



HARVARD UNIVERSITY  
Information Technology

# Identity & Access Management Lifecycle Committee

April 13, 2015

Monday

Smith Center 561

# Agenda

- Special Guests: Employee IAM Lifecycle
  - Onboarding Workflow
    - Early Entry Into PeopleSoft, I-9 Process
  - Special Challenges
    - Transfers
    - Leaves
    - “Silent” Organization Affiliations
    - Emeritus “Active” and Honorary Emeritus Status
    - POI-to-Employee and Employee-to-POI Transitions
- Recap POI Affiliations
  - Sponsored Affiliations and Sponsored POI Roles
  - POI Role Types

# **Onboarding and the I-9 Process**

Amy G. Esposito & Joanne Jordan



HARVARD UNIVERSITY  
Information Technology

# Employee Lifecycle Issues

Amy Esposito / Joanne Jordan / Mary Beth Johnson  
Central Payroll / Financial Systems Solutions

# Topics Impacting Payroll

- **Form I-9 processing \***
- **Electronic W-2 forms \***
- **Direct Deposit**

\* topics for today

# Form I-9 Processing

## Current Process Concerns

- Forms are completed locally and mailed or dropped off at Central Payroll
  - Delays in processing caused by delivery delays
  - Risk of lost or miss directed mail
  - Requires manual review for compliance
- No current restriction on who can complete I-9 on behalf of the University
  - Forms not completed in a timely manner
  - Forms completed incorrectly putting the University at a compliance risk (Fine up to \$1100 per incorrect form)
  - No mechanism to delete forms that are no longer required to be maintained, increasing our risk in the event of an audit

