

UNIVERSITY
OF
CALIFORNIA

**HR Compliance -
An Uncommon Approach at the University of
California**

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SCCE Higher Education Conference June 2019

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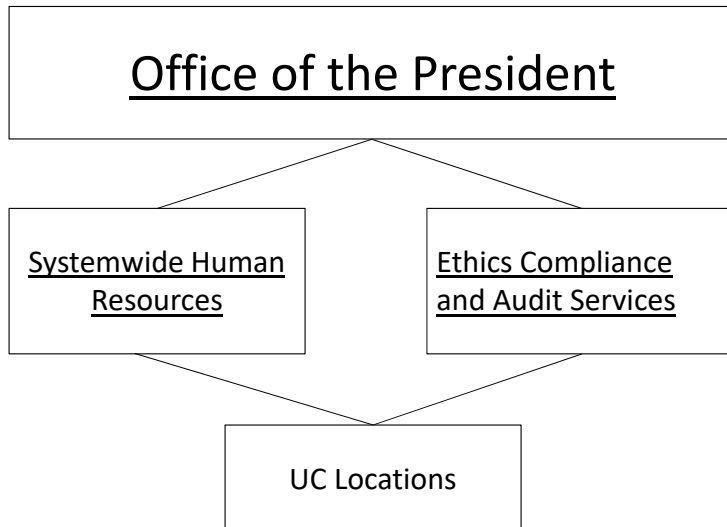
Topics

- Overview of UC's Compliance Organizational Structures
- UC's Statement of Ethical Values
- About the Systemwide HR Organization
- Overview of HR Compliance Projects
- Keys to Success
- Challenges
- What's Next

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UC's Compliance Structure



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UC's Statement of Ethical Values



University of California

Statement of Ethical Values

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About the Systemwide HR Compliance Organization

Policies, Collective Bargaining Agreements, and HR Practices:

- Recruitment/Promotion
- Compensation
- Absence from Work
- Performance Mgmt
- Awards & Incentives
- Disciplinary Action
- Personnel Records

HR Related Regulations:

- HEERA
- DFEH
- FLSA
- FMLA
- I-9
- USERA
- EEO

Benefits:

- ACA
- Group Insurance Regulations

Retirement:

- Retirement Plan Document
- Not ERISA*

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HR Compliance Roles and Key Accomplishments

- Pay and HR Practices Equity Study
- I-9 Vendor System and Integration with UCPATH
- Family Member Eligibility Verification
- And much more...

HRIS AND DATA INTEGRITY

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Pay and HR Practices Equity Study



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I-9 Vendor & HRIS Integration

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NATIONAL
ICE Raids Texas Technology Company,
Arrests 280 Over Immigration Violations
April 3, 2019 - 7:56 PM ET

Form I-9 Audits Will Continue to Rise for Employers Suspected of Hiring Illegal
Workers in 2019
December 12, 2018 | Thomas



Written By ESR News Blog Editor Thomas Ahearn

Worksite Form I-9 audits will continue to rise for employers in the U.S. who are suspected of hiring ineligible workers in 2019. This trend has been chosen by leading global background check provider Employment Screening Resources® (ESR) as tenth on the list of "ESR Top Ten Background Check Trends" for 2019 that feature emerging and influential trends in the background screening industry for the coming year.

In December 2018, the U.S. Immigration and Customs Enforcement (ICE) – a federal agency enforcing laws governing American border control – announced it opened 6,848 worksite investigations in fiscal year (FY) 2018 compared to 1,691 in FY17, initiated 5,981 Form I-9 audits in FY 2018 compared to 1,360 in FY 2017, and made 779 criminal and 1,525 administrative worksite-related arrests in FY 2018 compared to 139 and 172 in FY 2017.

Employers Beware: ICE Is Ramping Up I-9 Audits to Record Levels

By Alka Bahal on July 25, 2018

POSTED IN EMPLOYMENT VERIFICATION COMPLIANCE (INCLUDING I-9S, E-VERIFY, AND ENFORCEMENT),
GENERAL IMMIGRATION NEWS AND UPDATES



Copyright: signal / 123RF Stock Photo

More than 5,200 businesses around the country have been served with I-9 inspection notices since January in a two-phase nationwide operation conducted by U.S. Immigration and Customs Enforcement's (ICE) Homeland Security Investigations (HSI) in what appears to be the largest I-9 inspection action ICE has undertaken to date.

In Phase I of the current operation, between Jan. 29 and March 30, 2018, HSI served 2,540 NOIs and made 61 arrests. During Phase II, between July 16 and 20, HSI served 2,738 NOIs and made 32 arrests.

