STUDENT FOCUSED • LAND GRANT • RESEARCH UNIVERSITY

NDSU

Supervising in a Higher Education Environment

North Dakota University System

State of ND	**ND State College of Science**
↓	**Valley City State University**
Legislature	**University of North Dakota**
↓	**Mayville State University**
State Board of Higher Ed	**Lake Region State College**
↓	**North Dakota State University**
Chancellor	**Dakota College at Bottineau**
	Bismarck State College
	Minot State University
	Dickinson State University
	Williston State College
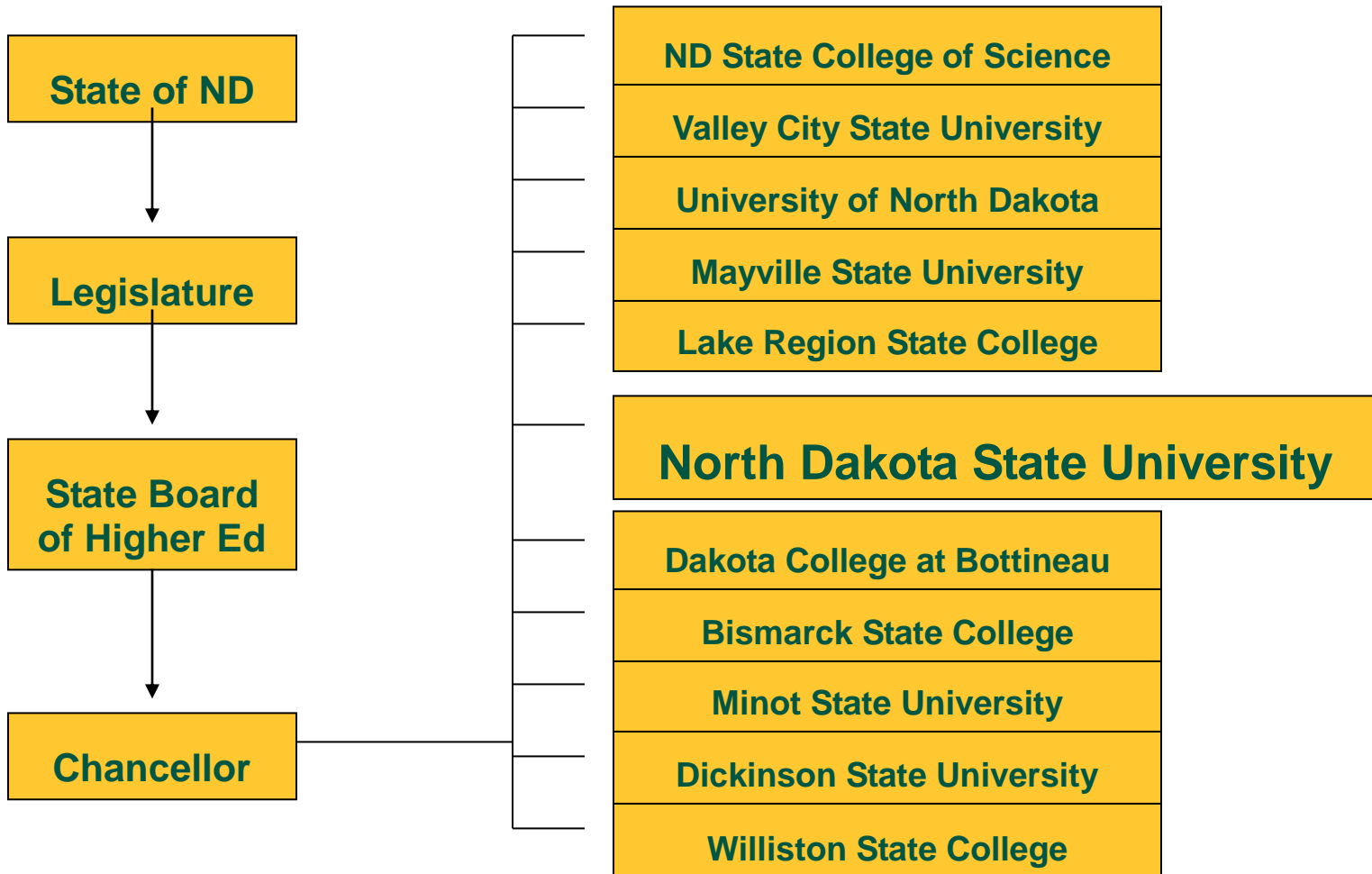
North Dakota University System

State Board of Higher Education (SBHE)

- Can serve two four-year terms
- Three selected for list by NDEA, chief justice, superintendent of public instruction, president pro tempore of the senate, speaker of the house
- One nominated by Governor; approved by Senate
- Voters
- Taxpayers
- Five-year residents
- Only two graduates per institution at a time
- No NDUS employees

Chancellor

- Employee of the SBHE as the CEO of the University System
- Advisory to the SBHE; facilitator of the Chancellor's cabinet
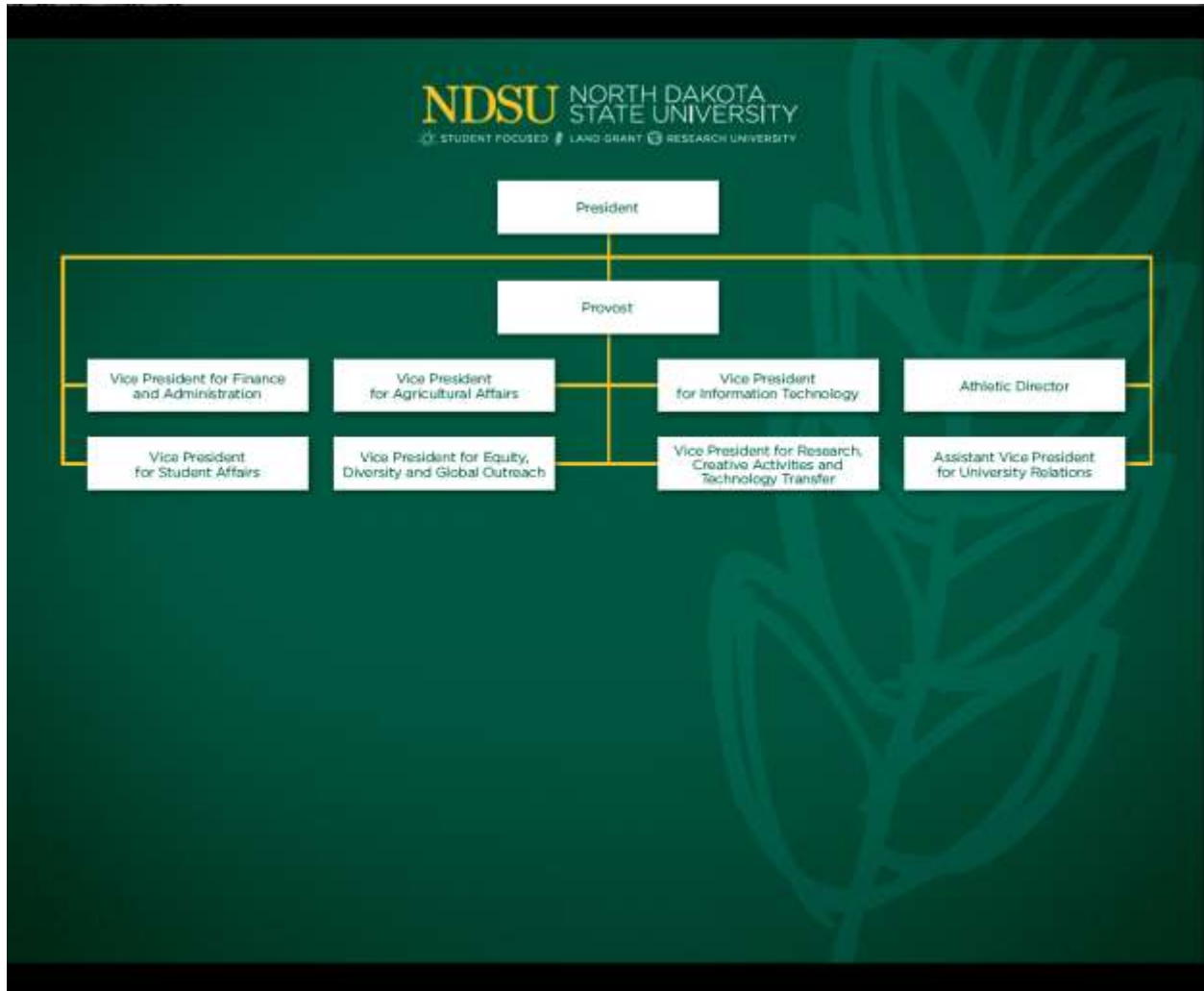
Presidents

- Hired by/report to the SBHE; advisory to the Chancellor

NDSU Mission

With energy and momentum, North Dakota State University addresses
the needs and aspirations of people in a changing world
by building on our land-grant foundation.

Student Focused   Land Grant   Research University

NDSU Organization

North Dakota State University does not discriminate on the basis of age, color, disability, gender expression/identity, genetic information, marital status, national origin, public assistance status, race, religion, sex, sexual orientation, or status as a U.S. veteran. Direct inquiries to: Equal Opportunity Specialist, Old Main 201, 701-231-7708 or Title IX/ADA Coordinator, Old Main 102, 701-231-6409.

The Morrill Act of 1862 Land Grant College Act

www.youtube.com/watch?v=hfh5UusC8Rk

- Major boost to higher education in America

- Penned by Representative Justin Morrill of Vermont and signed into law by President Abraham Lincoln

- Focus was on quality of life for rural residents

- Accomplished through research/extension

- There is a "Land Grant" university in each of the 50 states, as well as in the District of Columbia and a number of the Territories of the United States

- Made it possible for new western states to establish colleges for their citizens. Opened opportunities to thousands of farmers and working people previously excluded from higher education

- NDSU was founded under the authority of the 1862 Morrill Act in partnership with the United States in 1890

A Manager's Role

Approximately 60 percent of NDSU's operating budget is invested in the people who work here. People are the most valuable asset at NDSU. The role of the manager is perhaps the most important in creating a supportive work environment where people can function at their highest potential to advance NDSU's mission.

Below are just a few examples of how your role as a manager helps impact recruitment, productivity, retention, and job satisfaction:

- Hire the right people.
- Support your employees so they can develop and reach their potential.
- Set goals and challenge staff to reach beyond their current grasp.
- Reinforce with your employees how what they contribute to makes a difference in delivering NDSU's mission: "***With energy and momentum, North Dakota State University addresses the needs and aspirations of people in a changing world by building on our land-grant foundation***."
- Recognize and reward your employee's accomplishments.
- Hold employees accountable for not meeting expected performance or behavior standards.
- Ensure there is a safe work environment.
- Communicate information that impacts your employee's position, benefits or employment policies.
- Provide context and rationale for institutional or departmental changes.
- Address issues as they occur.

The information and resources in this guide are designed to support and assist you in being more effective in fulfilling your role as a supervisor/manager at NDSU.

Addendums:

Human Resources/Payroll Mission

Support, promote and impact the success of the University and its diverse community through recruitment, retention, development, service, and education.

Human Resources/Payroll Contact Guide

Hastings Hall

www.ndsu.edu/hr/staff

Appointments are recommended in order to provide employees with the best possible service.

HR/Payroll Office Contacts

Vacant – Director of HR/Payroll……………...(701) 231-8788
@ndsu.edu Salary Administration, Policy Interpretation, Employee Relations, Supervisor Coaching, Compliance

Lydia Hendricks – Office Assistant…………………………………………………………………….…….. (701) 231 8961
Lydia.Hendricks@ndsu.edu or *ndsu.hr@ndsu.edu Reception, Genuine Leadership, Schedule Appointments, Valley Fair & Movie Ticket Sales*

Tina Berger – Benefits Associate…………………………………………………………………………..…. (701) 231-7543
Tina.Berger@ndsu.edu Balance and Process Benefits & Payroll Deductions, Center for Child Development Liaison

Sara Oestrich – Human Resources Assistant…..…………………………………………………………… (701) 231-6293
Sara.Oestrich@ndsu.edu Recruitment Support, Tuition/Waiver Discount Processing, Imaging/Records Management, New Employee Orientation

Sheila Tindall – Senior Payroll Records Technician………………………………………………….......….. (701) 231-5657
Sheila.Tindall@ndsu.edu Process Benefited Hires & Changes, Overload and Interim Increase Payments, Summer Salary

Kim Pithey– Payroll Records Technician…......……………………………………………………………..... (701) 231-5677
Kimberly.Pithey@ndsu.edu Summer School, NDWR's, W-4's, Taxable Expenses, Other Earnings, Backend Payroll Duties

Laura Garske-Hermanson – International Payroll Coordinator…..……………………………...…………… (701) 231-7328
Laura.Garske-Hermanson@ndsu.edu International Employment Eligibility and Taxation, International NRA nonqualified scholarship tax, 1042-S Forms

Maria Wingenbach – Benefits Specialist...…………………………………………………………………..... (701) 231-5602
Maria.Wingenbach@ndsu.edu Benefits Administration, Retirement, COBRA Processing

Deanna Boucher - Payroll Tax Accountant..……………………………………………………………….…... (701) 231-7119
Deanna.Boucher@ndsu.edu Tax Payments, Remittance, Reporting, Payroll Reconciliation, Payroll Tax Compliance

Vacant – Benefits Associate.. (701) 231-6297
@ndsu.edu Balance and Process Benefits & Payroll Deductions For Shared Service Campuses