# Electronic I-9 Processing

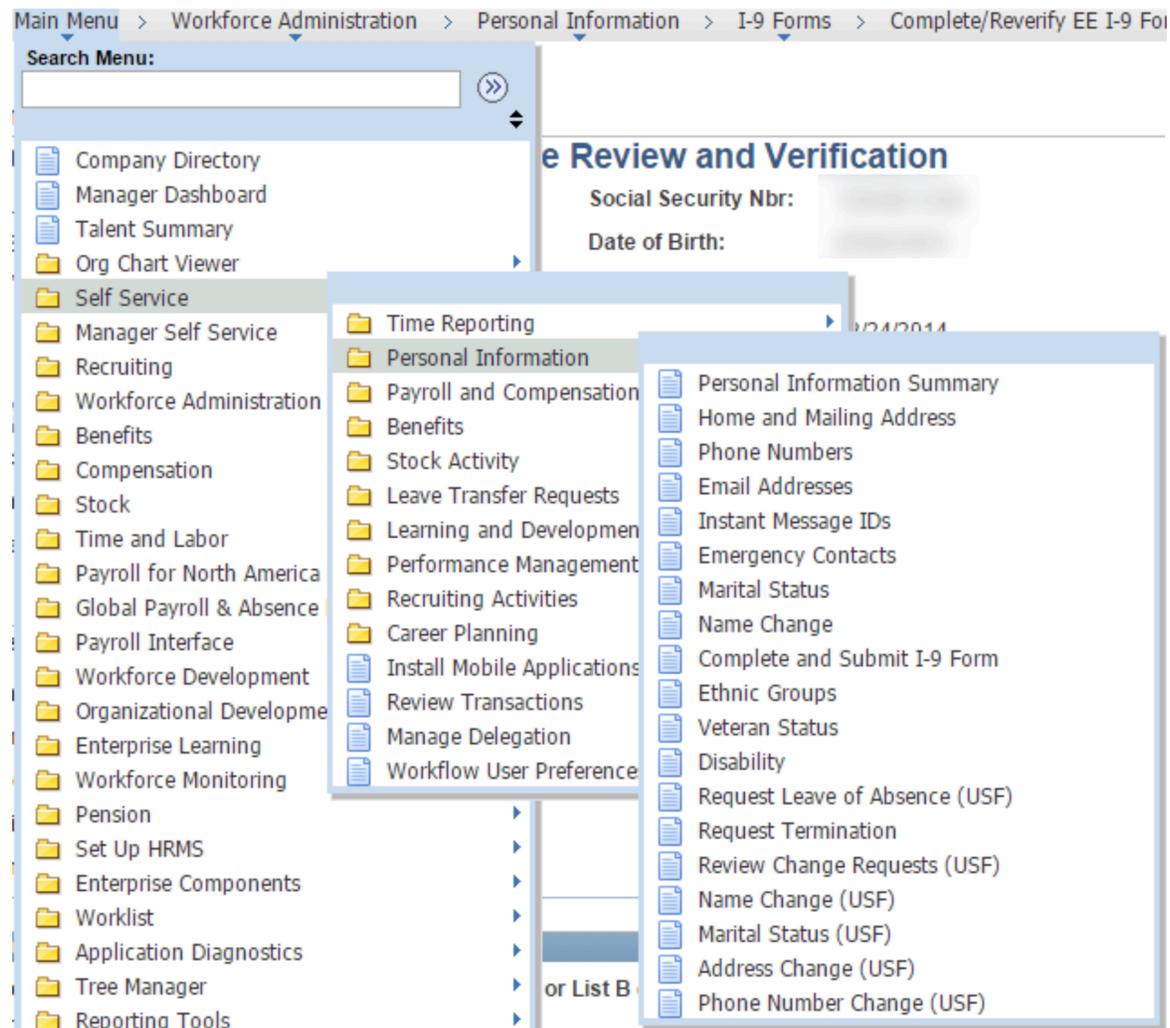
- Benefits

- Forms are completed online and submitted/stored electronically so can be easily deleted when hold requirement is met
- Most programs have built in safe guards to ensure compliance
- No risk of lost mail
- Access can be limited to select individuals in the University, training could be required for access

- Concerns

- Would likely require centralization of the I-9 process
- Vendor concerns – if not PeopleSoft, would we need a feed?
- If PeopleSoft how would it work- typically HUID needed for self-service, currently HUID created upon hire

# Electronic I-9 Processing in PS



# Electronic I-9 Processing in PS

I-9 Form

## Employee Information and Attestation

Social Security Nbr:   
 Date of Birth:

You must complete the Employment Eligibility Verification form (I-9) by the end of your first day of work. Please read instructions carefully before completing this form. The instructions must be available during completion of this form. ANTI-DISCRIMINATION NOTICE: It is illegal to discriminate against work eligible individuals. Employers CANNOT specify which document(s) they will accept from an employee. The refusal to hire an individual because of a future expiration date may also constitute illegal discrimination.

Read all instructions carefully before entering information on this page: [I-9 Instructions for Employee](#)

### Home Address

1650 Overlook Drive  
Rochester, NY 14618

[Update Home Address](#)

### Contact Information (optional)

Email Address:

Telephone:

### Other Names Used (if any)

Other Names:

## Citizenship and Employment Authorization

I attest, under penalty of perjury, that I am (select one of the following):

- A citizen of the United States
- A noncitizen national of the United States
- A lawful Permanent Resident Alien Registration Number/USCIS Number:
- An alien authorized to work until (expiration date, if applicable, mm/dd/yyyy)

Please provide your Alien Registration/USCIS Number or Form I-94 Admission Number.

Alien Registration Number/USCIS Number:

Form I-94 Admission Number:

Source of Admission Number:

Foreign Passport Number:

Country of Issuance:

## Minor and Special Placement Details

If a parent or legal guardian of a minor (individual under age 18) OR a representative or a legal guardian of a person who meets the Special Placement criteria, as defined by the INS, completes this form, please select the following as they apply.

- Special Placement Employee unable to present a List A or List B document
- Minor unable to present a List A or List B document
- Prepared and/or translated by a person other than the Employee

I am aware that federal law provides for imprisonment and/or fines for false statements or use of false documents in connection with the completion of this form.

