



**Committee on Human Resources and
Administration
BOARD OF REGENTS FOR HIGHER EDUCATION
AGENDA**

Boardroom 123, 39 Woodland Street, Hartford, CT

1:00 p.m., Tuesday, January 6, 2015

A meeting of the Human Resources and Administration Committee of the Board of Regents for Higher Education will be held at **1:00 p.m. on Tuesday, January 6, 2015, in Room 123 at 39 Woodland Street, Hartford, CT.**

The agenda for the meeting is below.

1. Call to Order
2. Approval of Meeting Minutes of October 9, 2014
3. Executive Session – Discussion concerning the appointment, employment, performance, evaluation, health or dismissal of a public officer or employee
4. FY 2015 Salary Adjustments for Management Personnel of the Board of Regents for Higher Education
5. Amendment to Policy Governing the Search Process for the Selection and Appointment of University and College Presidents
6. Revision of Student Worker Pay Rates at CSCU Institutions Effective December 26, 2014
7. Revised Reporting Suspected Abuse or Neglect of a Child Policy
8. Revised Pre-employment Background Verification Policy
9. Discussion of Employee Code of Conduct
10. New Business
11. Adjournment

Committee members

Naomi K. Cohen, Chair
Yvette Melendez
Richard J. Balducci
Elease Wright
David Jimenez

ITEM

FY 2014-2015 Salary Adjustments for Management Personnel of the Board of Regents for Higher Education

BACKGROUND

Consistent with the BOR Human Resources Policies for Management and Confidential Professional Personnel, Article 6.5, the President of the Board of Regents is recommending salary adjustments for certain Management personnel based on the policy. The policy provides the following:

6.5 Salary Ranges

Each Management and Confidential Professional title is assigned to a salary range. The assignment of new titles to ranges and the reassignment of existing titles to new ranges shall be pursuant to the Classification and Compensation Policy.

A. Salary Ranges for New Hires

Newly hired management/confidential professional employees may be placed by administrative action at any point in the applicable salary grade up to and including to the median for the following level positions: at the level of Dean and above at the community colleges and Charter Oak State College, at the level of Vice President and above for the universities, and for System Office employees who report directly to the President including, but not limited to, those positions reflected on the July 1, 2014, organizational chart maintained by the System Office's Human Resources Department. As changes occur to the organizational chart of the President's office, the Human Resources Department shall maintain an up-to-date organizational chart and shall provide it to the HR and Administration Committee for informational purposes.

By exception, on a case-by-case basis, the President may seek Board approval for the hiring of a management/confidential employee at a salary above the median of the applicable salary grade for the above noted levels. Newly hired management/confidential professional employees being appointed to positions below the levels noted above may be placed by administrative action at any point in the applicable salary grade.

B. Salary Adjustment Policy

The Board recognizes the dedication and professional accomplishments of the Management and Confidential Professional employees and is committed to compensating such persons fairly. Salary adjustments shall be administered in accordance with the Classification and Compensation policies. As a matter of salary administration for Management/Confidential employees, compensation shall not be set below the minimum or above the maximum for the applicable grade.

C. Salary Adjustments for Management and Confidential Professional Employees

Salary adjustments for Management and Confidential Professional Employees shall be pursuant to Board policy. All salaries fall within ranges established by the Board. The effective date for annual salary adjustments shall be the beginning of the pay period which includes July 1. No one employed less than six (6) months in such a position shall be eligible for consideration of such a salary increase. Anyone who will not be employed in a Management or Confidential Professional position as of the September 1, for any reason shall not be eligible for the salary adjustment.

STAFF REPORT HUMAN RESOURCES AND ADMINISTRATION COMMITTEE

Salary adjustments for Management and Confidential Professional Employees shall not exceed but may match the average salary increases given to bargaining units. Subject to the approval of the Board, a President may adjust a salary of Management and Confidential Professional Employees due to change in function or other substantiated reason.

D. Reporting Salary Adjustments

All salary adjustments for Management and Confidential Professional Employees within the System Office shall be reported to and approved by the Board on a form prescribed by the President of the Board of Regents.

ANALYSIS

Effective June 27, 2014, salary adjustments were granted to unclassified CSCU Management and Confidential Professional employees at the colleges, universities and System Office within the following classifications: University Director 1 (Salary Grade 39) and below; Community College Administrator 4 (Salary Grade A4) and below; and Charter Oak State College Professional Tech. 2 and below. Salary adjustments were limited to these specific classifications due to fiscal considerations.

In July 2014, when these salary increases were approved for these limited classifications; the Board, through the BOR President, stated that it would continue to monitor the overall economic recovery trends, and their impact on Connecticut and would re-assess salary adjustments at the beginning of 2015 for those employees excluded from the earlier adjustment who otherwise would have been included in accordance with existing BOR policy.

Pursuant to subsections C and D of Article 6.5 of the BOR Human Resources Policies for Management and Confidential Professional Personnel, the President of the Board of Regents recommends salary adjustments for those management classifications that were not granted salary increases effective June 27, 2014. The specific classifications that are now eligible for an increase include: University Director 2 (Salary Grade 40) and above; Community College Administrator 5 (Salary Grade A5) and above; and Charter Oak State College Dean and above. The salary increases for these management classifications shall be effective December 26, 2014.

Beginning in FY 2013 the BOR adopted a commitment to make salary adjustments based on performance. Therefore, the recommendation for FY 2015 is to provide such increases as performance recognition to eligible employees based on their job performance as reflected in their annual evaluation. To implement the performance based recognition, there is an established pool of funds totaling 3.5 percent of the salaries of all eligible employees and a cap on individual increases of 5 percent for each employee who is deemed eligible. It should be noted that only those employees receiving performance ratings of "meets expectations", "satisfactory", "good" or better will be eligible for a salary adjustment.