Julie Giffey - Payroll Records Technician…………………………………………………………….……… (701) 231-8958
Julie.Giffey@ndsu.edu Process Hourly, Student & Non-Student Grad & PTA Employee Hires, Changes & Terms, Front End Payroll Duties, ACH, W-4 and NDW-R backup

Pat Hanson – Payroll Director...………….... (701) 231-8990
Patricia.Hanson@ndsu.edu All Aspects of the University Payroll Process, Coordinate W-2 & EW-2 Process, Coordinates 1095-C & E-1095-C Process, Paycheck Questions/Corrections

Cindy Breyer – Recruitment Specialist...…………..... (701) 231-5678
Lucinda.Breyer@ndsu.edu Non-exempt Recruitment, Online Employment System Contact, Onboarding, Benefit Assistance

Kari Schmitz-Eilertson – Payroll Coordinator………………………………………………………………… (701) 231-6251
Kari.Schmitz.Eilertson@ndsu.edu Payroll Processing and Questions, Worker's Compensation, Annuity Processing, 403/457 Deduction Entry

Jill Sackenreuter – Associate Director of Recruitment and Administration…………………………………… (701) 231-8525
Jill.Sackenreuter@ndsu.edu Manage Recruitment Process, Grievance Coordination, Employee Relations, Job Family Assignments

Kristine Astrup– Associate Director of Organizational Development……………………….….......……………………….. (701) 231-8965
Kristine.Astrup@ndsu.edu Employee Relations, Responsibility Reviews, New Employee Orientation, FMLA, Shared & Military Leave, ADA Accommodations, Seasonal status, Unemployment

Liz Thompson – HRMS Technician…………………………………………………………………………………....... (701) 231-5922
Elizabeth.Thompson.1@ndsu.edu HCM PeopleSoft Contact, Assist with Salary Administration/Reporting, Data Requests, PeopleAdmin Technical Support

NDUS Oracle/PeopleSoft

ConnectND is North Dakota's implementation of Oracle/PeopleSoft financials, human resources, and student administration (Campus Solutions) applications across state government and the University System. North Dakota State University has 3 modules: Campus Solutions, Finance, and Human Resource Management System (HRMS).

The HRMS portal includes Core HR, Base Benefits, Benefits Administration, Payroll, Commitment Accounting, Employee Self Service and Manager Self Service.

Information on getting access to HRMS and additional information regarding HRMS and the other Oracle/PeopleSoft applications can be found at www.ndsu.edu/peoplesoft

Supervisors should regularly access HRMS to monitor and verify information for their employees such as compensation/pay information, job title, job family, FTE, time entry and leave entry. Training information and materials for HRMS can be found at www.ndsu.edu/peoplesoft

In addition, supervisors should be familiar with Manager Self Service (MSS). MSS is a module within HRMS for supervisors to initiate Hires, Changes and Terminations for the employees who report to them in their department/college. The North Dakota University System is in the process of implementing MSS in stages. Training information and materials for the latest implementations of MSS can be found at www.ndsu.edu/hr/training/

HRMS login page: https://adminsys.ndus.edu/psp/hehp/?cmd=login

HRMS Users Guide: www.ndsu.edu/peoplesoft/hrms_guide/

HRMS Access Roles: Employees within each role can access information regarding employees/positions in their assigned department/college.

DEPARTMENT ADMINISTRATION Role:
Defining information about departmental positions, job information, including salary
Departmental employee leave balances
Review the department's position budget, account codes for salary and benefits expenditures
Review name and address information about departmental employees and emergency contact information
Reports:
Actuals Distribution: funding sources/accounts for salary/fringe expenses
Leave Accrual: leave earned, taken and balances for department employees
Payroll Register: review payroll each pay period prior to final calculation
Position Funding Summary: By position, account & earnings codes, budget amount, total FTE

DEPARTMENT LOOKUP Role:
Find each employee's identification number (Empl ID)
View job information, including position number(s), supervisor, location, job family, FTE

TIME ENTRY Role:
Enter hours worked for hourly employees and other earnings (such as overtime hours) for salaried non-exempt staff
Enter leave hours

FACULTY EVENTS Role: (For Academic Affairs department heads &/or administrative support staff only)
View tenure data

Online Employment System
People Admin
http://jobs.ndsu.edu/hr

The Online Employment System is designed to facilitate processing of employment information, provide up-to-date access to information regarding position openings, and automate many of the paper-driven aspects of the recruitment, application and hiring processes. The system saves time and money by allowing you to electronically create and submit a request to recruit for review, approval and posting of positions using an electronic workflow; and it enables you to monitor the progress of that position opening, electronically review applicant materials, track reasons for non-selection, eliminating the need for paper application materials, and creates the new hire form online. The system provides automated notification to applicants both online and via email regarding their application materials/status, which reduces the time and costs associated with mailing paper notification letters. It also eliminates data entry since applicants are able to apply online using a customizable employment application or profile for a position opening.

Human Resources and Payroll and Provost have developed training materials and resources which are available through the Online Employment System at: https://jobs.ndsu.edu/hr; Manager's Toolbox – Recruiting and Hiring Resources and Administrative/Office Toolbox – Recruiting and Hiring Resources.

To request access, or for additional assistance and questions, please contact the appropriate recruiter/office, or via email: NDSU.jobs@ndsu.edu.

The applicant website is www.ndsu.edu/jobs.

Benefits Information

Benefit Contact Information:

North Dakota Public Employees Retirement System (NDPERS)   (800) 803-7377
www.state.nd.us/ndpers
(Retirement/insurance

Sanford Health Plan   (800) 499-3416
www.sandfordhealthplam.com/ndpers

TIAA-CREF Retirement   (800) 842-2776
www.tiaa-cref.org/ndsu

Discovery Benefits (Flexible Spending Accounts)   (866) 451-3399
www.discoverybenefits.com
Policy 136: Flexible Spending Accounts Program

The Village Business Institute (Employee Assistance Program)   (800) 627-8220
www.villageeap.com
Policy 134: Faculty/Staff Assistance

Delta Dental of Minnesota   (800) 553-9536
http://www.deltadentalmn.org/

Superior Vision   (800) 507-3800
http://www.superiorvision.com/member/index.aspx

NDSU Contacts/Resources

Safety Office (Workers Compensation, Jen Baker)   (701) 231-6740
www.ndsu.edu/police_safety/public_health_and_safety/

University Police   (701) 231-8998
www.ndsu.edu/police_safety/

Human Resources and Payroll Home Page and News and Announcements:
www.ndsu.edu/hr

Human Resources and Payroll Forms:
www.ndsu.edu/forms

List and Links to Required NDSU Training:
www.ndsu.edu/hr/training

Manager Toolbox:
www.ndsu.edu/hr/mgrtoolbox

NDSU Policy Manual is available online through NDSU website:
www.ndsu.edu/policy

IMPORTANT NOTE:

Per the Immigration Reform and Control Act of 1986, all employees (citizens and noncitizens) hired after November 6, 1986, and working in the United States must complete Form I-9. Form I-9 verifies employment eligibility of persons hired in the United States. Section 1 of the form must be completed by the employee on or before the first day of employment. Section 2 of the form must be completed by the employer by examining evidence of identity and employment authorization on or before the end of the third business day of employment. If an employee is unable to present a required document (or documents), the employee must present an acceptable receipt on or before the end of the third business day of employment and must present the actual document within 90 days. *As a business practice, all non-benefited employees must fully complete both Section 1 and Section 2 of Form I-9 before they can begin working. Benefited employees follow the schedule above.*

If new employees have not completed Form I-9 and submitted the required documents to the employer within the timeline specified above, the employee will be terminated from employment at North Dakota State University. HR/Payroll will contact the department for the number of hours the employee has worked and the employee will be paid for those hours only.

Manager's Toolbox
www.ndsu.edu/hr/mgrtoolbox/

Employment: Policies and procedures related to recruitment and hiring
- Policy 100—Equal Opportunity Policy
- Policy 101—Personnel Definitions
- Policy 103—EEO/AA Policy on the Announcement of Position Opening
- Policy 104—Recruitment Period for Position Announcements
- Policy 107—Employment Qualifications
- Policy 110 – Employment of Relatives - *Upon offer and acceptance of employment, promotion or transfer to a different department, or upon change in family status implicated in this policy, an employee must report in writing any actual or potential conflict with this policy to the employee's department and institution human resource officer.*
- Policy 112—Pre-Employment Criminal Record Disclosure - *A criminal history records check is required before beginning employment for all benefitted positions and other employees who work in resident halls, have master keys, work with child care, have access to controlled substances (drugs, explosives, dangerous chemicals, etc.) and counselors/coaches.*
- Policy 200—Recruitment for Professional Staff Positions
- Policy 201—Recruitment for Support Staff Positions
- Policy 202—Procedure for Filling Staff Positions (Addendum)
- Policy 240—Changing Positions – *Broadbanded employees do not serve a probationary period when they transfer to another position.*

Position Description (Addendum)
Online Employment System – Applicant Portal: https://jobs.ndsu.edu
Online Employment System – Department Portal: https://jobs.ndsu.edu/hr
Hiring Resources: www.ndsu.edu/hr/mgrtoolbox/recruitment/ (Includes information on interview questions/procedures)
- Search Committee Process
- North Dakota Veteran's Preference Law
- Interview Process – Steps for conducting an Effective Interview
- Legal Pre-Employment Questions
- Sample Interview Questions
- Request for Additional Leave Accrual Template (Addendum)
- Reference Checking Information/Sample form
- North Dakota Truthful References Law

Onboarding: A strategic process of bringing a new employee into NDSU and providing information, training and coaching throughout the transition. (Addendum)
Temporary/Seasonal Employment (Addendum)
Internship Program: www.ndsu.edu/hr/mgrtoolbox/internships/

Payroll: Policies related to payroll procedures such as paydays, direct deposit, taxes, timeslip payroll and overtime

Policy 122-Payroll Checks-Distribution: Paydays (16th and last day of the month) and mandatory direct deposit information

Policy 125-Payroll Taxes: Federal, state and FICA tax information

Policy 128-Timeslip Payroll: Temporary and student employee payroll information, including limits on duration and instructions for entry of hours worked

Policy 212—Overtime **-** *Holiday and Official Closure hours count towards the accrual of overtime; Annual, Sick, Dependent Sick and other types of leave hours such as Jury Duty and Funeral do not count towards the accrual of overtime.*

*Child Labor***:** www.ndsu.edu/hr/mgrtoolbox/mgrflsa/hiringminors/

*Direct Deposit***:**
- All NDSU employees are required to enroll in Direct Deposit.
- Funds can be deposited into any bank account across the country.
- An ACH Direct Deposit Authorization Agreement must be completed to begin direct deposit.

*Employee Self Service***:** www.ndsu.edu/peoplesoft/self_service

Education: Policies related to education benefits

Policy 133: Educational Policy - Tuition Waiver (Employee)- *With approval, benefitted employees may take 3 classes per year tuition waived at NDSU.* www.ndsu.edu/forms/

Policy 133.1: Tuition Waiver – Spouse /Partner and Dependents- *Benefitted employee spouse/partner and/or dependents may take classes with 50% of the tuition waived.   Partner is defined for purposes of this policy as same sex partners who have completed and filed a Declaration of Domestic Partnership http://www.ndsu.edu/forms/ with the Office of Human Resources/Payroll.* www.ndsu.edu/forms/

Leave: Policies related to leave

Policy 130: Annual Leave

Policy 132: Developmental Leave

Policy 135: Family Medical Leave (Addendum)

Policy 139: Leave with Pay

Policy 143: Sick/Dependent Leave – please review section 10 in policy for specifics.

Policy 146: Military Leave   www.ndsu.edu/hr/benefits/leave/military/

Policy 147: Leave Sharing Program

Policy 149: Leave without Pay

Descriptions of the above leaves: www.ndsu.edu/hr/benefits/leave/

Work Environment: Policies and procedures related to work environment and required trainings

Policy 100: Equal Opportunity Policy

Policy 144: Worker's Compensation   www.ndsu.edu/police_safety/public_health_and_safety/wsi/

Policy 151: Code of Conduct – *2. NDSU supports an environment that is free of discrimination or harassment. All NDSU employees are expected to conduct themselves in a businesslike manner. Unlawful consumption of alcoholic beverages or use of illegal drugs, being at work while under the influence of alcohol or drugs, disruptive behavior, gambling, unauthorized use of public property or resources and other unauthorized activities that disrupt the efficient and economical administration of NDSU, are prohibited.*

NDSU requires all employees to act professionally in their interactions with others including:

A. Following training and job specific requirements as stated in the employee's job description or appointment letter, or as assigned by respective department or unit,

B. Respecting the value, creativity, and diversity of all persons, which includes diversity of opinions and professional approaches to doing things, (See Policy 100: Equal Opportunity and Non-discrimination Policy, Policy 325: Academic Freedom, or other relevant policies for guidance.)

C. Contributing to an environment of respectful and productive working relationships with those with whom the person interacts, and

D. Making good faith efforts to resolve differences constructively

Policy 153: Smoke-Free Facilities and Campus

Policy 155: Alcohol and Other Drugs—Unlawful Use by Students, Faculty and Staff - *Unlawful consumption of alcohol beverages or use of illegal drugs,* **being at work while under the influence of alcohol or drugs***, disruptive behavior,*

gambling, unauthorized use of public property or resources and other unauthorized activities that disrupt the efficient and economical administration of the NDUS are prohibited.

