

# SERVICE DEFINITION

Version 2.0 – March 11, 2019

# HUMAN RESOURCES

## Criminal Background Checks

Centrally manage and automate the Criminal Background Check (CBC) process for UW institutions

### DESCRIPTION OF THE SERVICE

UW-Shared Services will centrally process all requests for Criminal Background Checks (CBCs) for UW institutions. UW-Shared Services will work with institutions to any identify prospective hires or volunteers who require CBCs and any existing employees and volunteers who work in a “Position of Trust with access to vulnerable populations” and have not received a check in the past four years.

UW-Shared Services will also manage the relationship and interface with the UW System’s CBC vendor, GIS, to perform the appropriate checks and provide the results of the checks to customers. If any of the checks are flagged for further review, then UW-Shared Services will provide investigative reports and additional information to the customers to help the institutions make a decision on how to proceed. UW-Shared Services will also notify customers of the final CBC determination and track the results in HRS.

At the outset, UW-Shared Services will develop guidance and trainings on CBCs to complement and interpret existing UW System policies. UW-Shared Services will also support customers across the UW institutions to resolve questions, determine when CBCs are required, and identify next steps for CBCs that require further review.

#### SOURCE OF THE SERVICE

Institutional visits and feedback from:  
HR Directors and the  
HR Transformation Team

### FORMS OF THE SERVICE

#### ACTIONS



##### On-Demand

- UW-Shared Services will help manage, track, and report on CBCs for new employees and volunteers as needed for the institutions.

##### Ongoing

- There is not a need for ongoing CBCs, as CBCs should only be requested by customers or identified through regular compliance reporting.

##### Monitoring

- UW-Shared Services will monitor and evaluate applicable employees and volunteers monthly and identify those requiring additional CBCs.

#### STANDARDS



##### Practices

- UW-Shared Services will maintain and publish a set of common practices regarding CBC and “Position of Trust” requirements for the UW System.

##### Trainings

- UW-Shared Services will offer online trainings for hiring managers on interpreting CBC results and an overview for customers in the CBC process.

##### Systems

- UW-Shared Services will maintain enterprise systems to track CBC requests, store documents, and offer training/support for customers.

#### SUPPORT



##### Passive

- UW-Shared Services will provide information and guidance to UW employees on CBCs through the Resource Center on its website.

##### Distance

- UW employees will be able to ask for support and guidance on CBCs by calling or contacting the UW-Shared Services HR help desk.

##### In-Person

- UW-Shared Services only plans on providing CBC support remotely at this time and does not intend on providing support in person.

**ANALYSIS**

BENEFITS	RISKS
<ul style="list-style-type: none"> <li>• Decreases financial, regulatory, and legal risk through standardization and consistency of CBC processes</li> <li>• Relatively easy/inexpensive to scale across the System</li> <li>• Eases the burden on institutional HR offices</li> <li>• Achieves efficiencies in processing CBCs centrally</li> </ul>	<ul style="list-style-type: none"> <li>• May be difficult to identify all employees who need a new CBC at least initially</li> <li>• May require significant initial effort to train existing employees during the roll out of this service</li> <li>• Could increase the number of CBCs run across the UW System due to consistent application of policies</li> </ul>

**PARTICIPATION MODEL**

The *Criminal Background Checks* service should be optional for any comprehensive institutions that need support for criminal background checks. Some institutions have been facing capacity issues that limit their ability to manage CBCs. UW-Shared Services can support those institutions but does not need to roll out this service to all institutions at the same time given the fact that some institutions can manage their own CBCs currently. Given the relatively low upfront costs to implement this service, the high volume of CBCs across the UW System, and UW’s leverage with the GIS vendor, UW-Shared Services will be able to scale this service to gain efficiencies and standardize and eliminate deviations in the practices.

RECOMMENDATION
<p><b>OPTIONAL PARTICIPATION</b>                      For any of the eleven comprehensive institutions in the UW System that opt into this service</p>

There could be benefits to the UW System of standardizing this service across all institutions in the future to reduce high legal, reputational, and financial risk related to employee and volunteer CBCs and feedback from institutional stakeholders and leadership from UW System Administration. However, given that some institutions still have capacity and expertise for CBCs, this service should be optional. As more institutions opt into this service, UW-Shared Services could investigate whether to make this service mandatory.