There are about 140 eligible Management employees and the approximate salary cost of this distribution is \$761,181 annualized. The six-month delay in these salary adjustments has reduced the expenditure by 50 percent, and the cost of the salary adjustment will be approximately \$380,590 for FY 2015. The Board's Chief Financial Officer indicates that the universities and colleges, along with the System Office, have budgeted for these increases and that to date there have been no internal changes to these line items.

The BOR President will issue salary adjustment guidelines (noting any action is subject to BOR approval of this recommendation) detailing the consistent system-wide administration of the salary adjustment and provide the amount of the salary adjustment pool to each of the presidents in the Connecticut State Colleges and Universities System. All salary recommendations made by the university and college

STAFF REPORT HUMAN RESOURCES AND ADMINISTRATION COMMITTEE

presidents shall be submitted to the System Office in a prescribed format for review of conformance with the issued salary adjustment guidelines and will require final approval by the BOR President.

RECOMMENDATION

Consistent with the Human Resources Policy set forth above, the BOR President recommends the Board of Regents for Higher Education consider and approve the attached resolution authorizing the BOR President to proceed with implementation of the 2015 salary adjustments as described above and prescribed therein.

Under the guidelines set forth in Exhibit A to the proposed resolution, the President may proceed with implementation of FY 2015 salary increases (effective December 26, 2014) only for those unclassified CSCU Managerial personnel in the following classifications: University Director 2 and above (Salary Grade 40); Community College Administrator 5 and above (Salary Grade A5); and Charter Oak State College Professional Dean and above.

**Guidelines Governing FY 2014-2015 Salary Adjustments
for
Management Personnel
of the Board of Regents for Higher Education**

1. Board Policy

Rules governing the effective date, employee eligibility and overall percentage increase are governed by Article 6.5 of the Human Resources Policies for Management/Confidential Professional Personnel of the Board of Regents for Higher Education.

2. Effective Date/Payment Date

- The effective date for salary adjustments shall be December 26, 2014.
- The salary adjustment will be reflected in the paycheck dated February 6, 2015, and will include a one pay period retroactive payment.

3. Salary Increase Pool/Employee Eligibility

The pool for each of the colleges, universities and the System Office is derived by summing the salaries of all employees assigned to Management positions who will be eligible for an increase on the effective date of the salary adjustment and multiplying this figure by 3.5 percent (3.5% percent) as displayed on the spreadsheet.

Eligibility for the salary adjustment is as follows:

- a. State university managers at the classification of Director 2 (salary grade 40) and above. Community college managers at the classification of Administrator 5 (salary grade A5) and above. Charter Oak State College managers at the classification of Dean and above.
- b. The employee must have served at least 6 months in a Management/Confidential Professional position within the Connecticut State Colleges and Universities system as of 6/27/14 (M/C hire date 12/27/13 or earlier).
- c. Any employee who transferred into a BOR Management/Confidential Professional full-time position directly from another State of Connecticut full-time position since 12/27/13 who did not receive a salary increase at the time of the transfer to the Connecticut State Colleges and Universities system (i.e., lateral transfer) shall be eligible for a salary adjustment.
- d. Anyone who will not be employed in a Management/Confidential Professional position as of February 6, 2015, for any reason including, but not limited to resignation, retirement, return to a bargaining unit position, or non-continuation, will not be eligible for the salary adjustment, nor will the employee's salary be included for calculation of the salary increase pool.
- e. Any employee who is eligible for the 12/26/14 salary adjustment and already received an adjustment effective 6/27/14 to bring his/her salary to the new minimum for the salary grade, may be considered for a performance based increase. The total salary increase (the adjustment to minimum plus any performance-based increase) may not exceed 5%.

Please review the attached spreadsheet to ensure the employee and salary details are accurate and complete, and that it properly identifies those who are eligible for the annual increase. **If any corrections are required, please contact Ellen Mantel (860.723.0036 or MantelE@ct.edu) as soon as possible.**

4. Interim Appointments/Additional Duty Pay

Employees holding an interim/acting position shall have their annual increase applied to their full interim salary. Upon return to their permanent position, the percentage of the annual increase will be applied to the old base rate of the permanent position.

If an employee is receiving additional duty pay, then the regular lower pay should be used as the employee's base for calculating a salary increase. The extra duty pay percentage will be calculated on the new base pay and added to it (e.g., \$70,000 old base X 5.00% FY 2014-2015 increase = \$73,500 X 6.00% extra duty pay = \$77,910). Upon completion of the additional duty assignment, the extra duty pay will be removed.

5. Salary Ranges/Lump Sum Payments

No employee shall receive less than the minimum nor more than the maximum of the salary grade to which assigned. If an employee is found to have a salary below the minimum *prior* to the annual increase, the *correction* shall be made before implementing the salary adjustment and funds for such correction shall not be taken from the salary increase pool.

Salary adjustments are added to the employee's base salary; however, no increase may take an employee beyond the maximum of the salary grade to which the employee is assigned. Any amount awarded over the maximum, shall be paid as a lump sum in the check dated February 6, 2015. The salary ranges have been adjusted upward by 3 percent (3%) effective 6/27/14 and are attached for your reference.

6. Individual Salary Adjustment Increase Determination

Salary adjustments are based on the employee's performance during the July 1, 2013, through June 30, 2014, evaluative period and a performance appraisal shall be completed and submitted to the Human Resources office for each employee.

Employees who receive a performance rating of good/satisfactory/meets expectations or above will be eligible for a salary adjustment (enter % awarded, not to exceed 5% on the spreadsheet).