Policy 156: Equal Opportunity Grievance Policy
Policy 162: Sexual Harassment Policy - *prohibits sexual harassment of its employees and students, including student-to-student and other peer sexual harassment.*
Policy 162.1: Consensual Relationships
Policy 163: Anti-Harassment Policy
Policy 163.1: Workplace Violence
Policy 166: University Health and Safety Policy
Policy 168: Reasonable Accommodation on Basis of Disability – (Addendum)
Policy 169: Employee Responsibility and Activities: Theft and Fraud
Policy 213: Rest Periods: (Addendum)
Policy 214: Work Week
Policy 710: Computer Facilities

Required Annual Training for NDSU employees: www.ndu.edu/hr/training/

Sexual Harassment Training: (to be completed within 30 days of hire and annually thereafter)   http://www.ndsu.edu/hr/training/
Baseline and Supervisor Safety Training: (to be completed within 30 days of hire and annually thereafter)
http://www.ndsu.edu/hr/training/
Fraud Awareness Training: Communicated to trainees each fall
Telecommuting Information: www.ndsu.edu/hr/mgrtoolbox/telecommuting/

Performance Management: Policies and procedures related to performance management, including responsibility reviews, staff discipline and dismissal

Policy 222: New Staff Probationary Period - *New broadbanded employees are in a probationary status for the first 6 months of employment, which may be extended for cause. The employee may be terminated with 1 weeks' notice or 1 week's pay in lieu of notice with no right to appeal.*
Policy 221: Staff Responsibility Review – *Performance development tool, discusses past performance, 360 feedback review, updated position description, set new goals with a plan to achieve those goals. (Conducted at completion of 6 month probationary period and annually thereafter.)*
Policy 220—Staff Job Discipline/Dismissal- *The University has the right to discipline or discharge an employee for cause. If there is a concern with the employee's conduct related to the employee's job duties, job performance, or working relationships detrimental to the efficiency of the institution.*
Policy 232—Pre-Action Review
Policy 231—Appeal Procedure for Disciplinary and Reduction in Force Actions
Policy 161 – Fitness for Duty (Addendum)

Responsibility Review Form: http://www.ndsu.edu/forms/ (Addendum)
Core Behaviors: http://www.ndsu.edu/hr/mgrtoolbox/performance/
Team Feedback: http://www.ndsu.edu/hr/mgrtoolbox/performance/
Letter of Expectation (Addendum)
Performance Improvement Plan (Addendum)
Discipline Letter (Addendum)
The Village Employee Assistance Program Referral Process (Addendum)
Pre-Action Letters (Addendum)
Pre-Action Review Process (Addendum)

Broadbanding: Policies and information on broadbanding

Policy 241—Broadbanding - *An approach to job classification and compensation that takes into consideration content and scope of a job; employee knowledge, skills and abilities; the job market; and employee performance. It groups similar jobs in wide salary bands with similar skill requirements.*

Band Descriptors-http://www.ndus.edu/makers/procedures/broadband/
Functional Title Guidelines-http://www.ndus.edu/makers/procedures/broadband/
Band/Job Family Appeal Instructions-http://www.ndus.edu/makers/procedures/broadband/
Band/Job Family Appeal Form-http://www.ndus.edu/makers/procedures/broadband/

Compensation: Policies and information related to compensation, including salary guidelines and FLSA

Policy 129—Salary Administration

Annual Salary Guidelines: www.ndsu.edu/hr/mgrtoolbox/salary

Fair Labor Standards Act- www.ndsu.edu/hr/mgrtoolbox/mgrflsa

Nonexempt Employees: Employees who are subject to overtime when working over 40 hours/week.

- Minimum Wage $7.25/hour
- Nonexempt employees must receive overtime pay or comp time (employee's discretion) for hours worked over 40 per workweek at a rate not less than one and one-half times the regular rate of pay.
- Overtime hours must be authorized by the employee's department head per Policy 212.
  Exempt Employees: Employees who are paid a salary for doing a position, not paid for hours worked.
- Exemptions from overtime are determined by the HR and Payroll Office
- Exemptions are based on responsibilities, type of supervision performed, specific educational degree position requires and use of discretion and independent judgment, rather than established procedure, guidelines, manuals, and authority of position.

Grievance process- dependent on type of grievant: www.ndsu.edu/fileadmin/diversity/Grievance_Flow_Chart.pdf (Addendum)

Policy 230—Grievance Procedure for Conditions of Employment-*Process for an employee to grieve alleged violation, misinterpretation, or misapplication of a policy, procedure, or practice regarding the employee's employment conditions.*

Separation from Employment: Policies and information relating to separating from employment at NDSU

Probationary

Policy 222—New Broadbanded Staff Probationary Period

Probationary resignation—employee should give a one week notice.

Probationary dismissal—department must give a one week notice or one week pay in lieu of notice.

*Resignation***:**

Policy 181—Resignation- *Employee should give minimum of a two-week notice; supervisor enters into Manager's Self-Service attaching resignation letter*

*Retirement***:**

Policy 141—Retirement Services- *Retired faculty and staff are eligible for services offered by the University to encourage retirees to maintain an association with the University and continue participation in activities as time and interest permit.*

Reduction in Force (RIF)

Policy 223—Reduction in Force - *Due to either a financial or organization restructure, follow the process in place, contact Human Resources to assist with this process at least one month prior to the reduction-in-force action.*

Justification to Human Resources (Addendum)

Letter to Employee (Addendum)

Fact Sheet (Addendum**)**

Policy 231—Appeal Procedure for Disciplinary and Reduction in Force Actions

*Reduction in Force Services***:** www.ndsu.edu/hr/mgrtoolbox/reduction

Employee Separation Information: www.ndsu.edu/hr/empltoolbox/separation_information/

Supervisor Separation Checklist: (Addendum)

Open Records/Personnel Files:

Policy 718—Public/Open Records - *Except as otherwise specifically provided by law or this policy i.e. medical, financial, benefits, etc., all records are public records, schedule an appointment at 701-231-8788.*

If a staff employee wants to review their personnel file, call 231-8961 to make an appointment.

Addendums

Procedure for Filling Broadbanded Positions

Procedures for filling staff positions are distinguished by whether the position is a **professional** position (1000 or 3000 job bands; see number 3 below) or a **technical/paraprofessional, office support, crafts/trades, services** position (4000, 5000, 6000, or 7000 job bands, respectively; see number 4 below). All benefited positions, however, for which a regular salary is paid (including fringe benefits), must be filled according to the following procedures. These positions include part-time and temporary positions unless paid by timeslip. General policies for recruitment are Policy 200: *Recruitment for Professional Staff Positions* and Policy 201: *Recruitment for Broadbanded Staff Positions*.

Prior to opening a position, the department head or designee should meet with a representative from the Office of Human Resources/Payroll to discuss the job description, qualifications, salary, policies, and weighting of qualifications.

Employees are hired relative to the market level for the job family. Consideration may be given to substantial, directly related experience and internal equity, which may include factors such as job performance and level of responsibility.

1. **Procedures for Filling a Professional Position.** (1000 and 3000 job bands)

   Complete *Create a Posting* in the Online Employment System and forward through the Approval Process up to Office of Human Resources/Payroll (Recruiting Office). Indicate search committee members, where to advertise*,* and attach an updated position description.

   Please note: only advertisements in regional newspapers, HigherEdJobs.com, Job Service North Dakota and notices to the NDSU Career Center Office, other agencies for affirmative action purposes, and placement on the Campus Wide Information System are posted by the Office of Human Resources/Payroll.

   After the position is posted on the www.ndsu.edu/jobs, the recruiter sends a draft screening sheet, draft interview report, and search information to the supervisor/search committee chair.

   Applicant materials are submitted online and acknowledged by the Online Employment System. Following the screening date, all applicant materials are released to the employing department in the Online Employment System. The search committee (which includes a representative from the Office of Human Resources/Payroll as an ex-officio member) evaluates and scores each applicant using the approved Screening Action Form.

   The search committee, in consultation with the department/unit head, determines the cut off point for interviews, and interviews all applicants with scores above the cut off. Prior to scheduling interviews, the Applicant Reviewer changes the status for the applicants selected to interview in the Online Employment System to *Request for an Interview*. The department submits the screening sheet to the HR Recruiter who reviews the screening sheet, follows-up with any questions, and changes the Online Employment System to *Interview Approved*, if appropriate. The search chair will be notified via email once the approval has occurred. For those applicants that do not meet the advertised minimum qualifications or who are ranked lower in the applicant pool, the HR recruiter will notify the applicants not chosen, via the Online Employment System, of their non-selection. In some situations, a Recruitment/Employment Checklist may need to be completed by the Search Committee/Department Head.

   The Search Committee creates relevant interview questions based on the advertised minimum and preferred qualification and forwards them to the recruiter for their review and approval prior to the interview.

   Following interviews, the search chair completes and signs the Interview Reports for each interviewed candidate, including reasons for selection or non-selection based on the advertised qualifications.

   Reference checks are conducted by the search committee/supervisor, preferably from at least the past two employers. (This step can also be done earlier in the process to determine interviewees.)

   The Applicant Reviewer completes the *Request to Offer* in the Online Employment System for the applicant selected and attaches materials (or sends hard copies to the recruiter): completed Recruitment/Employment Check Lists when applicable,

Interview Reports, Screening Sheet, Interview Questions, Reference Questions and who were contacted. These are submitted to the recruiter for *Initial Review*.

The recruiter reviews the materials for completeness including reasons for selection and non-selection, will follow-up if there are questions and then will forward for final approval signatures through the Online Employment System.

If approved, the recruiter will contact the department with approval to extend a Pre-Offer to the top candidate. (The Pre-Offer stage is also the time when a department may negotiate annual leave accrual rate.) When making the Pre-Offer, the conversation should include an explanation of our background check process and what the candidate can expect to see:

   o   The candidate will receive an email (e-invite) from an NDSU recruiter for the candidate to authorize Sterling Infosystems to perform a background check as part of the NDSU application process.

   o   The email will provide a link for the candidate to select, which will bring the candidate to a login screen to create an account, provide the requested information, review the consent section, and authorize the background check.

When the Criminal Background Check is completed with no concerns and the Request to Offer is approved the department will be notified.

After approval, the supervisor contacts selected applicant and offers position. If the first choice does not accept, contact the recruiter and explore the possibility of an offer to the second ranking applicant.

When a non-NDSU benefitted employee applicant has accepted the position, the hiring form is the Request to Offer in the O*nline Employment System*. The recruiter will contact the supervisor for the official hire date, official salary and contract dates (if applicable).

For an internal benefited candidate and current graduate students receiving a stipend, a Form 101 form needs to be submitted for a transfer.

The hiring department shall notify all other interviewed applicants that the position has been filled. The Office of Human Resources/Payroll will notify applicants who were not interviewed via e-mail from the Online Employment System.
The Office of Human Resources/Payroll will complete and close the search on the Online Employment System or electronic transaction file for the position opening and required documentation and retain for three years.

2. **Procedures for Filling a Technical/Paraprofessional, Office Support, Crafts/Trades, Services.** (All 4000, 5000, 6000, and 7000 job bands).

Complete *Create a Posting* in the Online Employment System and forward through the Approval Process up to the Recruiting Office. Indicate where to advertise and attach the updated position description.

The Office of Human Resources/Payroll will review the Create the Posting online including the position description for completeness and will post/advertise according to appropriate recruiting procedures and any special instructions from the department.

Please note: only advertisements in regional newspapers, HigherEdJobs.com, Job Service North Dakota and notices to the NDSU Career Center Office, other agencies for affirmative action purposes, and placement on the Campus Wide Information System are posted by the Office of Human Resources/Payroll.

After the position is posted on the www.ndsu.edu/jobs, the recruiter sends draft interview report and search process information to the supervisor.

After the screening date, the Office of Human Resources/Payroll representative will screen and rank the applications and will release to the employing official/department the applicant materials of those who best meet the criteria for selection (advertised minimum and preferred qualifications).

Employing official/department will review received applicant materials. Prior to scheduling interviews, the Applicant Reviewer changes the status for those applicants selected to interview on the Online Employment System to *Request for an Interview*. HR representative will review and follow-up if there are any questions and then *Approve the Interview*, if

appropriate. (Interviews should be scheduled by the hiring department for all of the referred candidates unless the HR representative approves.)

The Search Committee creates relevant interview questions based on the advertised minimum and preferred qualification and forwards them to the recruiter for their review and approval prior to the interview.

Reference checks are conducted by the supervisor, preferably from at least the past two employers. (This step can also be done earlier in the process to determine interviewees.)

Following interviews, the supervisor completes and signs the Interview Reports for each referred candidate, including reasons for selection or non-selection for each interviewed applicant based on the position description and qualifications and rank order the interviewed candidates. In some situations, a Recruitment/Employment Checklist may need to be completed. The materials are submitted to the Office of Human Resources/Payroll: Interview Reports, Interview Questions, Reference Questions and who were contacted.

The Office of Human Resources/Payroll will review materials for completeness including reasons for selection and non-selection and will notify the employing official if any additional information is needed.

The Recruiter will contact the department with approval to do a verbal Pre-Offer with the top candidate (internal or external) contingent upon approvals and background check. If the top candidate is still interested in the position, the department will notify the recruiter and provide candidate's preferred email address. The background check request will be emailed to the candidate for completion. (May also negotiate annual leave accrual rate with President's approval.)

The Applicant Reviewer completes the Request to Offer for the applicant selected in the Online Employment System to the Office of Human Resources/Payroll. When the Criminal Background Check is completed with no concerns and the Request to Offer is approved the department will be notified.

After approval, the supervisor contacts the selected applicant and offers the position. If the first choice does not accept, contact the Office of Human Resources/Payroll and explore the possibility of an offer to the second ranking applicant.