**FUNDING MODEL**

The *Criminal Background Checks* service should be funded by a combination of UW-Shared Services base funding and transaction-based chargebacks. The chargebacks should be based on the direct costs for running a CBC with the GIS vendor (roughly \$12 per check), but base funding should cover the majority of the staffing and maintenance costs for the CBCs.

This service should be at least partially base funded to incentivize institutions to use this service given the risks attendant to CBCs. By offering base funding, institutions will not need to be concerned about the costs of the CBC staffing and system maintenance and should request as many CBCs as they are required to by UW System policy.

RECOMMENDATION	
<p><b>TRANSACTIONAL CHARGEBACKS</b></p>	<p><b>BASE FUNDING + CHARGEBACKS</b>                      This service should be funded by a combination of funds</p>
<p><b>CAMPUS ASSESSMENT</b></p>	<p><b>BASE FUNDING</b></p>

However, institutions should pay at least partially for vendor costs of running CBCs, so customers internalize the minimal direct costs and acknowledge the volume of CBCs that they request. This funding model should allow UW-Shared Services to adequately maintain the CBC team and systems while minimizing the administrative effort required to track support offered to each institution.

# SERVICE DEFINITION

Version 2.0 – March 11, 2019

# HUMAN RESOURCES

## Investigations

Conduct investigations based on complaints related to discrimination, sexual harassment, and other workplace matters

### DESCRIPTION OF THE SERVICE

UW-Shared Services will conduct investigations into complaints raised by employees of UW institutions related to discrimination, sexual harassment, and other workplace matters identified in UW System policy and state/federal statutes.

UW-Shared Services will develop an internal investigations team to manage cases, notify and interview necessary parties, review documentation, and develop reports to close out the investigations.

UW institutions will ultimately be responsible for making decisions on how to proceed based on the outcome of investigations – UW-Shared Services will provide the customers with analysis and guidance on how to interpret the information to facilitate decision-making.

UW-Shared Services will provide support and training for customers to explain how and when to submit complaints and describe the process for investigations so that employees are empowered to submit complaints in accordance with UW System policy. UW-Shared Services will also track complaint filings and the status of investigations and communicate with stakeholders throughout the process.

#### SOURCE OF THE SERVICE

Institutional visits and feedback from: UW System Administration audit & compliance leadership, UW Board of Regents, and institutional leadership

### FORMS OF THE SERVICE

#### ACTIONS



- On-Demand**  UW-Shared Services will conduct investigations based on complaints regarding allegations of discrimination, sexual harassment, or other matters.
- Ongoing**  There is not a need for ongoing investigations or data monitoring, as investigations should only be requested by customers through the formal complaint process.
- Monitoring**

#### STANDARDS



- Practices**  UW-Shared Services will maintain and publish a set of common practices for investigations and complaints and interpretation of policies/regulations.
- Trainings**  UW-Shared Services will offer online trainings for employees of UW institutions on how to register a complaint and an overview of the process.
- Systems**  UW-Shared Services will maintain enterprise systems to track complaints, store documents, and offer training/support for customers.

#### SUPPORT



- Passive**  UW-Shared Services will provide information and guidance to customers on investigations and complaints through its website.
- Distance**  UW employees will be able to ask for support and guidance on investigations and complaints by calling or contacting the HR help desk.
- In-Person**  UW-Shared Services will need to make on-site visits for its investigations and to develop trust with institutional constituents.

