

Roger Williams University's

EMPLOYMENT PROCESSING POLICY & PROCEDURE

PREFACE

Development and maintenance of the university's position and personnel structure and roster, is central to the realization of the university's mission. In furtherance of efficient and effective implementation of position structure, roster and associated hiring practices and compensation policy, effective July 1, 2004, the following represents the university's employment processing policy and procedure.

UNIVERSITY POSITION ROSTER

The university roster of positions will evidence a dynamism that is inherent in an organizational structure that is built to facilitate excellence and continuing adaptation to the changing needs of its constituencies. Therefore, both permanent and temporary as well as full and part-time positions of varied structure, character and function will comprise the university's position roster.

Permanent positions are those planned and expected, at inception, to continue from year to year as an optimally encapsulated grouping of work functions on behalf of the university. While permanency is relative to continuing need, funding and priority, these positions make up the core workforce of the university.

Temporary positions are those targeted toward meeting necessary short-term objectives, interim work priorities while permanent, optimum position structure is in development and/or are utilized to fill staffing vacancies for a limited time. These positions are, by their nature, of limited existence and will normally only be approved and funded for periods of no more than one (1) year in duration. Under exceptional circumstances and consistent with governing collective bargaining agreements, temporary positions may continue beyond one year.

PERSONNEL ACTIONS

Personnel actions, as a function and ultimately an indicia of the character and quality of university management, are myriad in type, volume and level of significance. Initiated at various levels within the management structure, the authority to make and enforce personnel decisions and resulting actions is governed by extant policy. However, authority to hire, reclassify, promote, adjust salary and terminate employment are personnel decisions entrusted to the university's executive staff (or their formally approved managerial designees).

POSITION, PERSONNEL & COMPENSATION CONTROL

Regardless of funding source (e.g. university, contract, grant), level or type of position and/or executive level personnel action, the **authority** to create, amend and delete the university’s roster, character of and associated compensation for positions and/or associated personnel is reserved for and among the university’s executive staff as follows:

I. PERMANENT POSITIONS/PERSONNEL ACTION

<u>REQUESTED POSITION</u>	<u>FORMS</u>	<u>NECESSARY AUTHORIZATIONS</u>
<p>1. New Position and/or New Personnel; Requiring Additional Budget</p> <p align="center">Or</p> <p>Existing Position and/or Existing Personnel; Requiring Additional Budget</p>	<ul style="list-style-type: none"> • RPA • Job description • Recruitment Plan • RACS • PAF 	<p>President (in consultation w/Division SVP/VP/Dean of Law School, VP for Finance and AVP of HR).</p>
<p>2. New Position and/or New Personnel at Director Level or Above & All Tenured & Tenured-Track Faculty Positions utilizing Existing (including, reallocation) Division Budget</p>	<ul style="list-style-type: none"> • RPA • Job description • Recruitment Plan • RACS • PAF 	<p>President (in consultation w/ Division SVP/VP/Dean of Law School & VP for Finance & AVP of HR). *Certification of existing budget must be provided by VP for Finance.</p>
<p>3. New Position and/or New Personnel below Director Level</p> <p align="center">Or</p> <p>Existing Position and/or Existing Personnel utilizing Existing (including, reallocation) Division Budget.</p>	<ul style="list-style-type: none"> • RPA • Job Description • Recruitment Plan • RACS • PAF 	<p>Division SVP/VP /Dean of Law School (in consultation w/AVP of HR). *Certification of existing budget must be provided by VP for Finance.</p>

<p>4. Terminate Employment and/or Eliminate Position</p> <p>* All terminations and/or position eliminations will be noticed to Budget Office.</p>	<ul style="list-style-type: none"> • PAF • Cross reference Equipment Inventory Checklist 	<p>a. Position Elimination: President @ Director level and higher positions & all Tenure-Track & Tenured Faculty positions: (in consultation w/Division SVP/VP/Dean of Law School & AVP of HR)</p> <p>Division SVP/VP/Dean of Law School: All other positions (in consultation w/ AVP of HR)</p> <p>b. Separation: President @ Above Director Level Personnel & All Tenured Faculty (in consultation w/Division SVP/VP/Dean of Law School & AVP of HR) & Division SVP/VP/Dean of Law School: All others (in consultation w/ AVP of HR)</p>
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II. TEMPORARY POSITIONS

<p>ALL</p>	<ul style="list-style-type: none"> • RPA • Job Description • Recruitment Plan • RACS • PAF 	<p>Division SVP/VP/Dean of Law School, VP for Finance & AVP of HR (consulting w/President as appropriate)</p>
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PROCESSING PROTOCOL: The process by which both positions are created, amended, deleted and packaged and personnel actions are effected should maximize efficiency, ensure both quality control in policy compliance and provide effective communication. Such a process demands express consideration and accountability of the signatories, frequent communication between and among them and careful attention to and respect for the different responsibilities comprising the process.