When a non-NDSU benefitted employee applicant has accepted the position, the hiring form is the Request to Offer in the *Online Employment System*. The recruiter will contact the supervisor for the official hire date, official salary and contract dates (if applicable).

For internal benefited candidates, submit a Form 101 after approval has been received by the recruiting office.

The hiring department shall notify all other interviewed applicants that the position has been filled. The Office of Human Resources/Payroll will notify applicants who were not interviewed.

The Office of Human Resources/Payroll will complete and close the search on the Online Employment System or electronic transaction file for the position opening and required documentation and retain for three years.

POSITION DESCRIPTION INSTRUCTIONS
North Dakota University System

This Position Description should be completed cooperatively by the employee and supervisor unless the position is new or vacant, in which case it should be completed by the supervisor. Call **Colette Erickson, Associate Director of Human Resources, at 231-8788** with questions.   This form is available in Adobe Acrobat, Microsoft Word and Microsoft Excel.

It is important that the information is accurate since the Position Description is used for the following purposes:
- a) job description;
- b) job family/band assignment;
- c) source document for recruitment;
- d) source document for responsibility reviews and employee development;
- e) source document for workers compensation or disability accommodation issues.

When the following information is completed, submit to Colette Erickson in Human Resources, #205 Old Main, to initiate the job family/band assignment process.

____ Completed detailed position description which accurately reflects the duties/responsibilities of the position.
____ Cover memo/statement indicating:
   the applicable reason:
   ____ New responsibilities have been added to the existing unit's mission/purpose and
            assigned to this position;
   ____ Significant amount of new responsibilities have been reassigned/changed to this position
            with no substantial change in the unit's mission/purpose;
   ____ Position is in a job family/band which has been revised by the NDUS Human
            Resource Council;
____ Contact person for the process;
____ Department (up to President) Organizational Chart representing reporting relationship used for Responsibility
   Reviews including each employee's:
   ____ Name
   ____ Job Title
   ____ Position Number
   ____ Job Family Name/#
____ As part of NDSU's eligibility for the ND Workers Compensation Risk Management Program, please include
   one of the following applicable responsibilities:
   ____ **For all employees, add the following:**
      Duty/Responsibility No.____: Work safely.
      Tasks: Follow safety rules; help identify unsafe working conditions, stop co-workers who are
working in an unsafe manner.
   ____ **For supervisor, add the following:**
      Duty/Responsibility No.____: Supervise safe operation of unit.
      Tasks: Conduct safety inspections, eliminate hazards, train employees about safe work habits,
and enforce safety rules.
   ____ **For heads of sub-agencies, VPs, and the President, add the following:**
      Duty/Responsibility No.____: Provide resources for safe operation of unit.
      Tasks: Provide financial and human resources to help eliminate identified safety hazards.

____ **For new positions**, complete the following in order for Payroll to assign a **position number:**

Account Codes:

Fund	Department	Project	Program	Account

POSITIONS DESCRIPTION INSTRUCTIONS
North Dakota University System

PART A - Identification, Duties/Responsibilities, and Task Inventory

1. **Name of Employee:** 1a. **Position #:**	2. **Empl ID #:**
3. **Job Family Name:** 3a. **Job Family #:**	4. **Functional Title:**

5. Please check all that apply:

	Full Time		**Part Time (FTE%)**
	9 month position		**10 month position**
	11 month position		**12 month position**
	Other month _____		

HR Use only

	Exempt *(If exempt, documentation required)*		*Non-Exempt*

University Mission: With energy and momentum, North Dakota State University addresses the needs and aspirations of people in a changing world by building on our land-grant foundation.

6. Institution:	**7. Division:**
8. Department:	**9. Unit:**
10. Work Mailing Address:	**11. Work Phone #:**

12. Name & Title of Supervisor:

13. What is the function of your department?

14. What is the purpose of your position? (Why does the position exist, how does the position function within the work unit?)

Position: Administrative Secretarial

Duty/Responsibility No:		1	**Statement of duty/responsibility:**
Percent of Time:		40	Perform departmental receptionist responsibilities.
For ADA compliance, see instructions. **Responsibility is: (Please check one)**			
x	**Essential**		**Secondary**

Tasks involved in fulfilling above duty/responsibility (include description of physical demands for individual task)
- Answer department telephone, relay information or transfer calls to appropriate individuals.
- Greet visitors, answer questions and/or direct them to appropriate individual(s).
- Handle daily mail and correspondence for department.

Duty/Responsibility No:		2	**Statement of duty/responsibility:**
Percent of Time:		45	Perform departmental administrative activities.
For ADA compliance, see instructions. **Responsibility is: (Please check one)**			
x	**Essential**		**Secondary**

Tasks involved in fulfilling above duty/responsibility (include description of physical demands for individual task)
- Compose routine correspondence for department chair.
- Key instructional materials (tests, syllabi, handouts, class schedules) for department faculty.
- Make travel arrangements for all departmental faculty.

Duty/Responsibility No:		3	**Statement of duty/responsibility:**
Percent of Time:		15	Assist with department seminars.
For ADA compliance, see instructions. **Responsibility is: (Please check one)**			
	Essential	x	**Secondary**

Tasks involved in fulfilling above duty/responsibility (include description of physical demands for individual task)
- Work at registration table.
- Assist in scheduling equipment, rooms and refreshments.
- Handle participant's correspondence and registration materials as needed.

Duty/Responsibility No:		4	**Statement of duty/responsibility:**
Percent of Time:		100	Work safely.
For ADA compliance, see instructions. **Responsibility is: (Please check one)**			
x	**Essential**		**Secondary**

Tasks involved in fulfilling above duty/responsibility (include description of physical demands for individual task)
- Follow safety rules.
- Help identify unsafe working conditions.
- Stop co-workers who are working in an unsafe manner.

Part A - 15. Duties/Responsibilities

Provide a general statement of each major duty or responsibility.
< List the task(s) involved in accomplishing each major duty/responsibility.
< Indicate the percent of time that is spent on each major duty or responsibility. Estimate percentages over the course of the year.
   (The incumbent could keep a record of the time spent performing each duty of a course of time.)
< Begin each statement with a verb that exemplifies the action taken in performing the assignment.
< **Indicate Essential/Secondary.** The following questions should be taken into consideration in the determination:
   -Is the duty/responsibility the reason the job exists?
   -Is this a highly specialized task or one that requires special education, training licensure?
   If the answer is yes, the duty is essential.
   -What is the percentage of time spent on the function?
   If the answer indicates a great % of time, the duty is probably essential.
   -What are the consequences to others or to the institution of the failure to perform the function?
   If the answer indicates a high level of accountability, the duty is essential.
NOTE: See examples and additional instructions attached.

Duty/Responsibility No:		Statement of duty/responsibility:
Percent of Time:		
For ADA compliance, see instructions. **Responsibility is:** **(Please check one)**		
	Essential		**Secondary**	
Tasks involved in fulfilling above duty/responsibility (include description of physical demands for individual task)		

Duty/Responsibility No:		Statement of duty/responsibility:
Percent of Time:		
For ADA compliance, see instructions. **Responsibility is:** **(Please check one)**		
	Essential		**Secondary**	
Tasks involved in fulfilling above duty/responsibility (include description of physical demands for individual task)		

PART B
Working Environment

1. EDUCATION/KNOWLEDGE REQUIREMENT - Minimum education required to perform adequately in position could reasonably be attained only by completing the following (If you were to recruit today, what qualifications would you require?):

REQUIRED EDUCATION/TRAINING (choose one)			DEGREE INFORMATION: Type of degree: (B.S., M.A., etc..)
	less than high school diploma		
	High school diploma or GED.		Major field of study or degree emphasis: (accounting, economics, etc...)
	1 year college		2 years college	
	3 years college		4 years college	
	1st year graduate level		Specialized subject knowledge :(cost accounting, MACRO economics, etc...)
	2nd year graduate level		

Required Work Experience in Addition to Formal Education/Training:

Required Supervisory Experience:

2. LICENSE/ CERTIFICATION	Identify licenses/certification required:
3. SPECIFIC SKILLS OR EQUIPMENT REQUIRED	Requires use/operation of (could include computer software/hardware, tractors, lab equipment, organizational/prioritization ability, interpersonal/oral/written communication skills, customer oriented/service, detail oriented, etc.):

4. RESPONSIBILITY FOR DIRECT SUPERVISION OF THE FOLLOWING PERSONS/POSITIONS		
Position #	**Title of Person Supervised**	**FTE %**
	TOTAL	

5. INDIRECT SUPERVISION	
Total number of positions indirectly supervised:	
Total number of students or other non-banded staff employees indirectly supervised:	

6. HAZARDOUS WORKING CONDITIONS	
	Unusual or hazardous working conditions related to performance of duties:
	Precautionary measures taken to avoid those unusual or hazardous working conditions:
	Frequency of occurrence of unusual or hazardous working conditions:

7. PHYSICAL JOB REQUIREMENTS: Indicate according to essential duties/responsibilities				
Employee is required, with or without accommodations, to:	**Never**	**1-33% Occasionally**	**34-66% Frequently**	**66-100% Continuously**
Stand				
Walk				
Sit				
Use hands dexterously (use fingers to handle, feel)				
Reach with hands and arms				
Climb or balance				
Stoop/kneel/crouch or crawl				
See				
Talk or hear				
Taste or smell				
Lift & carry: up to 10 pounds				
up to 25 pounds				
up to 50 pounds				
up to 75 pounds				
up to 100 pounds				
more than 100 pounds				

This Position Description reflects an accurate and complete description of the duties and responsibilities assigned to the position.

_____ _____
    Employee's Signature   **Date**

_____ _____
    Supervisor's Signature   **Date**

                    Please Attach An Organizational Chart

TEMPLATE - Request for Additional Leave Accrual for External Staff Candidate

DATE:

TO: President, Dr. Dean Bresciani

FROM:

RE: **Request for Additional Leave Accrual for External Staff Candidate** (current benefitted employees are not eligible)

Department: _____

Position Title: _____

Candidates Background (Education/Experience and how it relates to this position):

Amount of leave accrued at current/previous employer: _____

Request starting accrual of: (normal starting accrual is 12 days /year)

Please check one of the following:

____ 15 days per year   ____ 21 days per year

____ 18 days per year   ____ 24 days per year

For President's Use Only:

Request is (circle one):   **Approved**   **Denied**

Signature: _____ Date: _____

Contact for questions:

Name: _____

Phone: _____

E-mail: _____

Acknowledgement and Support Given by:

Department Head Signature: _____ Date: _____

Dean Signature (if applicable): _____ Date: _____

Vice President Signature: _____ Date: _____

Provost Signature: _____Date: _____

New Employee Onboarding Checklist

Directions: This checklist is designed to assist with the new employee's onboarding process. Onboarding is a long-term process that begins before an employee's start date and continues. It helps the new hire feel welcome and prepared in their new position. This checklist is organized chronologically and assists with the preparation of the arrival of the new employee. The department may add additional activities that are relevant to the new employee's position.

Employee's Name (please print) _____

Job Title:_____ **Hire Date** _____

Supervisor	Office Admin	N/A	Quick List	Details
			Pre-Arrival – Without Employee ID#	
			Call to Welcome New Hire	Call to officially welcome the new employee to NDSU after confirmation of acceptance. • Provide information to a contact person in the event the new employee has a question or issue (Onboarding Peer is recommended) • Let the new employee know where to park and report to on the first day, dress code, work day hours
			Send Announcement to Department	Send an announcement (i.e. email) to the department announcing the new hire and the start date.
			Schedule Benefit Session	A benefit session will be scheduled by the recruiter. If you have questions regarding the benefit session, please contact the appropriate recruiter.
			I-9 Completion	Ensure completion of the I-9 form *On-campus or Fargo area employees:* • Section 1 - To be completed by employee no later than the 1st day of employment • Section 2 – Document verification must be completed no later than the 3rd day of employment by HR/Payroll Staff *Off-campus and out of Fargo-area employees:* • Section 1 - To be completed by employee no later than the 1st day of employment • Section 2 – Document verification must be completed no later than the 3rd day of employment by Authorized Personnel or Notary Public
			Request Phone Service	Contact your department's Phone Counselor
			Computer Ordering & Set-up Information (for new or existing machines)	• Check preferred computer hardware configurations at: • www.ndsu.edu/its/hardware-standards • Purchase selected computer from the Bookstore: www.ndsubookstore.com (Electronics) or call 231-7761 for assistance • Contact your department's Software Contact to have PC imaged or re-imaged www.ndsu.edu/its/software-contacts
			Order Name or Door Plate	Departmental decision

			NDSU Name Badges	For guidelines, questions, or if you need information regarding appropriate format, or recommended vendor:
				 • Contact: Char Goodyear
				   VP University Relations, www.ndsu.edu/vpur
				   701.231.1068

			Authorize Parking	Notify parking office that new employee is authorized to park in designated lot. Contact: Parking Office, 231-5771 http://www.ndsu.edu/parking/contact/ You may obtain a one-or two day temporary parking pass for convenient first day arrival.
			Work Space	Organize work space and order supplies
			Update Website Info	Department responsibility
			Prepare List of Contacts	Prepare a list of contact information (names of staff, job titles, job duties, contact information) and other contacts across campus. Frontliner's Contact List: http://www.ndsu.edu/fileadmin/hr/docs/ndsucontacts.pdf
			Prepare Welcome Packet	Have information available to go through and discuss with the new employee on their first day (Meeting with New Employee). Some suggestions: • Campus Map • University and Department Organizational Charts • Campus Contact Lists • Leave Slip/Time Sheet (if applicable) • Floor plans of Memorial Union (Conference Rooms) • Holidays and Break Times (if applicable) • Injury Report

