

UCR To-Be Process Design

 Business Process Design Onboarding Contingent Workers

June 25, 2019



14350 Meridian Parkway Riverside, CA 92518

|  |  |
| --- | --- |
| Authors | Antonette Toney & Alexandra Rollins |
| Document Status | Final |
| Approval Status | Approved |
| Last Update | 6/24/2019 |

Contents

[I. Document Change Log 2](#_Toc8036545)

[II. Process Overview 2](#_Toc8036546)

[Process Description 2](#_Toc8036547)

[Design Authority 5](#_Toc8036548)

[Policy 7](#_Toc8036549)

[Assumptions & Decisions 7](#_Toc8036550)

[III. Process Design 7](#_Toc8036551)

[Overall Process Sequence 7](#_Toc8036552)

[Roles Description 8](#_Toc8036553)

[Inputs and Outputs 10](#_Toc8036554)

[Performance Metrics 10](#_Toc8036555)

[Process Context 10](#_Toc8036556)

[IV. Detailed Design 12](#_Toc8036557)

[Local System Impacts/Needs 12](#_Toc8036558)

[Campus Change Impacts 12](#_Toc8036559)

[V. Document Signoff 13](#_Toc8036560)

# Document Change Log

Use this table to summarize changes made to this document

| **Date** | **Editor** | **Summary of Changes** |
| --- | --- | --- |
| **3/28/19** | Alexandra Rollins | Draft 1 |
| **5/6/19** | Alexandra Rollins | Final  |
| **6/24/19** | Alexandra Rollins | Confirmed that when CWR transaction is cancelled by the AWE in the SSC, initiator can clone the transaction from the transaction status page and resubmit. Added the following text: *SSC AWE Approver needs to add a comment when transaction is denied. Note: If SSC AWE Approver denies the transaction before going to UCPC the Transactional units can clone transaction and resubmit.* |

# Process Overview

This section defines the overall scope and boundaries of the To-Be process design.

## Process Description

Single paragraph that provides the general description of the overall process—its start, its end, and its overall purpose.

**Definition of contingent worker**

* Contingent Workers (CWR) are defined as individuals engaged by the University of California on a non-permanent basis to complete a specific function or task who do NOT have an employee relationship with UCR and do NOT receive remuneration through UCPath. An example of a contingent worker is a volunteer, since they are not paid, but also agency workers who perform work for UCR, but are paid through their agency.  As such, all contingent workers, including temporary agency workers MUST be entered in UCPath for tracking purposes.
* CWR is created when there is a location need for a person to exist that is providing services to the location, however, they are doing it on a non-permanent basis or potentially paid by a 3rd party (e.g. consultant, contractor, etc.)
* A CWR will have Job Data, including specific Employee Classes (i.e. contingent worker academic or contingent worker staff), and distinct job codes (e.g. volunteer, affiliated research, clinical associate, etc.)

