

# Employment

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## Compensation and Payroll

### Compensation

#### Classified Compensation Administration

**Policy No:** 4.1

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**Policy Owner:** Human Resources

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**Policy Statement:**

Georgia Tech strives to provide a unique employee value proposition that will enable the Institute to attract, retain, and engage the talent needed to define the leading technological institute for the 21st century.

Affiliation, rewarding jobs, and career will be the leading differentiators of Georgia Tech's employee value proposition. Compensation and benefits will support the overall value proposition and facilitate attraction, retention, and high performance of Georgia Tech's talent.

Compensation is positioned competitively according to the relevant talent markets for each major segment of jobs. A culture of recognition will reward and encourage high performance.

Benefits are delivered and communicated to achieve a competitive position with Georgia Tech's peer institutions.

Georgia Tech's compensation program is designed to:

1. Attract, retain, and motivate employees by providing total compensation practices which:
  - Are competitive with outside market pay levels for similar jobs and aligned with Institution needs.
  - Reinforce a pay-for-performance philosophy.
  - Non-discriminatory.
2. Encourage employee development by facilitating developmental moves and cross-functional training.
3. Support teamwork directed toward the accomplishment of Georgia Tech's goals and strategies.
4. Motivate leadership and other behaviors consistent with creating the leading technological Institution of the 21st century.
5. Recognize and reward differences in performance and contributions, which create value for the Georgia Tech community.
6. Promote sound stewardship of compensation expense consistent with the financial goals of the Institution and as a member of the University System of Georgia.

**Scope:**

This Salary Administration Plan covers all staff employees across the Institute. This document does not cover faculty or research faculty.

**Procedures:**

This Plan neither creates nor constitutes a contract between the employee and the Institute nor does it create a property interest for the employee. The Institute reserves the right to amend or terminate this plan at any time, either with or without notice.

**Salary Structures**

To better align Georgia Tech’s workforce with the market, the Institute has five salary grade structures

The pay structures described below:

1. Represent Georgia Tech’s unique work force,
2. Allow the Institute to better respond to trends in the market place, and
3. Provide a framework for career movement for employees within their profession.

Structure	Grade Level	Jobs Found on Structure
Administrative & Professional Crafts & Skilled Trades	A1 - A15 C1 - C13	<p>Positions responsible for the support, coordination, and management of academics &amp; administration.</p> <p>Professions include Finance, Human Resources, Administrative Management, Legal Affairs, Academic &amp; Student Services, and Communications.</p> <p>Positions responsible for the installation, maintenance, repair, and management of structures, grounds, utilities, and related components. Included are positions related to inventory management, warehousing, and mail/delivery.</p> <p>Professions include Carpentry, Custodial Services, Landscaping, Construction, Instrumentation, Recycling, and Mail Distribution.</p>
Development	D1 - D11	<p>Positions responsible for the administration, management, solicitation, and development of fundraising, sales, and business growth.</p> <p>Professions include Development, Sales Management, Consulting, and Venture Catalyst Initiatives.</p>

Structure	Grade Level	Jobs Found on Structure
Information Technology	I1 - I11	Positions responsible for the design, configuration, engineering, installation, maintenance, repair, support, and management of computers, computer based systems, applications, hardware, networks, information, and components.  Professions include Software Development, Information Security, Graphic Design, Network Administration, and Technical Support.
Science & Research Support	S1 - S10	Positions responsible for the support, management, and research of science and engineering disciplines.  Professions include Medicine, Dentistry, Engineering, Laboratory Management, Safety, and Architecture.

All employees, including those on acting titles, should be at or above the minimum salary for the job grade unless the employee is on a Performance Improvement Plan.

All salary structures at Georgia Tech consist of the following: a Job Grade, a Range of Pay, and a Market Reference Point.

**The Range Of Pay** – Each job grade has a corresponding range of pay based on market pay practices and an employee’s development in a job. Each range has three tiers. Individual job performance and job knowledge, as well as the Institute’s financial position, determine the employee’s position in the tier. The following table describes the characteristics of employees whose skills are encompassed by each tier.

Tier I	Tier II	Tier III	Market Reference Point
Typically, these are employees newly hired, assigned, or promoted into the job or employees gaining the breadth of experience and skills needed by the organization.	Typically, these are employees with demonstrated skill levels in their field with the demonstrated ability and desire to develop additional skills and knowledge needed to progress.	Typically, these are top-performing employees exhibiting consistently outstanding performance with demonstrated skills, knowledge, and abilities in their field, providing innovative ideas and suggestions to support the Institute’s goals.	This is the composite of all market data in a grade.

All employees, including those on acting titles, should be at or above the minimum salary for the job grade unless the employee is on a Performance Improvement Plan.

Example for Grade A7:

Grade	Tier I	Tier II	Tier III	Market Reference Point
A7	39,600 - 45,500	45,501 - 55,000	55,001 - 60,700	50,000

Performance, over time, is the primary driver to move an employee through the range.

**Starting Pay**

Rates Starting pay rates for new employees should reflect the skills and experience a candidate brings to the job as well as internal equity in the unit. All salary offers are governed by the following approval matrix:

Supervisors making salary offers to new hires have the ability to use the salary range up to the maximum of Tier 2\* for a particular grade.

Any salary offer that would take the candidate above Tier 2 of a range is only considered on an exception basis.

Approval Matrix:

If the Hiring Rate is:	Approval Required
Up to Tier II Maximum	Manager requesting the starting rate and At least the next manager above
Above Tier II	His/her manager, HR Representative and Compensation recommendation, Vice Provost, Vice President, Dean, or higher and the AVP of Human Resources

The Institute is not bound to any agreement made by a supervisor who has not first obtained proper approvals.

\*Salary offers to current GT employees bidding on higher-level work will follow the promotional guidelines.

**Other Compensation**

**Non-Exempt Overtime**

Non-exempt employees are paid at the rate of 1.5 times the regular rate of pay for all hours worked in excess of 40 hours in a workweek\*. The regular rate excludes premium pay and other pay that the FLSA does not require to be included in the regular rate of pay. (\*See policy 4.9, Overtime Compensation for further information.)

Compensatory Time-Off (Overtime) Non-exempt employees: See policy 4.9, Overtime Compensation for further information.

**Differentials**

Georgia Tech is made up of a diverse group of Colleges, Schools, Departments, and types of employees. The following guidelines are intended to address varying needs in departments. These guidelines are not mandated but are to help provide the tools that departments need to support their business operations with the budgets that they have available. These guidelines will be applied consistently within departments but are at the discretion of the unit's management. The differentials, outlined below, only apply to Non-Exempt employees.

**Callback Pay**

Non-exempt employees are eligible to receive Callback pay.

Callback pay occurs when certain conditions arise requiring a non-exempt employee to report to his or her work location or to perform work at another location at times other than during a regularly scheduled work day. Callback only applies to those employees who are designated as being "On-Call" by a departmental Director or who are called back



as a back up to an "On-Call" employee.

Callback pay is paid at 1.5 times the regular rate of pay. Premium pay is excluded from the regular rate of pay for overtime calculations. This premium pay will be offset against overtime pay due for the workweek, if any.

For each instance of Callback pay, employees will receive the greater of:

1. 4 hours of call-back pay or
2. Actual hours worked

This includes travel time to the work place.

Employees should report such hours to the nearest quarter hour (e.g. 3.25, 3.50, 3.75, etc.).

NOTE: Non-exempt employees are eligible for this premium pay even if their hours for the workweek do not exceed 40.

Supervisors are not permitted to grant compensatory time off in lieu of On-Call or Callback pay to employees.

#### On-Call Pay

Non-exempt employees designated by the departmental Director to be "On-Call" will be eligible for an additional payment that equates to two hours of regular pay. Employees in an "On-Call" status may be required to wear a pager or to otherwise be accessible by telephone or another communications device. Such "on-call" hours are not considered hours worked.

Employees "On-Call" are not required to remain on the Institute's premises but will be required to respond to a call within the timeframe specified by the employee's department. Only one occurrence of On-Call will be paid per 24 -hour period, beginning with the day the initial On-Call status begins.

For Example:

On-call begins at 5:00 p.m., Friday and ends, Saturday, at 4:59 p.m., only one occurrence will be considered.

#### Shift Differential

Coverage for evening and night hours of duty is essential for business operations. The intent behind this guideline is to compensate employees who are required to work scheduled hours that are not during the Institute's "normal business hours."

Hours outside of the "normal working" hour schedule are considered to end after 7:00 p.m. or start before 7:00 a.m.

It is the intent of this policy to pay shift differential on a per-hour basis for each hour an employee performs work within the shift differential period.

Shift differential is calculated as 10% of the employee's hourly rate. An employee's hourly rate of pay is calculated by dividing their weekly base salary by the number of days worked in a normal workweek.

Non-exempt employees are eligible for shift differentials if they are required by their supervisors to work a regularly scheduled partial or whole shift between the hours of 7:00 p.m. and 7:00 a.m.

Overtime Hours: Shift differential will not be paid if only overtime hours fall within the shift differential period.

#### Job Evaluations

Georgia Tech determines the pay grade, title, and exemption status for each job by conducting a job evaluation. A job evaluation can be conducted to determine the level of a new or existing job and may be recommended to the Human Resources RepresentativeContact by a unit manager/supervisor when circumstances warrant.

When the Human Resources RepresentativeContact and manager agree a job evaluation is warranted, they must complete a job (re)evaluation request form ([Job Evaluation Tool](#)) and obtain the necessary departmental approvals. The request is forwarded to the Compensation Unit for review.

Job evaluations may occur at any time throughout the year. The most common reasons for conducting a job analysis as well as the accompanying steps are listed below.

Type of Job Evaluation	Steps to Take
1. Creation of a New Job	When a department wants to create a job that is believed to be new to the department or Institute, go to the <a href="#">Job Evaluation Tool</a> .
2. Additional Job Responsibilities	See “Responsibilities Added to a Job” for guidelines.
3. Temporary or Interim Duties	Additional work assigned on a temporary basis should not be compensated by a permanent adjustment to the job. See “Temporary/Interim Assignments” for guidelines.

**Responsibilities Added to a Job**

When a significant shift in the responsibilities of a job occur and become a permanent change, a new job and grade or a change in pay may be appropriate. The following steps should be taken:

1. The Human Resources RepresentativeContact will consult with the department managersupervisor to discuss a course of action and to determine whether a job evaluation is appropriate.
2. The manager/supervisor will document the new or additional responsibilities and any related skill requirements (<http://www.ohr.gatech.edu/compensation>).
3. The managersupervisor will consult with the Human Resource RepresentativeContact and they will describe in writing mutually agreed-upon changes in responsibilities and skill requirements as well as the impact of the changes on the existing job.
4. The Human Resource RepresentativeContact will consult with the Compensation Unit to determine if a job evaluation is necessary.

**Approvals**

The following approvals are always required prior to requesting a job evaluation:

Type of Job Level Being Evaluated:	Approval Needed*
Anticipated Salary of \$75,000 or below	i. Manager requesting the evaluation and ii. At least the next manager above
Anticipated salary of \$75,000 or greater	See “Responsibilities Added to a Job” for guidelines.

An individual unit may require additional levels of approval. The Human Resources RepresentativeContact will be responsible for obtaining the approvals and working with Compensation during this process.

After the Compensation Unit reviews the request, Compensation will forward its recommendation to the unit’s Human Resources RepresentativeContact. Any pay changes resulting from the Compensation Unit’s recommendation will follow the salary change guidelines. Additionally, a Fair Labor Standards Act (FLSA) status of either Exempt or Non-exempt is assigned at that time (See Policy 4.9).

Administrative Placement:

Occasionally, there may be a mismatch between the value of a job to the organization, as determined by the job evaluation system, and the skills of an incumbent or applicant. In those cases, the Institute reserves the right to administratively place a job at a job grade reflecting the value of the skills of the person. This is a very rare situation and is only done for strategic purposes of the Institute. All jobs considered for/on Administrative Placement are to be approved by the AVP-HR and either the:

- Provost,
  - EVP of Research, or
  - EVP of Administration and Finance
- As appropriate.

### Pay Adjustment Types and Pay Treatment

#### Promotion - Defined

A promotion is a movement to a higher job grade. A promotion occurs as a result of a successful job bid, reevaluation of an existing position, or assumption of additional responsibilities because of reorganization. A salary increase may be warranted to reflect the additional job responsibilities and to recognize the realities of the marketplace and the need for internal job equity.

#### Promotional increases

Since every employee situation is different, it is important to consider multiple factors when making pay decisions relating to promotions. The Human Resources Representative Contact and department manager will collaborate to develop an appropriate salary recommendation within the new grade, based on such factors as the employee's skill, knowledge, experience, and performance, criticality of the role, budget, and market data. The [salary change tool](#) outlines these factors and is for formulating a recommendation.

In no instance, should a promotional increase take an employee's salary above the salary structure maximum.

#### Promotions within a single structure:

The guidelines for promotional increases within a single salary structure, (e.g., A3 to A4) are as follows:

- a. One job grade promotion: 0-10%, or to the minimum of the new salary range, whichever is greater.
- b. Two or more job grades: 0-15%, or to the minimum of the new salary range, whichever is greater.

#### Movement between structures:

When a promotion results in movement between salary structures, (e.g., A7-I3), a promotional increase may be considered when the difference between the market reference points is greater than 10%. If the difference between the market reference point is:

- a. Greater than 10% but less than 15%, a promotional increase of: 0-10%, or to the minimum of the new salary range, whichever is greater, may be granted.
- b. Greater than 15%, a promotional increase of: 0-15%, or to the minimum of the new salary range, whichever is greater, may be granted.

In all instances, the promotional increase should bring the employees pay at least to the minimum of the new salary grade range.

#### Example 1:

Susan is an A7, making \$49,000 in xyz department. She bid on, and was chosen for, a job grade I3, in LMN department.

The salary structure for an A7 is:

Grade	Tier I	Tier II	Tier III	Market Reference Point
A7	39,600   45,500	45,501   55,000	55,001   60,700	50,000

The salary structure for an I3 is:

Grade	Tier I	Tier II	Tier III	Market Reference Point
I3	39,300   46,600	46,601   57,000	57,001   64,800	51,800

In this case, Susan would not be eligible for an increase because the difference between market reference points is less than 10%.

**Example 2:**

Susan is an A7, making \$49,000 in XYZ department. She bid on, and was chosen for, a job in grade I4, in QRS department. The salary structure for an A7 is:

Grade	Tier I	Tier II	Tier III	Market Reference Point
A7	39,600   45,000	45,501   55,000	55,001   60,700	50,000

The salary structure for an I4 is:

Grade	Tier I	Tier II	Tier III	Market Reference Point
I4	47,300   56,000	56,001   68,400	68,401   77,800	62,200

In this case, Susan would be eligible for an increase because the difference between market reference points is more than 10%; and she would be eligible for an increase of up to 15% of her current pay.

In awarding any increase, the manager and Human Resources Representative would review the salary increase tool, internal equity, and performance ratings in the current role.

The salary increase will be limited to 5% for individuals whose rate prior to the promotional increase is already above the market reference point of the new job's salary range. Promotional increases cannot take the employee above the new salary grade maximum.

**Approval Matrix:**

If the promotional increase is:	Approval Needed:
Within the guidelines	The manager making the request and his/her manager.
An exception to the guidelines	a. His/her manager b. HR Representative and Compensation recommendation c. Vice Provost, Vice President, Dean, or higher and the AVP of Human Resources The HR Representative will be responsible for obtaining the Compensation recommendation and analysis.

A newly promoted or hired employee is not eligible for a subsequent promotion (unless within his/her own department) until completion of one year of continuous service in that position. Exceptions to this policy are: 1) work is to be curtailed; and 2) all available employees with at least one year of service have been considered and rejected for the position. In these cases, the employee may be eligible for consideration. For promotion, eligibility within a department no minimum time in position is required.

**Temporary Assignments and Acting Interim Titles**

From time to time, it may be necessary for employees at Georgia Tech to take on additional or different responsibilities

for a limited period of time. While all employees are expected to fill in for vacations and other short-term situations, additional compensation may be warranted in some circumstances especially when the temporary duties are of a higher level or continue for an extended period of time.

A department managersupervisor initiating a Temporary Assignment or ActingInterim Title in hisher area of responsibility must submit a written proposal to the Human Resources RepresentativeContact explaining the reason for the assignmentappointment, the expected duration, resources required, the method for evaluating successful performance, and the criteria for selecting the employee.

The Human Resources RepresentativeContact will work with HR Consultancy for approval. The following list summarizes the nature and scope of potential assignments and the required accountabilities. A more detailed explanation follows the chart.

Type of Assignment	Duration	Change in Grade	Intent	Compensation Treatment Option
Temporary	30 + days	No	To cover an additional temporary workload for the extended absence of an employee.	Yes
Acting Title	1 - 3 months	No	To provide a leadership role in the temporary absence of a leader/manager.	Yes
Interim Title	3 - 12 Months	Yes	To provide a leadership role during an extended absence of a leader/manager.	Yes

A **Temporary Assignment** is appropriate when an individual is assigned additional duties on a temporary basis in the absence of another employee at the Institution, or to cover additional temporary workload. This generally does not involve a change in the job grade level. The additional work must continue for more than 30 days and must be a significant, clearly defined addition of responsibilities to the normal workload (higher volume of work is excluded from this definition).

An **Acting Title** is appropriate when an employee is appointed (in writing) to a position of authority on occasions when the incumbent is absent or reassigned for a short period (usually between 1-3 months). This move generally does not involve a change in pay grade. The person in the Acting Title has the authority of the role (e.g., ability to approve vouchers, time sheets, etc.)