			Schedule New Employee/ Faculty Orientation Session	This is the day-long quarterly orientation with Human Resources and NDSU President. You may contact Human Resources/Payroll to schedule your new employee for an upcoming session.
				• Contact: Human Resources/Payroll
				  701.231.8961 ndsu.hr@ndsu.edu
				For Faculty: This is a two day yearly orientation in the fall with the Provost office.
				• Contact Provost office/ Melissa Lamp
				  701-231-7131 melissa.lamp@ndsu.edu

			Reimburse Moving Expenses (if applicable)	Check with your Vice President to see if applicable Please refer to Policy 171 at www.ndsu.edu/policy

Pre-Arrival – after you receive the Employee ID#

Access and Authorizations: (IT Services, Building Access, Miscellaneous)

			Automated IT Services (enroll)	**Once you have the *employee's electronic ID #,*** provide it to the employee. If they have a computer at home, direct them to http://www.ndsu.edu/its/help_desk/account_hub/new_stafffaculty_account_setup/ for instructions on activating IT services. Within 24-48 hours of "enrolling" the employee will automatically receive access to: • E-mail address • Wireless access • Desktop Auth (cluster and Novell login) • Blackboard • Library services If this doesn't work, contact the Help Desk ndsu.helpdesk@ndsu.edu or 231-8685.
			Departmental IT Services	Services that are specific to the department need to be requested from the Help Desk by the employee's supervisor. Send request to ndsu.helpdesk@ndsu.edu Such service requests include, but are not limited to: • Department shared drives (S: drive) • Content Management System (Typo3 – Website creation/editing) • ImageNow • File (U: drive or personal drive) • Calendaring (Oracle or GroupWise)
			Request Building Access – Keys or Card Access	Contact your department's Key Control Person http://www.ndsu.edu/its/help_desk/account_hub/new_stafffaculty_account_setup/ link to the appropriate PDF form(s)

			Authorize FAMIS Discoverer Reports Access and Information about FAMIS	If applicable, authorize access to the FAMIS Discoverer Reports (billing reports) http://www.ndsu.edu/fileadmin/vpfa/forms/FM-NDUS_FMS_SelfServiceRequest.pdf link to the appropriate PDF form
			Order Business Cards	Order online at: http://www.ndsu.edu/printandcopy/job_submission (must have employee ID and email address prior to ordering business cards)

Miscellaneous Services: (add departmental specific items)

			Dept LISTSERV	Make sure employee is added to the appropriate department LISTSERV(S).

First Day

			Greet New Employee	Show the new employee their workspace
			Introductions	Introduce the new employee to co-workers, other employees in the building and others (Suggestion: have a welcome coffee break or lunch with all employees)
			Department Tour	Provide a tour of the department including critical areas such as time clock, mailboxes, break area, restrooms, office supplies, copiers, fax machines, printers, etc.
			Campus Tour	Provide a tour and map of the campus. Some suggestions to include in the tour: • Dining services • Departments the new employee will work with closely • Wellness Center • Memorial Union (Conference Rooms) • Library • Facilities Management (parking, motor pool)
			Obtain Parking Permit	Assist employee with obtaining their parking permit http://www.ndsu.edu/parking/
			Bison Card (Employee ID)	Assist employee with obtaining their ID card. Bison Card Center – Memorial Union www.ndsu.edu/bisonconnection/bisoncard
			Meeting with Employee	Meet with the employee to discuss university and department protocol/information: • Information in Welcome Packet • Dress code • How to fill out time sheets, use KRONOS or other • Department hours and employee's work hours, lunch/break times (Refer to Policy Manual http://www.ndsu.edu/policy-Policy 137 Holidays; 213 Rest Periods; 214 Work Week) • Payroll schedule, overtime policy (if applicable), etc. (Policy 129 Salary Administration Policy, 212 Overtime) • Annual/sick leave policies and processes for requesting time off or reporting absences (Policies to reference: 130, 135, 139, 143, 146, 147, 149) • Customer service philosophy, response time and phone etiquette, culture, dept. mission • Department communication process, staff meetings, emails, etc. • Training (phone use, copy machine codes, programs, professional development) • Tuition waivers/discounts (Policy 133, 133.1) • Email as an Official Communication Method for Employees (Policy 158.1)
			Academic Oath (Faculty)	Have new faculty member sign the academic oath that is located at http://www.ndsu.edu/fileadmin/provost/Academic_Staff_Oath.pdfand put a copy in the personnel file.

Access and Authorization to Systems:

			PeopleSoft Access – Finance	Prerequisite: PeopleSoft Data Privacy Training For instructions on requesting access visit: http://www.ndsu.edu/peoplesoft/finance_security/ For assistance: Michele Kuppich Accounting, Financial Systems Trainer 701.231.7823 Michele.Kuppich@ndsu.edu

			PeopleSoft Access – HRMS	Prerequisite: PeopleSoft Data Privacy Training http://community.ndus.edu
				        Once logged in with the NDUS credentials,
				        Choose "NDUS Employee Development"
				        Choose "NDUS Data Privacy Training"
				        Follow the instructions on the pages.
				Supervisor sends email to ndsu.hr@ndsu.edu which includes:
				• Roles the new user will need
				• Departments they need to access
				• Name (First, Middle Initial, Last)
				• Employee ID
				• Phone Number
				• Email Address

			PeopleSoft Access – Student	Prerequisite: PeopleSoft Data Privacy Training http://community.ndus.edu
				        Once logged in with the NDUS credentials,
				        Choose "NDUS Employee Development"
				        Choose "NDUS Data Privacy Training"
				        Follow the instructions on the pages.
				• Contact: Kristi Wold-McCormick
				      Registration and Records
				      701.231.7989 K.Wold-McCormick@ndsu.edu

			Request Online Employment System (PeopleAdmin) Access (if applicable)	The Online Employment System (PeopleAdmin) is the online hiring system: https://jobs.ndsu.edu/hr If applicable, the supervisor must send an email to request access to: ndsu.jobs@ndsu.edu Include employee name, level access to be assigned, and department number(s) the user will need access to
			Self-Service	Allows an employee to: view pay advice, benefits, personal information, leave accrual, etc. • Employee receives email from the PeopleSoft Help Desk with instructions on how to claim the user ID and password (occurs after they have been hired into HRMS) • Contact PeopleSoft Help Desk for login issues (866-457-6387) Self-Service guide http://sits.ndus.edu/archive/connectnd.ndus.edu/fileadmin/connectnd.ndus.edu/PDF/Self_Service_Manual_-_Employee_090311.pdf
Within the First Week				
			Have employee sign Position Description and submit to Human Resources/Payroll (Faculty –submit to Dean's office for inclusion in official personnel file)	Review Position Description/Duties/Responsibilities and then have employee sign the Position Description and submit it to Human Resources/Payroll (Related policies: http://www.ndsu.edu/policy Policy 101 Personnel Definitions, 101.1 Employee Group Definitions; Broadbanding Policy 241 www.ndsu.edu/broadbanding)
			Notify, emergency procedures	Explain the emergency broadcast system, how it works, and what to do. Discuss other emergency preparedness procedures for your department.
			Purchasing Card (if applicable)	These are not applicable to all positions. • Purchasing Policy, Agreement and User Manual http://www.ndsu.edu/purchasing/procurement_card/

			Have employee sign the Responsibility Review form and submit to Human Resources/Payroll (recommended for goal-setting)	Meet with Employee to discuss Performance Expectations • Explain 6 month probationary period and extension option for cause (Related policy: http://www.ndsu.edu/policy Policy 222) • Review mission of the university and department and how this position fits into those missions • Review departmental operations • Review Responsibility Review form, set goals and action steps • Discuss training process
Training, Safety, Policy Review:				
			Mandatory Safety Training, and other Safety/General Health	Have employee complete safety training online or attend a session. For more information on safety, security and general public health: http://www.ndsu.edu/police_safety/training/ Also on this page you can link to *Training Requirement List (PDF)* for safety training applicable for specific job requirements. Related policies (http://www.ndsu.edu/policy): Policy 144, 153, 155, 164
			Mandatory Harassment Training	Have employee complete harassment training online (must be completed within 30 days of employment) https://secure.newmedialearning.com/psh/ndstateu Related policies (http://www.ndsu.edu/policy): Policy 162, 163, 163.1

			Mandatory Fraud Awareness Training	Have employee complete the Fraud Awareness Training http://www.ndsu.edu/auditadvisory/training/
				• View NDSU Training Presentation: Fraud Awareness and Responsibilities
				        OR
				• View Deloitte Video: A Discussion About University Fraud
				        AND
				• Complete and submit the Code of Conduct and Fraud Training Certification

			Review NDSU Policies	Policy Manual: www.ndsu.edu/policy • Reference key issues with FERPA, HIPPA, Acceptable Use & Confidentiality General policies (http://www.ndsu.edu/policy): Policy 151–Conflict of Interest; 158 – Acceptable Use of Electronic Communications Devices; 161 -Fitness for Duty; 169 – Employee Misuse of Property Reports; 181 –Resignation; 240–Changing positions; 406– Surplus Property; 700 –Service & Facilities Usage; 710–Computer & Electronic Communications Facilities
			Grant Resources and access	If you have questions or need assistance regarding research-related activities, please email NDSU.research@ndsu.edu or call 231-8045. For an overview of how NDSU research administration works, see the "Research 101" slideshow at: http://www.ndsu.edu/research/pdf/NDSUResearch101.pdf
On a Regular Basis				
			Be Available for Questions	Meet regularly to answer questions
			Job-Related Behaviors	Document and address specific job-related behaviors, both positive and negative. Immediately provide feedback on areas for improvement as problems occur. Openly praise positive behavior and good performance.
			Job-Related Issues	Related policies (http://www.ndsu.edu/policy): Policy 220, 232 – Job Discipline/Dismissal; Policy 156, 157, 230, 231 – Grievance & Appeal
Six Months (Staff)				
			Responsibility Review	Conduct 6-month probationary Responsibility Review. Related policies (http://www.ndsu.edu/policy): Policy 221 and 222
Miscellaneous (add departmental specific items)				
			Junior Faculty Mentorship Program (Faculty)	Sponsored by the FORWARD group –contact: ndsu.forward@ndsu.edu
			Refer new employee to the Office of Multicultural Affairs for additional resources	Affinity Groups provide forums for employees to gather socially and share ideas outside their particular campus department. http://www.ndsu.edu/multicultural/affinitygroups/

Family Medical Leave Act (FMLA)

Process:
The employee must contact the Associate Director of Employee Development in the Office of Human Resources and Payroll to request the appropriate paperwork.

Eligibility:
Employees are eligible if they have worked for NDSU for 12 months (need not be consecutive) and have worked at least one thousand two hundred fifty hours for the employer in the 12 months preceding the leave.

Reasons for Taking Leave:
Unpaid leave must be granted for any of the following reasons:
- To care for the employee's child after birth, or placement for adoption or foster care;
- To care for the employee's spouse, son or daughter, or parent, who has a serious health condition; or
- For a serious health condition that makes the employee unable to perform the employee's job.
- Any qualifying exigency arising out of the fact that the spouse, son, daughter or parent of the employee is on active duty or has been notified of an impending call to active duty status
- To care for a service member who is recovering from a serious illness or injury sustained in the line of duty on active duty that is a spouse, son, daughter, parent or next of kin (This entitles the employee to up to 26 weeks of leave in a single 12 month period)

Length of Leave:
Up to 12 weeks for authorized reasons (26 weeks in a single 12 month period for the care of a covered service member)

Advanced Notice and Medical Certification:
The employee may be required to provide advance leave notice and certification. Taking of leave may be denied if requirements are not met.
- The employee must provide reasonable and practicable advance notice when able.
- An employer may require medical certification to support a request for leave because of a health condition.

Job Benefits and Protection:
- For the duration of leave, NDSU will continue to pay for health insurance benefits. However, if the employee does not return from the leave, NDSU may (when legally allowed) seek to recover the cost of the health insurance benefit.
- Upon return from leave, employees will be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.
- The use of leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee's leave.

Unlawful Acts by Employers;
It is unlawful for NDSU to interfere with, restrain, or deny the exercise of any right provided under FMLA.

Americans with Disabilities Act (ADA)

Request for reasonable accommodation:
An employee whose disability requires reasonable accommodation in order to perform his/her job may request reasonable accommodation at any time during his/her employment. Such requests may be made verbally (informally) or in writing using the ADA request form (formally). The request shall be made directly to the Office of Human Resources/Payroll.

Process for addressing requests for accommodation:
As soon as possible after the employee's notification of the need for accommodation, the HR representative, the employee and supervisor should engage in a discussion to clarify what the employee needs and identify appropriate reasonable accommodation.

The University will attempt to provide the accommodation in the form requested by the employee but may provide an alternative so long as it is effective in removing the workplace barrier(s) that impedes the employee with the disability. The employee may refuse an alternative reasonable accommodation but such refusal may mean the individual no longer is qualified for the job.

Documentation of disability and need for accommodation:
If the employee chooses to make the request in writing, the request form is available at:
http://www.ndsu.edu/fileadmin/diversity/forms/ReasonableAccommodation.pdf

Unless both the disability and the need for accommodation are obvious, the employee will be asked to provide relevant, written documentation of a disability. Documentation should be from an appropriately certified or licensed health care or rehabilitation professional and must specify the existence of a Section 504/ADA disability and explain the need for reasonable accommodation.