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I-9 Vendor & HRIS Integration

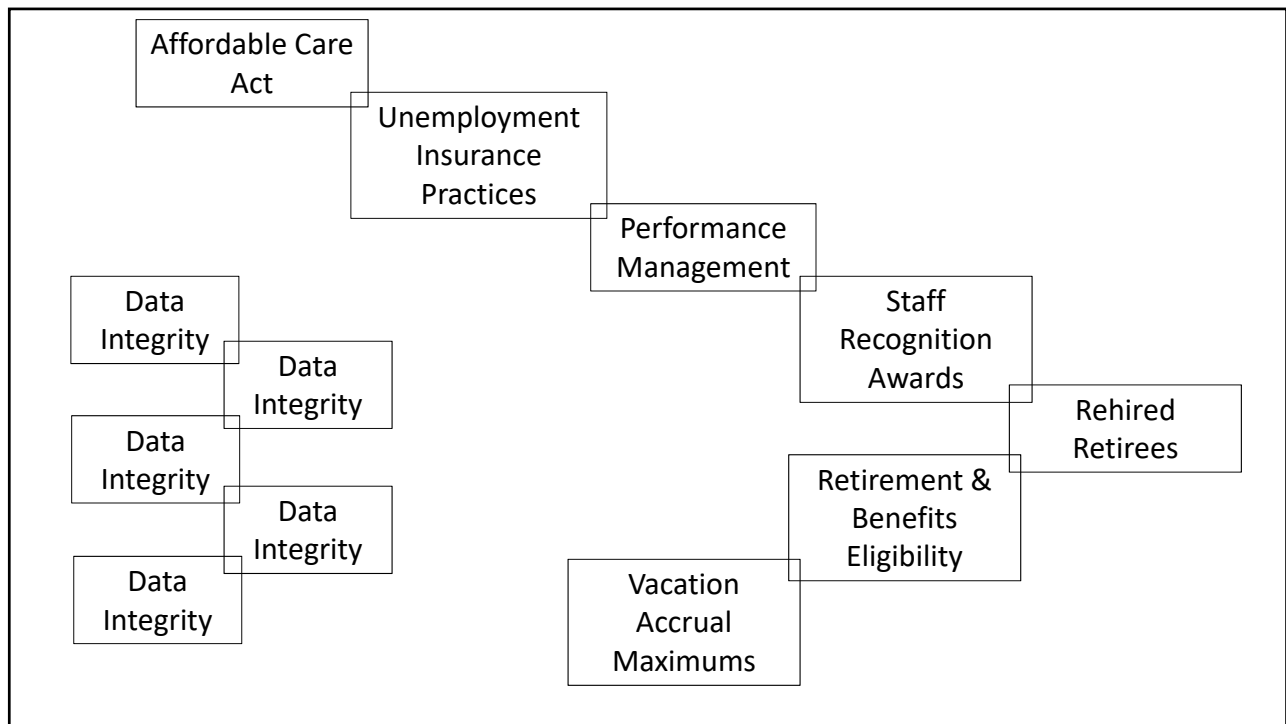
- Implemented an I-9 Vendor systems solution across all UC locations & Integrated it with our HRIS
- Field level edits and guided document options help hiring offices avoid significant risks
- Optional document imaging is available, and required for E-Verify
- Dashboard features keep I-9s moving on time
- Remote capabilities support pre-hire Section 1 and using an agent for Section 2

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Family Member Eligibility Verification

- Vendor verifies dependent eligibility shortly after enrollment through an integration with our HRIS
- Dis-enrollments are processed monthly - annual savings average \$8 Million per year
- Triennial recertification of relationships that may change such as due to divorce or changes in financial support – estimate annual savings \$20 Million

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Organizational Collaboration

- Systemwide HR Disciplines such as Comp, Benefits, ER/LR, etc.
- Chief Human Resource Officers at each location and their teams
- Academic Personnel
- Payroll Coordination (financial management and taxation)
- UCPath Center

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Ethics, Compliance and Audit Services (ECAS) and Risk Services - Key HR Related Roles

- Whistleblower Complaint Hotline and Investigations
- Clery and CANRA
- Compliance Training
 - Sexual Harassment Prevention
 - Cyber Security
 - Conflict of Interest
 - HIPAA
- Workers Compensation Insurance
- Employment Liability

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Keys to Success

**Just the Facts:
a data driven approach**

Descr	Job Code	Descr	VisPmtType	Visa Eff Date	Visa Expire Dt	HR Status	Pay Status	Empl Class	Hire D
Electrical & Computer Eng	003396	VIS PROJ SCIENTIST	J1	2/1/2016	1/31/2018	Active	A	10	2/1/20
Plant Pathology & Microbiology	003252	POSTDOC-EMPLOYEE	J1	12/5/2014	12/4/2017	Active	A	23	12/5/20
Comp Lit & Foreign Languages	002310	TEACHG ASST-GSHIP	J1	10/1/2016		Active	W	11	10/1/20
Electrical & Computer Eng	003276	GSR-PARTIAL FEE REM	F1	12/1/2017	6/30/2017	Active	W	11	10/1/20
ASUCR	004922	STDY 1	F1	1/17/2017		Active	A	5	1/17/20
Building Services	005116	CUSTODIAN SR	TP	7/12/2005		Active	A	2	7/12/20
Chemical/Environ. Engineering	003276	GSR-PARTIAL FEE REM	F1	12/1/2017	6/29/2017	Active	A	11	10/1/20
Residency & Fellowship Prgs	002724	RESID PHYS II-VIII/NON REP	J1	7/1/2017		Active	L	24	7/1/20

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Keys to Success



Tone at the Top

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Challenges



- No carrots, limited sticks

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Keys to Success

- Tone at the top - Having a head of HR who is committed to compliance
- Data and Data Integrity
- Collaboration across the HR discipline – compliance belongs to all of us
- A team oriented tone - “we are here to look out for you, not to catch you in the act”
- Influence and service as a means to get things done
- CCEP certifications and managing with integrity

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