Employees who receive a performance rating of needs improvement or unsatisfactory/does not meet performance expectations shall not receive an increase (enter 0.0% on the spreadsheet).

7. Reporting Salary Increases

Each president shall submit recommended salary adjustments on the attached spreadsheet. Salary adjustment recommendations will be reviewed for compliance with these guidelines and the President of the Board of Regents will provide the final approval on the salary adjustments for Management personnel.

Coding for Entering M/C Salary Adjustments in CoreCT

I. CODING FOR ENTRY OF IN-BASE SALARY ADJUSTMENTS

Enter in Job Data

- Effective date of the increase: **12/26/2014**
- Action code: **PAY RATE CHANGE**
- Action Reason Code: **Individul Mngerial Ann Increas**
- Comment: **FY 2014-15 M/C Salary Adjustment** and include the percentage increase.

II. CODING FOR ENTRY OF LUMP SUM PAYMENTS

Lump sum payments (in lieu of the in-base fixed sum adjustment for employees at maximum salary) are processed on the Timesheet in the Time & Labor module of CoreCT or in Additional Pay for employees on Self Service Time Entry.

A. For Retroactive Lump Sum Payments that Eligible Employees Will Receive

1. In Timesheet:
 - Enter the lump sum payment with the XRTRA Time Reporting Code (TRC)
2. In Additional Pay:
 - Enter the lump sum payment with the RTR Earnings Code

B. For Lump Sum Payments for Those Over Max.

- a. In Timesheet:
 - Enter the lump sum payment with the XMISP Time Reporting Code (TRC)
- b. In Additional Pay:
 - Enter the lump sum payment with the MPS Earnings Code

BASIC TEMPLATE - NOTIFICATION TO EMPLOYEES

TO: _____
FROM: _____, President
_____ University/Community College
DATE: January 16, 2015
SUBJECT: FY 2014-15 Salary Adjustments for
Management Personnel

In recognition of your job performance during the 7/1/13 - 6/30/14 evaluative period, you are receiving a salary increase.

Choose one as appropriate for the employee:

(1) For those receiving an increase to base (those who are not over max.):

This is to confirm that your salary will be adjusted from \$_____ biweekly (\$_____ annualized) to \$_____ biweekly (\$_____ annualized), effective December 26, 2014. This salary adjustment will be reflected in your paycheck dated February 6, 2015 and will include one pay period of retroactive increase.

(2) For those receiving only a lump sum payment (those who are over max.):

Your salary is above the maximum for the salary range to which your position is assigned. Therefore, you will receive your salary adjustment in the form of a lump sum payment in the amount of \$_____ in your paycheck dated February 6, 2015.

(3) For those receiving both an increase to base & a lump sum payment (those who reached max. before their full salary adjustment was applied to their base rate):

This is to confirm that your salary will be adjusted from \$_____ biweekly (\$_____ annualized) to \$_____ biweekly (\$_____ annualized), effective December 26, 2014. This salary adjustment will be reflected in your paycheck dated February 6, 2015 and will include one pay period of retroactive increase.

This salary increase has brought your salary to the maximum for the salary range to which your position is assigned. You will receive the remainder of your salary increase in a lump sum payment in the amount of \$_____ in your paycheck dated February 6, 2015.

Questions regarding this salary adjustment should be directed to: _____.

cc: CC Human Resources Director
CC Payroll
SU Chief Human Resource Officer

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning
AUTHORIZATION FOR BOR PRESIDENT TO
IMPLEMENT 2015 SALARY ADJUSTMENTS FOR
SPECIFIED CLASSIFICATIONS OF MANAGEMENT PERSONNEL
FOR THE RATING PERIOD JULY 1, 2013, TO JUNE 30, 2014
EFFECTIVE DECEMBER 26, 2014

January 15, 2015

RESOLVED, That the Board of Regents for Higher Education hereby approves the recommendation of the BOR President and authorizes him to proceed with implementation of 2015 performance recognition salary adjustments (effective December 26, 2014) limited to unclassified Connecticut State Colleges and Universities Management personnel at the colleges, universities and System Office. These employees are within the following classifications:

- University Director 2 (Salary Grade 40) and above;
- Community College Administrator 5 (Salary Grade A5) and above; and
- Charter Oak State College Dean and above.

RESOLVED The President's implementation of the salary adjustments for the affected Management personnel will be in accordance with the terms and conditions set forth in the staff report and exhibits associated with this resolution, which are incorporated herein by reference in full as Exhibit A, to be effective on December 26, 2014.

A True Copy:

Erin A. Fitzgerald, Secretary
CT Board of Regents for Higher Education

ITEM

Minor amendment to existing policy governing the search process for the selection and appointment of university and college presidents by the Board of Regents for Higher Education

BACKGROUND

In November 2013, the Board approved a policy governing the search process for the selection and appointment of university and college presidents. As indicated at that time, the Board of Regents policy emanated from a review of existing policies under the former Board of Trustees for both the Community Colleges and State Universities. It has since been determined that the following minor amendment to Section 3, B. Regents Search Committee is in order:

SECTION 3 – MEMBERSHIP OF THE COMMITTEES**B. Regents' Search Committee**

The Chair of the Board of Regents shall determine the size of the committee, appoint members of the Board to the committee, and either chair the committee or appoint a member of the Board to serve as committee chair. The committee should be representative of the standing committees of the Board and include at least one student Regent, provided, however, that such student shall not be enrolled in the university or college which is the subject of the search.

RECOMMENDATION

Adopt the attached resolution which approves the above amendment to the November 21, 2013 policy governing the search process for the selection and appointment of university and college presidents effective immediately.