Documentation provided by an employee should include the following:
- A statement identifying the disability, the date of the current diagnostic evaluation and the date of the original diagnosis, including diagnostic criteria and/or tests used.
- A description of the current functional impact of the disability.
- Treatments, medications, assistive devices/services currently prescribed or in use.
- A description of the expected progression or stability of the impact of the disability over time.
- The relevant credentials of the diagnosing professional(s) such as medical specialties or professional licensure. This documentation should be provided on the form available at: http://www.ndsu.edu/fileadmin/diversity/forms/disdoc_2.doc

Any written documentation provided by an employee requesting accommodation should be submitted to the Office of Human Resources/Payroll where it will be maintained in a confidential file separate from the employee's official personnel file. Occasionally, the documentation provided by the employee may not be sufficient to make a determination of the appropriate reasonable accommodation. In such a circumstance, the University may require the employee to go to a health care professional of the University's choice in order to adequately document the need for accommodation and identify appropriate accommodations. Any medical examination required under these circumstances will be limited to determining the existence of a disability and the functional limitations that require reasonable accommodation. Any costs related to the University's request for the additional medical documentation described above will be the responsibility of the University.

Requesting a Change in Work Schedule

Per Department of Labor guidelines, if an employee requests to shorten their work hours by omitting the provided lunch period, the request by the employee must be documented.

During the following timeframe:

From: _____   To: _____

I request a change in my work schedule. I am requesting permission to omit my lunch period and shorten my work day by that time period.

Employee Name: _____

Employee Signature: _____

Date: _____

Approval:

Supervisor Name: _____

Supervisor Signature: _____

Date: _____

Template Notice of Fitness for Duty Evaluation

To:

From:

CC:

Date:

Re: **Notice of Fitness for Duty Evaluation**

The purpose of this memo is to notify you of my intent to proceed with a Fitness for Duty evaluation. Per Policy 161, Fitness for Duty, (attach policy) the University has the right to require a medical evaluation when deemed appropriate. This evaluation will be scheduled and coordinated through the NDSU Safety Office. You will be notified of the appointment time and date and will be expected to attend. The evaluation will be paid for by the University. Following your evaluation, we will determine whether you are able to meet the duties and responsibilities of your position.

Discuss reason/background that lead to this decision.

My signature is simply an acknowledgement of receipt of this memorandum and does not indicate agreement. Please sign and return this notice to me no later than [Date].

_____   _____
Employee Signature   Date   Supervisor Signature   Date

*Send copy to HR/Payroll Office

What is considered under Fitness for Duty? What is the Process?

NDSU Fitness for Duty

| Physical | Medical | Mental | Alcohol & Drugs |

HR/PR
Notify the Safety Office of a Request for Fitness for Duty Evaluation. Include Request Form to identify type of evaluation (Exam Only or Exam & FCA)

Safety Office
Call Sanford to schedule Fitness for Duty Evaluation
- Send letter to Sanford requesting Medical Evaluation and/or FCA
- Complete Sanford's Authorization for Examination (Use Dept. Address for billing purposes)

Include all attachments:
- Position Description
- Medical Release of Information Form
- Medical Information/Notes
- Legal Orders
- Other significant information

Medical information will be returned to:

NDSU RESPONSIBILITY REVIEW GUIDELINES

The Responsibility Review form is for the <u>purpose of examining the primary duties and responsibilities of each position</u> and identifying progress in accomplishing those duties. The review should be completed cooperatively between employee and supervisor in a private setting that allows enough time for thorough discussion. A current position description is needed before the review can take place.

The review starts with the organization's mission statement. There is value in having every employee read this and understand what the institution as a whole is charged to do. As a next step, include your department's mission statement. If you don't have one, consider writing one with your whole department's input. This <u>identifies the department's role in contributing to the institutional mission</u>.

The examination of the employee's duties and responsibilities <u>highlights how s/he fits into the larger picture presented in the mission statements</u>. You will note that there is only room to examine up to four duties and responsibilities from an employee's job description. A review of the employee's safety performance is included to comply with NDSU's eligibility for the North Dakota Workers Compensation Risk Management Program. You may copy this form if you wish to examine more duties for an individual, but you are encouraged to think about rewriting the job description. Many job descriptions are written expansively and in minute detail.   Some are written by project, with repetition of tasks within each project. If an employee can concentrate on a smaller number of goals, and truly accomplish them each year, the University will be making solid progress. You may obtain the form by going to the following website: **www.ndsu.edu/hr/forms.shtml**.

The examination of the duties and responsibilities takes into account:

- X   Progress on previous goals.
- X   Feedback from a variety of sources (including, but not limited to, people from whom the work flows, other people involved in the work, people who are the recipients of the work, observations of the supervisor and statistical data), from whatever sources the supervisor (with input from the employee) feels best answer the question "How do we know if this is being done well?"
- X   Details of that feedback (may be positive, neutral, negative, anecdotal, statistical).
- X   Identify a goal (in today's changing environment, there is always something that needs attention). The feedback taken into account should make this a natural next step. If not, go back and re-evaluate your feedback sources.
- X   Identify resources needed to meet the goal. This could take the shape of time, money, equipment, space, training, cooperation, etc.

It is appropriate to consider not only the results of the duties as they are performed, but the <u>behaviors used as they are performed</u>. In executing daily responsibilities, does the employee perform in a legal and ethical manner? Does s/he adhere to institutional policies? Does the employee work well with others as a team member, enabling others to get work accomplished? <u>Positive working relationships are essential to the performance of virtually every position and should be considered in reviewing every duty</u>.

Space is given at the end for general comments by both the employee and the supervisor. Signature lines are provided for the employee and the person your department head has designated as authorized. **If addendums are attached to the review, the employee and the supervisor must sign those as well.**

Return the original of the signed Responsibility Review to the Office of Human Resources.

EXAMPLES:

*For a receptionist working in an office***:**

Duty and Responsibility #1: Answer phone and receive walk-in visitors.

Review of previous goal: (Ensure that staffing prevents phone from going unanswered or ringing many times before answering.) Have hired work-study help on a schedule, which allows for coverage at all times.

Current feedback sources: Co-workers in office; supervisor; regular visitors/callers to office; average number of visitors/callers per day.

Current feedback details: Phone answered by second ring, cordial voice, messages taken, 42 calls/24 visitors per day (3.1% increase in traffic over last year). Reports of calls being transferred to wrong person, resulting in multiple transfers.

Identified Goal: Transfer a call only once to appropriate person.

Resource needed: Training course on telephone screening skills. Time and information to develop list of who performs services for which calls are often received.

For a research specialist working in a laboratory:

Duty and Responsibility #1: Design, perform and document experiments.

Review of previous goal: (Improve timeliness of report writing.)   Revised schedule to build in time
for write-ups. Materials during the last year in on time, but not all are legible.

Current feedback sources: Project co-workers; principle investigator; scheduled documentation of data collected; laboratory materials usage.

Current feedback details: Project drawing to completion. Has worked cooperatively with co-workers.
Laboratory materials used within planned amounts.

Identified Goal: Need legible documentation as noted above. Not knowledgeable in plant growth models to be used in next project.

Resource needed: Computer for lab. Developmental leave for education in plant growth models.

NDSU

RESPONSIBILITY
REVIEW

Employee:

Title:

Position Number:

Department:

NDSU Mission: *With energy and momentum, North Dakota State University addresses the needs and aspirations of people in a changing world by building on our land-grant foundation.*

Department Mission:

From the position description, identify the major duties and responsibilities of the position to be reviewed:

Duty and Responsibility #1:

Review of previous goal:

Current Feedback Source(s):

Current Feedback Details:

Identified Goal(s):

Resources Needed:

Duty and Responsibility #2:

Review of Previous Goal:

Current Feedback Source(s):

Current Feedback Details:

Identified Goal(s):

Resources Needed:

Duty and Responsibility #3: Please choose one of the following 3 options:

For all employees, add the following:

Work safely. Follow safety rules; help identify unsafe working conditions, stop co-workers who are working in an unsafe manner.

For supervisor, add the following:

Supervise safe operation of unit. Conduct safety inspections, eliminate hazards, train employees about safe work habits, enforce safety rules.

For VPs and the State Forester, add the following:

Provide resources for safe operation of unit. Provide financial and human resources to help eliminate identified safety hazards.

Current Feedback Source(s):

Current Feedback Details:

Identified Goal:

Resources Needed:

SUPERVISOR COMMENTS:

EMPLOYEE COMMENTS:

My signature below signifies that I have read this review to be placed in my official personnel file and does not necessarily signify agreement. I understand that I have the right to respond in writing to any material in this review and that my response will be attached to this record.

_____   _____   _____   _____
Employee signature   **Date**   **Authorized signature**   **Date**

Please indicate whether the employee has exceeded, met or not met expectations during this review period:

_____ Met expectations
 – Meets performance standards
 – Competently performs most aspects of job duties and meets goals
 – Capably adjusts to changing workplace needs and work requirements
_____ Did not meet expectations
 – Does not meet performance standards consistently
 – Requires close supervision in performing routine job duties
 – Received poor or negative performance feedback

Letter of Expectation

To:

From:

Date:

Subject: **Letter of Expectation**

I am issuing this letter of expectation in order to re-establish and clarify expectations for the successful fulfillment of the _____ position.

Expectations for you in the _____ position are:
1.
2.
3.
4.

I want you on our team. However, being on our team means that the expectations stated above need to be met with a renewed commitment to both our department and the university. It is my belief and expectation that this commitment begins with an overall change in attitude and approach to your work life.

_____   _____
Employee Signature   Date   Supervisor Signature   Date

cc: Personnel File

*Send original to HR/Payroll Office

Performance Improvement Plan Outline

The purpose of the performance improvement plan is to identify performance deficiencies and to provide a clear concise mechanism for improving performance to a standard of Meet Expectation or Fully Achieves. Thought and consideration should be given to training and other resources that may be available to help the employee reach the required standard. **The employee should understand that the intent of the plan is to help him/her be successful in their job.** As the manager or supervisor, ask yourself the following questions: How does this employee know the expectations of the job? Were the duties of the job and the required standards covered in the departmental orientation? Has he/she been presented with a current position description? Are you able to describe to the employee how a successful completion of this plan will look?

Performance Improvement Plan:

State the performance concern or issue. Be specific. State the impact: The grant files are not maintained in an orderly manner. The required documents are hard to find. The consent forms for seven of the twenty study participants have expired. If the files are not maintained properly, the grant can be taken away. The consent forms are critical in that they show we are authorized to conduct our testing.

Expectation/Standard: Maintain the files within the regulatory guidelines. All consent forms should be attached to inside cover of the folder. A new signed consent form should be obtained every sixty days. All current participant medications should be listed and included in the file. Research notes should be filed within 24 hours of receipt from the investigator. All files should be kept in the appropriate file drawer in alphabetical order.

Goal and timetable: The files will be correctly maintained 100% of the time. Over the next 30 days you are expected to organize the files alphabetically. Contact the seven study participants and request that they come by your office on their next visit to sign a new consent form. File all interview and research notes in the appropriate participant file. You are to let me know immediately if you have trouble contacting any of the participants.

Identify any barriers that would prevent meeting expectations.

Follow up: I will meet with you on a weekly basis over the next 30 days to determine progress. The weekly meetings will include a random audit of the files.

Consequences: It is important to let the employee know the consequence of unimproved performance, i.e. Inability to meet these expectations will result in further disciplinary action, up to and including termination. However, it is equally if not more important to let the employee know that the intent of this plan is to help them be successful in their job and to let them know the importance of their contribution to the overall mission of the department.

If the employee has extensive overall performance issues, we would outline something more in the line of a 90-day plan. All of the concerns and expectations would be outlined. We would work with the manager to identify what specific issues could be tackled in the first 30 days. During the second leg of the triangle or by sixty days the employee should be at standard for additional tasks. By the end of the 90 days the employee should be at a Meet Expectation for the overall performance.

Example:

Performance improvement for tasks A, B, C, X, Y, Z:

First 30 days work on meeting standard for   A and Y

Second 30 days incorporate B, C,   A, Y, B, C

By the end of the 90 days meet standard for A, Y, B, C, X, Z

EMPLOYEE PERFORMANCE IMPROVEMENT PLAN

In conference with: **Date:**

Persons in attendance:

Performance Concern/Issues:

Previous conversations regarding (if appropriate):

    Letter
    Responsibility Review

Expectation/Standard:

Goal and Timetable:

Barriers that would prevent meeting expectations:

Consequences:

Employee Response:

Employee's signature: _____
                       (signature indicates you have read this, not that you agree or disagree)

Supervisor's signature: _____

Director's signature: _____

*Send original to HR/Payroll Office

WRITTEN WARNING TEMPLATE

To:

From:

CC:

Date:

Re: Written Warning

The purpose of this memo is to provide a formal written warning to be placed in your personnel file regarding concerns with your job performance. The performance concerns are: (list specific concerns here).

Next paragraph should contain the following:

1. Create a numbered list of the bulleted item(s) mentioned above.

2. Provide a specific example of the issue behind each numbered item

3. State that this is a follow-up to a previous conversation held on MM/DD/YY

4. List expectations for improvement

Example:

1.) **Unprofessional behavior as a manager.** There are a few issues that have come to my attention regarding your actions as a manager as part of our management team. Concerns raised include sharing confidential information to your direct reports. *As part of the management team, I expect that you respect conversations that are held in meetings and do not share information that is intended to remain confidential.*

(Paragraph to reiterate expectations):

As I stated to you on our meeting of (MM/DD/YY), I want you on our team. However, being on our team means that there needs to be improvement in the areas described above, with a renewed commitment to both our department and the university. It is my belief and expectation that this commitment begins with an overall change in attitude and approach to your work life. If your behavior regarding x/y/z does not improve immediately and continuously thereafter, it may lead to disciplinary action up to and including termination.

