the paperwork is **not complete**:
 - The new hire or applicant receives an email notification to log back into system and complete the missing paperwork.
 - The process allows the new hire or applicant to log back into the system and complete any missing paperwork.
 - The process repeats at Step 12 until the paperwork is verified.
 - If the paperwork is **complete**:
 - The job applicant receives a confirmation email that their application is being considered for employment.
 - The system sends an email notification to Wayne Fulmore to approve the new hire packet.
 - Go to steps in *Section "7. Process for Approving New Hire Documents"*.
13. The process ends.

Exceptions

If any information is missing on the submitted form, an error message displays and prompts the new hire employee to complete all required entries.

Process Stakeholders

- Human Resources
- Administrative Personnel (AA's)

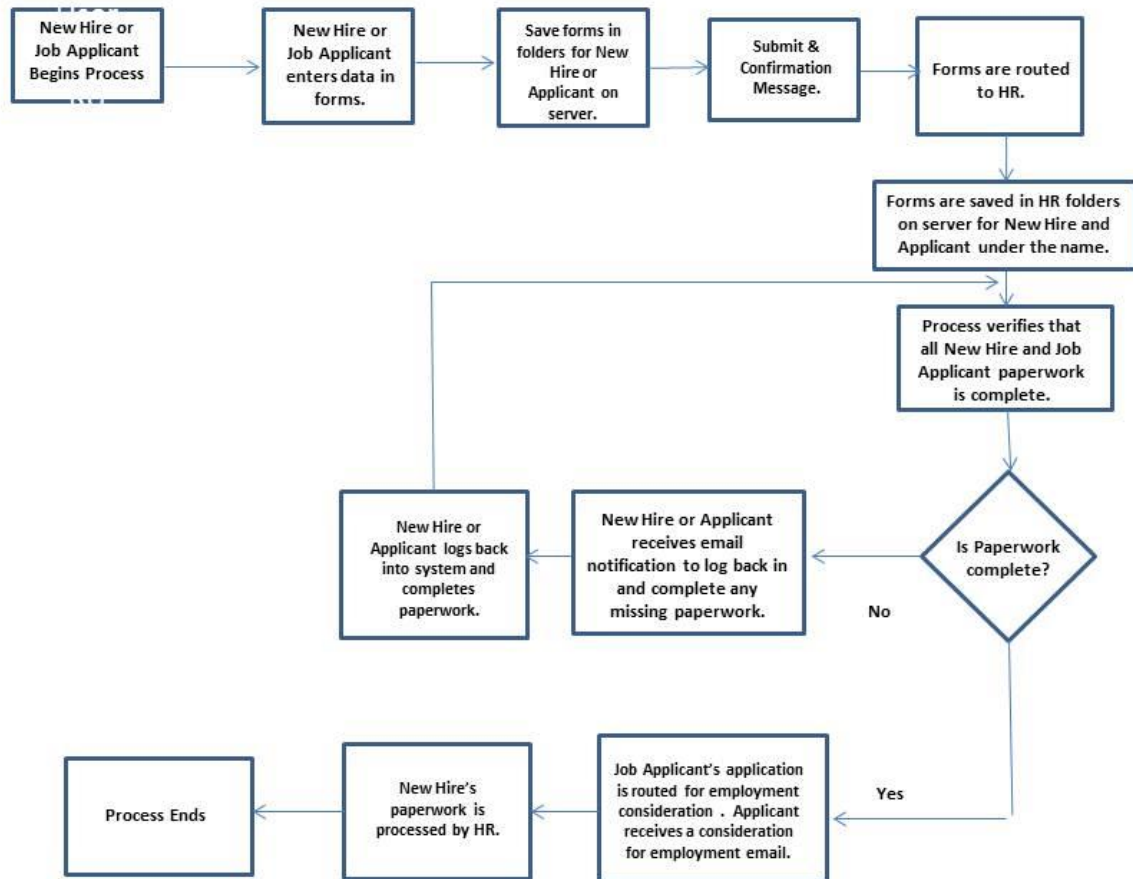
Use Case Steps for Applicant/New Hire Process

Note: The five different status categories are "In Review", "Approved", "In Development", and "Completed".