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

**AMENDMENT TO POLICY GOVERNING THE SEARCH PROCESS FOR THE
SELECTION AND APPOINTMENT OF UNIVERSITY AND COLLEGE PRESIDENTS
BY THE BOARD OF REGENTS FOR HIGHER EDUCATION**

January 15, 2015

WHEREAS, A need exists to amend the Board of Regents governing the selection and appointment of university and college presidents at ConnSCU institutions which was originally approved on November 21, 2013; therefore be it

RESOLVED, That the Board of Regents for Higher Education hereby adopts the following revision to the University & College Presidential Search Policy (amended policy attached hereto) effective immediately.

SECTION 3 – MEMBERSHIP OF THE COMMITTEES

B. Regents' Search Committee

The Chair of the Board of Regents shall determine the size of the committee, appoint members of the Board to the committee, and either chair the committee or appoint a member of the Board to serve as committee chair. The committee should be representative of the standing committees of the Board and include at least one student Regent, provided, however, that such student shall not be enrolled in the university or college which is the subject of the search.

A True Copy:

Erin A. Fitzgerald, Secretary
Board of Regents for Higher Education

BOR UNIVERSITY AND COLLEGE PRESIDENTIAL SEARCH POLICY

SECTION 1 - APPOINTING AUTHORITY

Connecticut General Statutes Section 10a-6 authorizes the Board of Regents to appoint a president of all universities and colleges under its jurisdiction. Upon a recommendation from the Regents' Search Committee, the Board of Regents shall decide by majority vote whether to offer the position to the candidate recommended.

SECTION 2 - PURPOSE OF THE COMMITTEES

A. Regents' Search Committee

The Regents' Search Committee establishes criteria and processes for the selection of the President, conducts such other due diligence review as the committee deems appropriate, considers the recommendations of the President of the BOR President and of the University/College Advisory Committee and makes a recommendation to the Board of Regents for the appointment of campus president.

B. University/College Advisory Committee

The University/College Advisory Committee assists the search process by providing input into the criteria for the selection of a new president, reviews the resumes of applicants and recommends possible candidates to the BOR Search Committee for consideration, participates in the interview process for the semi-finalists and finalists, and makes recommendations to the Regents' Search Committee for nominees to be considered for appointment.

SECTION 3 – MEMBERSHIP OF THE COMMITTEES

A. University/College Advisory Committee

The Chair of the Board of Regents shall determine the constituencies to be represented and the number of each who will serve on the University/College Advisory Committee. Consideration shall be give the following groups: faculty (teaching, non-teaching, and administrative), professional employees (including administrators), support staff (classified and unclassified); representatives of employees' unions; designees of the Faculty Advisory Committee and the Student Advisory Committee; alumni, and the Campus Foundation. The Chair may prescribe the manner in which such appointees are selected. The chair of the committee shall be selected by its members.

B. Regents' Search Committee

The Chair of the Board of Regents shall determine the size of the committee, appoint members of the Board to the committee, and either chair the committee or appoint a member of the Board to serve as committee chair. The committee should be representative of the standing committees of the Board and include at least one student Regent, provided, however, that such student shall not be enrolled in the university or college which is the subject of the search.

SECTION 4 – ADMINISTRATION OF THE SEARCH

- A. The Regents' Search Committee shall establish and provide guidelines for the search. The search shall proceed according to the Affirmative Action Policy of the Board of Regents and the affected university or college.
- B. The President of the Board of Regents shall be responsible for the administration of the search, including the keeping of the official records of the Regents' Search Committee. At the direction of the Regents' Search Committee, the President of the Board may engage and supervise the services of a search firm. The President of the Board shall have, in conjunction with the search firm, the sole and exclusive responsibility for contacting candidates recommended by the search committee who are under consideration.
- C. Members of the Regents' Search Committee and the University/College Advisory Committee shall have access to the resumes and such other information as is available for those candidates determined to be under serious consideration for appointment.
- D. The finalists shall visit the university or college and meet with administrators, students, faculty, and community leaders. The Presidents of the Connecticut State Colleges and University institutions shall also have an opportunity to meet the finalists during the campus visits. The BOR Search Committee shall seek comments following the campus visits.
- E. Complete confidentiality of all proceedings shall be maintained throughout the search. The names of all candidates under consideration and any other information and/or material related to the search process shall be held in strict confidence by all persons having access to such information. Breach of confidentiality can result in grave injustice to the candidates and serious harm to the reputation of the Board of Regents along with its universities and colleges.

ITEM

Revision of Student Worker Pay Rates at CSCU Institutions Effective December 26, 2014

BACKGROUND

Student worker positions are utilized at each of the 17 institutions and System Office that comprise the Connecticut State Colleges and Universities System. Some student worker assignments are part of a student's overall financial aid package, while other student worker assignments result from students seeking an on-campus employment opportunity. Student worker positions exist in many departments throughout the colleges and universities and provide vital support to maintain operations and services. Each institution budgets for the employment of student worker wages as part of its larger personal services budget. Additionally, each institution receives federal funding to award student worker assignments to certain students who demonstrate financial need.

ANALYSIS

In March of 2014, the Connecticut General Assembly increased the minimum wage as follows: \$9.15 per hour effective January 1, 2015, \$9.60 per hour effective January 1, 2016 and \$10.10 per hour effective January 1, 2017. The Board of Regents for Higher Education last took action on student worker pay rates on January 17, 2014, resulting in the following rates: Class I student workers earn between \$8.70 - \$9.15 per hour, and Class II student workers earn between \$9.10 - \$10.15 per hour. Class III student workers earn between \$9.65 - \$15.00 and rates for this category have remained unchanged since January 1, 2007.