An authorized position shall be accompanied by a position description, approved job classification and compensation program, FLSA designation, bargaining unit or non-aligned identification and accompanying terms and conditions of employment designation. The Department of Human Resources shall consult, as necessary with relevant managerial and executive staff, relative to policy parameters and compliance and shall maintain appropriate positional histories, providing periodic reports of same to executive staff.

In furtherance of this protocol, the following order of authority to proceed, review, route, approve and implement is established:

1. The duly authorized officer as set out above, following review, as necessary, with the employing division/department and consideration as to both the legitimacy, need and priority of the action and the adequacy (where pertinent) of both budget and the proposed package, directs, in writing, the Department of Human Resources with copy to both the Funding Source Officer and the AVP of HR, to proceed with the position, personnel and/or compensation action.
2. The Budget Office, and/or the office administering Grants, and Contracts provides fund source/savings, identification and verification to the Department of Human Resources.
3. The Department of Human Resources provides classification, compensation, employee unit affiliation, terms and conditions of employment designation, EEO search selection consideration and personnel action review, in compliance with policy and as appropriate to the action. The Department of Human Resources will forward all personnel actions that are not routine, including proposed terminations to the Office of General Counsel.
 - a. Proposed positional and/or related compensation adjustments will be accompanied by:
 - i. a thorough job description or a completed position information questionnaire;
 - ii. written rationale for the proposed position, and/or compensation adjustment;
 - iii. a certification of budget from available, personnel dedicated funds.
 - iv. a Request for Position Authorization (“RPA”) and Recruitment Plan (when filling a new position or refilling a vacancy) which must be fully filled out, identifying the request for or proposed composition of a search committee and any request for alteration of the “Hiring Practices Policy & Procedure” special requests such as expedited process due to a documented urgency in placing the position and/or personnel action(s) above its competing interests. All new or vacant positions must be advertised on campus for at least five working days before it may be filled on a regular basis. No one may be employed in a temporary, acting, or reduced-time capacity with a view to transfer to regular status without at least an internal advertisement of the position.
 - b. Personnel actions will be implemented in accordance with the extant policy & procedure, including by way of illustration, the Compensation and Classification Policy and Procedure, the Hiring Process for Managers and the applicable discipline and Employment Separation Procedure Flow Chart.

- c. Continuous dialogue, including published rosters of work in progress will be provided to the appropriate Senior Vice President Vice President or Vice President for prioritization and project efficacy.
4. The executive level authority set out above, provides final review, pending issue resolution and signatory approval.
5. Exceptions to employment policy are reserved for the President who shall consult with the Senior Vice President for Finance and Administration before responding to a Senior Vice President or Vice President's endorsement to a requested policy exception.
6. Implementation by and through the Department of Human Resources, as appropriate to the authorization(s), will be effected, periodically audited and reported back to the executive staff.

These processes may, in some circumstances, entail significant review and, correspondingly, a considerable period of time. In many circumstances, the process should be completed in a matter of a few days. When packaged appropriately and in conformity with policy and process, positional and/or personnel actions of a routine nature will be processed within seven to ten working days from the time the approval to proceed is forwarded. An understanding of the process and collegial communication concerning the process is essential to its efficacy. In furtherance of this protocol, an on-line interactive, tracking and information system shall be devised, implemented and amended as appropriate, with periodic briefings and orientation of process to be provided through the Department of Human Resources.

– Appendix A –

Roger Williams University’s

HIRING PRACTICES POLICY AND PROCEDURE

The hiring practices and protocol of the University mark a commitment to global and diverse human resources through prudent position and personnel planning, search processes and candidate selection. In furtherance of that commitment, the following constitutes the University’s Hiring Practices Policy & Procedure:

- I. **SCOPE OF SEARCH:** All full-time tenure-track faculty position openings and all senior level administrative/professional position openings shall be filled following a national search and, where practicable and not cost prohibitive, following a bonafide exploration of qualified international candidates.

All management and professional positions shall be filled following a regional search and where practicable, the search may be extended beyond the region where identified demographics reveal a significant talent pool of diverse backgrounds in the discipline being recruited. All searches will formally seek diversity in and among the candidate pool recruited and will take affirmative steps available and prudent to systematically improve upon the diversity of the university’s human resources at all levels within the organization.

Where, unusually talented, and available personnel are identified prior to commencement of a search, the search may be dispensed with when either there is an exigent circumstance behind the filling of a position or the university’s commitment to globalization and diversity is not hindered and an opportunity for maximization of personnel excellence presents itself. This decision is reserved to the President.

All recognized bargaining unit positions will be filled in accordance with governing collective agreement parameters and otherwise in accordance with this policy and procedure.

- II. **SEARCH COMMITTEES:** The University may delegate recruitment and analysis of qualified candidates to specially constructed and instructed search committees. The purpose of Search Committees is expressly to bring efficacy to the University’s goal of hiring excellent human resources.