**ANALYSIS**

BENEFITS	RISKS
<ul style="list-style-type: none"> <li>• Decreases financial, regulatory, and legal risk through standardization of independent investigation processes</li> <li>• Eases the burden on institutional HR offices</li> <li>• Achieves efficiencies in running investigations</li> <li>• Allows for a professional, qualified investigatory team</li> </ul>	<ul style="list-style-type: none"> <li>• May require significant effort to identify which investigations should be sent to UW-Shared Services versus being handled locally at the institution</li> <li>• Will require significant communication and interaction with the institutions to ensure trust and collaboration during investigations</li> </ul>

**PARTICIPATION MODEL**

The *Investigations* service should be optional for any comprehensive institutions that need support for investigations. Some institutions have been facing capacity issues that limit their ability to manage investigations, while others may not have individuals qualified to perform certain types of investigations (e.g., Title IX complaints). UW-Shared Services can support those institutions but does not need to roll out this service to all institutions at the same time given the fact that some institutions can manage their own investigations currently.

RECOMMENDATION
<p><b>OPTIONAL PARTICIPATION</b> For any of the eleven comprehensive institutions in the UW System that opt into this service</p>

There could be benefits to the UW System of standardizing this service across all institutions in the future to reduce reputational, regulatory, legal, and financial risks and achieve some economies of scale amongst investigators. However, given that some institutions still have capacity and expertise for investigations, this service should be optional. As more institutions opt into this service, UW-Shared Services could investigate whether to make this service mandatory.

**FUNDING MODEL**

The *Investigations* service should be funded by an assessment fee charged to the institutions that opt in. Since this service would be optional, it should only be funded by the institutions that opt into the service. This service should not be base funded since it is not mandatory.

UW-Shared Services should determine the fee on an annual basis to cover the service costs for the entire fiscal year. This means that the institutions that opt into this service would be charged a flat fee for the year for investigations regardless of how many investigations they request.

Given the administrative effort required to manage chargebacks be funded by campus and the possible disincentive chargebacks create, this service assessment fees should be funded by assessment fees over transaction-based chargebacks. Tracking the costs of managing each individual investigation would be administratively burdensome for UW-Shared Services, and if institutions were charged for every investigation then institutions might not take advantage of the service or try to manage investigations through other means. Funding this service through structured fees assessed to the institutions upfront should limit the administrative burden of managing the service and ensure the appropriate institutions are charged for the service.

RECOMMENDATION	
<p><b>TRANSACTIONAL CHARGEBACKS</b></p>	<p><b>BASE FUNDING + CHARGEBACKS</b></p>
<p><b>CAMPUS ASSESSMENT</b> This service should be entirely funded by campus assessment fees</p>	<p><b>BASE FUNDING</b></p>

*Deliver and monitor mandatory training for all employees of the UW institutions*

### DESCRIPTION OF THE SERVICE

UW-Shared Services will develop, deliver, and track required trainings for all employees of the UW institutions. These trainings could be required by UW System policy or statute/regulation on the state, local, or federal level. The initial list of training courses would include, but not be limited to: (1) sexual harassment, (2) information security, and (3) mandatory reporter.

While all UW System employees are required to complete certain trainings currently, each institution administers and tracks these training courses separately. UW-Shared Services will work with institutional HR departments

to identify and register employees, track their completion of required trainings, and report on training compliance to the institutions. UW-Shared Services will also notify new employees and their supervisors of the requirements to complete these training courses and contact employees/supervisors when trainings are not completed within stated timeframes.

Finally, UW-Shared Services will offer ongoing support and resources to employees of the UW institutions on the topics covered in these training courses and answer questions based on established policies and guidance as needed.

#### SOURCE OF THE SERVICE

Institutional visits, e-mail suggestions, and feedback from: Board of Regents, Chancellors, Provosts, Chief Business Officers, HR Directors, & UW System Administration HR leadership

### FORMS OF THE SERVICE

#### ACTIONS



**On-Demand**

**Ongoing**

**Monitoring**

UW-Shared Services will not process or monitor any transactions through this service, but will through other human resources services (e.g., investigations, criminal background checks).

#### STANDARDS



**Practices**

**Trainings**

**Systems**

UW-Shared Services will publish UW System Administration policies related to sexual harassment, IT security, reporting, etc.

UW-Shared Services will offer online training courses that are required for all employees, including sexual harassment, IT security, reporting, etc.

UW-Shared Services will maintain enterprise systems to support this training and related support for UW employees.

#### SUPPORT



**Passive**

**Distance**

**In-Person**

UW-Shared Services will provide information and guidance to UW employees through the Resource Center on its website.