An **Interim Title** is appropriate when an employee is appointed (in writing) to a different position on a temporary basis when a vacancy is expected to last for an extended period (generally 3 months but not to exceed 1 year.) The temporary assignment is outside of the employee's regular duties and generally involves a different grade level. The interim appointee is accountable for effective performance of the full scope of the interim role that is identified by hisher manager at the time of the appointment.

**Compensation Changes for Temporary Assignments and ActingInterim Titles:**

Temporary AssignmentsActing Titles:

During the period of the temporary assignment, the individual may be eligible to receive additional compensation ranging from 0 – 15% of the employee's current base salary or hourly rate. The amount of increase will depend upon the duration of the Temporary Assignment, the degree of complexity andor criticality of the additional work, the

employee's current salary, and the level of performance. (See the [salary change tool](#) for guidance.)

**Interim Titles:**

Acting assignments will follow the promotional guidelines for the duration of the assignment.

**Approval Matrix:**

If the promotional increase/time in position is:	Approval Needed:
Within the guidelines	The HR Representative/Contact is responsible for working with HR Consultancy on the approval and review of both Acting and Temporary assignments.
An exception to the guidelines Assignments longer than 12 months or increases greater than policy.	Any assignment lasting beyond 12 months or request for an increase greater than policy must be approved by: a. HR Representative b. HR Consultancy c. Vice Provost, Vice President, Dean, or higher and the AVP of Human Resources The HR Representative will be responsible for obtaining the necessary approvals.

**Temporary Assignments and Interim Title Conclusions:**

When the Temporary Assignment or Acting/Interim assignment ends, the interim appointee's salary rate will return to the salary rate he/she earned prior to the assignment [adjusted for any intervening salary increases (e.g., annual increases, increases due to market or internal equity, etc.)].

**Downgrades:**

**Downgrades to a Lower Job Grade:**

On occasion, an employee may be reassigned to a position in a lower grade. Downgrades can occur for several reasons but typically fall into two categories: voluntary and involuntary. A downgrade may also occur for developmental reasons (e.g., gaining experience in another area) or it can be as a result of performance in the current job.

**Same Structure Demotions:**

Demotions within a structure is movement to a lower grade within the structure, (e.g., A6 to A4)

**Demotions between structures:**

This occurs when an employee is moved to a lower job grade in a different structure.

- a. A demotion of one level demotion will occur with the difference between midpoints is greater than 10% but less than 15%
- b. A demotion of more than one level will occur when the difference between midpoints is greater than 15%.

**Voluntary:**

If the downgrade is voluntary (e.g., bidding on a lower level job) and if the salary is within the new salary range, no change is necessary. If the salary of the employee bidding on the job is above the new salary range maximum, his/her salary will be decreased to no more than the maximum salary rate for the new job on the effective date of the new job. Responsibilities and internal equity will be considered and may result in a salary placed lower in the new salary range.

**Involuntary:**

**Performance Related Downgrades** A performance-related demotion occurs when an employee has demonstrated that he/she is unable to perform his/her existing job duties at an acceptable level and management determines that the

employee's skills may be more effectively utilized in a lower level job. On such occasions, the employee's salary shall be immediately reduced to a level that is within the salary range of the new grade.

**Reorganizations and Job Reclassifications** Involuntary downgrades can also occur when a job is reassigned to a new grade due to reorganization or restructuring. The individual's salary will initially remain the same, but will be managed to the new grade salary range of the new job within a period of one year.

The Human Resources Representative and department manager will collaborate to develop an appropriate salary recommendation within the new grade, based on such factors as the employee's skill, knowledge, experience, and performance, criticality of the role, budget, and market data. The [salary change tool](#) outlines these factors and is for formulating a recommendation.

**Approval Matrix:**

If the promotional increase/time in position is:	Approval Needed:
Within the guidelines An exception to the guidelines	The manager making the request and his/her manger will need to approve The requesting manager will need to obtain the following approvals for an exception: <ol style="list-style-type: none"> <li>1. His/her manager</li> <li>2. HR Representative and Compensation recommendation</li> <li>3. Vice Provost, Vice President, Dean, or higher and the AVP of Human Resources</li> <li>4. The HR Representative will be responsible for obtaining the Compensation recommendation and analysis.</li> </ol>

**Lateral Transfers**

A lateral transfer occurs when an employee is moved to a position with the same salary grade as the one previously assigned. The reasons for such action are: 1) a simple transfer from one position to another within the same grade, 2) a reclassification resulting in the same pay grade assignment, and 3) placement in a temporary assignment.

A pay increase is not associated with a lateral transfer.

**Merit Adjustments**

Merit adjustments are funded through the actions of the General Assembly and Board of Regents of the University System of Georgia. That process produces a pay increase pool for each institution. The size of that pool ultimately determines the amount of funds available, if any, for merit adjustments.

If funded, merit adjustments are awarded following legislative and Board of Regents approval.

A merit adjustment occurs as a result of demonstrated performance relative to job expectations as determined through the Performance Appraisal Program.

Merit increases should reflect the employee's performance. Accordingly, significant differences in performance should yield significant differences in reward.

Merit adjustments should not take an employee's pay over the maximum of the salary structure. If an employee's pay at the time merit adjustments are made is close to, over, or near the salary grade maximum, the actual adjustment should be reduced so the salary will stay within the structure and a merit award will be given for any remaining



adjustment the supervisor intended to award.

**Example:**

Loretta Lincoln is a pay grade C6 and her current rate of pay is \$44,700. Her performance rating for the previous year was HS and her supervisor wants to award her with a 5% merit adjustment. How will her merit adjustment be handled?

Grade	Tier I	Tier II	Tier III	Market Reference Point
C6	31,900   34,700	34,701   42,500	42,501   45,500	38,600

Loretta’s supervisor can increase her base pay to \$45,500 and pay the remaining award in a one-time payment of \$1,435.

Exception process for adjusting salaries above the salary structure maximum:

In the event a department believes a permanent addition to a salary is warranted for an employee whose salary is/will be above the structure maximum, the Vice Provost, Vice President, Dean, or higher and the AVP of Human Resources must concur with this action.

**Communicating Pay Adjustments**

Supervisors/managers may not commit to any change in salary/compensation of an employee without concurrence of Human Resources and the appropriate departmental level approval. The Institute is not bound to any agreement made by a supervisor who has not obtained proper approvals first.

**Salary Change Tool**

The salary change tool below helps management think through how to set an employee’s salary taking into account various criteria. The pattern that emerges after plotting each of the criteria will help in developing an appropriate increase rate. View the salary change tool here: [Salary Change Tool](#)

**Forms:**

[JobEvaluationTool.doc](#)

[Salary Change Tool.pdf](#)

**Responsibilities:**

AVP-HR

The AVP-HR is responsible for the design and oversight of all Human Resources programs including compensation.

Compensation Unit

The Compensation Unit is responsible for:

Monitoring consistent application and interpretation of compensation policy and procedures covering staff positions.

1. Application of the job evaluation system in determining the value of each staff position in the organization relative to all other staff positions.
2. Developing, recommending, and revising structures and ranges to adapt to markets where Georgia Tech competes for talent.
3. Monitoring and reporting on external markets relative to internal compensation practices, and
4. Providing management with guidelines regarding the administration of compensation at the department/school level.

Human Resource Representatives

Human resource representatives are responsible for local administration of this policy within the unit(s) they support.

Supervisors and Managers

Each supervisor/manager is responsible for implementing and supporting the Institute’s compensation program and



policy. Supervisors/managers are responsible for:

1. Differentiating between levels of performance demonstrated by employees and recognizing the differences through performance evaluations.
2. Maintaining accurate, up-to-date documentation on employee performance supporting the performance review cycle and resulting merit increases.
3. Communicating at least the following information to their subordinate employees:
  - The performance management process
  - The relationship of performance to pay
  - Salary potential for the employee's position
  - Eligibility to receive overtime payments based on exempt or non-exempt status under the FLSA designation determined by job evaluation
  - Job descriptions and the employee's strategic objectives supporting the organization.

Supervisors/managers may not commit to any change in salary/compensation, outside of the guidelines, of an employee without concurrence of Human Resources and an appropriate departmental level approval. The Institute is not bound to any agreement made by a supervisor who has not first obtained proper approvals.

### **Compensation Program Review & Approval**

**Policy No:** 4.2

**Type of Policy:** Administrative

**Effective Date:** Feb 2008

**Review Date:** Dec 2018

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

The Compensation Program Review & Approval process provides a means of periodic internal management assessment of the Institute's policies, procedures and practices covering its compensation programs thus ensuring that those programs are properly designed and administered. Compensation programs consist of those covering academic faculty, research faculty and professional/administrative and other staff.

**Procedures:**

Annually, the Office of Human Resource will coordinate the production of a written report on the condition of the Institute's compensation program to include those covering research faculty and classified personnel. The OHR Compensation staff will compile and report on comparisons of actual pay practice (salaries being paid) for research faculty management and professional level personnel as well as various levels of classified management and staff to appropriate external markets. The report may also include comparison of additional elements of compensation such as supplemental pay and benefits. This report will be completed in March of each year and cover current conditions as well as those of the previous twelve months. The report will include an executive summary and be addressed to the President, the Provost & Executive Vice President for Academic Affairs and the Executive Vice President for Administration & Finance.

The report will include:

1. Background materials on what policies and procedures are currently in place for monitoring and controlling academic faculty, research faculty and classified staff compensation including Board of Regents policies and Board of Regents reporting requirements.
2. Comparative data to include compensation survey data covering faculty and staff practices of peer institutions and general industry.
3. Analysis and recommendations for adjustments and modifications to existing practices to maintain or improve competitive posture relative to applicable markets.

With regard to compensation paid to academic faculty personnel, the Institute Research and Planning Office will prepare and analyze comparative data on external pay practices for academics which will then be reviewed by Deans and School Chairs.

Upon review, the President in consultation with the Provost & Executive Vice President for Academic Affairs, the Executive Vice President for Administration & Finance and others that may be designed by the President, will assess the status of compensation programs currently in place and take whatever action deemed appropriate to correct, maintain or improve those programs.

Additionally, compensation programs will be subject to review and reporting by the Institute's Internal Audit organization.

**Responsibilities:**

The Office of the President provides oversight and guidance to the Compensation Program Review & Approval Process. Specifically, the President assisted by the Provost & Executive Vice President for Academic Affairs and the Executive Vice President for Administration & Finance periodically review all existing and proposed compensation policies, authorize corrective actions and approve new programs as appropriate. Additionally, the Office of the President may appoint other senior level administrators and faculty to review and advise on programs related directly to their areas.

**Extra Compensation**

**Type of Policy:** Administrative

**Effective Date:** Dec 2016

**Last Revised:** Dec 2016

**Review Date:** Dec 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Sr. Director-Payroll & Total Rewards

**Contact Email:** kevin.merkel@ohr.gatech.edu

**Reason for Policy:**

Institute personnel, to include staff, academic faculty, and research faculty, may be paid extra compensation for performing certain duties in addition to their normal job responsibilities. This Policy is intended to augment applicable Board of Regents (BOR) [Policy](#) and [Procedures](#) and 1) describes when extra compensation from Georgia Tech may be allowable, 2) establishes a consistent approach to setting compensation for additional duties, and 3) sets limits so such activities do not interfere with the normal work of the employee.

**Policy Statement:**

Extra compensation for certain activities may be paid in accordance with the criteria described in the [BOR Business Procedures Manual, Section 5.3.2, Extra Compensation](#).

In accordance with Board of Regents policy, and absent special program approval granted by the BOR, extra

compensation may be paid to employees for tasks performed (services rendered) outside their normal business hours for duties not included in the employee's normal job responsibilities, provided the following three criteria are met:

1. The task(s) must be outside of the employee's regular department. See FAQ section.
2. The [Extra Compensation Departmental Agreement Form](#) must be completed and routed for signatures by the appropriate department heads prior to commencement of activities of the employee.
3. The employee must meet at least one of the following criteria (from the [Official Code of Georgia Annotated Section 45-10-25](#)):
  - Chaplain
  - Firefighter
  - Dentist
  - Certified Oral or Manual Interpreter for Deaf Persons
  - Registered Nurse
  - Licensed Practical Nurse
  - Licensed Physician
  - Psychologist
  - Teacher or Instructor of an evening or night course or program (see additional rules applicable to Professional Education Courses included below)
  - Professional holding a doctoral or master's degree from an accredited college or university
  - Part-time employee

An employee meeting all three criteria listed above may be paid extra compensation for a task providing:

- It is outside their department,
- It is during their normal job hours,
- The task is not part of their normal job responsibilities, **and**
- The employee takes annual leave for the portion of time being used for the task receiving extra compensation.

Cross-school instruction and work for research centers/institutes, when outside one's home department, typically involves tasks considered part of an individual's normal job responsibilities and therefore would not qualify for extra compensation. Based on the criteria above, instances where extra compensation for staff is allowable for performing different tasks are not common. Whenever there is uncertainty by the providing department as to whether tasks qualify for extra compensation, the supervisor should seek guidance from their School/unit's leadership, appropriate Vice President/Provost, Faculty Affairs, or Georgia Tech Human Resources' Payroll and Total Rewards Department.

Extra compensation does not add to earnings used for retirement calculations, and no retirement deductions are taken from extra compensation pay. Employees receiving extra compensation are paid through the Institute's payroll. Such compensation is subject to existing IRS regulations as to taxability and/or withholding taxes. No compensation, as defined above and paid to employees who are on the institutional payroll, shall be paid as per diem and fees or as stipends.

University System of Georgia (USG) Dual Employment Agreements are subject to the same general rules governing extra compensation. In these agreements, extra compensation is paid by the providing institution (employee home) to the employee and reimbursed to the providing institution by the institution requiring the service (the host institution). Payment for the performance of an employee's normal job duties is typically reimbursed to the home institution by the host institution using the employee's standard base rate of pay plus applicable fringe benefits. Not all Dual Employment agreements involve extra compensation.

### **Compensation Rates**

In order to ensure additional duties do not interfere with the performance of normal job responsibilities, total extra compensation for both sponsored and non-sponsored activities shall typically not exceed 30% of the employee's

expected regular annualized compensation. In unusual cases when extra compensation is anticipated to exceed the 30% threshold in a fiscal year, additional justification and advance approval by the Provost or appropriate Executive Vice President depending upon the employee's home department/unit is required. Compensation paid for sponsored activities must be consistent with applicable external rules, regulations, and award terms and conditions.

**Additional Requirements - Professional Education Courses**

Professional education activities should be in compliance with the [Faculty Handbook: Section 4.6. Georgia Tech Professional Education](#). GTPE is the Requesting Department for all professional education activities, and compensation paid for professional education activities shall be established based on the following criteria:

- Compensation paid for a sponsored activity must be consistent with the terms and conditions of the award and Federal or other rules applicable to the sponsoring agency or organization.
- Absent sponsor restrictions, compensation rates should be in line with salaries paid to faculty in the discipline being taught.
- Rates may be adjusted based on the type of course (e.g., non-credit courses vs. professional masters).
- Rates should be expressed as a lump-sum payment for the course being taught rather than as an hourly rate.
- Extra compensation may neither be contingent on a program's revenues nor based on a percentage of income generated by the activity.
- Prior to extra compensation being paid, the appropriate department head must complete, sign, and return the [Departmental Agreement Form](#) (DAF) to GTPE. See the [Flow Chart](#) for DAF process guidelines. The department head is responsible for ensuring compliance with this policy in terms of allowableness, individual amounts, and rates.

**Scope:**

This policy applies to Institute personnel to include staff, academic faculty, and research faculty, who, by virtue of their education, training or experience are selected to perform additional duties and in accordance with other BOR applicable policies.

This policy does not address additional or specific policies related to Summer Salary Arrangements, External Consulting by Faculty, Dual Appointments (formerly Joint Staffing), Moonlighting, Temporary Assignments, or Acting/Interim Title pay adjustments. For purposes of this policy, prizes and awards received are not considered extra compensation and are not considered part of an individual's regular annual salary. Those matters are governed by separate policies and rules. See Section 10 – Related Information.

This policy does not apply to Overloads for Academic Faculty. Board of Regents Academic and Student Affairs Handbook: Section 4.10 Faculty Overloads and Instructional Staff Responsibilities discourages the payment of extra compensation for overloads. The policy advises that when possible, workload adjustments should be made to encompass the additional duties. If the school and college determine that a workload adjustment cannot be made, a request to pay overload compensation should be submitted to the Office of Faculty Affairs. Full-time faculty members with academic status, who are budgeted at 100% time for the full year may qualify for overload compensation. Approval must be obtained from the School Chair, Dean, Provost, and President prior to the start of the assignment

**Definitions**

**Normal Job Responsibilities**

The duties outlined in the job description or work statement of a position currently held by an individual (employee).

**Professional Education Activities**

The instruction, laboratory supervision, design, marketing, coordination, evaluation, and other effort that faculty and administrators participate in to conduct Professional Education (GTPE) programs.

**Requesting Department**

The academic department or non-academic unit desiring to obtain or facilitate the services of an individual. If the details

**Providing Department**

of the instance are known by the requesting department, it can describe why the services of the individual are needed on the Departmental Agreement Form. The requesting department may also describe why the instance is in the best interest of the Institute on the DAF.

The academic department or non-academic unit employing the individual. When an individual initiates the instance with extra compensation, the individual/providing department should complete the part of the DAF describing the details of and the reason why the services are needed. The supervisor of the individual being requested must provide a written statement that the individual is available to provide the desired services and the performance of the services will not detract from the individual's normal job responsibilities.