If it would be helpful to you, NDSU provides an employee assistance program through The Village Employee Assistance Program. You can schedule an appointment by calling 1-800-627-8220 or visit their website for resources at http://villageeap.com/ with the username NDSU to login.

My signature is simply an acknowledgement of receipt of this memorandum and does not necessarily indicate agreement with the performance issues raised.

_____   _____
Employee Signature   Date   Supervisor Signature   Date

*Send original to HR/Payroll Office

Supervisor referrals

Supervisor referrals are a resource for supervisors in addressing employee behaviors in the workplace. If just one of your employees is struggling with work performance issues, others in the group can be affected. Morale problems and job stress occur when one employee is not completing his or her share of the work. Your own stress in dealing with troubled employees can also impact the work group. Referring employees to The Village Business Institute's (VBI) Employee Assistance Program is an option which demonstrates care and concern for employees, and can help establish your own peace of mind in knowing that, as a supervisor, you have made every effort to help. Supervisors can encourage employees to utilize the EAP through informal referrals, and a more formal supervisor referral process is available. Both types of referrals are described below. Please contact VBI staff if you are unsure which type of referral is appropriate.

Informal Supervisor Referrals

Although personal stress can negatively affect an employee's performance on the job, this may not always be the case. Employees occasionally inform supervisors voluntarily when they are experiencing significant problems or stress in their personal lives, usually with the concern that their personal issues may impact their work behavior at some point in the future. In instances such as these, where employees' present work behavior is unimpaired, informal supervisor referrals to VBI are appropriate. Informal referrals are a proactive approach to avoiding potential difficulties in the workplace when supervisors are made aware of employees' troublesome personal situations.

The following steps are suggested when making an informal referral to a VBI Employee Assistance Program:

1. Thank the employee for bringing the issue to your attention, and assure them that their work behavior is unimpaired. (If there is impairment, review policies for formal referrals described below or contact VBI for assistance.)

2. Remind the employee of their EAP benefit and encourage them to call 1-800-627-8220 for assistance.

Formal Supervisor Referrals

When job performance has deteriorated, a formal supervisor referral to VBI may be appropriate. The chart on page 7 demonstrates the use of a formal supervisor referral. See pages 9 and 11 for sample forms. The form on page 9 is used for referrals for job performance. The form on page 11 is to be specifically used for Drug-Free Workplace/ Department of Transportation violations.

MANAGEMENT REFERRAL

INFORMAL

Refer employee with personal issues to The Village Business Institute's (VBI) Employee Assistance Program without VBI feedback. (employer doesn't require employee to follow through)

FORMAL
For job performance issues
Violation of DFWP

The Village Business Institute's EAP manages referral and provides feedback to management regarding progress. (always written; mandated by employer)

Formal supervisor referral process

```
                              ┌─────────────────┐
                              │ Job Performance │
                              │    Problem      │
                              │   Documented    │
                              └────────┬────────┘
                                       │
                                       ▼
┌─────────────────┐        ┌─────────────────┐      ┌──────────────┐      ┌──────────────┐
│                 │        │ Corrective      │ ───▶ │ Problem      │ ───▶ │ No Further   │
│                 │        │ Interview       │      │ Corrected    │      │ Action       │
└─────────────────┘        └────────┬────────┘      └──────────────┘      └──────────────┘
                                     │
                                     ▼
                            ┌─────────────────┐
                            │ Job Performance │
                            │ Problem Continues│
                            └────────┬────────┘
                                     │
                                     ▼
              ┌──────────────────────────────────────┐
              │         Referral of Employee          │
              │            to Employee                │
              │        Assistance Program             │
              └──────────────────────────────────────┘
```

Job Performance Problem Documented

Corrective Interview → Problem Corrected → No Further Action

Job Performance Problem Continues

Referral of Employee to Employee Assistance Program

Employee Chooses Referral

Employee Rejects Referral → Problem Corrected → No Further Action

Evaluation of Problem(s)

Plan Discussed → Employee Rejects Plan → Performance Problem Continues

Employee Accepts Plan

Plan Initiated

Follow Up → Problem Continues → Disciplinary Action

Job Performance Improves

No Further Action

Making a formal supervisor referral for job performance issues

1. Call The Village Business Institute (VBI) Employee Assistance Program before beginning the referral process at **1-800-627-8220.** Ask to speak to a VBI staff member regarding a supervisory referral.

2. Complete the top section of the form with the identifying information requested. Include the date of last employee performance evaluation.

3. Complete the section "REASON FOR REFERRAL" which describes the employee's job performance issues that led to the referral. Include as much information as possible to help our professionals understand the work problem in question.

4. In the section "ADDITIONAL COMMENTS BY REFERRING SUPERVISOR," please document all discussions with the employee regarding the referral issue. It is very important to include information regarding the employee's current status with the company. Include conditions for continued employment, such as the time frame in which you expect to see improvement, and any pending disciplinary action. Attach additional comments if necessary and copies of any relevant documentation (memos to the employee, written warnings, specific policy violations, etc.) which may be helpful to make the counselor aware of the issues at hand and specific performance goals for the employee.

5. **In the section "EMPLOYEE SIGNATURE AND RELEASE OF INFORMATION," have the employee print their name where directed, and sign and date the form in the appropriate blanks.** The signature serves as a release of information regarding VBI use and indicates the employee's understanding of your concerns. Sign your name where indicated ("HR/Supervisor Signature"). Fax the completed form to VBI for processing. Our fax number is (701) 451-5058. Upon receipt of the completed form, VBI staff will also sign the form.

6. **The employee is then responsible for contacting VBI to schedule the initial appointment.**

7. We will notify you in writing about the status of the referral and the employee's compliance with treatment recommendations. No other information will be released to you without the employee's written consent.

"My concerns were completely validated. I felt very lucky to have such excellent guidance."

FORMAL SUPERVISOR REFERRAL TO VBI
FOR JOB PERFORMANCE ISSUES

Employee Name: _____ Employee's Job Title: _____

Company Name: _____ Today's Date: _____

Primary Contact/Supervisor: _____ Title: _____ Phone: _____ Ext.___

Mail Address: _____

Email: _____

REASON(S) FOR REFERRAL

Performance difficulties: (Please check all that apply.)

❏ Difficulty working with others   ❏ Unacceptable quantity of work
❏ Unacceptable quality of work   ❏ Communications problems
❏ Safety violations   ❏ Leaving early
❏ Excessive absenteeism   ❏ Punctuality
❏ Other _____

Describe specific behavior changes necessary for improved performance: _____

_____

_____

ADDITIONAL COMMENTS BY REFERRING SUPERVISOR
(Supervisor: Attach relevant documentation pertaining to employee job performance)

Above observations have been discussed on previous occasions? ❏ Yes ❏ No

If yes, list date of first discussion: _____ Date of second discussion: _____

Describe conditions for continued employment, disciplinary action pending, etc.

_____

_____

Employee Signature and Release of Information

By signing below, I _____, hereby authorize VBI program staff and the supervisor
                    (print name)

listed above to exchange pertinent and relevant information regarding:
1. My not scheduling/scheduling of appointments through VBI.
2. Verification of my attendance at scheduled appointments.
3. Results and recommendations of my counseling or consultation through VBI.
4. Information regarding compliance with recommendations.
5. Program involvement dates and program completion information.

My signature also serves as acknowledgement that the relevant policies and procedures affecting me have been clearly explained to me.

_____   _____
Client/Employee Signature   Date

As a supervisor, I have explained the relevant policies and procedures described in this form. The employee has indicated his/her understanding of these issues.

_____   _____
Primary Contact/Supervisor Signature   Date

_____   _____
VBI Contact Person's Signature   Date   VBI The Village
                                                                    Business Institute
                                                                    a division of The Village Family Service Center

AGREEMENT FORM

Employee Name: _____ Employee's Job Title: _____

Company Name: _____ Today's Date: _____

Referred By: _____ Title: _____ Phone: _____

Employee Signature and Release of Information

By signing below, I _____ understand:

- It is my responsibility to contact The Village Business Institute (800-627-8220) to schedule my initial appointment

- That I will be moved to a non-compliant status if I have not scheduled the initial appointment within one week of referral

- That my file will be closed with a non-compliant status if I have not scheduled the initial appointment within two weeks of referral

- It is my responsibility to schedule any/all follow-up appointments in a timely manner (usually two weeks)

- This formal referral will continue until my counselor/evaulator and/or my employer say I have reached the goals they have set for me

- My participation and cooperation is expected in this process

_____   _____
Client/Employee Signature   Date

The Village
Business Institute
a division of The Village Family Service Center

Pre-Action Review (Initial Notice) Template

To:

From:

Date:

RE: Notice of our Intent to Terminate Your Employment for Cause

(Second paragraph should state what the event(s) were (specifics) that have led you to the decision to terminate)

Next paragraph should contain the following:
1. Create a numbered list of the item(s) mentioned above

2. Provide a specific example of the issue behind each numbered item

3. State that this is a follow-up to a previous conversation held on MM/DD/YY

Fourth paragraph should state: In accordance with NDSU Policy 232, you are entitled to a pre-action review before the Director of Human Resources/Payroll. You have three (3) days to notify the Director, in writing, with your explanation, evidence, or other information which contradicts the allegations and evidence. Your written reply should be sent to:

> Colette Erickson, Director
> Office of Human Resources/Payroll
> North Dakota State University
> PO Box 6050
> Fargo, ND 58108-6050
> colette.erickson@ndsu.edu

Final statement should be: Until further notice, you are being immediately placed on administrative leave with pay.

Acknowledgement Statement: I have received and read this letter on the date signed below:

(employee signs here)_____Signature _____ Date

Current Address: _____
Personal e-mail Address: _____
Current Telephone: _____

cc: Colette Erickson
        (add appropriate supervisor, if applicable)

(Attach a copy of Policy 232 for the employee's reference)

Pre-Action Review (Final Notice) Template

To:

From:

CC:

Date:

Re:

I have received the opinion from Colette Erickson, Director of Human Resources/Payroll, and have again reviewed the documentation, department policies and NDSU's policies. Based on this information I am proceeding with termination of your employment with NDSU (department).
Your termination will be effective (insert MM/DD/YY).

Any remaining vacation time will be paid one payroll cycle after your last paycheck. If your address changes, please let us know for mailing purposes.

If you have questions regarding your health insurance or other benefits, you may contact Brittnee Steckler, Associate Director of Benefits and Employee Development, at 231-8965.

Included in this mailing is a copy of NDSU Policy 231: Appeal Procedure for Disciplinary and Reduction in Force Actions. (Be sure to attach policy).

cc: Colette Erickson, HR/Payroll
    Brittnee Steckler, HR/Payroll
    (Dept Head/Chair)

PRE-ACTION REVIEW PROCESS

Department presents pre-action to the employee

⇩

Department submits 101 form placing employee on Administrative Leave with signed pre-action attached

⇩

Employee has 3 working days to respond to pre-action review either in writing or in person to the Human Resource/Payroll Office

⇩

If employee does not respond within the 3 working days allowed, HR notifies department of support or non-support. Department notifies employee of final decision to terminate or reinstate by certified letter and submits a 101 form to reinstate or submits a termination using managers' self-service effective on the fourth working day

If employee responds within 3 working days allowed: designated HR representative responds to department (copy to employee sent by certified mail) indicating support or non-support

⇩

After department receives HR designees' response, department decides whether or not to go forward with termination. Department writes draft determination letter.

⇩

Department sends draft letter of determination to HR for review

⇩

Department sends letter of determination to employee via certified mail. Department submits a 101 form to reinstate employee or submits the termination in managers' self-service and attaches copy of letter. Department sends copy of letter and evidence of certified mail to HR.

⇩

If terminated, employee can appeal termination to President within 5 working days of receiving the determination letter from department.

⇩

Employee appeals: President appoints a Staff Personnel Board (SPB)

Employee does not appeal

⇩

SPB may appoint a qualified, institutionally recognized hearing officer – HR has list of acceptable

⇩

SPB serves a written notice of hearing to the following individuals within 20 calendar days prior to the hearing:
- Employee
- Department head
- President

⇩

The SPB's findings of fact, conclusions, and recommendations with supporting reasons, shall be reported, in writing, to:
- President
- Department head
- Employee or their representative
- HR

⇩

President makes final decision and provides a written notice of the decision to the SPB, department head, HR and certified mail to the employee and representative within 15 calendar days of receiving the SPB report.