UW employees will be able to ask for support and guidance on these topics by calling or contacting the UW-Shared Services HR help desk.

UW-Shared Services only plans on providing training remotely at this time but could provide trainings in person if needed.

**ANALYSIS**

BENEFITS	RISKS
<ul style="list-style-type: none"> <li>• Decreases financial, regulatory, and legal risk through standardization and consistency</li> <li>• Reduces duplicative training efforts across institutions</li> <li>• Relatively easy/inexpensive to scale across the system</li> <li>• Eases the burden on institutional HR offices</li> </ul>	<ul style="list-style-type: none"> <li>• May be difficult to identify all employees who need to take these training courses initially</li> <li>• May require significant initial effort to train existing employees during the roll out of this service</li> </ul>

**PARTICIPATION MODEL**

The *Mandatory Employee Training* service should be mandatory for all comprehensive institutions given overwhelming feedback from institutional stakeholders regarding the need for consistent, standardized training to meet regulatory and legal requirements.

Given the relatively high financial, reputational, and legal risk that the UW System faces related to sexual harassment, information security, and mandatory reporting, there are significant benefits to making this training and related support mandatory. Given the relatively low upfront costs to implement this training, and the fact that it will be easily scalable to all of the institutions, there are limited costs to implementation across the UW System.

RECOMMENDATION
<p><b>MANDATORY PARTICIPATION</b>                      For UW System comprehensive institutions and UW System Administration</p>

**FUNDING MODEL**

The *Mandatory Employee Training* service should be funded by UW-Shared Services base funding. Institutions should not be charged directly for this service.

Given the relatively low costs of delivering this service to additional employees and the administrative effort required to manage chargebacks, it would be inefficient to fund this service by charging the institutions based on the number of participants in the training services.

Also, given the relatively high financial risk posed by non-compliance with sexual harassment, information security, and mandatory reporting policies and statutes, the UW System should remove any barriers or disincentives that might prevent institutions or their employees from taking the training courses. Charging the institutions for this service could create a distorted incentive whereby they do not take advantage of the training services because of the potential costs.

Allocating base funding for this service should establish the appropriate incentives across the institutions to fully utilize these training courses and should limit the administrative effort required to manage the funding and financial aspects of this service.

RECOMMENDATION	
<b>TRANSACTIONAL CHARGEBACKS</b>	<b>BASE FUNDING + CHARGEBACKS</b>
<b>CAMPUS ASSESSMENT</b>	<p><b>BASE FUNDING</b>                      This service should be entirely funded by UW-Shared Services base funding</p>

# SERVICE DEFINITION

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# HUMAN RESOURCES

Retirement Readiness

Provide advice and resources for UW employees on their retirement benefits

## DESCRIPTION OF THE SERVICE

UW-Shared Services will provide individual retirement resources to employees within three years of retirement and provide retirement counseling training to human resources employees at the UW institutions. This service will differ from ETF offerings as UW-Shared Services can estimate and offer guidance on retirement benefits based on current data for individuals considering retirement. This service is based on needs identified by institutional HR departments and leadership from the UW System Administration.

### SOURCE OF THE SERVICE

Institutional visits, email suggestions, and feedback from: Chief Business Officers, HR Directors, the UW Service Center, and leadership from UW System Administration

UW-Shared Services will offer retirement resources covering several topics, including, though not limited to: (1) how retirement benefits are calculated, (2) requesting and completing a retirement application, (3) what to expect after ETF receives a retirement application, (4) eligibility for other benefits and (5) retirement counseling in person if requested.

UW-Shared Services will also provide individual retirement resources based on requests by employees including the process of creating retirement, sick leave and state group life estimates and explaining those estimates in detail to employees.

## FORMS OF THE SERVICE

### ACTIONS



#### On-Demand

- UW-Shared Services will offer retirement resources and advice to customers based on requests submitted over the phone, email, etc.

#### Ongoing

- UW-Shared Services will only offer guidance and advice to customers based on direct requests over the phone, email, or other venues.