**Moonlighting**

Employees may pursue a variety of endeavors for financial gain that are not directly related to the person's field or discipline. These efforts are part of the non-faculty member's private life and do not come under Institute regulation for this policy. Such endeavors may be pursued only after the primary commitment to the Institute has been fulfilled.

**Procedures:****Departmental Agreement Form**

The [Departmental Agreement Form](#) (DAF) should be completed for each instance creating the need for extra compensation by the employee's home department (Providing Department) and the department receiving the services (Requesting Department) of the employee prior to provision of any services by the employee. Providing Department typically initiates the DAF process. If additional approval is required for an instance causing an individual's total extra compensation to exceed the 30% threshold in a fiscal year (July 1 through June 30), advance approval from the Provost or appropriate Executive Vice President shall be obtained and noted by signature at the bottom of the DAF. If similar instances, creating the need for extra compensation, are expected to occur over a period of time, a DAF may be completed for a period of time, rather than each instance (up to quarterly or a three-month period). For example, multiple short courses are going to be taught.

**Frequently Asked Questions:****May I receive extra compensation for services performed outside my normal working hours for Georgia Tech affiliates that are separate 501(c)(3) organizations, such as the Athletic Association?**

Yes, faculty and staff may work outside their normal working hours for Georgia Tech affiliates such as the Athletic Association and receive compensation for those services. This type of compensation is generally considered a type of "moonlighting", is allowable, and would not count towards the 30% threshold.

**Are there exceptions to the three criteria above with regards to qualifying for extra compensation?**

There are a few situations where extra compensation is allowable even though the three criteria above have not been met. For example, some academic programs are allowed to pay faculty for instruction even though the faculty member may be performing the additional duties for their department. Examples include the Executive MBA, Evening MBA, GTPE Professional Master's, and the Online Master's Science – Computer Science. In these cases, the program has received approval from an authoritative body for extra compensation, the work is carried out in addition to a normal full load, the program generates sufficient tuition/fees in direct support making it self-sufficient and the additional duties are not so heavy to interfere with an individual's regular duties.

**Can I perform work for another Georgia Tech department and receive extra compensation if the funding source is a non-Georgia Tech funding source, such as the Georgia Tech Foundation?**

Only if the three criteria mentioned above are met. The funding source is not typically a determining factor on whether extra compensation is allowable.

**Do retirees classified as “Retired but Working” qualify for extra compensation?**

Pay rates for Retired but Working (RBW) employees should be established and approved based on specific duties to be performed during the stated period. For this reason, RBW employees are not eligible for extra compensation. For additional information about RBW reemployment, please visit the Retirees reference data on the GTHR website at: <http://ohr.gatech.edu/employment/hiringtalent/retirees>

**Form Links:** [Departmental Agreement Form](#)

**Responsibilities:**

8.1. The Providing Department is responsible for initiating and completing their part of the Departmental Agreement Form.

8.2. Working with the Georgia Tech Human Resources as necessary, the Providing Department is responsible for ensuring the employee's extra compensation does not exceed the 30% threshold defined in this policy in any single fiscal year without additional approval as indicated below, point 8.3.

8.3. The Providing Department is responsible for attaching additional justification with the DAF and seeking advance signature approval by the Provost or appropriate Executive Vice President to exceed 30% of the employee's annual, regular compensation.

**Enforcement:**

Employees who receive extra compensation contrary to this policy may be in violation of O.C.G.A. Section 45-10-23 relating to unlawful conflicts of interest. Employees authorizing or receiving extra compensation in violation of this policy may be subject to discipline as provided in the Faculty Handbook and the Administrative Policies of the Institute.

The Institute's Payroll Office along with the hDivision of Administration and Finance will periodically monitor extra compensation activity to ensure compliance in terms of allowableness, administration, and amounts/rates.

To report suspected instances of noncompliance with this policy, please visit Georgia Tech's EthicsPoint, a secure and confidential reporting system, at:

[https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=7508](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7508)

**Related Information:**

[BOR Policy 8.3.12.4. Research, Saturday Classes, and Off-Campus Continuing Education](#)

[BOR Business Procedures 5.3.2, Extra Compensation and 5.3.3 Dual Employment O.C.G.A. Section 45-10-23, Full-time employees prohibited from transacting business with own state agency; exception to prohibition for BOR employees](#)

[Policy and Procedures Manual Utilization of the Continuing Education Unit \(CEU\) within the University System of Georgia](#)

[Faculty Handbook: 4.6. Georgia Tech Professional Education \(GTPE\)](#)

[Faculty Handbook: 5.6.5 Consulting](#)

[Employment Policy Manual-Temporary Assignments](#)

[Acting/Interim Titles and Summer Salary](#)

[Conflict of Interest -](#)

[Board of Regents Academic and Student Affairs Handbook: Section 4.10 Faculty Overloads and Instructional Staff Responsibilities](#)

**Related Documents:** [Flowchart.xlsx](#)

**Policy History:**

Revision Date	Author	Description
12/2/2016	Office of Human resources	New Policy

**Hours of Work**

**Policy No:** 2.7

**Type of Policy:** Administrative

**Effective Date:** Jul 1993

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Policy Statement:**

Georgia Tech has established a standard workweek of forty (40) hours for regular full-time Classified (biweekly) personnel. Biweekly full-time employees are allowed to work overtime with supervisory approval. Employees described above are covered by the provisions of the Fair Labor Standards Act in this manual under [Compensation Administration, Section 4.0, Fair Labor Standards Act \(Overtime for Employees\), Procedure No. 4.9.](#)

**Research Faculty Compensation Administration**

**Policy No:** 4.3

**Type of Policy:** Administrative

**Effective Date:** Feb 2008

**Review Date:** Jan 2019

**Policy Owner:** Research & Graduate Programs, Vice Provost & Dean

**Contact Name:** Alex Council

**Contact Title:** Executive Vice President of Research

**Contact Email:** alex.council@provost.gatech.edu

**Reason for Policy:**

The Georgia Institute of Technology is committed to a Compensation Program for research faculty employees that is externally competitive, internally equitable, promotes retention of good performers and encourages exceptional performance. To this end, the program has been designed to attract and retain the quality and quantity of research faculty personnel required to collectively meet Institute objectives.



**Procedures:****Compensation Administration Responsibilities**

The Research Faculty Employment unit of the Office of Human Resources (OHR) will be responsible for:

1. Developing and administering compensation policy and procedures applicable to research faculty personnel.
2. Monitoring and reporting on external markets relative to internal compensation practices.
3. Reviewing pay related transactions for research faculty personnel to ensure consistency with published policy.
4. Researching and analyzing published compensation survey data to ensure that proposed salary offers to candidates for open research positions as well as the pay practices for current research faculty are reasonable.

**Starting Pay Rates****Education and Job Related Direct Experience**

Each open research faculty position is posted with specific requirements for level of education and the number of years of direct job related experience.

Assessment of an individual's qualifications begins with a review of the resume and application to determine the appropriateness of the proposed title and to determine if job qualifications are met.

The results of an assessment of an individual's education, skills and experience as well as job responsibilities ultimately determine the pay rate that will be offered upon employment.

**Hiring Range**

In determining the appropriateness of a salary offer, data from the most recent Watson Wyatt Survey Reports is referenced. These reports cover professional, middle and top management compensation paid in various markets., The data is compared to the proposed candidate's degree level, degree major, and years since first degree, experience, knowledge, and responsibilities of the position being filled.

Starting pay rates for new employees as well as those being promoted to a new position are normally set between the 25th percentile, and 75th percentile of survey data reported based on that individual employee's credentials. The positioning within that range is dependent upon the amount of directly related job experience beyond the basic job requirements that the incumbent brings to the job, as well as market demand for that individual's expertise and credentials.

**Processing Offer Rates**

A candidate's proposed offer rate will be included in the hiring package when it is forwarded by the hiring department/HR Representative to OHR. The offer rate will be reviewed by OHR – Research Faculty Employment. This review will determine whether the offer is within the hiring range as defined in this policy and appropriate to the candidate's education and experience or if it exceeds those guidelines.

If OHR – Research Faculty Employment determines that the offer rate is within the guidelines, the hiring package is routed to the Vice Provost for Research and Dean of Graduate Studies for approval. If not, the hiring package is forwarded to OHR - Compensation for further review.

OHR – Compensation will conduct an analysis of the offer relative to guidelines and special circumstances, usually including a discussion with the hiring department. OHR - Compensation will then document the analysis and forward to



OHR – Research Faculty Employment with recommendation for approval or disapproval.

OHR – Research Faculty Employment notifies the hiring department that either an exception is in order or that there appears to be no justification for the rate exceeding guidelines. Any appeals from the hiring department are routed to the Associate Vice President - Human Resources for disposition with the department and the Vice President for Research and Dean of Graduate Studies.

Offers should not be extended until all required approvals have been obtained. Every effort will be taken to ensure the review process occurs in a timely manner.

### **Monitoring Competitiveness**

Participating in and analyzing the results of compensation surveys is the primary means of monitoring the competitiveness of pay rates for research faculty personnel. Through this process, pay rates of research faculty personnel are systematically compared to appropriate external markets on an annual basis. The purpose of these comparisons is to ensure that the Institute's pay practice is maintained at competitive levels and where this is determined not to be the case, to take corrective action as appropriate.

#### **Job Mapping**

Compensation comparisons are accomplished through a process of job mapping. Research faculty employees whose job assignments in terms of discipline, educational level, work experience and work assignment are similar to or essential the same as those contained in external survey organizational models and job descriptions are matched up or mapped. This process can apply to several research faculty personnel being mapped to a single survey job description or an single employee's job duties mapped to a single survey job description.

#### **Compensation Comparison**

As these matches are made, the pay rates of Institute research personnel are compared to the median of the survey job match within an appropriate market and differences noted. In this process, care is taken to ensure, to the extent possible, the appropriateness of the market to which comparison is made. Given that the source for attracting new and experienced research personnel may cover multiple geographic areas and organizational types, the national market for all survey participants is generally referenced for comparison purposes. Additionally, the compensation comparison process may include supplemental analyses related to additional cash compensation and benefits values associated with research personnel relative to comparable external market data. The results of the comparison process is summarized in tabular and report form and incorporated in the written report on Institute compensation referenced in Section 4.2 – Compensation Program Review and Approval.

### **Pay Adjustments**

#### **Promotions**

A promotion normally occurs during the annual research faculty peer reviewed promotion process. The annual promotion process is scheduled in conjunction with the beginning of the fiscal year (July 1). In any case, an established set of hiring or promotion criteria determines the research faculty title category, i.e., research engineer/scientist/technologist/associate, and level, i.e., I/II/Senior/Principal, to which the faculty member may be elevated.

#### **Merit Adjustments**

A merit adjustment may occur as a result of the demonstration of performance relative to job expectations as determined through an annual evaluation. The merit adjustment funding is a result of the actions of the General Assembly and Board of Regents of the University System of Georgia. Merit adjustments are awarded on an annual

basis following legislative and Board of Regents approval. There are no strict guidelines regarding the amount of merit increase that should be associated with a given level of performance. However, it is strongly encouraged that significant differences in performance should yield significant differences in reward.

#### Lateral Transfers

A lateral transfer occurs when an employee is moved to a research faculty position with the same level as the one previously assigned. The reasons for such action are: 1) a simple transfer from one position to another of the same level, particularly when funding ceases to exist in the position previously assigned, 2) the employee has bid for a research faculty position of the same level they currently occupy but in a different department 3) placement in a temporary assignment. Any requests for lateral pay adjustments should be referred to the Office of Human Resources prior to completing a PSF.

Normally pay adjustments are not made as a result of a lateral transfer. Only in cases of extenuating circumstances will an adjustment be considered.

#### Other Pay Adjustments

Other pay adjustments include those for market equity, increased responsibilities and interim assignments. Requests for these type adjustments should be made in memo form to the Office of Human Resources and include an explanation of why the adjustment is necessary and, in the case of market equity, comparable survey titles matching the position in question.

### **Processing Pay Adjustments**

#### Processing Pay Adjustments (other than annual merit)

Pay adjustments other than merit adjustments include transfers to interim positions, market adjustments, or acceptance of additional responsibilities and duties, etc.

For these pay adjustments a Personal Services Form (PSF) and justification letter should be completed by the individual's supervisor, approved by appropriate unit management and routed to OHR – Research Faculty Employment.

OHR- Research Faculty Employment will conduct an analysis of the requested adjustment relative to job responsibilities, market and internal equity and may require review by OHR – Compensation. Approval is then sought from the Office of the President, notification sent to the Board of Regents and forwarded to Payroll for processing.

For pay adjustments that do not appear to be supported by market survey data, OHR- Research Faculty Employment or Compensation will contact the unit's Human Resources Representative and discuss the proposed adjustment. This will take in to account not only the market data but also the individual's credentials and experience. Adjustments that can not be resolved at this stage require final resolution by the Associate Vice President of Human Resources and if necessary, the Vice-Provost for Research as designee for the President.

Pay adjustments are not to be discussed with the employee until all necessary approvals are obtained.

#### Processing Pay Adjustments (annual merit)

Annual merit adjustments are not processed using the PSF. The Budget Office is responsible for gathering, monitoring and routing documentation associated with these adjustments to Payroll.

### **Communicating Annual Merit Pay Adjustments**

The supervisor should notify the employee in writing that the adjustment is forthcoming. This should occur no later than the effective date of the increase. A copy of the memo should be sent to OHR-Records for inclusion in the employee's personnel file.

**Payroll**

**Employee Awards and Prizes**

**Policy No:** 10.12  
**Type of Policy:** Administrative  
**Effective Date:** Jul 2006  
**Review Date:** Jan 2019  
**Policy Owner:** Human Resources  
**Contact Name:** Zachary Rogers  
**Contact Title:** Director-Payroll  
**Contact Email:** zachary.rogers@ohr.gatech.edu

**Policy Statement:**

Prizes and awards (cash and non-cash) made to employees are considered wages. In accordance with the Internal Revenue Service regulations, awards and prizes are subject to FICA, FUTA, and federal and state income tax withholdings. All awards and prizes given to Georgia Tech employees must be paid and/or reported through the Georgia Tech Payroll Department, to ensure that taxes are properly withheld.

**Procedures:**

1. If sufficient funds are available, the employee taxes may be paid in addition to the dollar amount awarded to the employee.

Example:	
Employee Award to be paid (Net)	\$1,000.00
Employee Taxes (Fed 25% + State 2% + FICA 7.65%)	\$ 530.22
Employer Tax (FICA 7.65%)	\$ 117.06
Total Expense (\$1,530.22 EE + 117.06 ER)	\$1,647.28

2. If the employee will be responsible for paying the taxes:

Example:	
Employee Award to be paid	\$1,000.00
Employee Taxes <b>**</b> (award amount x 7.65% + Fed 25% + State 2%)	\$ 346.50
Net Employee Award	\$ 653.50
Employer FICA <b>**</b>	\$ 76.50
Total Expense (\$1,000 EE + 76.50 ER)	\$1,076.50

**\*\*Note:** If the employee has reached their social security annual maximum, there will only be 1.45% medicare tax charged.

Employee taxes are withheld as follows:	
Federal 25.00% FICA (6.2% SS + 1.45% Medicare)	7.65%

Employee taxes are withheld as follows:	
State	
< \$8,000 – 2%	
8 – 10,000 – 3%	
10 – 12,000 – 4%	
12 - 15,000 – 5%	
> 15,000 - 6%	

All recipients (employee, student employee, and non-employee) should be submitted on the Awards and Prizes form. Forms may be obtained on line <http://www.ohr.gatech.edu/>; under Payroll (<https://techworks.psguest.gatech.edu:5963/psp/paprodg/EMPLOYEE/EMPL/e>). The Payroll Department will verify the employment status. **If a recipient is not an employee, the initiating department will be notified to pay the recipient through AP.** Prizes for non-employee recipients should be submitted on AP check request form.

**Forms**

A copy of the Awards and Prizes form is available as a reference for the following instructions. This sample form has numbers written on it which correspond to the numbers in the instructions below.

Instructions for completion of the Awards and Prizes form:

1. Enter the name of the award/prize event.
2. Enter the name and phone number of the award coordinator.
3. The form must be signed and dated by an authorized department administrator.
4. Enter the award/prize presentation date.
5. Enter the name and phone number of the person responsible for check pick-up.
6. Enter the date needed and if it is to be a check or deposited with their next payroll.
7. Check the "Gross Up" box if the department wishes to absorb recipient's taxes (approx. 34.65%)
8. Enter the name of the award/prize recipient.
9. Enter the recipient GT ID and Employee ID.
10. List the purpose of the award/prize.
11. Enter the \$\$\$ amount of award payment
12. Enter the estimated department's total expense of the award including any employer portion of the FICA (7.65%), and the employee portion of taxes if the department is willing to pay for them. (Please refer to the gross-up examples above for calculation).
13. Enter GT peoplesoft project #/name. No State Fund is allowed.
14. Enter GTF/GTRC Project # (Funding Source).

The department should submit the form to Accounting Services for review if the funding source is Georgia Tech Foundation. If the funding source is Georgia Tech Research Corporation, the form should be approved by Grants and Contracts. After the form is approved, it will be forwarded to Payroll for check processing.

**Monthly, Academic, and Bi-weekly Payroll Schedules**

**Policy No:** 10.6

**Type of Policy:** Administrative

**Last Revised:** Feb 2007

**Review Date:** Sep 2019

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

The purpose of this statement is to establish the schedules for the monthly and bi-weekly payroll cycles to be used by all areas served by the Payroll Office.