# Electronic I-9 Processing in PS

The screenshot displays a software interface with a search menu on the left and a main content area on the right. The search menu is titled "Search Menu:" and contains a search box with a magnifying glass icon and a list of categories. The categories include: Company Directory, Manager Dashboard, Talent Summary, Org Chart Viewer, Self Service, Manager Self Service, Recruiting, Workforce Administration, Benefits, Compensation, Stock, Time and Labor, Payroll for North America, Global Payroll & Absence, Payroll Interface, Workforce Development, Organizational Development, Enterprise Learning, Workforce Monitoring, Pension, Set Up HRMS, Enterprise Components, Worklist, Application Diagnostics, Tree Manager, Reporting Tools, PeopleTools, and Packaging.

The "Workforce Administration" category is expanded, showing a sub-menu with the following items: Personal Information, Job Information, Global Assignments, Headcount FPS, Labor Administration, Absence and Vacation, Leave Administration USF, Benefit Information NLD, Flexible Service EG, Tenure FPS, Collective Processes, Self Service Transactions, Template-Based Hire, ERE Procedure ESP, Workforce Reports, Post Management DEU, Export Org Chart, and Define Matrix Team.

The "Personal Information" sub-menu is further expanded, showing a list of items: Biographical, Organizational Relationships, Personal Relationships, Citizenship, Disability, OEE Workforce Survey CAN, Diversity Compliance NLD, I-9 Forms, Add a Person, Manage Hires, Modify a Person, Person Organizational Summary, Search for People, Search Match Internal/External, Badge, Security Clearance, Badge/Clearance Access Summary, Expiration Notification, and Expiration Inquiry.

The "I-9 Forms" sub-menu is highlighted, and a sub-sub-menu is open, showing the following items: Complete/Reverify EE I-9 Form, I-9 Receipt/Expiration Report, and Print I-9 Forms.

In the main content area, there are fields for "Social Security Nbr:" and "Date of Birth:". Below these fields, there is a paragraph of text: "(I-9) by the end of your first day of work. Please instructions must be available during completion of terminate against work eligible individuals. to hire an".

# Electronic I-9 Processing in PS

I-9 Form

## Employer or Authorized Representative Review and Verification



Social Security Nbr:



Date of Birth:



Other Names:



Employee Sign Date:



### Citizenship and Employment Authorization

- A citizen of the United States
- A noncitizen national of the United States
- A lawful Permanent Resident      Alien Registration Number/USCIS Number:
- An alien authorized to work until (expiration date, if applicable, mm/dd/yyyy)

Please provide your Alien Registration/USCIS Number or Form I-94 Admission Number.

Alien Registration Number/USCIS Number:

Form I-94 Admission Number:

Source of Admission Number:

Foreign Passport Number:

Country of Issuance:

### Minor and Special Placement Details

- Special Placement Employee unable to present a List A or List B document
- Minor unable to present a List A or List B document
- Prepared and/or translated by a person other than the Employee

# Electronic I-9 Processing in PS

## Document Verification

To be completed and signed by the employer. Examine one document from List A OR examine one document from List B and one from List C, as listed in the instructions, and record the title, number and expiration date, if any, of the document(s).

To open the Handbook for Employers in a separate browser window, select [I-9 Instructions](#)

List A

Document Title: <input type="text"/>	<input type="checkbox"/> Receipt
Issuing Authority: <input type="text"/>	
Document Number: <input type="text"/>	Doc Exp Date (if any): <input type="text"/>
Receipt Doc Nbr: <input type="text"/>	Rec Exp Date (if any): <input type="text"/>

Document Title: <input type="text"/>	<input type="checkbox"/> Receipt
Issuing Authority: <input type="text"/>	
Document Number: <input type="text"/>	Doc Exp Date (if any): <input type="text"/>
Receipt Doc Nbr: <input type="text"/>	Rec Exp Date (if any): <input type="text"/>

Document Title: <input type="text"/>	<input type="checkbox"/> Receipt
Issuing Authority: <input type="text"/>	
Document Number: <input type="text"/>	Doc Exp Date (if any): <input type="text"/>
Receipt Doc Nbr: <input type="text"/>	Rec Exp Date (if any): <input type="text"/>