**Contingent worker Job codes**

Job Codes for contingent workers always begin with CWR

|  |  |  |  |
| --- | --- | --- | --- |
| **ID** |  | **CWR Type** | **Description** |
| **CWR001** |  | **UCB Student Facilitator** | Student Facilitators in UCB’s Democratic Education at Cal (DeCal) Program. |
| **CWR002** |  | **LBL/DOE Postdoc** | Lawrence Berkeley Lab/Department of Energy Postdoc. |
| **CWR003** |  | **Visiting Student Res Graduate** | A graduate student on leave from enrollment at a home institution to participate in a short-term (not to exceed 12 mos.) educational project under the supervision of an academic appointee; must be enrolled in a degree granting program at an institution of higher education other than the University of California; must service an academic purpose for the unit in which they are visiting (APM 430) |
| **CWR004** |  | **Staff Intern** | An individual providing service to UC as part of a bone fide internship program designed primarily for the benefit of the intern and in conjunction with an appropriate academic degree program. |
| **CWR005** |  | **Affiliated Research Institute** | An employee of an organization that has a relationship with UC, such as a research institute sponsoring a join research project with UC. Can also be used for HHMI or Ludwig workers or LBL workers needing access to campus facilities. |
| **CWR006** |  | **Individual Contractor/Consultant** | An individual providing consulting services to UC as an independent contractor or through a third-party independent contractor/company. Payment for services is paid through Accounts Payable. |
| **CWR007** |  | **Clin Assoc/Admitting Physician** | A community medical practitioner granted access to UC health care facilities. |
| **CWR009** |  | **Temp Agency Staff – Health** | A temporary employee hired and paid through a third-party temporary employment agency and working in a UC health care facility. |
| **CWR010** |  | **Temp Agency Staff – Non-Health** | A temporary employee hired and paid through a third-party temporary employment agency and not working in a UC health care facility. |
| **CWR011** |  | **Staff Volunteer** | **Volunteer** an individual providing service directly to and under the supervision of the university with no promise or expectation of compensation. The following groups **are not** considered volunteers:*a.* Individuals whose service is provided in pursuit of personal educational goals or to earn educational credit.*b.* Individuals receiving payment for services rendered from a non-university of California pay source (e.g., visitors receiving per diem or support from home institutions, employees of an organization with a contract to use university facilities).*c.* Individuals affiliated with and providing services on behalf of an external agency or service organization (e.g., Red Cross volunteers)*d.* Off-campus volunteers sponsored by but not under the direct supervision of the university (e.g., student teachers).*e.* Groups or individuals providing fundraising, public outreach, or other support services as described in [UC Policy on Support Groups, Campus Foundations, and Alumni Associations](http://regents.universityofcalifornia.edu/governance/policies/5203.html).*f.* Individuals holding academic “without salary” appointments.*g.* Retired employees desiring occasional access to university facilities.  |
| **CWR012** |  | **Traveling Nurse** | Not Applicable at UCR |
| **CWR013** |  | **Community College Instructor** | An instructor at a community college. Most likely utilized in GSOE  |
| **CWR014** |  | **Affiliated Organization**  | Someone on campus that is in service and requires a NetID for some duration of time.  |
| **CWR015** |  | **Visiting Scholar** | A person on leave from an academic appointment or other employment, to participate in a short-term (not to exceed 12 mos.) educational, research, or other academic project under the supervision of an academic appointee; terminal degree required (APM 430) |
| **CWR016** |  | **Visiting Student Researcher**  | External (to your location) students visiting your location to advance their learning through research.An undergraduate student on leave from enrollment at a home institution to participate in a short-term (not to exceed 12 mos.) educational project under the supervision of an academic appointee; must be enrolled in a degree granting program at an institution of higher education other than the University of California; must service an academic purpose for the unit in which they are visiting (APM 430) |
| **CWR017** |  | **UC Employee – Different BU** | Any Academic of Staff UC employee that is in service to UCR, may use for Search committee members for AP recruit  |
| **CWR018** |  | **UC Board of Regent** | Occurs very rarely contact Human Resources  |
| **CWR019** |  | **Staff Emeritus** | Emeritus/a status is an honor granted by the chancellor upon retirement of a University of California, Riverside staff member who has provided outstanding service to the university.  |
| **CWR020** |  | **Student Volunteer** | This is a student seeking to enhance their academic and career goals by gaining supervised practical experience and applying classroom theory to real world situations. |
| **CWR021** |  | **Research Fellow** | A non-salaried appointment for visiting fellows who come to the University, such as: a National Research Council Fellow; a Social Science Research Council Fellow; a Commonwealth Fund Fellow; a Rockefeller Foundation Fellow; or as a traveling fellow from other universities; PhD required (APM 355) |
| **CWR022** |  | **Research Associate**  | A non-salaried appointment for visiting scholars and scientists of distinguished standing who may be recommended by departments for such association with the University; PhD required (APM 355) |

**Action Reason Codes for CWR**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| ACTION | ACTION\_REASON | DESCR | SYSTEM\_DATA\_FLG | CWR  |
| ADD | ADD | Add Contigent Worker | UC | X |
| COM | COM | Completion - Contingent Worker | UC | X |
| CW | CWE | Contingent Worker Extension | UC | X |
| RNW | RNW | Contingent Worker Renewal | UC | X |

## Design Authority

The following process owners and leads have decision making authority over the design of this process deliverable and must review the final deliverable prior to approval by the ABSSC Leadership Council.