**Procedures:**

**General Guidelines**

1. The Payroll Office is responsible for ensuring that all University employees are paid in a timely manner. To facilitate this, a time schedule for the various payrolls has been developed for the fiscal year and is included online.

Page	Payroll Type
1	Monthly fiscal payroll
2	Monthly academic payroll
3	Bi-weekly staff payroll
4	Bi-weekly student payroll

2. It is the responsibility of each college, department, and/or office to establish procedures and controls that will ensure compliance with established time frames.
3. Personal Services Forms and Time Documents submitted after the Payroll deadlines will require special handling. Off cycle checks will be handled as follows:

Note

- Bi-weekly and monthly employees will have their adjustments added to the next available payroll. Any adjustment mandated prior to this policy must be approved by Payroll Management and will be subject to a \$25.00 processing fee.
- Off cycle payments cannot be directly deposited; a check will be issued. The employee or an authorized department representative must retrieve the check from the OHR Department. Proper identification must be presented, such as the Buzz Card. If the check is not picked up timely, it will be mailed to the employee's address of record.

4. Any questions concerning these schedules should be directed to the Payroll Office, at (404) 894-4614.

**Payroll General Information**

**Policy No:** 10.1

**Type of Policy:** Administrative

**Effective Date:** Mar 2005

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

This procedure provides a general overview of the functions and responsibilities of the Payroll Department.

**Procedures:**

The Payroll Department is responsible to the Assistant Vice President, Office of Human Resources for the rendering of all payroll payments to all employees associated with Georgia Tech. The department must also ensure that all properly authorized deductions have been made.

The Payroll Department is also responsible for the preparation of various federal and state income withholding tax reports; for the payment of authorized payroll deductions to the proper agencies; and for the maintenance of required records pertaining to personnel paid through the payroll system.

### **Preparation of Personal Services Form**

**Policy No:** 10.7

**Type of Policy:** Administrative

**Last Revised:** Feb 2007

**Review Date:** Sep 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

This procedure explains how to establish or change an employee on the HRMS/Payroll Employee Database.

**Policy Statement:**

A Personal Services Form (PSF) is used for all Payroll/Personnel transactions at Georgia Tech. As an input document, the PSF is used to record and/or change information on the Institute's database pertaining to an individual's employment status.

**Procedures:**

**New Hire**

When a new employee is hired, the department completes a PSF and forwards it to the Human Resources Department. The employee must report to Human Resources and complete the appropriate employment papers. Human Resources establishes the employee records. The following information is included, but is not limited to:

- Personal Services Form
- Personal Data Sheet
- GT ID
- Federal and State Withholding Tax Forms

**Change of Status**

If a change occurs to an employee's status, his or her department uses the most recent turnaround document to record the changed information. The PSF is forwarded to Human Resources and Payroll for processing. Actions requiring a "change of status" PSF are the following:

- Re-appointment

- Pay Type Change
- On Leave With Pay
- On Leave Without Pay
- Return From Leave
- Promotion/Demotion
- Salary Increase/Decrease
- Transfer
- Job Reclassification
- Data Name Change
- Termination
- Retirement

## Forms

A copy of the Personal Services Form is available as a reference for the following instructions. This sample form has numbers written on it which correspond to the numbers in the instructions below.

### Section 1 - Employee Information

1. **Name** - last, first, middle initial
2. **GT ID**
3. **Home Department Name** - department receiving check from Payroll
4. **Home Department Number** - five digit number
5. **Date Prepared** - date form leaves originating department

### Section 2 - Employment/Payroll Information

1. **Employment** - ( ) indicates new hire into Georgia Tech or former employee who terminated two or more years ago (not on current database)
2. **Reemployment** - ( ) indicates reemployment of someone who terminated less than two years ago (still in current database); or an employee currently at Georgia Tech whose appointment date has expired
3. **Change of Status** - ( ) indicates change in current employee's status
4. **Effective Date** - date on which employment or status change is effective
5. **Total % Time** - total percent time worked from ALL appointments
6. **Full-Time Salary** - 100% of salary employee would receive if employed for entire academic or fiscal year
7. **LOA With Pay** - ( ) indicates employee is going on leave or absence with pay
8. **LOA Without Pay** - ( ) indicates employee is going on leave of absence without pay
9. **LOA Return Date** - date on which employee is EXPECTED to return from leave of absence
10. **Temporary** - ( ) indicates employee is temporary
11. **Permanent** - ( ) indicates employee is permanent
12. **Hourly** - ( ) indicates employee is to be paid bi-weekly
13. **Fiscal** - ( ) indicates employee is to be paid monthly on end-of-month payroll
14. **Academic** - ( ) indicates employee is to be paid monthly on mid-month payroll
15. **Position Title** - employee's primary job title
16. **Other** - provide any other information appropriate to clearly define the employee's employment / payroll status (i.e., reason for leave of absence)

### Section 3 - Appointment Information

1. **Home Department Project Number** - expense account number to which employee's salary is to be charged
2. **Budget Position** - Budget Position Number in which the employee's salary disbursements are to be recorded

3. **Rate / Pay** - Actual hourly or monthly pay rate at which employee is to be paid from Home/Work Department appointment. Do not adjust for % time worked
4. **% Time** - actual percent of time the employee is working in Home/Work Department appointment
5. **Appt. End Date** - date on which employee's Home/Work Department appointment is to end
6. **Work Department Name** - name of department in which employee has secondary appointment
7. **Dept. No.** - number of Work Department in which employee has appointment
8. **Position Title** - job title of employee's secondary Work Department appointment
9. **Work Department Project No.** - expense account to which employee's Work Department salary is to be charged
10. **Bud Pos** - Budget Position Number in which employee's secondary Work Department salary disbursements are to be recorded
11. **Rate / Pay** - Actual hourly or monthly pay rate at which employee is to be paid from secondary Work Department
12. **% Time** - actual % of time employee is working in secondary Work Department
13. **Appt End Date** - date on which the employee's secondary Work Department appointment is to end

Section 4 - Termination

1. **Termination** - ( ) indicates an employee is being terminated
2. **Effective Date** - day after the last work day
3. **Vacation Hours Accrued** - total number of vacation hours employee is to be paid in final paycheck. Monthly paid employees will automatically be paid for accrued vacation time based on full-time salary. REMEMBER, a terminating bi-weekly staff employee's vacation hours must be reported on the Time Document for the period during which the Termination Date falls. (Accrued vacation hours balance must be recorded on terminating PSF).
4. **Reason for Termination** - reason employee is terminating / being terminated

Section 5 - Comments

1. Use this section to record any information believed appropriate to reflect the employee's work relationship with Georgia Tech, or to clarify changes indicated in the above sections.

Section 6 - Approvals As Required

1. Approval blocks are provided for two School or Department signatures, Dean or Administrative Officer signature, two Vice President signatures, and President signature.
2. All Personal Services Forms must be submitted for approval as required by the organization to which a campus unit ordinarily reports.

Section 7 - Business Office Use Only

1. This section is used by various Business Office departments to record necessary system codes and approvals.

**Regulations and Guidelines**

**Policy No:** 10.2

**Type of Policy:** Administrative

**Last Revised:** May 2008

**Review Date:** Sep 2019

**Policy Owner:** Human Resources



**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

This procedure provides information regarding Internal Revenue Service, State of Georgia, and Georgia Tech regulations.

**Procedures:**

**Payment to Employees for Personal Services**

According to Common Law Rule:

"Every individual who performs services subject to the will and control of employer, both as to what shall be done and how it shall be done, is an employee for purposes of all federal payroll taxes. It does not matter that employer permits employee considerable discretion and freedom of action, so long as employer has legal right to control both method and result of the services."

Refer to the Accounts Payable Procedure Consulting - Attachment C to review the 20 factors developed by the Internal Revenue Service to aid in determining whether there is an employer-employee relationship. Students receiving Fellowships that require them to perform services should be aware that this income may be taxable.

To ensure compliance with the Fair Labor Standards Act, regulations of the Internal Revenue Service, and laws of the State of Georgia, Georgia Tech will purchase services from employees only through the payroll system. This arrangement precludes any type of contractual agreements with any University employee for payment of services other than through established payroll procedures.

Payment for personal services will be made on regularly scheduled pay dates only. State regulations prohibit advance payments.

**Standard Workweek**

The standard workweek for non-administrative classified employees at Georgia Tech is 40 hours, from 12:01 a.m. Thursday through 12:00 midnight on Wednesday. If it is necessary for an employee's workweek to exceed 40 hours, the overtime must be pre-approved by the department head.

**Overtime**

**Payment for Overtime**

Any non-exempt classified employee of Georgia Tech (as defined by the Fair Labor Standards Act) who is required to work more than 40 hours during a workweek will be paid at one and one-half times his/her standard rate for all work in excess of 40 hours, unless compensatory time is authorized. If an employee is paid on more than one account and the combined hour for the workweek exceed 40, the total pay will be prorated to each account based on the percentage of time reported per account to total time reported each workweek.

**Compensatory Time**

The Board of Regents Personnel Policies Handbook, Section II--Classified Employment states:

"In lieu of payment for approved overtime work, compensatory time may be granted at the rate of one and one-half hour of compensatory time for each hour of overtime work. Approved compensatory time is subject to a maximum

accumulation of sixty (60) hours and must be expended by the end of the succeeding calendar quarter."

### **Participation in research projects (Human Subjects)**

Payments under \$75 per participant will be considered de minimis and not reported on a W2, 1042S nor 1099 Misc. Participants must pass the Selection of Human Subjects criteria:

- Full or part time employee of the Institute,
- Full or part time undergraduate student,
- Full or part time graduate student, provided the graduate student's funding department agrees that the student may participate in the research.
- Students who are on financial aid assistance,
- Non-Institute affiliated individuals.

### **Salary Overpayment Repayment Process**

**Policy No:** 10.11

**Type of Policy:** Administrative

**Effective Date:** Jun 2008

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

A Salary overpayment condition arises when an employee has been compensated for more than their approved salary. This can occur due to late receipt of or late processing of the Personal Services Form (PSF). The causes for the overpayment include, but are not limited to: Termination Change in Percent Time Change of Pay Rate Change in Leave Status

**Policy Statement:**

Any salary overpayment paid to an individual must be refunded to the Institute immediately. If not, the following procedure will be initiated.

**Scope:**

**Individuals Affected By This Policy**

Employees paid through the Institute payroll department, active or terminated.

**Procedures:**

When PSF's are received in the Payroll Department, the effective date of the action is reviewed by payroll staff. If the action date has passed, a further review of payroll processing is initiated to determine if an overpayment appears to exist. The Payroll Department then calculates the salary overpayment and validates the existence with the department. Once acknowledged, a journal entry noting the employee name will be processed to establish the salary overpayment receivable. The debit entry will be posted to GT/FUND10010/129120/ and credit entry will be posted to the department project and account originally charged. If the overpayment was made to a student employee, the Bursar's Office will be notified and a "financial hold" will be placed on the student's account. The hold will prohibit the student from registering for future terms, receiving transcripts and receiving a diploma.

Payroll will send a certified letter to the employee requesting immediate repayment (all communications to the

employee will be copied to the department). When received, the repayment will debit the cash account GT/FUND/10010/118000 and credit the salary overpayment receivable account GT/FUND10010/129120. If the overpayment was made to an active employee, the next pay check will be decreased by the amount of the overpayment. If the overpayment was made to a terminated employee, a check will be immediately forwarded to the Payroll Department.

If the repayment from the next available pay check would create a financial hardship, and there is no indication of fraud, Payroll may establish a repayment plan not to exceed 60 days.

To maintain compliance with the Federal and State Department of Labor laws, Payroll will not pay an employee less than the current minimum wage, even if it extends the repayment period past the stated 60 days.

If the overpayment was made to a terminated employee who has an Annual Leave Balance, the overpayment amount will be deducted from the employee's annual leave payout. The remaining leave balance will be paid to the terminated employee with the next available payroll process for their pay group.

If the employee does not respond to the first communication, a second certified letter will be mailed in 30 days. If there is no response to the second letter, a third certified letter will be mailed at the 60 day mark. If at the end of 90 days, there is still no response, the employee name and salary overpayment amount will be sent to the Bursar's Office to be placed with a collection agency. The Bursar will debit the Salary Overpayment Bursar AR account GT/FUND10010/128001 and credit the Payroll salary overpayment account GT/FUND10010/129120. If the overpayment is for an employee in the Georgia Tech Research Institute (GTRI) or Auxiliary Services, the debit entry to the receivable (account 128001) will be posted in the corresponding fund code for that unit (i.e. FUND11021, FUND12210, FUND12250, etc.). At the time the account is placed with collections, the financial reporting Division for the unit with the overpayment (College or Major Administrative Division) will receive a decrease to their general operations budget for the same amount. If collection efforts are successful, the Division may seek additional budget authorization through the standard budget process for the net amount collected by GT if material. In lieu of a decrease to their general operations budget, GTRI and Auxiliary Services will be charged a bad debt expense once the uncollectible receivable is written off by the Bursar's Office.

### **Contacts**

All questions concerning the Salary Overpayment Reimbursement policy should be directed to the Office of Human Resources Director of Payroll.II

### **Social Security Coverage**

**Type of Policy:** Administrative

**Effective Date:** Mar 1998

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

#### **Policy Statement:**

All regular employees of Georgia Tech, except those specifically excluded under an agreement with the Social Security Administration, are covered by the Federal Social Security Act. Payroll deductions are made for the employee's share of the cost of this insurance, with the Institute paying a matching share.

### **Eligibility**

Social Security coverage has been extended to the following classes of employees:

1. All employees eligible for the Teachers Retirement System of Georgia.
2. All employees eligible for the Regents Retirement Plan (ORP).
3. All full-time regular custodial and maintenance personnel.

The following employees are not covered by Social Security:

1. All students -- undergraduate, graduate, graduate teaching, and graduate research.
2. All temporary, seasonal and hourly, employees. **Note:** These employees do pay the Medicare Insurance Portion of Social Security.
3. Non-immigrant aliens are exempt in accordance with the provisions of their visas.

### **Student Pay Group**

**Policy No:** 10.4

**Type of Policy:** Administrative

**Effective Date:** Apr 2008

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

In order to comply with federal Fair Labor Standard Act (FLSA) regulations, no Georgia Tech employee, student or non-student, shall be hired concurrently in both a monthly paid exempt status plus a bi-weekly paid non-exempt status.

**Policy Statement:**

The Fair Labor Standards Act (FLSA) establishes minimum wage, overtime pay, record keeping, and child labor standards affecting full-time and part-time workers in the private sector and in Federal, State, and local governments. Covered nonexempt workers are entitled to a minimum wage of not less than \$5.85 per hour effective July 24, 2007; \$6.55 per hour effective July 24, 2008; and \$7.25 per hour effective July 24, 2009. Overtime pay at a rate of not less than one and one-half times their regular rates of pay is required after 40 hours of work in a workweek.

In order to comply with federal Fair Labor Standard Act (FLSA) regulations, no Georgia Tech employee, student or non-student, shall be hired concurrently in both a monthly paid exempt status plus a bi-weekly paid non-exempt status. The Institute will derive the weighted-average pay rate based upon these concurrent hourly rates of pay and pay any overtime accordingly. If the student is paid as a monthly exempt employee, the percentage distribution will be utilized to allocate their time worked to the hiring department and the associated account number.

**Policy Terms:**

**Exempt employees (student or non-student, full time or part time)**

are paid monthly and are exempt from the Fair Labor Standards Act (FLSA) and therefore not subject to overtime payments.

**Non-Exempt employees (student or non-student, full time or part time)**

are paid bi-weekly and are not exempted from the Fair Labor Standards Act (FLSA) and therefore are subject to overtime payments for all hours worked in excess of 40 hours per work week.

**Our workweek is**

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Thursday through Wednesday. Time worked does not include Holiday, Vacation or Sick pay.

**Procedures:**

All employees must be paid in only one pay group, either monthly or bi-weekly. For example: if a student is paid monthly and is hired into a concurrent job in a department that will pay them hourly on the bi-weekly payroll, the originating department will be notified by Payroll that the situation exists and the student will not be hired into the concurrent position until there is an agreement to make the student in one pay group, most likely hourly. When agreed upon, the Payroll Department will correct the PSF and process the transaction.

**Time Reporting****Policy No:** 10.8**Type of Policy:** Administrative**Last Revised:** Apr 2007**Review Date:** Sep 2019**Policy Owner:** Human Resources**Contact Name:** Zachary Rogers**Contact Title:** Director-Payroll**Contact Email:** zachary.rogers@ohr.gatech.edu**Reason for Policy:**

This procedure explains the process of reporting time worked.

**Procedures:****Bi-weekly Time Document**

A preprinted form is used for time reporting for all bi-weekly paid employees. The Bi-weekly Time Document reports hours worked and other compensated time such as vacation, sick leave, jury duty, and holidays. A document is issued for each bi-weekly pay cycle, which ends **midnight Wednesday**.

The top half of the form, the "Time Report," is used by the employee and supervisor for recording the employee's time. The bottom half of the form, the "Time Distribution," distributes hours to the appropriate accounts.

**Time Document Distribution**

The work department prints the time documents for their area and distributes to the employees.

The original document is processed and maintained as a permanent record in the Work Department.

**Forms**

A copy of the Time Document is available as a reference for the following instructions. This sample form has numbers written on it which correspond to the numbers in the instructions below.

