

Human Capital Management (HCM): Job Aid

Avoiding Duplicate Records (Duplicate IDs)

A duplicate record occurs when the same person has more than one HCM employee ID number (Empl ID). Duplicate HCM employee records may cause a variety of compliance, data, and access problems for the university (system, campuses, and departments) and most especially for the person of interest (POI) or employee.

Every set of possible duplicate records requires analysis in order to determine the appropriate action, which can vary on a case-by-case basis. Among the issues caused by duplicate records are:

- **Recruitment and hiring:** Duplicate records can cause failures in online hiring steps.
- **Employment history:** Multiple IDs can cause confusion for training, POI, and pay history.
- **Compliance:** Split pay history records can cause inaccurate tax calculations and reporting, and in turn income tax compliance issues for both the employee and the university.
- **Access to employee portal and other CU resources:** Duplicate records can cause serious problems for the employee. They often prevent individual access to portal and other online resources, preventing employees from setting up direct deposits, accessing and updating their personal information, benefits choices, and other important tasks.

Actions Required to Resolve Duplicate Records

Analyzing and resolving duplicate records involves time and effort from all of the following teams:

- **Employee Services:**
 - POI duplicate resolution requires verification that the pair are truly duplicates, identifying and communicating with the creator of the duplicate, and deleting the duplicate from HCM. (30 minutes per duplicate)
 - Payroll team resolves issues in HCM, moves training and POI history if needed, and deletes duplicates if possible; payroll also consolidates pay history to prevent problems with tax reporting. (30 minutes to 1½ hours per duplicate)
- **Master Data Management:** Charged with connecting individuals' records across all of the university's databases (Student Information System, HCM, etc.) this team moves connections from duplicate to retained records. (30 minutes to two hours)
- **System Identity and Access Management:** Clears barriers to individuals' portal access and other resources. (15 to 45 minutes)
- **Individual campus access and information systems teams:** Clears barriers for portal access and other resource access. (30 minutes to three hours, plus overnight processing)
- **Hiring department:** Replicates hire records from the duplicate to the retained record. (30 minutes to an hour)

All in all, it may take up to eight hours (plus overnight processing in some cases) and the work of six to eight people to remove the effects of a duplicate record. This effort increases when the duplicate record is not caught in a timely manner.

What's Worse than a Duplicate Record?

Another situation that can cause even worse problems than a duplicate record occurs when two individuals in the system become combined as one. This can happen when a person appears identical to someone already in HCM, and an HCM user adds a job to that record. This scenario can be more serious than a duplicate record because it may give one individual access to the other's personal information, which requires reporting to governmental agencies. People exist in HCM who have the same name **and** the same birthdate; therefore, when selecting records to update or adding people, it is very important to search and check other information in addition to birthdate (emails, phone numbers, whether the person has a different SSN, etc.). Contact Employee Services if you are unsure about peoples' records.

Where Do Duplicate Records Come From?

Duplicate records can be created mistakenly in a variety of ways including, but not limited to:

- When adding a new person in Personal Data, users start the POI process but don't complete it and the system assigns a Person ID. The campus and department are not saved, so the POI relationship is not established. Due to role-level security, the users are not able to locate those people when they search under Maintain a POI Relationship, so they start over and create a new (duplicate) person ID. To prevent this situation, search by name using CU Person Org Summary under Personal Information to verify whether an ID was assigned. If you need further help, contact the HCM Payroll helpline (303/860-4200, option 2 or HCM_Community@cu.edu).
- The most common reason for duplicate record creation is failures in the search process before adding a person. To avoid errors and duplication in HCM, search strategically. Before you add a POI, make sure the person you are adding does not already exist in the system. Make sure your search is as broad as possible.

Some reasons why searches are not always effective include:

- **SSN (National ID):** Dummy, or made up, SSNs are very commonly used for POI records or international employees; transposition of numbers; mistakes in translating handwriting.
Warning: Do not create invalid or fictitious SSN values on your own. If the person does not have a valid Social Security number at the time of entry into HCM, follow your campus specific guidelines. You may also use XXX-XX-XXXX as a place holder.
- **Name:** Differences in how the first, middle, and last names are listed; change in last name (marriage or other reason); incomplete name.

Techniques and Tools for Searching for Existing People

Try as many search variations as you can and remember that the more open you can make the search (using partial names, minimal data) the more likely you will be able to find potential duplicates. Some of the searches that have proved most useful include:

- Searching by date of birth alone, or with minimal other data (first letter or first few letters of first name), then scanning the list of results. This may find people whose last names have changed and bypass differences in spelling, nicknames, etc. that might keep you from finding a potential match – and the list is usually short enough that it takes little time to scan.
- Searching by the first few letters of the first and last names or searching by first name alone if it's an unusual name.