To comply with state minimum wage changes and to maintain sufficient differentiation between the student worker classifications, revisions to the student worker pay rate schedule are warranted effective with the pay periods that include January 1st in 2015, 2016 and 2017 as contained on Exhibit A.

Recognizing that the student worker pay rates require regular review, the rate structure shall be reviewed at least once each fiscal year by the System Office and the rates may be adjusted upon approval of the BOR President with notification to the Board of Regents for informational purposes.

RECOMMENDATION

- 1) Approve the recommended revisions to the Student Worker Pay Rate Schedule at all CSCU institutions beginning December 26, 2014, as outlined in Exhibit A.
- 2) Require System Office review of the student worker pay rate structure at least once each fiscal year and authorize the BOR President to recommend rate adjustments as necessary for approval of the Board of Regents.

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

**STUDENT WORKER PAY RATE SCHEDULE &
MINIMUM WAGE COMPLIANCE**

AT

**THE CONNECTICUT STATE COLLEGES AND UNIVERSITIES
EFFECTIVE DECEMBER 26, 2014**

January 15, 2015

- WHEREAS, The Connecticut General Assembly in the 2014 legislative session increased the minimum wage in Connecticut to \$9.15 per hour effective January 1, 2015, \$9.60 per hour effective January 1, 2016, and \$10.10 per hour effective January 1, 2017, and
- WHEREAS, Student workers who are classified in Class I of the Student Worker Pay Rate Schedule are paid within a range of \$8.70 to \$9.15 per hour, and
- WHEREAS, Student workers who are classified in Class II of the Student Worker Pay Rate Schedule are paid within a range of \$9.10 to \$10.15 per hour,
- WHEREAS, Student workers who are classified in Class III of the Student Worker Pay Rate Schedule are paid within a range of \$9.65 to \$15.00, now therefore, be it
- RESOLVED, That the Board of Regents approves revisions to the Student Worker Pay Rate Schedule effective with the pay periods that include January 1st in 2015, 2016 and 2017 as contained on Exhibit A, and be it further
- RESOLVED, That all student workers compensated at a level below the minimum hourly wage or below the minimum rate for the student worker classification to which assigned when a change takes effect, receive an appropriate adjustment in pay to ensure compliance with the statutory minimum wage and revision in the pay rate schedule enacted pursuant to this resolution beginning December 26, 2014, and be it further
- RESOLVED, That student worker pay rates shall be reviewed by the System Office at least once each fiscal year and the BOR President shall recommend rate adjustments as necessary for approval of the Board of Regents.

A Certified True Copy:

Erin A. Fitzgerald, Secretary
CT Board of Regents for Higher Education

EFFECTIVE DATE: December 26, 2014

CONNECTICUT STATE COLLEGES & UNIVERSITIES
STUDENT WORKER PAY RATE SCHEDULE

CLASS I Position requiring no work experience or some experience and/or training sufficient to work at semi-skilled jobs not requiring supervisory responsibility.

Hourly Range:

Effective 12/26/14: \$ 9.15 - \$10.98

Effective 12/25/15: \$ 9.60 - \$11.52

Effective 12/23/16: \$10.10 - \$12.12

CLASS II Position requiring demonstrated skills and/or technical knowledge with capability of assuming extra responsibilities such as supervision of others.

Hourly Range:

Effective 12/26/14: \$10.07 - \$12.81

Effective 12/25/15: \$10.56 - \$13.44

Effective 12/23/16: \$11.11 - \$14.14

CLASS III Advanced position requiring skills and knowledge acquired through prior employment or training in the appropriate area. This class usually requires supervisory responsibilities or the ability to work independently on projects requiring specialized skills.

Hourly Range:

Effective 12/26/14: \$11.90 - \$15.56

Effective 12/25/15: \$12.48 - \$16.32

Effective 12/23/16: \$13.13 - \$17.17

ITEM

The Board of Regents for Higher Education amends its policy regarding “Reporting Suspected Abuse or Neglect of a Child”

BACKGROUND

On January 17, 2014, the Board approved policy regarding “Reporting Suspected Abuse or Neglect of a Child.” This policy required that faculty, staff, coaches and administrators, in the ordinary course of employment, who have reason to believe that a child may have been abused or neglected, are required to report their suspicion to their immediate supervisor. The supervisor would then determine the appropriate course of action. However, the Connecticut General Assembly enacted Public Act 14-186, which supersedes the Board policy. The Act became effective on October 1, 2014. This revision is intended to align Board policy with the Act.

ANALYSIS

The amendment incorporates the express provisions of Public Act 14-186 with the previous Board policy. The Act states that with the exception of student employees, any paid administrator, faculty, staff, or athletic director, coach or trainer who in the ordinary course of their employment has a reasonable cause to suspect that a person under the age of 18 years has been abused, neglected, has been placed in imminent harm or had had a non-accidental injury is required to report, or otherwise cause a report to be made, to the Department of Children and Families (“DCF”) within 12 hours of becoming aware or suspecting abuse, neglect or imminent harm to a child. This provision is expressly stated within the proposed policy. This differs from the previous policy in that the reporter was not previously required to report the incident to DCF, but to their immediate supervisor. A decision would then be made as to whether to report and to conduct an investigation.

This amended policy requires that calls be made to both DCF and the immediate supervisor. As before, the supervisor must report the incident to his or her director or vice president who must then inform the campus President and the System Office Vice President for Human Resources or their designees. By following this process institutions are able to comply with the law and retain local control over personnel matters that may arise.

RECOMMENDATION

That the Board of Regents for Higher Education amends the policy regarding “Reporting Suspected Abuse or Neglect of a Child” to conform with Public Act 14-186.