| | |
|-------------------------------|--|
| Use Case ID: | 6.2 |
| Title: | New Hire/Job Applicant Process |
| Description: | This process allows new hires and job applicants to fill out forms online if they have access to a computer. |
| User: | ICM New Hires and Job Applicants |
| Preconditions: | <ul style="list-style-type: none">• User is logged into the Document Management System. |
| Postconditions: | New hire or job applicant data for the logged in user is placed into the system. |
| Main Success Scenario: | <ol style="list-style-type: none">1. New hire selects "New Hire Documents" from the System Menu.2. System displays the New Hire Documents form with fields for entering new hire paperwork.3. New hire enters the required fields in each new hire document form.4. Job applicant selects "Job Application" from the System Menu.5. Job applicant enters the required fields in the job application form and any other required paperwork.6. New hire or applicant clicks the "Save" button to save the form data.7. New hire or applicant clicks the "Submit" button to submit the new hire or applicant form for processing.8. New hire or applicant data is entered into the System and a confirmation message displays. |
| Exceptions: | N/A |
| Frequency of Use: | When new employees are hired. |
| Status: | In Review |
| Owner: | Human Resources, Department Personnel |

Workflow Diagram for Applicant/New Hire Process

The business process workflow is shown below. Put in workflow for manual and electronic process



List of Full-Time New Hire Employee Documents for Form Creation

The checklist below shows the list of full-time new hire documents to be created as Human Resources Personnel forms to be entered by applicants. The applicant will then submit the forms and they will be stored in the system. Paper copies of these template forms can be found in the “*ICM Front Desk Handbook*”.

SECTION 1

New Employee Billing & Payroll (B & P)

Application

Criminal Background Check (CBC)

Child Abuse Central Registry

Adult Maltreatment Registry

Consent for Drug & Alcohol Testing

Drug and Alcohol Testing Checklist

SECTION 2

Motor Vehicle Registration (MVR) Employee Authorization

W_4 Form (2 Pages)

Payroll guidelines

Employee Direct Deposit Enrollment Form - ADP (copy of voided check)

Direct Deposit Information

I-9

Employee Handbook Receipt

ICM Benefits Summary

ICM Benefits Offered Signed Acknowledgement

Health Advantage Benefit Summary

Health Advantage Form ☐ Enrolled ☐ Waived

Dental Form ☐ Enrolled ☐ Waived

Salary Deferral Agreement 403(b)

Mass Mutual Enrollment Record

Beneficiary Designation

Job Descriptions - Based on Positions

ADDITIONAL FORMS TO BE COMPLETED

Personal Reference Check

Professional Reference Check

Professional Reference Check

ADDITIONAL ITEMS NEEDED

Social Security Card (____ - ____ - ____)

Drivers License Exp. Date: _____

Auto Insurance Exp. Date: _____

High School Diploma, GED, Proof of College Degree

Health Card

First Aid

CPR

SECTION 3 - OPTIONAL WITH NEW HIRE SUBMISSION

Training Test Submission Deadline Notification

Training Test

Plan of Care (POC) Training

List of Part-Time New Hire Employee Documents for Form Creation

The checklist below shows the list of part-time new hire documents to be created as Human Resources Personnel forms to be entered by applicants. The applicant will then submit the forms and they will be stored in the system. Paper copies of these template forms can be found in the “*ICM Front Desk Handbook*”.

SECTION 1

New Employee Billing & Payroll (B&P)

Application

Criminal Background Check (CBC)

Child Abuse Central Registry

Adult Maltreatment Registry

Consent for Drug & Alcohol Testing

Drug and Alcohol Testing Checklist

SECTION 2

Motor Vehicle Registration (MVR) Employee Authorization

W_4 (2 Pages)

Payroll Guidelines

Employee Direct Deposit Enrollment Form - ADP (copy of voided check)

Direct Deposit Information

I-9

Employee Handbook Receipt

ICM Benefits offered

ICM Benefits Offered – signed sheet

Dental enrollment – **Only if working 20+ hours per week**Salary Deferral Agreement 403(b) – **Only if working 20+ hours per week**Mass Mutual Enrollment Record - **Only if eligible and enrolling**Beneficiary Designation – **Only if eligible and enrolling**

Job Descriptions - Based on Job Type

ADDITIONAL FORMS TO BE COMPLETED

Personal Reference Check

Professional Reference Check

Professional Reference Check

ADDITIONAL ITEMS NEEDED

Social Security Card (____ - ____ - ____)

Drivers License Exp. Date: _____

Auto Insurance Exp. Date: _____

High School Diploma, GED, Proof of College Degree

Health Card

First Aid

CPR

SECTION 3 - OPTIONAL WITH NEW HIRE SUBMISSION

Training Test Submission Deadline Notification

Training Test

Plan of Care Training

Draft