**Preparation of the Time Document**

The following information is preprinted on the time document:

1. **Employee's Name** - last, first, middle initial
2. **Employee's PeopleSoft ID#**
3. **Pay Period End Date** - (MM/DD/YY, always Wednesday)

4. **Work Department** - department in which work was performed
5. **Home Department** - department that administers the employee and to which the employee is responsible.
6. **Pay Group Description** (i.e., Bi-weekly, Staff-Benefits)
7. **Project Number**
8. **Hours Worked** - standard hours worked for regular employees will be preprinted. If an account is to be added, hours redistributed, or other types of compensated hours reported, cross out the preprinted hours and write in the new distribution.
9. **Days and Dates of each Week**

**Errors and Omissions**

If any preprinted information is incorrect, draw a line through the incorrect data and write the correct information in the same space. If a preprinted time document is not available, use a blank form.

**Information to be Recorded by the Employee**

**The employee must record** the number of hours worked and/or compensated in the appropriate blocks as follows:

**Hours Worked** - actual number of hours worked; partial hours should be entered to the nearest tenth of an hour, expressed as a decimal equivalent:

- .1 = 6 minutes
- .2 = 12 minutes
- .3 = 18 minutes
- .4 = 24 minutes
- .5 = 30 minutes
- .6 = 36 minutes
- .7 = 42 minutes
- .8 = 48 minutes
- .9 = 54 minutes

**Compensated Hours** - vacation or sick hours

**Other Hours** - time reported other than vacation hours, sick hours, or hours worked such as holiday, jury duty, or campus closed hours

**Other Hour Codes** - codes for "other hours" paid are as follows:

- Hol = Holiday
- Jry = Jury Duty
- CCD = Campus Closed
- CLL = Call Back
- Mil = Military Duty
- UNC = Uncompensated (Hours recorded in excess of vacation/sick balance(s))

**Totals** - hours are totaled under each column and for each week in the first block

**Signatures - Manual Reporting**

**Employee's Signature** - must be signed by employee; an unsigned time document may result in a delay in receiving a paycheck. Time documents not signed by the employee are acceptable only when an employee is on an excused

absence or is being paid in conjunction with termination of employment and is not available to sign the the report. For either exception, the supervisor should note the reason for non-signature in the signature space.

**Supervisor's Signature** - the report must be signed by the Supervisor

### **Electronic Signatures**

**Employee's Signature** - For those using time clocks or online entry, the use of the Buzz Card swipe and the logging into the secured system, capturing the login, date and time stamp, are considered as legal signatures.

Supervisor's Signature – The supervisor's electronic signature is considered as a legal signature.

This is in compliance with the Georgia General Assembly Code 10-12-4 (d), when a rule of law requires a signature, an electronic record satisfies that rule of law.

### **Time Distribution**

The Time Distribution half of the form must be approved as preprinted; updated to reflect any differences in preprinted expense accounts and actual. In the case of a temporary employee, all time distribution must be recorded. Any expense accounts to be charged should be written in if they have not been preprinted.

The total number of hours in the Time Distribution must agree with the total hours in the Time report.

### **Authorization**

The department head or an authorized representative must sign the Bi-weekly Time Document. Space for a second department signature may be used at the discretion of the department head, if the guidelines of the department require it.

### **Time Document Submission**

Departments will enter the Time Documents for the two weeks of the bi-weekly pay period no later than 5:00 p.m. on Friday following the bi-weekly period which ends on Wednesday at midnight. The ORIGINAL should be maintained in the Work Department. The Home Department copy should be forwarded to the employee's Home Department if different from the Work Department.

Questions regarding completion of the Bi-weekly Time Document should be addressed to the Payroll representative responsible for bi-weekly payroll processing for your department.

### **Types of Payrolls**

**Policy No:** 10.5

**Type of Policy:** Administrative

**Last Revised:** Feb 2007

**Review Date:** Sep 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

This procedure explains the various pay cycles and pay calculations.

**Procedures:****Monthly Payroll**

Faculty, administrative personnel, salaried Graduate Assistants, Graduate Teaching Assistants, and Graduate Research Assistants, and employees exempt from coverage under the Fair Labor Standards Act (Wage and Hour Law) are paid on the monthly payroll.

Employees compensated on the monthly payroll are paid on the last workday or banking day of each month. If the last workday is an Institute or bank holiday, payment is made on the day before the holiday.

**Payroll Calculations**

- **Full Month Compensation** (other than those on an Academic Contract)

The amount of monthly compensation is equivalent to one-twelfth of the fiscal year annual salary.

- **Partial Month Pay Calculation**

The number of days worked in a month is divided by the total number of workdays to determine a percentage of compensation for that month. Partial pay is calculated by multiplying the monthly rate by the percentage of compensation.

- **Vacation Pay Upon Termination**

Terminating vacation pay is calculated by multiplying the daily rate by the total days of accrued vacation leave. The daily rate is computed by dividing the annual salary by 2,080 hours x 8. The maximum accrued leave that can be paid upon termination is 45 days.

- **Academic Pay Cycle under the Semester System**

Under Georgia Tech's semester system, individuals paid on the academic pay cycle receive 10 monthly payments during the regular academic year. The academic year salary is paid out over the 10 months of the academic contract year: 1/18 of academic year salary in August, 1/9 of academic year salary from September through April, and 1/18 of the academic year salary in May. In other words, the employee receives 1/2 of a months pay in May and August, and a full months pay the other 8 months. The summer session is handled separately during the four months from May through August, with the May and August summer salary payments being added to the employee's regular academic year monthly salary, if any. AMN, AMG, RWA will follow proration rule, effective 08/01/02.

While the above describes the general rule of pay for the academic pay cycle, other job events do have a bearing on a particular individual's pay: pay increases for the new Fiscal Year, terminations, retirements, and leave all affect pay. The following describes in detail the pay rules for August and May under Georgia Tech's semester pay system.

**August Payment Rules**

August Pay for 9-Month (Academic Cycle) Instructional and/or Research Faculty, Post Docs, and Graduate Students will be paid in compliance with the 10-payment plan described above. The August Pay will reflect the Last Payment for the Summer Session and First Payment for the Fall Semester. Payment rules that will be applied are:

**9 MONTH FACULTY:**



- Instructional and/or Research Faculty with hired in August will be paid 1/2 of their monthly rate.
- Instructional and/or Research Faculty that are terminating, retiring, or on leave without pay effective the 1st day of the fall semester will be paid only the Summer Pay entered into the Summer Pay Panel or via pay.ask. If no Summer Pay has been entered or submitted via pay.ask, these employees will not be paid.

**GRADUATE STUDENTS PAID ON ACADEMIC PAY SCHEDULE:**

- Graduate Students pay is prorated according to the number of days worked.

**The formula to calculate partial pay for August is:**

\_\_\_\_ # Days worked divided by Total # work Days in August = \_\_\_\_

% days worked \_\_\_\_ % Days worked times \_\_\_\_ Monthly Rate of Pay = \_\_\_\_ August Partial Pay

EX: Jamie Dollar's appointment date is effective 8/21/2006 and the monthly rate of pay is \$1500.00. As a result, he will be paid 9 of 23 workdays in August.

9 divided by 23 = .313182 times \$1500.00 = \$586.96

Please forward all questions to [pay.ask@business.gatech.edu](mailto:pay.ask@business.gatech.edu)

**Bi-weekly Staff and Student Payroll**

Employees, including students, covered under the Fair Labor Standards Act (FLSA) and hourly appointments for employees exempt from the FLSA are paid bi-weekly.

Hourly appointments of non-exempt staff assigned to a line budget position or a group budget position and hourly exempt staff are paid bi-weekly. Hourly appointments of Graduate Research Assistants, and Student Assistants also are paid bi-weekly. The annual salary is determined by multiplying the hourly rate x 2,080 hours. The gross amount of each check is determined by multiplying the hourly rate of pay by the number of hours reported on the bi-weekly time document.

Pay dates are normally 7 work days after the pay period ends. If the pay date falls on a holiday, including bank holidays, payment will be made on the preceding workday.

**Unclaimed Salary/Wage Checks and Advices**

**Policy No:** 10.10

**Type of Policy:** Administrative

**Effective Date:** Oct 2005

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** [zachary.rogers@ohr.gatech.edu](mailto:zachary.rogers@ohr.gatech.edu)

**Reason for Policy:**

This documents the procedure followed by Payroll when unclaimed employee salary/wage checks are returned to the Payroll Department.

**Procedures:**

Employee paychecks are mailed to the employee's home. Effective 01/01/05 Pay Advises are available to the employee online at TechWorks.gatech.edu. Procedure

The US Post Office will return unclaimed salary/wage checks to the Payroll Department:

The Payroll Department will take the appropriate actions required to locate the employee or escheat the returned check. If the returned check is voided, the expenditure records of the department will be adjusted accordingly.

## Employee Benefits & Services

### Employee Benefits

#### Awards Policy

**Policy No:** 6.4

**Type of Policy:** Administrative

**Effective Date:** May 2002

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

The Georgia Institute of Technology supports recognition of outstanding employee contributions at all organizational levels. Awards recognize employees who perform "above and beyond" expectations. Awards must be paid from non-State funds and may be made in the form of cash payment, plaque, trophy, pin, certificate, meals or reception.

**Procedures:**

**Guidelines**

1. All awards are designed for individual's whose contributions demonstrate a benefit to the Institute or unit operations.
2. All units shall have documented nomination/selection criteria for any award. If a unit chooses to have a selection committee, all members' names should be documented.
3. Nominations for awards are open to any regular, temporary, or student employee of the sponsoring unit.
4. Nominations for all awards must be made to the designated official within each unit of the Institute.
5. All nominees must be in good standing (no current disciplinary action and a minimum of fully successful/meets requirement performance level) with the Institute.
6. All competitive awards must include a minimum of two (2)-qualified nominees. There may be up to three winners if there are multiple nominees or competitors. In no case will more than one half of the nominees be declared winners of awards.
7. The names of all winners of Awards will be submitted to the Director of Grants and Contracts.
8. All awards must comply with the State of Georgia and Board of Regents compensation policies.
9. No award may represent extra compensation or overtime payment to the employee.
10. All awards are subject to the appropriate federal, state and local taxes (see [Employee Awards and Prizes](#)).

## **Employee Benefits Program**

**Policy No:** 6.5

**Type of Policy:** Administrative

**Last Revised:** Dec 2015

**Review Date:** Dec 2018

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Procedures:**

Georgia Tech offers a comprehensive benefits package designed to meet the diverse needs of our faculty and staff. Our benefits are competitive and are an important component of the total compensation package. Georgia Tech offers a robust choice of health and welfare plans including medical, dental, vision, flexible spending, disability and life insurance plans. These programs are reviewed regularly and may be amended at the discretion of the Institute with concurrence from the University System of Georgia

Certain benefits are unique to members of the Faculty and are identified as such.

Benefits information, including eligibility, available insurance plans, and enrollment information, may be found by visiting: <http://www.ohr.gatech.edu/benefits>

## **Faculty & Staff Assistance Program (FSAP)**

**Policy No:** 6.03

**Type of Policy:** Administrative

**Effective Date:** Jan 2001

**Last Revised:** Dec 2015

**Review Date:** Dec 2018

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

Georgia Institute of Technology maintains the Faculty & Staff Assistance Program (FSAP) to provide assistance at no cost to employees suffering from personal/emotional problems which may affect work performance. Provided services include, but are not limited to: psychosocial assessment for mental health problems such as depression, nervous or emotional disorders, and substance abuse; life transition assistance (divorce, retirement, marital distress, etc.); counseling; referral; case management; and follow-up. FSAP services also include supervisory and management consultation on work-life situations which may impair the functioning of a team or departmental staff. Although FSAP does not provide direct medical, financial, or legal services, it may be of assistance in obtaining referrals to appropriate professional provider(s).

An employee's voluntary decision to seek assistance from FSAP will not be used as the basis for disciplinary action, and will not be a defense to the imposition of disciplinary action where facts proving a violation of university policy are obtained outside of FSAP. FSAP is staffed by an Employee Assistance Professional (EAP) counselor who is a licensed

provider of mental health services in the state of Georgia.

**Procedures:****Eligible Participants**

Eligible participants include all non-student faculty and staff of the Georgia Institute of Technology and Georgia Tech Research Institute, their family members, and immediate significant others. Employees concerned about a problem are encouraged to contact FSAP. Supervisors are encouraged to contact FSAP regarding employees who may show substandard performance or unusual behavior on the job.

Employees will be seen individually for problem assessment. If the problem should require additional professional services beyond the scope of FSAP – such as psychological or medical testing, and/or extended counseling – the Employee Assistance Counselor may recommend qualified clinicians, treatment facilities and/or agencies that the employee may access. Follow-up contacts will be available, as necessary, to meet the employee's needs.

**Confidential Referrals**

Confidential referrals to FSAP may be made by:

1. Employee (self-referral)
2. Managers and supervisors (supervisory referral)
  - Suggested (voluntary)
  - Administrative (mandatory)
3. Office of Human Resources
  - Substance abuse referral
  - Result of a critical incident ( i.e. accidents, death, etc.)
4. Other Sources (e.g., co-worker or family member)

**Appointments**

Appointments may be made by faculty and staff members, supervisors, or OHR personnel by calling (404) 894-1225. Appointment information is listed below:

1. Information about persons who may have made an appointment with FSAP is not available to anyone except as described under "Confidentiality" below.
2. Sessions will be scheduled within 48 hours of call (excluding weekends and holidays) or as soon as possible thereafter.
3. FSAP appointments are available between 8:30 a.m. and 4:00 p.m. Monday through Friday except holidays.
4. Sessions will be held at the FSAP professional's office, either on campus or at various Atlanta locations. Other locations may be approved if warranted by the situation.
5. Basic information about the referral circumstances will be requested at the time of initial telephone contact.

Clients will be referred to appropriate outside resources as needed:

1. Situations involving longer term care may be immediately referred upon completion of assessment (1-2 sessions).
2. Clients will be responsible for verifying their own insurance eligibility and coverage as well as costs associated with an outside referral.

## Confidentiality

No information will be shared with persons outside of FSAP without the written consent of the client except under the following conditions:

- Legal requirements for disclosure of confidential information where:
  1. There is a threat of injury to self or others.
  2. Child abuse is involved.
  3. In the event there is a court order to open records.
- Administrative referrals -- In all cases of administrative referral, FSAP will provide the client's supervisor with the following information:
  - Verification of scheduling and attending required FSAP sessions.
    - Verification of mandatory appointments will be made to supervisors within 24 hours of first session.
    - Verification of compliance with FSAP treatment recommendations.
  - Follow-up contact in writing upon completion of mandatory sessions.
  - Estimated length of absence if missing work is required for treatment recommended by FSAP.

All administratively referred clients will be asked to sign a voluntary release of information. Information to be released will be discussed with the client prior to disclosure.

- Office of Human Resources referrals - Information will be shared within the OHR on a need-to-know basis in order to resolve the current situation.
- Voluntary Release of Information is required:
  - When the client requests an outside party (i.e. supervisor, family member, etc.) become involved in his/her case.
  - When an outside referral is required and information is needed for
    - Insurance pre-certification.
    - providing outside clinical referrals.

## Records

All records related to FSAP participation are kept within FSAP and maintained by the Employee Assistance Counselor. They are not associated with OHR employee records. FSAP will not note program participation on employee permanent records.

## Supervisory Assistance

1. FSAP is available for supervisory consultation on a variety of worklife situations.
2. Periodically FSAP will provide supervisory training to first line supervisors and middle management to assist them in identifying and making appropriate referrals to the Faculty & Staff Assistance Program.
3. FSAP can only provide supervisors with the following information unless the employee gives permission for more information to be disclosed:
  - Verification of scheduling and attending required FSAP sessions.
    - Verification of mandatory appointments will be made to supervisors within 24 hours of first session.
    - Verification of compliance with FSAP treatment recommendations.
  - Follow-up contact at the conclusion of administratively mandated sessions.
  - Estimated length of absence if missing work is required for treatment recommended by FSAP.

**Research**

All FSAP client intake and follow-up data will be used without identifiers by FSAP (or other researchers approved by the OHR) for program evaluation and research data. The results of these efforts may be presented by FSAP for:

1. Training, supervision and evaluation purposes.
2. Professional publication

**Georgia Tech Foundation Flower Fund**

**Policy No:** 6.02

**Type of Policy:** Administrative

**Effective Date:** Jan 2001

**Last Revised:** Mar 2014

**Review Date:** Mar 2019

**Policy Owner:** Development, Office of

**Contact Name:** GT Foundation

**Contact Email:** frontdesk@gtf.gatech.edu

**Policy Statement:**

The Georgia Tech Faculty-Staff Flower Fund is available to pay for flowers or other expressions of concern to be sent:

1. On the occasion of the death of a faculty or staff member or upon the death of a family member of such person (limited to spouse, children, parents, brother, sister or retired faculty/staff member).
2. On the occasion of hospitalization for illness or accident of a faculty or staff member, or, the hospitalization for illness or accident of the faculty or staff member's spouse, children, parents, brother, sister or retired faculty/staff member.

**Procedures:**

In order to have flowers sent for an occasion mentioned above, the person/organization desiring such should contact the Georgia Tech Foundation, (404) 894-5072. The Foundation will order the flowers, with a card reading "From the President, Faculty, and Staff of the Georgia Institute of Technology," and pay for them from the flower fund.

**Worker's Compensation**

**Type of Policy:** Administrative

**Last Revised:** Jan 2016

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

The state of Georgia is self-insured for Workers' Compensation benefits. All employees on the Institute's payroll are protected under this plan, and benefits are paid to cover injuries resulting from work, whether that injury occurred on or away from the employee's normal work site.