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

POLICY REGARDING

REPORTING SUSPECTED ABUSE OR NEGLECT OF A CHILD

JANUARY 15, 2015

WHEREAS, The Board of Regents in accord with the Connecticut State Colleges and Universities comprised of seventeen institution and a System Office, strives to the utmost to protect children on its campuses from any form of abuse, neglect, or harm; and

WHEREAS, the Board of Regents for Higher Education adopted policy regarding “Reporting Suspected Abuse or Neglect of a Child” on January 17, 2014; and

WHEREAS, The Connecticut General Assembly amended Section 17a-101 of the General Statutes, by passing Public Act 14-186 An Act Concerning the Department of Children and Families and the Protection of Children and by so doing expanded the specific occupations and persons mandated to report any suspected child abuse or neglect to a child, to include the faculty, staff, administrators, coaches or other individuals, but not students, employed by the Board of Regents and the Connecticut State Colleges and Universities; and

WHEREAS, The Board of Regents seeks to empower the institutions to investigate and take administrative action, as necessary to assure the safety of its campuses; therefore be it

RESOLVED, That the Board of Regents formally amends its policy by adopting the attached revised policy regarding “Reporting Suspected Abuse or Neglect of a Child” effective immediately, and be it further

RESOLVED, That a copy of this policy shall be disseminated annually to all employees of the Connecticut State Colleges and Universities.

A True Copy:

Erin A. Fitzgerald, Secretary of the
CT Board of Regents for Higher Education

**Board of Regents for Higher Education
Connecticut State Colleges and Universities**

**Policy Regarding
Reporting Suspected Abuse or Neglect of a Child**

The Board of Regents for Higher Education (BOR) of the Connecticut State Colleges and Universities (CSCU) accept that institutions of higher education foster educational opportunities for people under the age of 18 years. The BOR, in acknowledging the special care required for children, strives to the utmost to protect children on its campuses from any form of abuse or neglect.

Pursuant to state law, with the exception of student employees, any paid administrator, faculty, staff, athletic director, athletic coach or athletic trainer, collectively referred to as “mandatory reporters” who in the ordinary course of their employment has a reasonable cause to suspect or believe that a person under the age of 18 years has been abused or neglected, has been placed in imminent harm or has had a non-accidental injury is required to cause a report to be made to the Department of Children and Families within 12 hours of becoming aware or suspecting abuse, neglect or imminent harm to a child.

The BOR recognizes that each CSCU campus must be a safe and secure environment for children to grow and develop. Therefore, the BOR further requires mandatory reporters to report any witnessed or suspected abuse or neglect of a child on a CSCU campus to their immediate supervisor in addition to DCF. The supervisor must report the incident to their director or vice president who must then inform the campus President and the System Office Vice President for Human Resources or his/her designee.

If the director or vice president reasonably believes that a reportable incident has occurred, and, if the suspected perpetrator is a BOR or CSCU employee, he/she will immediately contact their Chief Human Resources Officer who shall assign an objective person to investigate the report. An employee under investigation may be placed on administrative leave pending the results of the investigation. Employees who report suspicions of abuse or neglect are protected from any disciplinary action unless the report is determined to have been maliciously made. An employee who fails to report, but is later determined to have had previous knowledge of the abuse, may be subject to discipline.

A report is required if there is reasonable cause to suspect that a person under the age of 18 is in imminent harm, has had non accidental injuries or has been abused or neglected. Reasonable cause to believe or suspect that child abuse has occurred is sufficient to make a report.

All staff designated as mandatory reporters are required to take the Department of Children and Families Mandated Reporter Training, either on-line or in person, and Mandated Reporter Training will be included in New Employee Orientation. Compliance with training will be monitored by each CSCU campus’s Department of Human Resources. A copy of this policy shall be disseminated annually to all employees.

Reasonable steps will be taken to preserve privacy while promptly investigating and responding to the report. While the institution will strive to maintain the confidentiality of the information reported, which information may be subject to privacy requirements of the Family Education Rights Privacy Act (FERPA), the institution also must fulfill its duty to protect the CSCU community and to assure that the appropriate disciplinary processes are implemented.

ITEM

The Board of Regents for Higher Education amends its policy regarding “Pre-Employment Background Verification Policy at the Connecticut State Colleges and Universities”

BACKGROUND

On October 16, 2014, the Board approved policy regarding “Pre-Employment Background Verification Policy at the Connecticut State Colleges and Universities.” The Connecticut State Colleges and Universities (“CSCU”) System and its seventeen institutions are committed to providing a safe learning and working environment for its students, faculty and staff. Therefore, in order to ensure the appointment of employees of the highest integrity and to maintain a safe educational community, the CSCU System conducts pre-employment background investigations on prospective employees. The revision to the existing policy expands pre-employment background verification investigation to additional categories of CSCU positions.

ANALYSIS

The policy sets forth consistent requirements and guidelines for performing such background investigations on all individuals for whom employment will be tendered. The proposed revisions to the policy expand the pre-employment background verification investigations to CSCU employees who are internal candidates for a transfer or promotion to certain types of positions. The first proposed revision requires internal candidates for all management or confidential professional positions to undergo a background verification investigation prior to being awarded such position. The second proposed revision requires internal candidates for positions that have a fiduciary responsibility, handle cash or credit transactions, or have a primary responsibility related to finance or budget undergo a background verification investigation prior to being awarded such position.

RECOMMENDATION

That the Board of Regents for Higher Education amends the Pre-Employment Background Verification Policy as detailed above and contained in the attached “Pre-employment Background Verification Policy at the Connecticut State Colleges and Universities.”