**Functional Owners**

* Academic Personnel – *AVP* *Academic Personnel*
* Human Resources – *AVC Human Resources*

**Functional Leads**

* Academic Personnel – *AP Functional Lead*
* Human Resources – *HR Functional Lead*

Operating Model Phase 1

* This includes the roles and org structure for the future state
	+ Roles
		- Transactional Unit
			* AP/HR Staff member as initiator
		- Shared Service Center
			* AWE Approver
			* Enters Background Check Results in UCPath on the Security Clearance Page
		- UCPC
			* WFA Production
* Business process mapping for this phase will include
	+ Contingent worker
	+ Transactional Unit
	+ Shared Service Center
	+ UCPC
	+ Central Office

Operating Model for Phase 2

* This includes the roles and org structure for the future state
	+ Roles
		- Transactional Unit
			* AP/HR Staff member as initiator
			* AWE Approver
		- Shared Service Center
			* Enters Background Check results in UCPath on the Security Clearance Page
		- UCPC
			* WFA Production
* Business process mapping for this phase will include
	+ Contingent worker
	+ Transactional Unit
	+ Shared Service Center
	+ UCPC
	+ Central Office

## Policy

**Academics**

 [APM 355](https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-355.pdfhttps%3A/www.ucop.edu/academic-personnel-programs/_files/apm/apm-355.pdf)

 [APM 430](https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-430.pdf)

The Central Office Campus Guidelines are forthcoming. The APO Central Office will provide campus guidelines with how we implement the CWR policy on campus system-wide,

**Staff**

[Human Resources CWR Policy](https://www.ucop.edu/financial-accounting/_files/Campus%20Procedures%20Related%20to%20Damage%20Payments.pdf)

## Assumptions & Decisions

This section describes the key assumptions and decisions made in relationship to this process design.

| **Description** |
| --- |
| 1. The Transactional Unit is responsible for ensuring that all campus level approvals are in place and all necessary consultations, communications, policy and procedures have been followed
 |
| 1. The Transactional Unit is responsible for verifying and maintaining any necessary documentation for persons who are to be designated as a CWR as appropriate for CWR type
 |
| 1. CWRs will have access to Employee Self-Service (ESS) (and Manager Self-Service (MSS) if applicable) within UCPath Online
 |
| 1. CWRs may need to sign the patent agreement as a condition of access to University research facilities or contracts, grants or other funds through the University but are not required to sign the Oath
 |
| 1. Transactional Unit will initiate CWR templates and reach out to the SSC or the Central Office as applicable per the established SLA and the approved campus process for Contingent Workers
 |
| 1. SSCs will approve and transact on requested items per the established SLA and the approved campus process for contingent workers
 |
| 1. The Transactional Unit and Shared Service Centers are responsible for following Central Office guidance who are responsible for policy interpretation, oversight, guidance, auditing and are functional owners of the process.
 |

# Process Design

## Overall Process Sequence

The overall process sequence describes the major steps required to deliver the value of the process. It is the “Elevator Speech” to quickly and simply define its flow. This “Level 1” detail does not include the multiple variations.





## Roles Description

The following are the roles required to successfully execute this process.