The three areas of responsibility, as they pertain to Workers' Compensation, are Human Resources, Environmental Safety, and Department of Administrative Services (DOAS)-Risk Management. Workers' Compensation information,

forms and instructions on completing forms may be obtained by accessing the Benefits website at [www.ohr.gatech.edu](http://www.ohr.gatech.edu) or by contacting the Office of Human Resources (OHR) at 500 Tech Parkway, Atlanta, GA 30332, (404) 894-3925.

The Office of Human Resources assists campus units in complying with state and Institute policies and serves as official repository for all records pertaining to a given claim. OHR acts as liaison between the Georgia Department of Administrative Services and campus units to ensure immediate needs of injured worker are fulfilled. Finally, OHR assists employees who need to forward medical invoices and out-of-pocket expense receipts to the Georgia Department of Administrative Services for reimbursement.

The Environmental Science, Health, and Safety Department will chart trends for the causes of work-related injuries and will develop and conduct remedial training programs where appropriate. Also, this department will conduct certain investigations relating to environmental causes or effects.

DOAS--Risk Management will investigate all claims involving litigation or when third parties are involved. This department also reviews questionable claims, decisions to controvert, and requests for referrals to physicians not on the Institute's currently approved panel. The assignment of private investigators will be made at the sole discretion of this department. Finally, this department will have oversight on all claim expenditures.

**Procedures:**

If you are injured on the job, you must report the injury to your departmental supervisor immediately. Your departmental supervisor should report your injury to DOAS by calling 877-656-7475. Then call AmeriSys at 678-781-2848 or 800-900-1582 to talk to a case manager who will assist you in selecting a physician, scheduling an appointment and obtaining follow-up care.

**Emergency Care Procedure**

If, as a result of a work-related injury or illness, you require immediate medical attention, you should proceed to the nearest emergency medical care facility, or call 911 for assistance. Following your emergency admission, service or procedure you or your departmental supervisor must notify AmeriSys Managed Care of your injury by calling (678) 781-2848 or (800) 900-1582.

If you require additional care, contact AmeriSys Managed Care at (678) 781-2848 or (800) 900-1582 and speak to a case manager who will assist you in selecting an authorized treating physician. Your authorized treating physician will then evaluate your treatment plan and make further recommendations. The week following your injury, your departmental supervisor should call DOAS at (877) 656-7475 to verify that the claim has been properly set-up.

**TeleClaim Reporting Instructions**

Departmental supervisors should call DOAS TeleClaim (toll free (877) 656-7475, 24 hours a day, 7 days a week) to report injuries within 24 hours of an accident. Reporting should be delayed only long enough for the supervisor to take the employee to the doctor. Claims may only be reported by a supervisor. Employees cannot call in their own claims.

**As soon as possible after the accident call with the following information:**

- Name and address of injured employee
- Name and address of employing agency
- Social Security number of injured employee
- Age and sex of injured employee
- Date & time of accident
- Description of accident (how, where, why)
- Type of Injury (cut, scrape, burn, etc.)

- Exact part of body injured
- Place of occurrence
- Full-time / Part-time employee
- Hourly / weekly / monthly wage
- Date of hire
- Witness(es) (name and telephone number)
- Name and address of physician / hospital
- Has injured employee returned to work?
- Anticipated length of disability
- Basic job duties
- Description of physical requirements of job
- Supervisor's name and telephone number

Once a claim has been reported through TeleClaim, any corrections to the above information should be made by calling your dedicated DOAS Workers' Compensation Specialist. A copy of the completed first report of injury will be faxed to the number designated by your agency and your DOAS Workers' Compensation Specialist within 24 hours of the report. Only injuries requiring medical care or lost time from work should be reported to TeleClaim. **Injuries requiring only first aid or requiring no medical care should be recorded within the agency as an incident only ("incident only" forms can be obtained from DOAS or from the OHR webpage):** [https://ohr.gatech.edu/sites/default/files/images/hr\\_incident\\_only\\_form.pdf](https://ohr.gatech.edu/sites/default/files/images/hr_incident_only_form.pdf)

Department of Administrative Services  
P.O. Box 38198  
Atlanta, Georgia 30334  
(404) 656-6245

## Flexwork Arrangements

**Policy No:** 8.65

**Type of Policy:** Administrative

**Effective Date:** Aug 2007

**Last Revised:** Jun 2015

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Kim Harrington

**Contact Title:** Associate Vice President-Human Resources

**Contact Email:** kim.harrington@ohr.gatech.edu

**Reason for Policy:**

The Georgia Institute of Technology provides a variety of flexible working arrangements, at the discretion of department, to enable employees to serve customers, meet Institute and departmental goals, and balance personal and professional responsibilities. Participating in a flexible working arrangement is a privilege and not a right.

**Policy Statement:**

Flexible working arrangements are optional work arrangements that may be discontinued at any time. After consultation with the employee, managers determine the employee's work schedule and the employee must maintain the agreed upon schedule. The employee and / or the department may end the arrangement by providing written notice a minimum of 14 calendar days in advance. Flexible Working Agreements should be reviewed on an annual basis, and telecommuting agreements shall be limited to periods of no more than 12 months, and after review, may be extended annually in 12-month increments.



Flexible schedules should not cause a non-exempt employee to work overtime or cause any employee to work on existing holidays or conflict with leave allocation practices. Exceptions should be approved in advance by the Chief Human Resources Officer. Occasionally, an adjustment in an employee's work schedule may be required on a short term basis and such adjustments would not be apart of the Flexible Working Agreement.

Telecommuting is limited to Tech Temps and regular employees, who have completed the provisional employment period. One exception is that any Tech Temp or regular employee seeking accommodation under the American Disabilities Act may be considered for telecommuting if it provides a means of reasonable accommodation for the employee's needs. Such requests shall be made through the unit's HR Representative using the appropriate procedures for requesting reasonable accommodation (see Procedure 8.15, Campus Disability Compliance) and must be approved by the appropriate unit head or his / her designee.

**Policy Terms:****Compressed Workweek**

A compressed workweek is the scheduling of a traditional 40-hour week into fewer than five full days by adjusting the number of hours worked per day. Two examples of compressed schedules are working four ten-hour days with one full day off each week or working 80 hours in nine days with one full day off during a two-week period.

**Flextime**

A work schedule with variable arrival, departure and / or lunch times. It is typically designed to enable employees to come in earlier or leave later than the organization's normal hours of operation. This approach enables the department to ensure necessary office coverage, customer service and staff interactions are maintained during the core hours.

**Job Sharing**

When multiple people share the responsibilities of one regular full-time position within a unit by each working part time.

**Telecommuting**

The performance of normal work duties at a location away from the conventional or main office. This off-site location is most often the employee's home, but can also be a satellite office or, if traveling, a virtual office. Telecommuting is a privilege and not a right for employees and should be reserved for those with proven expertise.

**Procedures:**

For any flexwork arrangement:

1. The employee should first schedule a time to meet with his / her supervisor to discuss the feasibility of a Flexible Working Arrangement.
2. Based on the outcome of the discussion, the employee must complete the [Flexible Working Arrangements Agreement](#) and submit it to their supervisor. If the flexible working arrangement being requested is telecommuting, the employee must also complete the Telecommuting Agreement . The department's Human Resources Representative (HR Rep) is available for questions or to provide assistance in preparing the form(s).
3. The supervisor, in consultation with the department's HR Rep, may approve or deny the Flexible Working Arrangements Agreement and, if applicable, the Telecommuting Agreement proposed by the employee, or may recommend an alternate flexible working arrangement. In determining whether to approve or deny the proposed arrangement, the supervisor must consider the organization's goals and should approve the Agreement(s) only if the arrangement permits those goals to be achieved. If the employee and the supervisor do not agree on a flexible working arrangement, the employee will continue to work standard hours.
4. If an arrangement is agreed upon, the supervisor must submit the completed and signed Flexible Working Arrangements Agreement form and, if applicable, the Telecommuting Agreement, to the unit head for final approval. The unit head approving the agreement(s) may wish to consult with the department's HR Rep before making the final decision. Again, if a flexible working arrangement is not approved, the employee will continue to work standard hours.

5. If the arrangement is approved, the supervisor must send the completed and signed Flexible Working Arrangements Agreement form and, if applicable, the Telecommuting Agreement, to the department's HR Rep who will retain the original. The supervisor and the employee should retain copies.

### Retention of Agreement Forms

HR Reps / HR Contacts should retain the Flexible Working Arrangements and Telecommuting Agreement Forms until superseded or obsolete. The last agreement(s) and related documents should be maintained by the department for two years after the agreement has concluded.

#### Forms:

[FlexworkWorking Arrangements Agreement.doc](#)

[Telecommuting Agreement.doc](#)

[Equipment Loan Agreement.pdf](#)

### Parking

**Policy No:** 5.11

**Type of Policy:** Administrative

**Effective Date:** Mar 2004

**Last Revised:** Dec 2014

**Review Date:** Dec 2018

**Policy Owner:** Parking & Transportation

**Contact Name:** Lance Lunsway

**Contact Title:** Sr. Director-Campus Services Business Innovation & PTS

**Contact Email:** llunsway@gatech.edu

#### Policy Statement:

All motor vehicles parked by faculty, staff, students, visitors, contractors/vendors of the Georgia Institute of Technology on Institute controlled parking areas must display a valid parking permit or be parked in designated visitor/metered parking areas. Parking permits may be purchased at the Office of Parking and Transportation Services (PTS), located at 828 West Peachtree Street N.W. Complying with the Institute's parking rules and regulations will help ensure an effective parking control program for the benefit of the entire campus community. Everyone's cooperation is essential. Penalties and fines have been established for violation of the campus parking regulations.

Carpooling, and using alternative transportation to single-occupancy vehicles, such as MARTA, Georgia Regional Transportation Authority, Cobb County Transit, and Gwinnett County Transportation are encouraged. Payroll deduction is available for some of the transit alternatives. Check with the PTS office at 404/385-RIDE (7433) for more information.

#### Procedures:

A parking permit may be obtained by bringing a copy of the vehicle registration and BuzzCard (or other photo identification) to the Office of Parking and Transportation Services. Full-time (benefits-eligible) faculty and staff may also choose payroll deduction as a payment option. Temporary employees are not eligible for this option, and must make payment in full at the time of purchase via cash, check, or charge.

Visitors may purchase temporary parking permits from the Office of Parking and Transportation Services, or park in designated visitor parking areas or at meters and pay the posted rate. Vehicle registration and a driver's license are required to purchase visitor temporary permits.

Please visit Parking and Transportation Services' web page at: <http://www.pts.gatech.edu> to obtain a campus parking map, a complete set of parking rules and regulations, lot designations, parking rates, visitor and special event parking, and alternative transportation options.

Parking and Transportation Services' telephone number is 404-385-PARK (7275).

**Policy History:**

Revision Date	Author	Description
01-12-2015	Parking and Transportation	Update to verbiage

**Service to the Institute**

**Policy No:** 8.5

**Type of Policy:** Administrative

**Last Revised:** Jun 2015

**Review Date:** Aug 2019

**Policy Owner:** Human Resources

**Contact Name:** Adrienne Richardson

**Contact Title:** Strategic Performance Consultant

**Contact Email:** [Adrienne.richardson@ohr.gatech.edu](mailto:Adrienne.richardson@ohr.gatech.edu)

**Reason for Policy:**

It is important to provide clear guidance and support regarding the participation of employees.

**Policy Statement:**

Service to the Institute is valued and encouraged by Georgia Tech. Service to the Institute includes participation in Institute service programs or activities that are separate and in addition to the employee's ordinary job duties. Some examples include institutional governance, service as an advisor to one or more recognized student organizations, or participation in any other Institute service program. All such authorized activities shall be considered within the scope of the employee's employment.

**Policy Terms:**

**Exempt and non-exempt employees**

are defined in accordance with prevailing employment law. An exempt employee is generally salaried and not employed on an hourly basis.

**Service to the Institute**

Although employees usually contribute to the Institute primarily through their job responsibilities in their home and work departments, they may also contribute significantly to the development of Georgia Tech by offering appropriate services to the Institute in other parts of campus life. In the context of this policy, service to the Institute includes properly authorized activities outside one's home and work departments as documented in the records of the Institute.

**Procedures:**

Faculty members who provide services to the Institute may refer to the [Faculty Handbook](#) for applicable policies and guidelines.

Information regarding serving as an advisor to a student organization may be found at [www.involvement.gatech.edu](http://www.involvement.gatech.edu)

**Responsibilities:**

Party	Responsibility
Student Involvement Director	Ensure compliance with policy
Student Affairs	Offer assistance with policy interpretation

**Related Information:**[Student Involvement](#)[Faculty Handbook](#)[Student Affairs](#)

## Training and Development

### STRAP

**Policy No:** 13.9**Type of Policy:** Administrative**Effective Date:** Jan 2004**Last Revised:** Feb 2016**Review Date:** Jan 2019**Policy Owner:** Human Resources**Contact Name:** Kevin Merkel**Contact Title:** Senior Director-Payroll and Total Rewards**Contact Email:** Kevin.Merkel@ohr.gatech.edu**Policy Statement:**

The Staff Tuition Reimbursement Assistance Program (STRAP) provides employees with an opportunity to acquire skills and knowledge needed for career development and advancement. This program supports the Institute's commitment to encourage employee performance and enhance professional development. Course work must be applicable to a career at Georgia Tech.

### Eligibility

Regular, full-time, classified employees (professional, administrative, and staff personnel) who have a minimum of one full year of employment with Georgia Tech by the first day of class may apply for tuition reimbursement. Eligibility ends upon termination as a Tech employee. STRAP participants must be employed at the Institute through the exam date and completion of the course in order to receive reimbursement. An application for each academic term must be submitted for consideration and approval by the deadline. The deadline dates can be found at:

<http://ohr.gatech.edu/staff-tuition-reimbursement-assistance-program>.

### Acceptable Courses and Schools

Eligible employees may be reimbursed for course work taken from accredited private educational institutions or DTAE vocational / technical colleges. Employees attending USG institutions must use the BOR Tuition Assistance Program unless approved in advance by the Office of Human Resources. Distance learning courses may be eligible for reimbursement.

Course work must be taken for academic credit and must be related to a career field at Georgia Tech. Each employee must meet admission requirements of the educational institution, acquire approval from his/her immediate supervisor and department head, submit application by the deadline date, and receive approval from the Staff Development Committee for each course to be reimbursed. Non-credit continuing education courses and Executive Programs are not eligible for reimbursement.

If there are any questions, please contact the Office of Human Resources at (404) 894-4847.

### Reimbursement

STRAP tuition reimbursement funds are limited, and applications are processed on a first-come, first-served basis and are subject to the approval of the Staff Development Committee.

Eligible employees may be reimbursed for their complete or partial tuition cost up to six (6) credit hours per semester. Fees are not eligible for reimbursement. Upon completion of course work with a grade of C or better, the Institute will reimburse tuition costs up to a maximum of six (6) credit hours per semester. Note: Reimbursement amounts are based on the in-state Georgia Tech matriculation rate as defined by the Bursar's Office.

The original tuition receipt and official transcript / grade report are to be submitted to the Office of Human Resources for reimbursement. Funds will be electronically deposited in the employee's account. Expenses for activity fees, books, and associated costs do not qualify for reimbursement.

**Procedures:****Application**

STRAP Program applications may be obtained at: <http://ohr.gatech.edu/staff-tuition-reimbursement-assistance-program>. A complete application must be submitted to the Office of Human Resources, Mail Code 0435 before the published deadline date for course work taken in the designated semester. The application must have a specific, concise statement of how the course or degree program relates to the employee's career development at the Institute. The application must be signed by the supervisor and department head of the employee's department. Applications will be reviewed and approved or disapproved by the Staff Development Committee.

Employees will be notified via e-mail of the approval or non approval of their application.

**Reimbursement**

Within thirty days following the completion of course work, forward the following to The Office of Human Resources: official transcript / grade report and paid tuition receipt. If you need to retain any of this information for your records, please have them copied before submitting to The Office of Human Resources. Reimbursement amounts are based on the Georgia Tech matriculation rate as defined by the Bursar's Office. Funds for reimbursement will be electronically deposited in the employee's account approximately fourteen (14) business days after all of the information is complete and submitted to Procurement for processing.

If there are any questions, please contact the Office of Human Resources at either (404) 894-4847.

**TAP**

**Policy No:** 13.10

**Type of Policy:** Administrative

**Effective Date:** May 1998

**Last Revised:** Mar 2016

**Review Date:** Mar 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Reason for Policy:**

The University System of Georgia (USG) is committed to "the recruitment, hiring, and retention of the best possible faculty, staff and administration." The Board of Regents of the University System of Georgia is committed to creating a

more educated Georgia. As part of its desire to meet employees' evolving needs, the USG has established the Tuition Assistance Program (TAP). The purpose of TAP is to foster the professional growth and development of eligible employees.

**Policy Statement:  
Program Guidelines**

The program is available to all regular University System employees who have been employed full-time for the most recent six months immediately preceding application and who are eligible for University System benefits.

The program provides for a full waiver of tuition and fees for employees who register for classes at the University System institution where they are employed. Full reimbursement of tuition and fees is provided to employees who register for classes at other University System institutions.

The waiver or reimbursement can be provided for up to 10 credit hours per Quarter or 9 credit hours per semester. All tuition and mandatory fees will be covered.