List B AND List C

Document from List B	
Document Title: <input type="text"/>	<input type="checkbox"/> Receipt
Issuing Authority: <input type="text"/>	
Document Number: <input type="text"/>	Doc Exp Date (if any): <input type="text"/>
Receipt Doc Nbr: <input type="text"/>	Rec Exp Date (if any): <input type="text"/>

Document from List C	
Document Title: <input type="text"/>	<input type="checkbox"/> Receipt
Issuing Authority: <input type="text"/>	
Document Number: <input type="text"/>	Doc Exp Date (if any): <input type="text"/>
Receipt Doc Nbr: <input type="text"/>	Rec Exp Date (if any): <input type="text"/>

## Employer Representative Details

Name:

Title:

Address:

I attest under penalty of perjury, that I have examined the document(s) presented by the above-named employee, that the above-listed document(s) appear to be genuine and to relate to the employee named that the employee began employment on (month/day/year) 04/07/1989 and that to the best of my knowledge the employee is authorized to work in the United States. (State employment agencies may omit the date the employee began employment.)

# Electronic W-2 Forms

## Current Process Concerns

- Paper W-2 forms
  - Cost of postage for mailing approximately 35,000 forms from outside vendor
  - Significant number of forms returned due to incorrect address
  - Specialty paper/envelopes required to create mail/reprints
  - Large number of reprint requests require significant resources to process from February to April
- Electronic through PeopleSoft
  - Currently only available to active employees
  - Form does not look like the printed version we send, employees reluctant to accept

## Electronic W-2s

- Benefits

- Forms are available electronically, likely earlier than printed copies would arrive
- No risk of lost mail
- No postage costs
- Limited manual reprints required

- Concerns

- Employees need to opt in to received form electronically rather than hard copy (can this be part of on-boarding?)
- Currently terminated employees can't access PeopleSoft
- If outside Vendor – can we do a single sign on so that HUID/Pin would work

# Onboarding Workflow



1. Dr. Pat Patricks accepts an offer for an assistant professorship. Pat's start date is Sept. 1.



2. Pat's department admin sponsors an account for Pat — even though it's only April. This includes details like birthdate, personal email, start/end dates, and affiliation type.



3. An identity for Pat — including a HUID — is created in the Harvard Identity Registry (IdDB).



4. HR sends Pat an email with an invitation to claim a new Harvard account.



5. Pat claims a account using name, date of birth, and the code from the email. Then, Pat chooses a username from a list of options, sets a strong password, and adds a recovery email in case a password reset is ever necessary.



6. Account Management flips Pat's status in SailPoint IIQ to "Claimed."



7. Accounts are provisioned for Pat in the appropriate targets for an Incoming Faculty role — in this case, HarvardKey LDAP, University AD, O365, FAS AD, FAS LDAP, Kerberos, and Google.



8. By August, HR job data for Pat is fully complete in PeopleSoft, and PeopleSoft submits this data to IdDB.



9. A future-effective dated employee role update results in some provisioning to downstream systems.



10. On Sept. 1, when Pat's Incoming Employee role ends and the Employee role starts, additional attributes are updated in LDAP — Pat's data have "aged," and the passage of time automatically results in additional provisioning.



11. Pat comes to campus to start the new appointment! Pat already has access to all the apps and services needed for day-to-day life at Harvard — including the Athletic Office site, where Pat buys a pool sticker for a workout after a great first day on the job.