The following search tools let you bypass department/campus/row level security limitations and offer slightly different ways to search:

- Transaction Launch Page (preferred).
- Job List query (CUES_HCM_JOB_LIST)
- Search for matching persons through Add a Person

The Transaction Launch page is the most powerful and recommended search tool, but the other two are described here in case you need something that only that engine offers.

Search Using the Transaction Launch Page (Recommended)

Navigation: CU Resources Home > Business Tools > HCM

This is the most powerful tool we have for identifying existing people in the system and avoiding duplication. It bypasses limitations by department, campus, and row level security. It also allows searches using partial information and will find non-employees as well as employees. The launch page adds the capability of doing searches that include the date of birth. An often-successful method is to search by birthdate alone and review names for possible matches. This may help find people with changes to their names, such as changed last name. The only limitation of this method that is offered elsewhere is searches using middle name or initial.

Transaction Launch Page

Search Criteria

Empl ID

First Name

Last Name

Date of Birth

National ID

National ID Last 4

Department

*Search Option

Below are examples of a precise search as compared to a fuzzy search. A precise search using the Transaction Launch Page finds only one record:

Transaction Launch Page

Search Criteria

Empl ID

First Name

Last Name

Date of Birth

National ID

National ID Last 4

Department

*Search Option

No ATS matching values found

ATS Applicants Personalize | Find | View All | First 1 of 1 Last

Select	Source System	Applicant ID	Name	Date of Birth	National ID Last 4	Dept ID	Department Name	Position Number
<input type="checkbox"/>								

HCM Data Personalize | Find | View All | First 1 of 1 Last

Select	Template Action	Empl ID	Empl Record	Name	Status	National ID Last 4	Effective Date	Unit	Dept ID	Department Name	Job Code	Job Title	Std Hrs	Date of Birth	Termination Date
<input type="checkbox"/>	Rehire	325502	0	Reddy,Bhuvan Tiruttani	Terminated	1017	10/07/2018	UCB	10529	CU Bookstore	4101	Student Asst I	1.00	10/17/1996	10/06/2018

A fuzzy search using the Transaction Launch Page may find more than one record:

Transaction Launch Page

Search Criteria

Empl ID

First Name

Last Name

Date of Birth

National ID

National ID Last 4

Department

*Search Option

No ATS matching values found

ATS Applicants Personalize | Find | View All | First 1 of 1 Last

Select	Source System	Applicant ID	Name	Date of Birth	National ID Last 4	Dept ID	Department Name	Position Number
<input type="checkbox"/>								

HCM Data Personalize | Find | View All | First 1-3 of 3 Last

Select	Template Action	Empl ID	Empl Record	Name	Status	National ID Last 4	Effective Date	Unit	Dept ID	Department Name	Job Code	Job Title	Std Hrs	Date of Birth	Termination Date
<input type="checkbox"/>	Rehire	325502	0	Reddy,Bhuvan Tiruttani	Terminated	1017	10/07/2018	UCB	10529	CU Bookstore	4101	Student Asst I	1.00	10/17/1996	10/06/2018
<input type="checkbox"/>	No Action	328898	0	Tiruttani Reddy,Bhuvan	Active	6060	08/26/2018	UCB	10386	Housing-Maintenance	4101	Student Asst I	1.00	10/17/1996	
<input type="checkbox"/>	New Employment Instance	328898	NEW	Tiruttani Reddy,Bhuvan		6060								10/17/1996	

Running the Job List Query (CUES_HCM_JOB_LIST)

The Job List query lets you search by Empl ID, Department ID, Job Code, the last four digits of the SSN, first name, last name and/or position number. It allows wild-card searches, but because it focuses on people with positions/jobs, it may not find POI's.

To run the query from the HCM Community Users dashboard:

1. Click the **HCM WorkCenter** tile.
2. Click the **Resources** tab.
3. If the query does not appear in the list of most used, select the **Click here for ALL** link.
4. Select **Job List**.
5. Clear the **Active ONLY** check box.
6. Select the **Include POIs?** check box.