Employees participating in the program must:

1. Receive formal departmental approval
2. Register during the employee registration period
3. Pass the course(s) with a grade of C or better to receive the waiver or reimbursement
4. Assume any tax liability which may accrue under this program

Georgia Tech supports the system-wide program guidelines which can be found at:

[http://www.usg.edu/hr/benefits/tuition\\_assistance\\_program\\_policy](http://www.usg.edu/hr/benefits/tuition_assistance_program_policy)

Forms, FAQ's, Registration Dates, and University System of Georgia TAP Coordinators can be found at:

[http://www.usg.edu/hr/benefits/tuition\\_assistance\\_program\\_tap/](http://www.usg.edu/hr/benefits/tuition_assistance_program_tap/)

Georgia Tech TAP Student Registration Dates as well as and other, specific Georgia Tech -related guidance can be found at: <http://ohr.gatech.edu/board-regents-tuition-assistance-program>.

**Procedures:  
Application Procedures**

**Note:** Employees must already be admitted students at the institution of attendance.

Obtain and complete the Tuition Remission Plan Request Form (TR-01) from the department supervisor or from the Department of Human Resource Development no later than 30 days prior to the start of classes for the Quarter or Semester.

After the Department of Human Resource Development verifies the employee's eligibility, the employee will receive a signed copy of the second page of the TR-01 Form. The employee may then register for classes under this program at his/her desired University System institution during the employee registration period. **It is the employee's responsibility to ensure that registration occurs during this period.** Registration during any other period places the entire financial burden for those courses on the employee.

The employee should obtain certification of enrollment during the employee registration period at the Registrar's Office of the institution where he/she has registered for courses utilizing the "Certification of Enrollment During Employee Registration Period" form. **Note:** This certification is not necessary for Georgia Tech employees attending courses at

Georgia Tech. The "employee registration period" at Georgia Tech is the same as the students' "late registration period".

### **Reimbursement/Remission Procedures**

Georgia Tech employees attending classes at Georgia Tech under this program will receive an automatic waiver of tuition and fees upon registration during the employee registration period. Employees attending other University System institutions must pay tuition and fees at those institutions under the guidelines set by those institutions. A receipt verifying the date and amount of payment will be required to obtain reimbursement.

Within three weeks after the end of the Quarter or Semester of attendance, employees participating in this program must submit the following documentation to the Office of Human Resource Development to obtain reimbursement:

1. Verification of registration during the employee registration period (form available).
2. A receipt certifying the date and amount of payment.
3. A transcript or grade report certifying that the course was passed with a grade of "C" or better.

No reimbursement can be provided without these documents. Reimbursement may be expected within two weeks of submission.

Georgia Tech employees attending classes at Georgia Tech need only to present a transcript certifying that the course was passed with a "C" or better. Failure to present this document will result in a reversal of the employee's waiver, causing the employee to become liable for payment of all tuition and fees related to the classes attended under the program.

### **What If?**

#### **1. What if I want to take classes during my regularly scheduled work hours?**

Employees are expected to register for classes which occur outside of the regular work day whenever possible. Under rare circumstances, this may not be possible. Should such an instance occur, the employee's supervisor may approve or disapprove the employee's attendance at those classes. If approved, it will be the employee's responsibility to make up the missed hours during the same workweek or to charge vacation time, at the supervisor's discretion.

#### **1. What if my supervisor does not approve my request for participation in this program?**

Approval or disapproval is at the supervisor's discretion. The employee may appeal a disapproval only when the permission has been denied on the basis of current job/career relatedness. The employee should appeal the decision first to his/her unit or department head. If that individual upholds the decision of the employee's supervisor, the employee may then appeal the decision to the Appeals Committee (STRAP Committee) through the Human Resource Development Department. All appeals must be completed prior to the first day of class. No other appeals are permitted under the program, and the Appeals Committee is the final avenue of appeal. Under this program, courses approved must be "of direct and significant assistance to the employee in carrying out present duties and responsibilities or in his or her professional development" or must "form part of a job-related degree program" that relates to an employee's current career in the University System.

#### **1. What if I fail to complete the course with a grade of "C" or better?**

Failure to complete the course with a "Pass" or letter grade of "C" or better prevents the employee from receiving the benefit of remission or reimbursement under this program. Employees may not request reimbursement, and employees taking courses here at Tech will be responsible for paying the tuition and fees due for the applicable course(s).



Repayment should be made at the Bursar's Office.

In addition, employees who fail to complete the course with a grade of "C" or better will be prohibited from further participation in the program for a period of 6 months from the date of withdrawal or the date the grade is sent to the Registrar's Office, whichever is earlier. After 6 months, the employee may again request participation in the program upon submission of a transcript certifying an average GPA of "C" or better. This transcript should be attached to the employee's Form TR-01.

**1. What if my employment with the University System ends prior to my completion of the course?**

If an employee discontinues employment within the University System for any reason at any time prior to the end of the course period, no reimbursement or remission can be provided. Employees may not request reimbursement, and employees taking courses here at Tech will be responsible for paying the tuition and fees for the applicable course(s). Repayment should be made at the Bursar's Office.

**1. What if the course I want to attend is not available at a University System institution?**

Courses may be taken without special exception at accredited University System institutions including Department of Technical and Adult Education institutions. All courses must be taken for credit. Any employee who wishes to take a course at another institution must substantiate in his/her application that the course is not available at a University System institution within 70 miles from Georgia Tech. The Georgia Tech Registrar's Office will be the final authority regarding course availability. If approved for reimbursement under such a provision, reimbursement will be limited to the in-state rate for an equivalent number of credit hours at Georgia Tech. In other words, the full cost of the course(s) may not be reimbursable.

**1. What if I have financial aid to cover a portion of my course costs?**

Reimbursement or remission will be provided to cover only the portion of the course costs not covered by an employee's financial aid. Any approved financial aid should be noted by the employee on Form TR-01.

**Differences from Current Programs**

The Institute currently maintains two other educational support programs, the STRAP program and the GTRC Education Assistance Program for Faculty. Employees are encouraged to utilize the new Tuition Remission/Reimbursement program whenever it is possible for them to register during the "employee registration period" and when the course or degree program in which they are seeking participation is directly related to their current University System employment, as this new program generally provides a more generous benefit.

The specific differences are as follows:

1. Under STRAP, the employee may request reimbursement for any course applicable to a career he/she intends to pursue at Tech, whereas the Tuition Remission/Reimbursement program applies only in cases where the coursework relates to the employee's current position.
2. STRAP also reimburses for approved courses at any accredited institution, while the new program is largely restricted to courses at University System institutions.
3. On the other hand, the new program requires only six months of full-time employment prior to participation, while STRAP requires 12 months.
4. The new program provides remission for employees attending Georgia Tech, while STRAP is strictly a reimbursement program.
5. The new program covers all mandatory tuition and fees, while the STRAP program covers only tuition.
6. Lastly, STRAP will reimburse for only 6 credit hours per quarter or 4 credit hours per semester, while the new



program will reimburse for up to 10 credit hours per quarter or 6 credit hours per semester.

The GTRC Education Assistance Program for Faculty is largely restricted to research-titled employees and reimburses only for a maximum of 6 credit hours per quarter plus the student activity and health fees. There is no remission provision under this program. Courses may be taken at any approved college or university.

For employees who cannot wait to register during the "employee registration period" or who wish to register for classes unrelated to their current program, STRAP or the GTRC Education Assistance Program for Faculty may prove more advantageous. For advice on the best alternative in a particular circumstance, the employee should consult the Human Resource Development Department in the Office of Human Resources at (404) 894-2249 or 894-3850.

### **Training Programs**

**Policy No:** 13.7

**Type of Policy:** Administrative

**Effective Date:** Apr 2004

**Review Date:** Jan 2015

**Contact Name:** TBD

**Contact Title:** Manager- Workplace Learning

**Policy Statement:**

The Office of Organizational Development schedules job related training programs for regular employees during regular working hours (8:00 a.m. -5:00 p.m.). Eligible employees must obtain prior approval from their supervisors/department heads and submit a registration form through our on-line system. Registration is on a first-come, first-serve basis. A training program schedule is available to all full-time employees via the web. Employees may attend training programs during regular working hours with no reduction in pay, and there is no need to make up time spent in class. For staff employees, time spent in training programs is considered time worked.

### **Employees Working Shifts**

Staff employees whose normal working schedules are not 8:00 to 5:00 p.m. are eligible to attend training programs providing they meet the same requirements and follow the same registration procedures as employees working regular hours. Such employees must be compensated for the time spent in class or may be granted compensatory time off within the same pay period, at the discretion of the immediate supervisor.

**Procedures:**

An employee who registers and is confirmed for any training program must notify the Office of Organizational Development of a cancellation no later than 5 working days prior to the program. The registration fee will not be refunded or credited for any cancellation after that time. Substitution of employees is encouraged in lieu of a cancellation. If 3 or more employees from a department cancel the same class, there must be at least 10 working days notice. Without 10 working days notice, the department will be charged the full fee. Training fees are charged to the employee's department for expenses incurred in the program (note the exception below).

If a supervisor or department head will not approve attendance in a training program, an employee may pay the course fee by personal check. If the class is scheduled during the employee's normal working hours, the employee will need supervisory approval to take vacation leave.

## Employee Relations

### Discipline Appeals Policy

#### Demotion Appeal Policy

**Policy No:** 7.5

**Type of Policy:** Administrative

**Last Revised:** Sep 2011

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Thomas Vance

**Contact Title:** Performance & Talent Management

**Contact Email:** thomas.vance@ohr.gatech.edu

**Reason for Policy:**

The policy is intended to outline the process to follow when filing an appeal due to a demotion

**Policy Statement:**

This process may be used only in cases dealing with demotions.

**Policy Terms:**

**Provisional Status**

An employee hired to fill a regular position shall serve the first six (6) months of employment in the University System on a provisional basis. An employee may be terminated at any time during the provisional period without a right of appeal.

**Temporary Status**

Employees who are not employed as "regular" employees are "temporary" employees. Institutions may hire temporary employees directly or may elect to obtain the services of temporary employees through outside organizations that provide temporary services. Temporary employees generally shall be employed for a period no longer than six (6) calendar months.

**Demotion**

A decrease in the duties and responsibilities assigned to an employee and a downward change in his/her salary grade and range.

**Procedures:**

**Overview**

According to the [University System of Georgia's grievance policy](#), the following types of grievances are prohibited:

- Investigations or decisions reached under the Institute's Harassment Policy
- They have been adversely affected by a reorganization, program modification or financial exigency (such employees may apply to the Board of Regents for review)
- The issue underlying the grievance is a charge of discrimination on the basis of race, sex, age, disability or religion (see the [Equal Opportunity Complaint Policy](#) for more details).
- The issues being grieved have been previously heard by an administrative panel at the institution.

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### **Request for Hearing**

The grievant must first seek an acceptable administrative resolution in writing within five (5) working days of the incident through one administrative level above the level of the supervisor who took the original employment action. If a satisfactory resolution of the grievance is not achieved, the grievant, within five (5) working days of notification by next level management, may request an appeal. Georgia Tech has partnered with EthicsPoint, Inc. to provide an enterprise-wide solution by which members of the Georgia Tech community may make such requests. The request must be made by completing an [online form](#) or by calling 1.866.294.5565 and having a neutral third party from EthicsPoint, Inc. transcribe the information. After submitting the information, you can then upload the documented proof of the denial and other attachments. Failure to follow these steps will constitute a waiver of the grievant's right to appeal.

Mediation of the issue may be attempted by the Office of Performance and Talent Management (PTM) in order to resolve the dispute. If a resolution cannot be effected, PTM will move forward with the grievant's appeal.

Should the grievant allege any form of race, age, sex, color, national origin, sexual orientation, or disability discrimination as a basis for the grievance the case will be immediately referred to an investigator within PTM for review. Upon written notification of a "no finding" disposition, PTM will automatically proceed with scheduling a hearing.

PTM will make every effort to schedule a hearing date within thirty (30) to forty-five (45) working days from the time that a grievant officially appeals to their office. Should extenuating circumstances exist for the grievant, s/he may submit a written request for the hearing to be scheduled beyond this period; however, no hearing for any reason will be scheduled later than sixty (60) working days from the time the grievant submits a written appeal to PTM. The grievant's failure to appear for a scheduled hearing within that time constitutes a waiver of the right to appeal. A grievant shall not be harassed, intimidated, or otherwise penalized for utilization of the appeal process.

### **Hearing Committee Selection**

Hearing committee members are selected to hear only a single grievance. The committee will consist only of classified employees with at least six (6) months of service. The following employees may not serve on the committee:

- Members of the Office of the President (including both direct and indirect reports)
- Members of the staff of OHR
- Members of the staff of the Office of Legal Affairs
- Managers/Human Resources Representatives in the grievant's unit who may have a conflict of interest

The committee is composed of three (3) Georgia Tech employees. Two (2) employees are selected by PTM from a random computer generated pool of employees, similar in classification to the grievant. One (1) Human Resources Representative (HRR) is also selected by PTM. The HRR will serve as the Hearing Officer for the assigned case.

The Chief Human Resources Officer will notify, in writing, the committee members who have been selected to serve and provide the hearing date, time, and place. Committee members may be excused from serving only if their request is sent to the PTM from the employee or the employee's supervisor and it is accompanied by a written statement of necessity of a bona fide illness or personal hardship.

### **Witnesses and Evidence**

Evidence shall be limited to witness testimony and documentation that is directly relevant to the employment action in dispute.

The committee is not bound by the strict legal rules of evidence and may receive any evidence of probative value in order to determine the issues involved; however, every effort is made to obtain the most reliable evidence available. All substantive matters related to the admissibility of evidence or procedural matters are decided by the presiding Hearing Officer.

Witnesses for the hearing must be current employees of Georgia Tech, regular or temporary in good standing. Former employees, students, and others may submit a relevant affidavit subject to the approval of the Hearing Officer. The following groups of individuals may not serve as witnesses:

- Students
- Members of the staff of the Office of the President (direct and indirect reports)
- Members of the staff of OHR
- Members of the staff of the Office of Legal Affairs

The Hearing Officer may approve an exception to this rule if such witnesses are directly relevant to the issues raised by the grievance.

Witnesses shall not be harassed, intimidated, or otherwise penalized for appearing at a hearing. The grievant and management representatives must obtain their own witnesses. Witnesses may elect not to participate.

A list of witnesses and a copy of any documentation must be submitted to PTM at least one (1) week in advance of the hearing date or at the Hearing Officer's briefing of the parties, whichever is later. Copies of the documentation are required at the hearing. Both parties are expected to provide copies of any approved documentation they intend to use at the hearing.

#### **Advisors**

The grievant may have an advisor present at the hearing who can communicate only with the grievant during the hearing. The advisor must be a current Georgia Tech employee, regular or temporary in good standing. This advisor cannot be an attorney, a student, a member of the Office of the President, a member of the staff of OHR, or a member of the staff of the Office of Legal Affairs. Management ordinarily may not have an advisor during the hearing.

#### **Attorneys**

The grievant cannot have an attorney present during the hearing unless the grievant is being charged with a crime. If the grievant receives approval to have an attorney present because of pending criminal charges, then Georgia Tech will also have a legal representative at the hearing.

#### **Confidentiality**

Public statements and publicity about the complaint shall be avoided and the confidentiality of the hearing shall be preserved to the greatest extent permitted by law.

#### **Hearing Process**

The parties involved will be required to attend a briefing no later than one (1) week prior to the hearing. The purpose of the briefing is to review the hearing protocol and answer any questions about the process. Failure to attend the briefing or any other scheduled meeting in support of the grievance process may result in immediate loss of appeal rights.

The grievant may present any relevant evidence upon approval by the Hearing Officer, including up to three (3) witnesses. The committee may request any other evidence, as well as interview any other employee, at its discretion.

#### **Report of the Committee**

The committee, after considering all relevant evidence, will make a recommendation in the form of a written report to the Chief Human Resources Officer for a final decision.

The committee's report shall be based on evidence brought forth at the hearing and all information in the grievant's official personnel file to the date of the incident or event which brought about the grievance. The grievant's entire personnel file will be available to the committee if requested.

The Chief Human Resources Officer will inform the grievant of the Institute decision in writing and advise the grievant of any further right to appeal.

**Form Links:** [Online Appeal Form](#)

**Responsibilities:**

The responsibilities each party has in connection with Demotion Appeals are:

Party	Responsibility
Office of Performance and Talent Management	Ensure compliance with policy and offer assistance with policy interpretation.

**Related Information:** [USG Grievance Policy](#)

**Impartial Board of Review Appeal Policy**

**Policy No:** 7.3

**Type of Policy:** Administrative

**Last Revised:** Feb 2014

**Review Date:** Oct 2019

**Policy Owner:** Human Resources

**Contact Name:** Thomas Vance

**Contact Title:** Compliance Advisor

**Contact Email:** thomas.vance@ohr.gatech.edu

**Reason for Policy:**

The Georgia Institute of Technology is committed to the fair treatment of our employees. Accordingly, the Institute will appoint an Impartial Board of Review ("IBR") to hear termination appeals from regular employees, excluding those employed in provisional or temporary status, to ensure the proper processes and procedures have been followed in the event an employee has been terminated for cause.

**Policy Statement:**

The Impartial Board of Review process described herein may be used only in cases dealing with terminations for discipline or cause.

**Scope:**

**Entities Affected By This Policy**

All classified employees of the Georgia Institute of Technology are covered by this policy.

**Who Should Read This Policy**

All classified employees within the Georgia Institute of Technology should be aware of this policy.

**Policy Terms:**

**Provisional Status**

An employee hired to fill a regular position shall serve the first six (6) months of employment in the University System on a provisional basis. An employee may be terminated at any time during the provisional period without a right of appeal.