| **Role Name** | **Role Description** |
| --- | --- |
| **Transactional Unit Initiator**  | * Primary point of contact for managers and unit level leadership
* Represent the needs of the individual Transactional Unit and ORG as appropriate
* Confirms that CWR is the appropriate hire type with consultation from the Central Office(s)
* Initiates UCPath Template Based Hire (TBH) and initiates background check as applicable
* Resolves issues with TBH when needed and opens STANDARD cases as applicable per the On-Behalf of Case Management Matrix
* Completes Offboarding process or rescinds offer if Onboarding issues cannot be resolved (e.g. doesn’t pass background check, does not supply required documentation such as valid identification)
* Initiates the NetID Affiliate process
* Provide CWR with system access via EACS
* Transactional Unit sets up Lab Safety Training for CWRs in the sciences
* Maintains employee file/documentation
 |
| **Transactional Unit Approver (Phase 2)** | * Responsible for validating TBH transactions via AWE and providing support as per the Pilot Support Matrix
* Resolves issues with TBH when needed and opens STANDARD cases as applicable per the On-Behalf of Case Management Matrix
 |
| **Transactional Unit Supervisor/Manager**  | * Responsible for ensuring the appropriate policy is followed
* Verifies that mandatory Lab Safety training has been taken
* Works with Transactional Unit/Initiator to resolve issues during onboarding process
* As Appropriate, Request for Equipment, Required Training, Facilities & Systems access, Office/Lab Setup, etc.
 |
| **ORG Authority**  | * Responsible for ensuring the appropriate policy is followed.
 |
| **Shared Service Centers** | * Responsible for validating TBH transactions via AWE and providing support as per the Pilot Support Matrix **(Phase 1)**
* Responsible for updating UCPath with results of the background check on the security clearance page **(Phase 1 and Phase 2)**
 |
| **Central Office** | * Responsible for process design, and policy guidelines
* Provide subject matter expertise in policy related questions
 |
| **Contingent Worker** | * Accepts Offer/Contract
* Signs Required Documents
* Completes Required items such as Training (e.g. Lab Safety), Background Check (if requested)
 |
| **UCPath Center** | * Processes Template Based Hire and creates employee job record
 |

## Inputs and Outputs

Inputs are the decisions, data, documents required to initiate the **overall** process. Owners are the “suppliers” of those inputs.

Outputs are the data, documentation, records, reports, or experiences that the **overall** process is supposed to produce over the course of its execution. Customers are the recipients of those outputs.

|  **Input/output** | **Owner or Customer** | **Description** |
| --- | --- | --- |
| **Input**  | Contingent Worker | Personal Data Form  |
| **Input** | Contingent Worker | Appointment Letter |
| **Input** | Contingent Worker | Patent Acknowledgement |
| **Input** | Contingent Worker | UCR NetID and Temporary Password Mandatory Application Form |
| **Input** | Transactional Unit | Complete Onboarding Checklist |

## Performance Metrics

What is the proposed or aspirational performance metrics desired to measure the efficacy of the **overall** process. These can be leveraged from the as-is process, influenced by the UCPath processes or new metrics not currently measured.

| **Metric Type** | **Metric Description** | **Measurement Method** |
| --- | --- | --- |
| **Duration** | How long should it take to perform the overall process? | Cognos Report, internal SSC spreadsheets  |
| **Service** | What is the desired level of customer satisfaction with the process? | Satisfaction Survey |
| **Accuracy** | What is the acceptable threshold for errors or re-work in the process? | Cognos Report, internal SSC spreadsheets |
| **Efficiency** | What time or financial resources are required to support the end-to-end process? | Cognos Report / Staffing Analysis  |

## Process Context

Use this section to note clarifying information on steps in the mapped process(es) where needed to help explain reasoning behind changes to the as-is process. This is not a place to document a comprehensive listing of all activities related to each process step.