CU HCM User WorkCenter

WorkCenter Resources

HCM Queries

Query Manager

- Job List
- Funding Distribution
- Payroll Register Acct Detail
- Time Entry
- Payroll Register
- Vacant Positions
- Personnel Roster
- Training Report
- Dept Personnel & Org Roster
- Paycheck Distribution
- Leave Accruals
- Leave Balances
- Personnel Actions History
- Funding Suspense Current Row
- Vacant Positions with Funding

Top 15 Listed above. [Click here for ALL](#)

Reports/Processes

Workforce Reports

Employee Turnover Analysis

CUES_HCM_JOB_LIST - Job List

Empl ID (Optional)

Dept ID (Optional)

Job Code (Optional)

Last 4 SSN (Optional)

Last Name (Optional)

First Name (Optional)

Position Nbr (Optional)

Business Unit (Optional)

Company (Optional)

Active ONLY

Include POIs?

Node (Optional)

Pay Group (Optional)

View Results

Empl ID	Empl Rcd	POI Type	Eff Date	Status	Name	Org Relation	Compa
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7. Type search criteria and click **View Results**.

It's fine to start with precise information (National ID, name, Empl ID) – but don't stop there. Searches often fail to find potential duplicates because the search is too precise, so that only exact matches are displayed. You can search for partial matches by entering the beginning of a first or last name followed by the % sign, or partial names bracketed by the % sign.

Below are examples of a precise search as compared to a fuzzy search. A precise search using the first and last names of the person yields one result:

CUES_HCM_JOB_LIST - Job List

Empl ID (Optional)

Dept ID (Optional)

Job Code (Optional)

Last 4 SSN (Optional)

Last Name (Optional)

First Name (Optional)

Position Nbr (Optional)

Business Unit (Optional)

Company (Optional)

Active ONLY

Include POIs?

Node (Optional)

Pay Group (Optional)

View Results

Download results in : [Excel Spreadsheet](#) [CSV Text File](#) [XML File](#) (1 kb)

View All

Empl ID	Empl Rcd	POI Type	Eff Date	Status	Name	Org Relation	Company	Business Unit	Dept ID	Dept Name	Job Code	Job Descr	End Date	Position Nbr	Reg/Temp	% Time	Std Hrs/Wk	FTE	Pay Group	Empl Type
1	325502	0	10/07/2018	Terminated	Reddy,Bhuvan Tiruttani	EMP	CU	UCB	10529	CU Bookstore	4101	Student Asst I		00625644	T	2.50	1.00	0.025000	STU	H

A fuzzy search using first and last names, but bracketed by % signs (wild cards) may have more than one result:

CUES_HCM_JOB_LIST - Job List

Empl ID (Optional)

Dept ID (Optional)

Job Code (Optional)

Last 4 SSN (Optional)

Last Name (Optional)

First Name (Optional)

Position Nbr (Optional)

Business Unit (Optional)

Company (Optional)

Active ONLY

Include POIs?

Node (Optional)

Pay Group (Optional)

View Results

Download results in : [Excel Spreadsheet](#) [CSV Text File](#) [XML File](#) (1 kb)

View All

Empl ID	Empl Rcd	POI Type	Eff Date	Status	Name	Org Relation	Company	Business Unit	Dept ID	Dept Name	Job Code	Job Descr	End Date	Position Nbr	Reg/Temp	% Time	Std Hrs/Wk	FTE	Pay Group	Empl Type
1	325502	0	10/07/2018	Terminated	Reddy,Bhuvan Tiruttani	EMP	CU	UCB	10529	CU Bookstore	4101	Student Asst I		00625644	T	2.50	1.00	0.025000	STU	H
2	328898	0	08/26/2018	Active	Tiruttani Reddy,Bhuvan	EMP	CU	UCB	10386	Housing-Maintenance	4101	Student Asst I	05/04/2019	00641893	T	2.50	1.00	0.000000	STU	H

Searching for Matching Persons through Add a Person

This method is described in the [Adding a POI Step-by-Step Guide](#). This method finds employees and non-employees and allows searches using partial information. However, searches are case-sensitive and we have occasionally found that searches don't find non-employees.

Perform **two or three** of these searches before creating a POI, adding a person, or creating a new hire transaction. If after performing all of these tasks, you find the person exists in the system, stop and follow the correct procedures described in this job aid or in the following guides:

- [Adding a Person of Interest \(POI\)](#)
- [Adding an Additional POI Type to a Person of Interest \(POI\)](#)
- [Entering Job Changes](#)
- [Hiring an Employee](#)
- [Maintaining a POI Relationship](#)
- [Person of Interest \(POI\) and Social Security Number Processes – UCD and AMC Only](#)
- [Person of Interest \(POI\) Types](#)
- [Use of Social Security Numbers Procedural Statement](#)