Search Committees shall be formed and then charged by both the Department of Human Resources as to legal and policy guidelines, including the hiring practices protocol, and either the supervising Senior Vice President/Vice President/Dean of Law School or the Assistant Vice President of Human Resources as to particular scope, character and selected process for the search.

The decision as to whether or not to conduct a search, through a, specially constituted Search Committee, shall be made following consultation between the supervising Senior Vice President/Vice President/Dean of Law School and the Senior Vice President for Finance and Administration or his/her designee but generally searches will be conducted through specially constituted Search Committees for all full-time tenure-track faculty positions and all full-time, senior administrative/professional positions.

The President will be consulted prior to final selection of a candidate, for all full-time tenure-track faculty positions and all full-time, senior administrative/professional positions (Director level and above).

External Search Firms may only be engaged by the Senior Vice President for Finance and Administration or in consultation with the Office of General Counsel.

III. **HIRING PROCESS:** The hiring of new personnel and both the promotion or reclassification of personnel may only be made consistent with the university's Employment Processing Policy & Procedure. The candidate communication and selection process is then as follows:

a. Initial Response upon Receipt of Application:

Upon receipt of an application for employment, whether online or paper, the Department of Human Resources will respond in kind, i.e., by e-mail or U.S. mail, to inform the applicant that the application was received, to express thanks for his or her interest, and to inform the applicant that he or she will be contacted in the future if the application progresses to the interview stage. (Template Attached). This communication will be accompanied by an "EEO Card," which the applicant will be asked to fill out and return to the Department of Human Resources for recordkeeping purposes.

b. Information Concerning Status of Recruitment:

Should an applicant contact the Department of Human Resources concerning the status of his or her application, the Human Resources Assistant will take the call, inform the applicant that the Department of Human Resources accepts applications until a selection has been made and inform the applicant as to whether the position has been closed at that time.

c. Closing a Position:

For all Director level positions and above or key university hires prior to making a decision, a meeting with the President must be established. Upon making a tentative selection for an open position including but not limited to a contract position, approval from both the division Senior Vice President/ Vice President /Dean of Law School and the Department of Human Resources must be provided on all terms of the offer, prior to any hiring manager extending a formal, verbal offer to the selected applicant. Once approval is given, the division Senior Vice President/Vice President/Dean of Law School,

or his/her designee, upon receiving verbal acceptance of the offer of employment may extend a formal offer of employment on terms and conditions previously authorized. Confirmation of start date can be established once a favorable background check result has been received.

The hiring manager must also communicate to the Department of Human Resources that the recruitment process has tentatively been closed. The communication shall be contained within two forms, the Recommendation for Candidate Approval Form (“RACS”) and the Personnel Action Form (“PAF”). These are available from the Department of Human Resources, and on the University website. Once the Department of Human Resources receives all forms, an employment package will be generated for the selected candidate.

d. New Employee Packet:

The package will consist first of a conditional letter of employment, which includes Background Check Waiver Form, from the Assistant Vice President for Human Resources. The Department of Human Resources will then create an official letter of employment once a favorable background check has been concluded. If the selected candidate is either a faculty member or non-aligned employee, the letter will be personalized and in the form of an offer of employment. It will include wage information, and two copies will be sent (the employee is requested to sign both and return one to the Department of Human Resources in the prepaid envelope addressed to the Department of Human Resources). If the new employee is within the Dining, Professional Support Staff, Public Safety or Facilities Unions, the letter will be a form letter, which will refer the new employee to the union agreement for wage and employment guidelines, and only one copy will be sent.

All letters will require the new employee to attend New Employee Orientation on an assigned date, and will require the new employee to report to the Department of Human Resources before the first day of employment with the following provided documents completed or ready for verification:

- Formal Employment Application
- Copy of Resume
- W4
- Direct Deposit Election Form (at the employee’s choice)
- Background Check Waiver
- Datatel Form
- I-9 form and acceptable identification enabling commencement of work
- Confidentiality Agreement (for management positions and above)
- Conflict of Interest Disclosure Form

Finally, the New Employee Packet will consist of a benefits summary, an agenda for new employee orientation and prepaid envelope addressed to Human Resources in which to

complete and return enclosed forms and the signed letter of employment.

e. Regret Letters:

When selections are made and employment secured for the following positions, all individuals that have been interviewed will be informed from either the hiring manager or the Department of Human Resources that the job search has ended and a selection has been made: Senior Vice Presidents, Vice Presidents, Assistant and Associate Vice Presidents, Deans, Executive Directors, Directors, and Faculty. The Department of Human Resources will contact the hiring manager to ascertain whether he or she prefers to contact the interviewees or whether he or she would prefer that the Department of Human Resources send out a regret letter to each of the interviewees. Other than those positions listed, it is not the policy of the Department of Human Resources to convey regrets when a position has closed.

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