Pre-employment Background Verification Policy Connecticut State Colleges and Universities

Introduction/Purpose:

The Connecticut State Colleges and Universities System (“CSCU”) is committed to providing a safe learning and working environment for its students, faculty and staff. Therefore, in order to ensure the hiring of employees of the highest integrity and to maintain a safe educational community, the CSCU System, comprised of its seventeen institutions and the System Office, will conduct pre-employment background investigations on all individuals for whom employment is to be tendered.

This policy sets forth the requirements and guidelines for performing such background investigations.

Scope:

Upon adoption by the Board of Regents for Higher Education, all full-time and part-time external candidates for employment with a CSCU institution or the System Office, as well as potential re-hires with a break in service of more than one year, shall undergo a pre-employment background investigation pursuant to this policy as part of the employment screening process. This policy covers all full-time and part-time employees, including University Assistants, Educational Assistants, Adjuncts/Lecturers and other temporary and contracted employees. Student workers, graduate assistants and graduate interns are not covered by this policy.

It is understood that there is movement in the CSCU workforce between institutions (including the System Office) due to transfer and promotional opportunities, as well as dual employment situations. This policy applies to these situations as detailed below:

The following CSCU employees shall be covered by this policy:

- CSCU employees who *apply for and are offered a transfer or promotional opportunity to a different CSCU institution* and have not already undergone a background investigation.
- CSCU employees who are candidates for *transfer or promotion to a management/confidential professional position*.
- CSCU employees who are candidates for *transfer or promotion to positions that have a fiduciary responsibility, handle cash or credit transactions, or have a primary responsibility related to finance or budget*.

The following CSCU employees shall not be covered by this policy:

- CSCU employees who *apply for transfer or promotion within the same institution*.

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- CSCU employees who *transfer to or become dually employed at a different CSCU institution and have already had a background investigation done at the former CSCU institution.*
- Former CSCU employees who are *rehired at the same or different CSCU institution after a break in service of less than one year and have already undergone a background investigation.*

Policy:

No external employment candidate may begin work for an institution or the System Office until the appropriate screenings have been completed. The background investigation may reveal certain information that may disqualify the candidate from further consideration for the position. Special circumstances may, on occasion, require an applicant to start work before all pre-employment background checks are completed. Such exceptions may occur only with prior approval by the chief human resources officer at the institution, or the Vice President for Human Resources at the System Office. Written notification will be sent to the applicant that continued employment is contingent upon completion of a pre-employment background investigation acceptable to the institution or the System Office.

Elimination of a candidate from consideration for hiring on the basis of information revealed by the background investigation must be reviewed and approved by the chief human resources officer at the institution, or by the Vice President for Human Resources at the System Office. Access to the background investigation report shall be handled with the strictest confidence and be limited to the President and the chief human resources officer or their designees at the institution or the President of the Board of Regents for Higher Education or Vice President for Human Resources at the System Office or their designees.

Procedure:

The CSCU System shall select and contract with an approved background investigation vendor. All institutions and the System Office must utilize the approved designated background investigation vendor for pre-employment background investigations and shall comply with this procedure.

1. Notification & Authorization

Candidates will be informed during the pre-employment process that selection is subject to completion of a background investigation acceptable to the institution or the System Office. Applicants who have been designated as finalists for positions will be provided a disclosure and will be required to consent to a background investigation. Applicants will be required to provide information for use by the approved background investigations vendor. The institution's or System Office's chief human resources officer or designee will initiate all background investigations.

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2. *Collecting Background Information*

Before awarding the position, the institution or System Office will conduct the following Level I pre-employment background check of all candidates:

Level I Screening

- Social Security Trace;
- Prior Employment Verification (prior 7-10 years);
- Education Verification (highest degree attained or highest education level if no degree attained);
- Professional Reference Checks;
- County/Statewide Criminal Search (where lived, worked, attended school – as obtained from disclosure form or Social Security Trace);
- Federal Criminal Search (where lived, worked, attended school – as obtained from disclosure form or Social Security Trace); and
- Multi-Jurisdictional Criminal Search (includes National Sex Offender).

Before awarding the position, the institution or System Office will conduct the following Level II pre-employment background check on all candidates for executive-level positions (Dean and above) and at the option of the institution or System Office other positions that direct a substantial operational unit as designated by the institution's or System Office's chief human resources officer or president:

**Level II Screening
for Executive-Level Positions**

- Includes all elements of the Level I Screening; AND
- Motor Vehicle Record;
- State/Federal Civil Litigation;
- Credit Verification (in accordance with state and federal laws); and
- Media Search.

In addition, candidates for designated positions may also be subject to the following types of screenings, depending on the requirements of the position:

Position-Specific Screening

- Motor Vehicle Record (for positions that require driving as part of the job);
- Credit Verification (for positions that have a fiduciary responsibility, handle cash or credit transactions, or have a primary responsibility related to finance or budgets, in accordance with state and federal laws);
- Professional Licensing Check (for any positions that require a professional license); and

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- International Screening – criminal search and credential verification, as needed.

Prior employment verification, education verification, professional reference checks and media searches may be conducted by the background investigations vendor or the institution/System Office at the option of the institution/System Office.

3. *Use of Background Investigation Results*

Listed below are examples of factors that may disqualify an applicant for employment. This list is not an all-inclusive list, but is provided merely as examples):

- Inconsistency of information provided by the candidate versus that obtained by the background investigation. (Examples might include, but not be limited to, significant differences in prior employment dates, education obtained, or licenses held.)
- Omissions of significant information by the candidate. (Examples might include, but not be limited to, failure to disclose being dismissed for cause or loss of certifications qualifying the applicant for the position.)
- Unsatisfactory information uncovered by the background investigation. (Examples might include, but not be limited to the following: Felony or misdemeanor convictions related to the position applied for; unsatisfactory job performance on a prior job; poor attendance or disciplinary problems on a prior job; record of moving violations (for a job requiring driving an institution or state vehicle); credit history that would indicate an inability to manage finances or which would create undue personal financial pressure (for jobs handling management of significant financial resources).