#### Monitoring

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### STANDARDS



#### Practices

- UW-Shared Services will maintain a set of common practices for retirement benefits based on UW System policies and state/federal regulations.

#### Trainings

- UW-Shared Services will offer online trainings for customers to learn about their retirement benefits and how to request support.

#### Systems

- UW-Shared Services will maintain enterprise systems to track and store confidential documents, track requests, and offer training/support.

### SUPPORT



#### Passive

- UW-Shared Services will provide information and guidance to customers on retirement benefits through its website.

#### Distance

- Customers will be able to ask for support and guidance on the retirement benefits by calling or contacting the HR help desk.

#### In-Person

- UW-Shared Services only plans on providing guidance on retirement benefits remotely at this time.

**ANALYSIS**

BENEFITS	RISKS
<ul style="list-style-type: none"> <li>• Consistent and standard advice for employees on their retirement benefits</li> <li>• Eases the burden on institutional HR offices</li> <li>• Achieves efficiencies in offering retirement resources</li> <li>• Allows for a professional, qualified retirement team</li> </ul>	<ul style="list-style-type: none"> <li>• May require significant initial effort to train existing employees during the roll out of this service</li> <li>• Will require significant communication and interaction with the institutions to ensure trust and collaboration</li> </ul>

**PARTICIPATION MODEL**

The *Retirement Readiness* service should be optional for any comprehensive institutions that need support for their employees on retirement benefits. Some institutions have been facing capacity issues that limit their ability to advise their employees on retirement benefits. UW-Shared Services can support those institutions but does not need to roll out this service to all institutions at the same time given that some institutions do have capacity to offer retirement resources.

RECOMMENDATION
<p><b>OPTIONAL PARTICIPATION</b> For any of the eleven comprehensive institutions in the UW System that opt into this service</p>

Institutions should ideally engage UW-Shared Services to request this service before the start of the fiscal year, though more immediate and urgent requests could be managed as requested. There could be benefits to the UW System of standardizing retirement resources across all institutions in the future to achieve some economies of scale and increase the consistency and standardization of retirement resources for employees. However, given that some institutions still have capacity and expertise for retirement readiness, this service should be optional. As more institutions opt in, UW-Shared Services could investigate whether to make this mandatory.

**FUNDING MODEL**

The *Retirement Readiness* service should be funded by an assessment fee charged to the institutions that opt in. UW-Shared Services should determine the fee on an annual basis to cover the service costs for the entire fiscal year. This means that the institutions that opt into this service would be charged a flat fee for the year for retirement resources regardless of how many employees they serve.

Given the relatively low costs of delivering this service to additional employees and the administrative effort required to manage chargebacks, it would be inefficient to fund this service by charging the institutions based on the number of participants in the services.

RECOMMENDATION	
<b>TRANSACTIONAL CHARGEBACKS</b>	<b>BASE FUNDING + CHARGEBACKS</b>
<p><b>CAMPUS ASSESSMENT</b> This service should be entirely funded by campus assessment fees</p>	<b>BASE FUNDING</b>

Also, given the high benefits to employees of providing consistent retirement resources and advice, the UW System should remove any barriers or disincentives that might prevent institutions or their employees from taking advantage of the service. Charging the institutions for this service could create a distorted incentive whereby they do not take advantage of the services because of the potential costs.



# SERVICE DEFINITION

Version 2.0 – March 11, 2019

# HUMAN RESOURCES

## Benefits Data Management

*Enter, monitor, and correct benefits data for UW employees in HRS*

### DESCRIPTION OF THE SERVICE

UW-Shared Services will enter, monitor, and correct benefits data for employees of the UW institutions in the Human Resources System (HRS) based on needs identified by institutional HR departments and leadership from the UW System Administration.

UW-Shared Services will monitor employee records and data on a daily, monthly, and yearly basis using several routine error and validation reports from HRS or ETF system edits. These reports could include: the New Hire Hold Report, Adjusted Continuous Service Data Report, ABBR, Health Rate Report, ICI WED Report, Missing Enrollment Report, and ETF Validation Error Report.