NDSU Informal and Formal Grievance Options for Employees and Students

Informal Grievance Options for Employees and Students

Using one of the *formal* grievance procedures below is not required to address concerns about treatment as employees or students. In most cases, complaints can be resolved through an informal process beg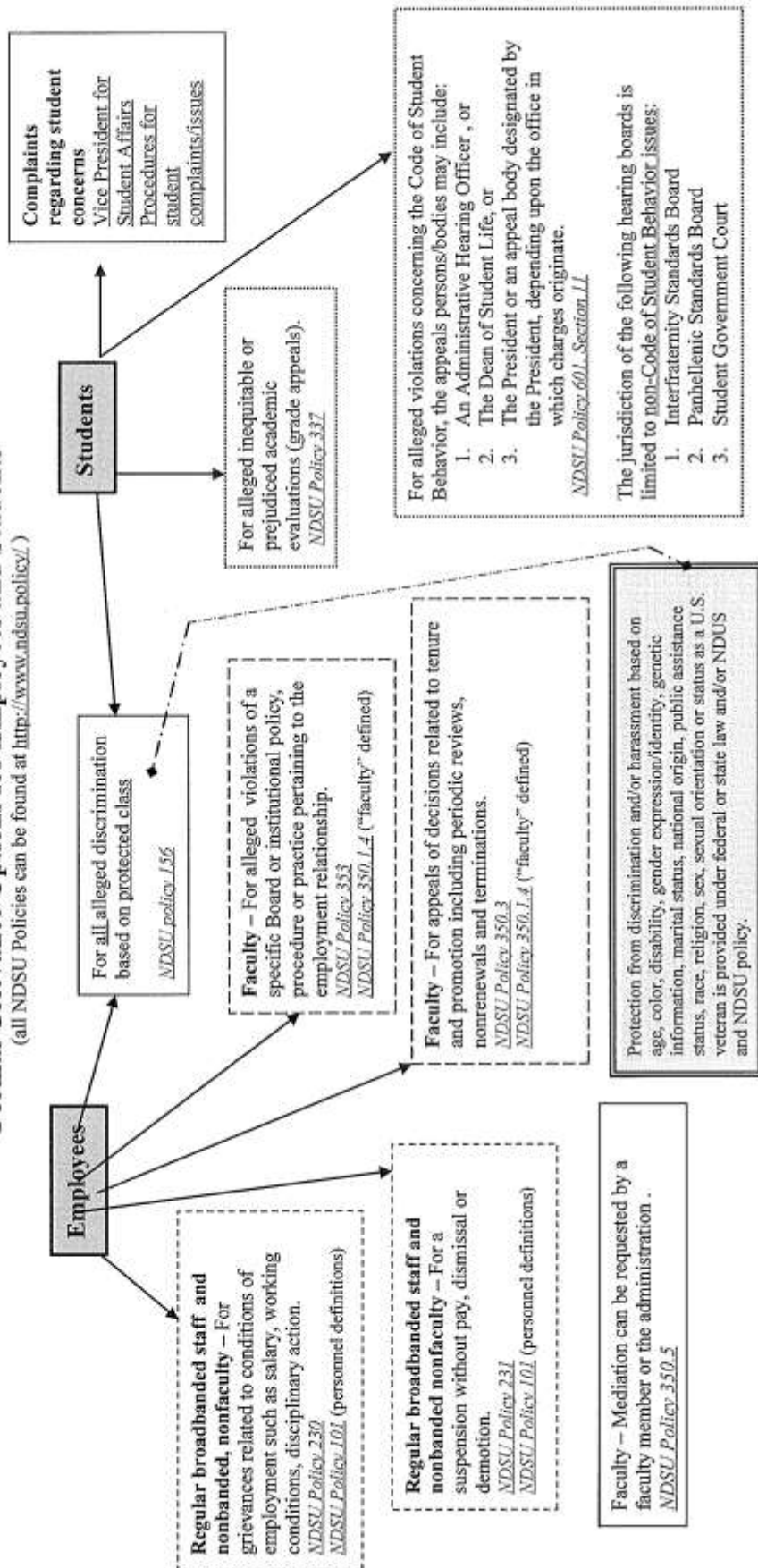inning with talking to the individual and his/her supervisor if necessary. Basic steps in the informal process include: 1) Begin by discussing the matter with the staff, faculty, or department in which the issue originated; 2) If the issue is not resolved, the next contact will be the supervisor, department chair, or associate/assistant dean to investigate the issue and allegations. A variety of information options for reporting are also available. These include contacting the office of: College Deans, Dean of Student Life, Vice President for Student Affairs, Provost and Vice President for Academic Affairs, Counseling Center, Disability Services (students), Equity, Diversity and Global Outreach, General Counsel, or Human Resources (employees).

Formal Grievance Options for Employees and Students

(all NDSU Policies can be found at http://www.ndsu.policy/)

Students

Complaints regarding student concerns
Vice President for Student Affairs Procedures for student complaints/issues

For alleged inequitable or prejudiced academic evaluations (grade appeals).
NDSU Policy 337

For alleged violations concerning the Code of Student Behavior, the appeals persons/bodies may include:
1. An Administrative Hearing Officer , or
2. The Dean of Student Life, or
3. The President or an appeal body designated by the President, depending upon the office in which charges originate.
NDSU Policy 601, Section 11

The jurisdiction of the following hearing boards is limited to non-Code of Student Behavior issues:
1. Interfraternity Standards Board
2. Panhellenic Standards Board
3. Student Government Court

Employees

For all alleged discrimination based on protected class
NDSU policy 156

Faculty – For alleged violations of a specific Board or institutional policy, procedure or practice pertaining to the employment relationship.
NDSU Policy 353
NDSU Policy 350.1.4 ("faculty" defined)

Faculty – For appeals of decisions related to tenure and promotion including periodic reviews, nonrenewals and terminations.
NDSU Policy 350.3
NDSU Policy 350.1.4 ("faculty" defined)

Protection from discrimination and/or harassment based on age, color, disability, gender expression/identity, genetic information, marital status, national origin, public assistance status, race, religion, sex, sexual orientation or status as a U.S. veteran is provided under federal or state law and/or NDUS and NDSU policy.

Regular broadbanded staff and nonbanded, nonfaculty – For grievances related to conditions of employment such as salary, working conditions, disciplinary action.
NDSU Policy 230
NDSU Policy 101 (personnel definitions)

Regular broadbanded staff and nonbanded nonfaculty – For a suspension without pay, dismissal or demotion.
NDSU Policy 231
NDSU Policy 101 (personnel definitions)

Faculty – Mediation can be requested by a faculty member or the administration .
NDSU Policy 350.5

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Reduction-in-Force Analysis/Justification to Director HR/Payroll Template

To: Colette Erickson, Human Resources/Payroll

From:

CC:

Date:

Re: Reduction in Force – Employee's name here

First paragraph – explain what is occurring within the affected department and why reduction-in-force is occurring/needed.

Next paragraph: With the changes that have occurred at (name department/program here), funding needs to be redirected/removed (or whatever action will be occurring).

Next paragraph should be the 4-point analysis as to why the reduction-in-force should occur:

    4.1   *Analysis of the acquired knowledge, demonstrated skills and versatility of its employees, compared to the work to be done and the available funding. Employees lacking the necessary skills should be considered for reduction.* (explain how situation meets this criteria)

    4.2   *An analysis of the level of demonstrated work performance. Employees having a consistently low level of performance should be considered for reduction.* (explain how situation meets this criteria)

    4.3   *A review of the length of service of its employees. Employees with the fewest years of service should be considered for reduction.* (explain how situation meets this criteria)

    4.4   *An analysis of the extent of required training needed to train a reassigned employee to full productivity in a different position. Employees requiring substantial retraining should be considered for reduction.* (explain how situation meets this criteria)

(Wrap up paragraph reiterating need for reduction)

Job Change or Reduction-in-Force Option Template

To:

From:

CC:

Date:

Re: **Reduction in Force**

_____

As we discussed together recently, the (dept name) is undergoing reorganization. This reorganization is happening because (reason here). As a result of this reorganization, your position of (position name and number) will be eliminated on approximately (month/day/year).

A new position of (insert name of position) has been created. A copy of the position description is attached for your review.

I am offering you this new position and hope that you will give it consideration. It is similar to the position of (insert name of similar position). The hours for this position are (insert hours/days of week here), and it is a 12-month position. Your salary for this position will be (insert salary here).

Should you decide you do not want to accept this new position, I will need to proceed with a reduction in force since your current position will be eliminated. This means you will no longer be employed by NDSU as of (insert month/date/year). I have attached for your review NDSU Policy 334: Reduction in Force.

I hope that you will take some time to consider this offer. I would appreciate a response by (insert day & date).

_____ I accept the offered position, which will take effect (insert month/day/year).

_____ I decline the offered position. I understand that I will no longer be employed
           by NDSU as of (insert month/day/year).

(employee signs here) _____Signature_____ Date

(supervisor signs here) _____ Signature_____ Date

*Send copy to HR/Payroll Office

NDSU REDUCTION-IN-FORCE FACT SHEET
Policy 223: ndsu.edu/policy/223.htm

Health Insurance continues through the end of the month following the month in which the last day was worked.

Employees wanting to use the services of NDSU's Employee Assistance Program through The Village may call 1-800-627-8220. Services are available for 90 days following your last day of work.

To file for North Dakota unemployment:
> Online: jobsnd.com/unemployment-for-individuals
> Telephone using an automated telephone system: (701) 328-4995

Information you will need to have available when you file:
- Your Social Security Number
- Name, address and telephone number of all employers for whom you worked for the last 18 months
- Wage you are willing to accept

The following services are provided to reduced-in-force employees:
- To assist in retraining efforts and/or further professional development, for 2 years following the reduction-in-force, employees may continue to utilize the NDSU tuition waiver for three classes per calendar year (Policy 133: www.ndsu.edu/policy/133.htm). Tuition waiver forms are available at www.ndsu.edu/forms or SGC 102 or by calling 701-231-8961. Submit completed form to the Office of Human Resources/Payroll for approval and processing.

- To the extent possible, NDSU will assist reduction-in-force employees in searching for other employment. Although NDSU is not responsible for conducting a comprehensive job search, services available are exploring job opportunities within the University System, resume assistance, and discussion of unemployment issues.

- Other resources to utilize during the job search:
  - Job Service North Dakota: www.jobsnd.com/
    - Offers training and development specific to transition,
    - Provides interest and aptitude testing,
    - Offers dislocated worker assistance,
    - Administers unemployment benefits,
    - Offers job placement services,
    - Provides access resume writing software.
  - Job vacancies in North Dakota State Government: www.nd.gov/category.htm?id=95

  - University System Openings:
    - NDSU: ndsu.edu/jobs
    - UND: www.undeerc.org/undprojects/undhr/applicanttracking/default.aspx
    - Bismarck State College: www.bsc.nodak.edu/employment/
    - Dickinson State University: www.dickinsonstate.edu/jobpostings/
    - Mayville State University: https://www.mayvillestate.edu/about-msu/EmploymentOpportunities/Pages/default.aspx
    - Minot State University: www.minotstateu.edu/hr/jobs.shtml
    - North Dakota State College of Science: www.ndscs.nodak.edu/humanresources
    - Lake Region: www.lrsc.edu/employment/
    - Williston: www.wsc.nodak.edu/Community/Jobs-at-WSC.html
    - Valley City State University: www.vcsu.edu/jobopenings/

- The North Dakota University System and the state of North Dakota maintain a list of employees that are affected by reduction-in-force. If you want, please submit your resume to **Human Resources/Payroll** to include your name on this list. Please indicate on it that it is due to a RIF. The list is made available to all institutions for employment consideration.

- If a reduced-in-force employee is hired within 2 years of reduction, the employee will be credited with:
  - Previous service for the purpose of determining annual leave accrual rates,
  - Sick leave accumulated prior to the reduction, less the amount paid pursuant to Policy 143: ndsu.edu/policy/143.htm

EMPLOYEE SEPARATION CHECKLIST

Supervisor: For your use when an employee is leaving NDSU.

_____   _____

Employee's Name   Empl ID #   Last Date of Employment

Address items applicable to employee:

o   Submit termination using Manager Self Service (via PeopleSoft) with appropriate documentation attached, i.e., resignation letter, notice of reduction-in-force, notice of dismissal

o   Contact Human Resources/Payroll at 231-8961 to schedule an exit appointment

o   Send memo to Accounting Office (Old Main #11) to cancel PeopleSoft finance access

o   Send memo to Human Resources/Payroll to cancel PeopleSoft HRMS access

o   Send memo to Registration & Records to cancel PeopleSoft Student access

o   Contact Help Desk (231-8685) to cancel computer access, e-mail account, etc.

o   Contact Customer Account Services (231-8782) to check on any Accounts Receivable balances

o   Notify appropriate telephone counselor in your department to take care of deactivating voice mailbox

o   Check to see if the employee has a negative sick or annual leave balance. If so, contact Payroll at 231-8990 to request a payroll deduction authorization form.

o   Contact Parking Office (231-5771) to cancel permit (obtain parking permit from employee)

o   Notify Telecommunications (1-8401) to deactivate Bison Line and AT&T calling card - Obtain and destroy AT&T calling card

o   Contact Bison Card Center (231-6252) to return ID card

o   Obtain office/building keys - return to Facilities Management

o   Obtain desk/credenza/file keys - issue to next employee

o   Remove name from building/office directories

o   If applicable, ensure research facilities and equipment are cleaned

o   If applicable, ensure all hazardous waste is properly disposed of or identified

o   If applicable, obtain university equipment (car keys, cellular phone, etc.)

o   If applicable, obtain university computer equipment (laptop, tablet, etc.)

o   Return all library material, contact circulation department (231-8888)

o   Any departmental "items" not addressed on this list

o   Notify employee of continued access to PeopleSoft HRMS Self- Service for W-2 and payroll advice slips.

o   If applicable, complete the Disposition of Grants Form and submit it to Sponsored Programs Administration, R1 Building. This is for faculty and staff leaving NDSU to report changes in a grant's status.
   To link to the form, use this URL:
   http://www.ndsu.edu/research/sponsored_programs_administration/forms/DispositionOfGrantsForm.doc
   You can also find it on the SPA Forms page – called Disposition of Grants Form. See at
   http://www.ndsu.edu/research/sponsored_programs_administration/forms.html