4. *Fair Credit Reporting Act (“FCRA”) Compliance:*

The FCRA and the regulations promulgated thereunder are intended to give a candidate for employment the opportunity to correct any factual errors in his or her consumer report, as defined in the FCRA, before an adverse employment action is taken. The candidate must be provided notice of any disqualifying information revealed by the consumer report, including, but not limited to, credit history information, and a reasonable period of time to correct discrepancies.

When the institution or System Office receives information in a consumer report that will potentially disqualify a candidate from consideration, the institution or System Office will comply with the following FCRA protocol:

- The candidate shall be sent a letter notifying him/her that the institution or System Office has received disqualifying information from the consumer report.
- To the letter shall be attached a copy of the report and a summary of the candidate’s rights under FCRA and any relevant state required forms.

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- The notification shall be sent to the candidate before any adverse employment action may be taken based on the consumer report.
- After five (5) business days, barring the receipt of any new information that changes or clarifies the consumer report and eliminates any discrepancies, the institution or System Office shall send the candidate a second letter rejecting his/her candidacy based on the disqualifying information generated by the consumer report.

Services of the approved background investigation vendor may be utilized to produce the adverse action notifications, or the institution or the System Office, may produce the notifications themselves.

5. *Record Retention:*

All information obtained, as part of a background investigation, shall be held in strictest confidence. Documentation of a successfully completed background investigation shall be retained for the appropriate retention period for employment records promulgated by the State of Connecticut and by institution or System Office personnel search policies and procedures. The detailed background investigation report shall be retained by the approved background investigation vendor in compliance with state and federal retention requirements and shall not be included in an employee's personnel file. Unauthorized disclosure of information gathered through the background investigation will not be tolerated and may subject the discloser to disciplinary action.

6. *Use/Review Criteria:*

- a. Criminal Convictions: The institutions and the System Office will not knowingly hire applicants who have been convicted of job-related crime within the allowable reportable time period for reporting such offenses. This time period is normally seven (7) years. This also applies to those situations when the date of disposition, release, probation, or parole (whichever is most recent) relating to the crime occurred within the past seven (7) years.

Pursuant to Connecticut General Statutes Sections 46a-79 and 46a-80, in determining whether conviction of a criminal offense will disqualify an applicant for a particular position, the following three factors will be considered:

- The nature of the offense and its relationship to the position;
- The degree to which the applicant has been rehabilitated; and
- The length of time elapsed since conviction.

Notification of rejection of employment will be sent via registered mail and will specifically describe the evidence presented and state the reason(s) for disqualification.

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- b. Pending Criminal Charges: If the institution or System Office becomes aware that the applicant has criminal charges that are currently pending, but no court disposition has yet been made, the institution or System Office shall assess the criminal charges on a case-by-case basis to determine if the charges are job-related or would otherwise impact the potential employee's ability to serve in the position.

Pursuant to Connecticut General Statutes Section 46-80(d), no record of arrest that was not followed by conviction, or record of conviction that has been erased, shall be considered in connection with an application for employment.

- c. Accelerated Rehabilitation: The institution or System Office is not prohibited from considering accelerated rehabilitation or other alternative dispositions when evaluating an applicant. The institution or System Office shall consider the accelerated rehabilitation as it would a pending charge.
- d. Motor Vehicle Records Check: Motor vehicle records which evidence a revoked or restricted driver's license, invalid driver's license, or traffic violations (including, but not limited to, alcohol-related violations) shall be reviewed as they relate to positions requiring driving duties and in conjunction with all other factors disclosed by the background investigation.
- e. Credit History: An applicant's credit history shall be reviewed as it relates to jobs requiring financial responsibilities. An applicant's credit history shall be considered in conjunction with all other factors disclosed by the background investigation and shall not be a solely determining factor in denying employment.

Statutory/Administrative Regulation:

Fair Credit Reporting Act

Connecticut General Statutes, Sections 31-51i, 46a-79, 46a-80, 46a-80(d), 46b-146,
54-760, 54-142a

Responsible Function Area:

Office of Human Resources

CT BOARD OF REGENTS FOR HIGHER EDUCATION

RESOLUTION

concerning

PRE-EMPLOYMENT BACKGROUND VERIFICATION POLICY

AT

THE CONNECTICUT STATE COLLEGES AND UNIVERSITIES

January 15, 2015

- WHEREAS, The Board of Regents for Higher Education, in accord with the Connecticut State Colleges and Universities, comprised of seventeen institutions and a System Office, is committed to providing a safe learning and working environment for its students, faculty and staff, and
- WHEREAS, the Board of Regents for Higher Education adopted policy regarding “Pre-Employment Background Verification at the Connecticut State Colleges and Universities” on October 9, 2014; and
- WHEREAS, The Connecticut State Colleges and Universities seek to hire employees of the highest integrity in order to maintain a safe educational community, and
- WHEREAS, A need has been identified to expand the pre-employment background verifications to CSCU employees who are internal candidates for a transfer or promotion to certain types of positions, now therefore be it
- RESOLVED, That the Board of Regents formally amends its policy by adopting the attached revised policy regarding “Pre-Employment Background Verification” effective immediately.

A True Copy:

Erin A. Fitzgerald, Secretary
CT Board of Regents for Higher Education