UW-Shared Services will investigate and correct benefits data in HRS as needed, including entering benefits data that employees cannot enter themselves, and anticipates that over 100,000 actions will be required each year. UW-Shared Services will regularly work with stakeholders to identify data and reports that need to be monitored.

### SOURCE OF THE SERVICE

Institutional visits and feedback from:  
UW System Administration audit & compliance leadership, the HR Transformation Team, Regional Cloud Sessions, and the UW Service Center

### FORMS OF THE SERVICE

#### ACTIONS



##### On-Demand

- UW-Shared Services will enter or correct benefits data that customers cannot enter themselves, based on requests submitted.

##### Ongoing

- UW-Shared Services will only make transactional changes to benefits data based on monitoring reports and requests from customers.

##### Monitoring

- UW-Shared Services will monitor routine error and validation reports from HRS and the ETF and correct benefits data in the systems as needed.

#### STANDARDS



##### Practices

- UW-Shared Services will maintain a set of common practices for benefits data based on UW System policies and state/federal regulations.

##### Trainings

- UW-Shared Services will offer online trainings for customers to learn best practices and official procedures for how to enter benefits data.

##### Systems

- UW-Shared Services will maintain enterprise systems to track and store confidential documents, track requests, and offer training/support.

#### SUPPORT



##### Passive

- UW-Shared Services will provide information and guidance to customers on the entry and management of benefits data through the its website.

##### Distance

- Customers will be able to ask for support and guidance on the entry and management of benefits data by calling or contacting the HR help desk.

##### In-Person

- UW-Shared Services only plans on providing guidance on the entry and management of benefits data remotely at this time.

**ANALYSIS**

BENEFITS	RISKS
<ul style="list-style-type: none"> <li>• Improved tracking of benefits data for employees</li> <li>• Accurate and consistent benefits data through System-wide standardized processes</li> <li>• Timely reporting and customer service through centralized customer service</li> <li>• Increased compliance with laws and policies</li> </ul>	<ul style="list-style-type: none"> <li>• Could be some risks from managing confidential employee information</li> <li>• May require significant initial effort to train existing employees during the roll out of this service</li> </ul>

**PARTICIPATION MODEL**

The *Benefits Data Management* service should be mandatory for all comprehensive institutions given the likelihood of incorrect data entry or data consistency issues in HRS for benefits. The recommendation to make this service mandatory is at least partly based on feedback from institutional HR departments and leadership and from UW System Administration.

RECOMMENDATION
<p><b>MANDATORY PARTICIPATION</b>                      For UW-Madison, UW-Milwaukee, UW System comprehensive institutions and UW System Administration</p>

There is a high financial risk to the UW System as a whole due to inaccurate benefits data, and it is very likely that UW-Shared Services could reduce that risk by standardizing processes and consistently monitoring benefits data in HRS.

Given the relatively low upfront costs to implement this service and the high volume of effort to manage benefits data across the UW System, UW-Shared Services will be able to scale this service and develop internal specializations to gain efficiencies and standardize and eliminate deviations in the practices.

**FUNDING MODEL**

The *Benefits Data Management* service should be funded by UW-Shared Services base funding. Institutions should not be charged directly for this service.

Given the relatively low costs of delivering this service to additional employees and the administrative effort required to manage chargebacks, it would be inefficient to fund this service by charging the institutions based on the number of participants in the services.

Also, given the relatively high financial risk posed by non-compliance with benefits data and enrollments, the UW System should remove any barriers or disincentives that might prevent institutions or their employees from taking advantage of the service. Charging the institutions for this service could create a distorted incentive whereby they do not take advantage of the services because of the potential costs.

Allocating base funding for this service should establish the appropriate incentives across the institutions to fully utilize this service and should limit the administrative effort required to manage the funding and financial aspects of this service.

RECOMMENDATION	
<p><b>TRANSACTIONAL CHARGEBACKS</b></p>	<p><b>BASE FUNDING + CHARGEBACKS</b></p>
<p><b>CAMPUS ASSESSMENT</b></p>	<p><b>BASE FUNDING</b>                      This service should be entirely funded by UW-Shared Services base funding</p>