## Employee Lifecycle Topics: Special Challenges

- Transfers
  - Difficult to detect transfers in the HR data at times
  - Automatically cancelling prior departmental access the right move?
- Leaves
  - Related HR changes trigger deprovisioning of email, etc., because person appears to have lost departmental affiliation
- “Silent” organization affiliations
  - Individual’s HR data may say OPR, but the job is at HMS
- Emeritus ‘Active’ and Honorary Emeritus status
  - Library access often desired, but licensing and other issues
- POI-to-employee and employee-to-POI transitions
  - Although individual stays on the same HUID, there can be differences in what people are automatically eligible for

## Person-of-Interest (POI) Affiliation

**The POI category includes all affiliations which are *not* classified as student, faculty, staff, library borrower or alumni.**

- Has the most variation of uses
- Potential for misunderstanding and misuse
- Important to understand the reason, know the person, and control their access
- Most POIs require a sponsor
- Implemented and managed through HUIT's MIDAS system

## **Sponsored Affiliations = Sponsored POI Roles**

**Sponsored affiliations allow Harvard faculty and staff to give individuals outside of their School or organization — or outside of Harvard itself — temporary access to resources.**

- Sponsored affiliations are implemented via POI roles that require a Harvard sponsor (“sponsored POI roles”)
- Sponsors may be held accountable for how resources are used
- Sponsors may delegate administration of the sponsorship to a Sponsor Admin
- Sponsored POI roles must be renewed on a periodic basis
- If the person being sponsored doesn’t already exist in the identity registry, the system will create an identity record for them — this requires a minimum of first name, last name, and date of birth

## Affiliations = Roles

**Roles are the means within the HUIT identity registry of defining an individual's affiliation(s) with Harvard.**

- Included as part of a person's HarvardKey
- A person may have multiple roles (e.g. student and employee)
- Role *types* are generic (e.g. student), but a person's instance of a particular role also relates to a specific School or organization (e.g. FAS Student)
- Roles control access to a School or organization's resources

# POI Role Types

Current	Proposed
<p><b>Sponsored Affiliations</b></p> <ul style="list-style-type: none"><li>• Consultant</li><li>• Contractor</li><li>• Vendor</li><li>• Security</li><li>• Family Member</li><li>• Tenant</li><li>• Smithsonian Employee</li><li>• Harvard Management Co. Employee</li><li>• Other</li></ul> <p><b>Non-sponsored Affiliations</b></p> <ul style="list-style-type: none"><li>• Overseer</li><li>• Retiree</li><li>• Spouse of Deceased Retiree</li><li>• Retired Hospital Affiliate</li><li>• Spouse of Deceased Hospital Affiliate</li></ul>	<p><b>Sponsored Affiliations</b></p> <ul style="list-style-type: none"><li>• Incoming Employee/Transfer</li><li>• Collaborator</li><li>• Inter-school Affiliated</li><li>• Short-Term Visitor or Guest</li><li>• Volunteer</li><li>• Hospital Employee</li><li>• Field Education Supervisor</li><li>• Academic Advisor</li></ul>

**Any questions?**

# Thank you!



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# Vocabulary Quiz



Do you know the difference between the key terms below?

Term	How Used	Examples	Notes
<b>Login name</b>	Used as the login ID Expected to be the Harvard email address, can be another for Alumni or sponsored accounts	Email-eligible user: <i>jay_hill@sph.harvard.edu</i> Sponsored collaborator: <i>jayhill@stanford.edu</i> Alumnus/alumna: <i>coolguyjay@comcast.net</i>	When a user logs in using HarvardKey, the system will expect the user to enter this login name and its related password
<b>User ID</b>	System-assigned identifier	Sam Account: ADID = <i>jeh454</i> UNIX LDAP: UID = <i>jeh454</i>	Permanently assigned value enables prestaging
<b>Harvard email address</b>	Harvard-assigned email	<i>username@optionalsubdomain.harvard.edu</i>	Users chooses value on left of @ sign as part of self-service account claim & onboarding process
<b>FAS name</b>	Legacy username for FAS person	<i>jayhill</i>	Former names will exist as mapped attributes
<b>Google name</b>	Google username	<i>jayhill@g.harvard.edu</i> (always scoped)	Since Google accounts can't be changed without content loss, some will keep accessing via old names
<b>{School} name</b>	Local username(s)	<i>[we want to accomodate values when necessary]</i>	Local usernames are mapped to identity as additional attributes