| **Process Name/Step** | **Context/Information** | **Is this a new step in the To-Be Process?**  |
| --- | --- | --- |
| **Step 6 - Required Forms/Tasks**  | Includes UCPath Employee Paperwork. CWR’s are only required to fill out UC Patent Acknowledgement and UCR Personal Data Form. \*Note Transactional Unit will do background check through simplybook.me and send link to CWR. Results will go to the Transactional Unit and SSC. SSC will be responsible for entering background check information in UCPath. | No |
| **Step 8 - Attach Documents to TBH**  | This step includes attaching the Personal Data Form and Appointment Letter to TBH. If the decision is that it is not appropriate for UCR to attach Personal Data Form and appointment letter to the Smart HR template the Transactional Unit will need to open a case for all CWRs and attach documents. | Yes |
| **Step 8a-8d - Background Check** | Transactional Unit initiates background check (This may occur before TBH is submitted or after). SSC and Transactional Unit receive background check results and SSC enters information into UCPath. If there is an issues with the background check Labor Relations gets involved. | No |
| **Step 11a - Deny Transactions**  | **Phase 1**: SSC AWE Approver needs to add a comment when transaction is denied. Note: If SSC AWE Approver denies the transaction before going to UCPC the Transactional units can clone transaction and resubmit. **Phase 2**: AWE Approver will move to the Transactional Unit.  | Yes |
| **Step 15a - Resubmitting and Cloning**  | In the event that the template is cancelled by UCPC WFA Productions, the template is returned (with comments) to the Transactional Unit Initiator to correct and resubmit. At this point, the transaction can be cloned by the Transactional Unit Initiator (as long as UCPC WFA Production **cancelled** the transaction). The Transactional Unit Initiator will also email their SSC to inform them of the cancellation and ask to advise in the event that the transaction was incorrectly cancelled.  | Yes |
| **Step 19 - Affiliate Account Request**  | Any affiliate that is also entered as a CWR will need to have their affiliate NetID and their CWR EMPL ID manually mapped together by ITS. SSCs will need to create a ticket with EMPL ID and NetID and have ITS merge the profiles together. Note: This can take up 2 weeks to get. This is being submitted as a technical requirement for process redesign. The To-Be state presumes that the NetID process will be automated when the CWR is entered into UCPath. Steps 19, 20, 21, and 21a will not be present in the future state.  | No |
| **Step 21a - CWR NetID**  | There is no notification that CWR has received NetID. CWR will reach out to the Transactional Unit if they do not have the NetID within 3 business days. Transactional Unit will then reach out to ITS by emailing Bearhelp@ucr.edu or by opening a ticket through Servicelink.  | No |
| **Step 22 - Assigned Training**  | Lab Safety Training is mandatory for CWRs in the sciences and needs to be assigned by the Hiring Manager. Sexual Harassment and Cyber Security training are assigned automatic. **Policy:** Anyone who works in a lab space (faculty, staff, students, volunteers) are required to take the UC Lab Safety Fundamentals course. This training is required to be completed before anyone begins work in a lab space, and is required to be taken every 3 years.The UC policy for this training requirement can be found [here](https://www.ucop.edu/risk-services/_files/safety-resources/lab-safety-training-2012-01-09.pdf) | No |

1. Detailed Design

*With the exception of the parking lot, this section will be completed during the detailed design phase of the project*

Local System Impacts/Needs

Placeholder for analysis of system needs, capabilities, gaps. Will leverage UCPath capability requirements and as-is process tools analysis as applicable

* EACS changes
* AWE changes
* ServiceLink changes
* Snapshot changes

Campus Change Impacts

Change impacts as a result of the optimized process design.

* The submission of template transaction for Contingent Worker will be initiated by the Transactional Unit, which used to be done by the SSC. This means that the initiator will initiate the process, but SSC will be responsible for approving/validating TBH transaction via AWE for Phase 1, and this will move to Transactional Unit in Phase 2.
* SSC’s will continue to enter background check results in UCPath on the Security Clearance for both Phase 1 and Phase 2.
* It was determined that SSC’s had Contingent Worker signing the Oath per UCOP, UCPC, and COE policy CWRs **DO NOT** need to sign the Oath
* Certain populations weren't being entered into UCPath instead they were going through the Net ID Affiliate process, there will be a policy in place that will explain when to hire a person as a CWR, POI or when we need to go through the Net ID affiliate process.
* Transactional Unit will attach the Personal Data Form and Appointment Letter to TBH. If the decision is that it is not appropriate for UCR to attach Personal Data Form and appointment letter to the Smart HR template the Transactional Unit will need to open a case for all CWRs and attach documents. (Decision pending)
	+ Option 1 (Attach) (Transactional Unit Initiator)
	+ Option 2 (Attach and Delete) (SSC will be responsible for doing this in Phase 1 this will move to the Transactional Unit initiator in Phase 2)

# Document Signoff

Use this table to list approvals for this document

| **Date** | **Approver** | **Status** |
| --- | --- | --- |
| **06/25/2019** | Heidie Rhodes | Heidie Rhodes |
| **Mm/dd/yyyy** |  |  |
| **Mm/dd/yyyy** |  |  |