**Temporary Status**

Employees who are not employed as "regular" employees are "temporary" employees. Institutions may hire temporary employees directly or may elect to obtain the services of temporary employees through outside organizations that provide temporary services. Temporary employees generally shall be employed for a period no longer than six (6)

calendar months.

**Termination for Cause**

The termination of employment for misconduct or other serious offense.

**Procedures:****Overview**

The policy is intended to explain the Impartial Board of Review and the appeal process when disputes cannot be resolved through normal administrative channels of the Institute.

According to the University System of Georgia's grievance policy, the following types of grievances are prohibited:

- Terminations or layoffs because of lack of work or elimination of position
- Investigations or decisions reached under the Institute's Harassment Policy
- Terminations that occurred during the six (6)-month provisional period
- Terminations due to a reorganization, program modification, or financial exigency (such employees may apply to the Board of Regents for review)
- The issue underlying the grievance is a charge of discrimination on the basis of race, sex, age, disability or religion (see the [Equal Opportunity Complaint Policy](#) for more details).
- The issues being grieved have been previously heard by an administrative panel at the institution.

**Request for Hearing**

The grievant must follow the steps listed in their letter of termination if they wish to file an appeal. Failure to do so will constitute a waiver of the grievant's right to appeal.

The first level of appeal will be to the manager of the person who signed the termination letter. The grievant shall submit their appeal in writing indicating specifically why they believe the decision to terminate was improper and should be reversed. The manager may also meet with the employee if they believe it would be beneficial in their review of the matter.

If the manager decides to uphold the termination, they will provide written notification of that decision to the grievant to include information on who to contact in the event they wish to appeal to the Impartial Board of Review.

Should the grievant allege any form of race, age, sex, color, national origin, sexual orientation, or disability discrimination as a basis for the grievance, the case will be immediately referred to an investigator within OWS for review. Upon written notification of a "no finding" disposition, OWS will automatically proceed with scheduling a hearing.

OWS will make every effort to schedule a hearing date within thirty (30) to forty-five (45) working days from the time that a grievant officially appeals to the IBR. Should extenuating circumstances exist for the grievant, s/he may submit a written request for the hearing to be scheduled beyond this period; however, no hearing for any reason will be scheduled later than sixty (60) working days from the time the grievant submits a written appeal. The grievant's failure to appear for a scheduled hearing will constitute a waiver of the right to appeal. A grievant shall not be harassed, intimidated, or otherwise penalized for filing an appeal.

**Hearing Officer**

OWS will provide the Hearing Officer with a copy of the grievant's hearing request and will notify both parties of the date, time, and place of the Hearing Officer's briefing and of the hearing.

**IBR Board Member Selection**

The Board will consist of three panel members selected from a standing committee of employees who will receive training on the hearing process. Members of the standing committee will serve a three year term. OHR will select the committee members to serve on the panel and will ensure that members of the committee who are in the same department as the grievant or may have a conflict of interest are not chosen as panel members for that case. Additionally, the grievant and management representative may object to any panel member who they believe, with reasonable cause, may be incapable of remaining impartial throughout the process. These concerns must be shared with the hearing officer prior to the hearing so that he/she can make a decision on the matter.

**Witnesses and Evidence**

Evidence shall be limited to witness testimony and documentation that is directly relevant to the employment action in dispute.

The Board is not bound by the strict legal rules of evidence and may receive any evidence of probative value in order to determine the issues involved; however, every effort is made to obtain the most reliable evidence available. All substantive matters related to the admissibility of evidence or procedural matters are decided by the presiding Hearing Officer.

Witnesses for the IBR hearing must be current employees of Georgia Tech, regular or temporary, in good standing. Former employees, students, and others may submit a relevant affidavit subject to the approval of the Hearing Officer. The following groups of individuals may not serve as witnesses:

- Students
- Members of the staff of the Office of the President (direct and indirect reports)
- Members of the staff of OHR
- Members of the staff of the Office of Legal Affairs

The Hearing Officer may approve an exception to this rule if such witnesses are directly relevant to the issues raised by the grievance.

Witnesses shall not be harassed, intimidated, or otherwise penalized for appearing at a hearing. The grievant and management representatives must obtain their own witnesses. Witnesses may elect not to participate.

A list of witnesses and a copy of any documentation must be submitted to OWS at least one (1) week in advance of the hearing date or at the Hearing Officer's briefing of the parties, whichever is later. Copies of the documentation are required at the hearing. Both parties are expected to provide copies of any approved documentation they intend to use at the hearing.

Each party shall have the opportunity to present approved documentation or other evidence which they deem appropriate and relevant to the grievance.

**Advisors**

The grievant may have an advisor present at the hearing who can communicate only with the grievant during the hearing. The advisor must be a current Georgia Tech employee, regular or temporary in good standing. This advisor cannot be an attorney, a student, a member of the Office of the President, a member of the staff of OHR, or a member of the staff of the Office of Legal Affairs. Management ordinarily may not have an advisor during the hearing.



**Attorneys**

The grievant cannot have an attorney present during the hearing unless the grievant is being charged with a crime. If the grievant receives approval to have an attorney present because of pending criminal charges, then Georgia Tech will also have a legal representative at the hearing.

**Confidentiality**

Public statements and publicity about the complaint shall be avoided and the confidentiality of the hearing shall be preserved to the greatest extent permitted by law.

**Hearing Process**

The parties involved will be required to attend a briefing no later than one (1) week prior to the hearing. The purpose of the briefing is to review the hearing protocol and answer any questions about the process. Failure to attend the briefing or any other scheduled meeting in support of the grievance process may result in immediate loss of appeal rights. The grievant may present any relevant evidence upon approval by the Hearing Officer, including up to three (3) witnesses. The committee may request any other evidence as well as interview any other employee at its discretion.

**Report of the Board**

The Board's report shall be based on evidence brought forth at the hearing and all information in the grievant's official personnel file to the date of the incident or event which brought about the grievance. The grievant's entire personnel file will be available to the Board if requested. The Board, after considering all relevant evidence, will make a recommendation in the form of a written report. This report will be submitted to the President for the final Institute decision. The grievant will be informed of the final Institute decision in writing and advised of any further right to appeal.

**Form Links:** [Request for Hearing](#)

**Related Information:**

[Human Resources Administrative Practice Manual: Employee Relations Grievance Policy](#)

[Equal Opportunity Complaint Policy](#)

**Suspension without Pay Appeal Policy**

**Policy No:** 7.4

**Type of Policy:** Administrative

**Last Revised:** Sep 2011

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Thomas Vance

**Contact Title:** Performance & Talent Management

**Contact Email:** thomas.vance@ohr.gatech.edu

**Reason for Policy:**

The policy is intended to outline the process to follow when filing an appeal due to a suspension without pay.

**Policy Statement:**

This process may be used only in cases dealing with suspensions without pay.

**Scope:****Entities Affected By This Policy**

All classified employees of the Georgia Institute of Technology are covered by this policy.



**Who Should Read This Policy**

All classified employees within the Georgia Institute of Technology should be aware of this policy.

**Policy Terms:****Provisional Status**

An employee hired to fill a regular position shall serve the first six (6) months of employment in the University System on a provisional basis. An employee may be terminated at any time during the provisional period without a right of appeal.

**Temporary Status**

Employees who are not employed as "regular" employees are "temporary" employees. Institutions may hire temporary employees directly or may elect to obtain the services of temporary employees through outside organizations that provide temporary services. Temporary employees generally shall be employed for a period no longer than six (6) calendar months.

**Procedures:****Overview**

The policy is intended to explain the appeal process for suspensions without pay.

According to the University System of Georgia's grievance policy, the following types of grievances are prohibited:

- Investigations or decisions reached under the Institute's Harassment Policy
- The issue underlying the grievance is a charge of discrimination on the basis of race, sex, age, disability or religion (see the [Equal Opportunity Complaint Policy](#) for more details).
- The issues being grieved have been previously heard by an administrative panel at the institution.

**Request for Hearing**

The grievant must first seek an acceptable administrative resolution in writing within five (5) working days of the incident through one administrative level above the level of the supervisor who took the original employment action. If a satisfactory resolution of the grievance is not achieved, the grievant, within five (5) working days of notification by next level management, may request an appeal. Georgia Tech has partnered with EthicsPoint, Inc. to provide an enterprise-wide solution by which members of the Georgia Tech community may make such requests. The request must be made by completing an [online form](#) or by calling 1.866.294.5565 and having a neutral third party from EthicsPoint, Inc. transcribe the information. After submitting the information, you can then upload the documented proof of the denial and other attachments. Failure to follow these steps will constitute a waiver of the grievant's right to appeal.

Mediation of the issue may be attempted by the Office of Performance and Talent Management (PTM) in order to resolve the dispute. If a resolution cannot be effected, PTM will move forward with the grievant's appeal.

Should the grievant allege any form of race, age, sex, color, national origin, sexual orientation, or disability discrimination as a basis for the grievance the case will be immediately referred to an investigator within PTM for review. Upon written notification of a "no finding" disposition, PTM will automatically proceed with scheduling a hearing.

PTM will make every effort to schedule a hearing date within thirty (30) to forty-five (45) working days from the time that a grievant officially appeals to their office. Should extenuating circumstances exist for the grievant, s/he may submit a written request for the hearing to be scheduled beyond this period; however, no hearing for any reason will be scheduled later than sixty (60) working days from the time the grievant submits a written appeal to PTM. The grievant's failure to appear for a scheduled hearing within that time constitutes a waiver of the right to appeal. A grievant shall not be harassed, intimidated, or otherwise penalized for utilization of the appeal process.

**Hearing Committee Selection**

Hearing committee members are selected to hear only a single grievance. The committee will consist only of classified employees with at least six (6) months of service. The following employees may not serve on the committee:

- Members of the Office of the President (including both direct and indirect reports)
- Members of the staff of OHR
- Members of the staff of the Office of Legal Affairs
- Managers/Human Resources Representatives in the grievant's unit who may have a conflict of interest

The committee is composed of three (3) Georgia Tech employees. Two (2) employees are selected by PTM from a random computer generated pool of employees, similar in classification to the grievant. One (1) Human Resources Representative (HRR) is also selected by PTM. The HRR will serve as the Hearing Officer for the assigned case.

The Associate Vice President of Human Resources (AVP-OHR) will notify, in writing, the committee members who have been selected to serve and provide the hearing date, time, and place. Committee members may be excused from serving only if their request is sent to the PTM from the employee or the employee's supervisor and it is accompanied by a written statement of necessity of a bona fide illness or personal hardship.

**Witnesses and Evidence**

Evidence shall be limited to witness testimony and documentation that is directly relevant to the employment action in dispute.

The committee is not bound by the strict legal rules of evidence and may receive any evidence of probative value in order to determine the issues involved; however, every effort is made to obtain the most reliable evidence available. All substantive matters related to the admissibility of evidence or procedural matters are decided by the presiding Hearing Officer.

Witnesses for the hearing must be current employees of Georgia Tech, regular or temporary in good standing. Former employees, students, and others may submit a relevant affidavit subject to the approval of the Hearing Officer. The following groups of individuals may not serve as witnesses:

- Students
- Members of the staff of the Office of the President (direct and indirect reports)
- Members of the staff of OHR
- Members of the staff of the Office of Legal Affairs

The Hearing Officer may approve an exception to this rule if such witnesses are directly relevant to the issues raised by the grievance. Witnesses shall not be harassed, intimidated, or otherwise penalized for appearing at a hearing. The grievant and management representatives must obtain their own witnesses. Witnesses may elect not to participate.

A list of witnesses and a copy of any documentation must be submitted to PTM at least one (1) week in advance of the hearing date or at the Hearing Officer's briefing of the parties, whichever is later. Copies of the documentation are required at the hearing. Both parties are expected to provide copies of any approved documentation they intend to use at the hearing.

**Advisors**

The grievant may have an advisor present at the hearing who can communicate only with the grievant during the hearing. The advisor must be a current Georgia Tech employee, regular or temporary in good standing. This advisor cannot be an attorney, a student, a member of the Office of the President, a member of the staff of OHR, or a member of the staff of the Office of Legal Affairs. Management ordinarily may not have an advisor during the hearing.

**Attorneys**

The grievant cannot have an attorney present during the hearing unless the grievant is being charged with a crime. If the grievant receives approval to have an attorney present because of pending criminal charges, then Georgia Tech will also have a legal representative at the hearing.

**Confidentiality**

Public statements and publicity about the complaint shall be avoided and the confidentiality of the hearing shall be preserved to the greatest extent permitted by law.

**Hearing Process**

The parties involved will be required to attend a briefing no later than one (1) week prior to the hearing. The purpose of the briefing is to review the hearing protocol and answer any questions about the process. Failure to attend the briefing or any other scheduled meeting in support of the grievance process may result in immediate loss of appeal rights.

The grievant may present any relevant evidence upon approval by the Hearing Officer, including up to three (3) witnesses. The committee may request any other evidence, as well as interview any other employee, at its discretion.

**Report of the Committee**

The committee, after considering all relevant evidence, will make a recommendation in the form of a written report to the Chief Human Resources Officer for a final decision.

The committee's report shall be based on evidence brought forth at the hearing and all information in the grievant's official personnel file to the date of the incident or event which brought about the grievance. The grievant's entire personnel file will be available to the committee if requested.

The Chief Human Resources Officer will inform the grievant of the Institute decision in writing and advise the grievant of any further right to appeal.

**Form Links:** [Online Appeal Form](#)

**Responsibilities:**

The responsibilities each party has in connection with Suspensions without Pay are:

Party	Responsibility
Office of Performance and Talent Management	Ensure compliance with policy and offer assistance with policy interpretation.

**Related Information:** [Human Resources Administrative Practice Manual: Employee Relations Grievance Policy](#)

**Employee Dispute Resolution**

**Policy No:** 7.7

**Type of Policy:** Administrative

**Last Revised:** Jan 2014

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Eric White

**Contact Title:** Strategic Performance Consultant

**Contact Email:** eric.white@ohr.gatech.edu

**Reason for Policy:**

The purpose of the Employee Dispute Resolution policy is to increase employee options in addressing Institute-related disputes and to encourage voluntary resolution of problems at the earliest opportunity. Georgia Tech supports the goals of the [Board of Regent's Policy on Dispute Resolution](#). Faculty, classified staff, and student employees are encouraged to seek equitable and satisfactory resolution of any conflict within the Institute through discussion with the persons and departments involved, preferably at the first indication of a problem. Employees are also encouraged to seek guidance from their department's Human Resources Business Partner or Human Resources Representative concerning any workplace dispute. Faculty members may contact the Faculty Ombuds Office, and classified staff may contact the Classified Staff Ombuds, for confidential assistance with resolving conflict. Employees may also seek to resolve the dispute through the informal process described in this policy.

**Policy Statement:**

The Institute recognizes the benefits of resolving disputes through informal means that are designed to decrease the reliance on adversarial processes. All employees and departments are encouraged to resolve disputes effectively and fairly at the lowest possible level.

It is the policy of Georgia Tech that work-related disputes be addressed in a manner that encourages constructive resolution of conflict and provides the opportunity for productive learning and work relationships. The Institute encourages administrators, faculty, and staff to consider resolving their disputes through alternative, non-adversarial processes with the assistance of a neutral third party prior to filing formal grievances. Dispute resolution processes are not intended to and may not be used as an appeal mechanism after decisions have been resolved through more formal proceedings.

**Scope:****Entities Affected By This Policy**

All faculty and staff at Georgia Tech are covered by this policy.

**Who Should Read This Policy**

All faculty and staff at Georgia Tech should be aware of this policy.

**Policy Terms:****Neutral**

An individual who is trained or experienced in providing dispute resolution services. This individual has no stake in the dispute or controversy other than to assist the parties in reaching an agreement or resolution.

**Dispute Resolution Processes**

Any structured process in which a neutral assists parties to a dispute in reaching a voluntary settlement or resolution, such as mediation, facilitation, or negotiation.

**Procedures:**

To resolve conflicts at the earliest possible stage and to address problems with the least damage to future learning and working relationships, assistance through dispute resolution processes is available to all employees.

Examples of disputes that may be appropriate for these processes include:

- Disputes between colleagues stemming from differing personality types or work styles;
- Disputes related to perceived lack of clarity or consistency regarding work assignments, goals, or expectations;
- A belief that Institute policies, practices, rules, regulations, or procedures have been applied inconsistently;
- Conflicts related to conditions of employment such as scheduling, vacation, fringe benefits, holidays, performance reviews, salary, or seniority; and
- General communication breakdowns/barriers.

Participation in a dispute resolution process is voluntary. All parties to a dispute must agree to participate in such a process before arrangements will be made for a session. No presumption of fault is drawn from a party's decision to proceed with or to forego the opportunity to engage in a dispute resolution process.

Participants in dispute resolution processes do not forfeit the right or opportunity to participate in other appropriate procedures. Likewise, participants in other available procedures do not forfeit the right to participate in dispute resolution processes; however, participants may not use dispute resolution processes to revisit issues already resolved in a final decision or ruling on a grievance or complaint.

Time spent engaged in dispute resolution processes is considered part of an employee's normal working time, and supervisors must make reasonable efforts to allow employees to participate in such processes. Employees are not required to take annual or other leave to participate in dispute resolution processes. Supervisors may authorize the use of overtime for such purposes only under extraordinary circumstances.

Both the neutral and the parties are to keep the statements made during the dispute resolution process confidential. However, all participants, including the neutral, are required to report statements that reveal conduct that is criminal or that poses a clear threat to the safety of others or the proper operation of the Institute.

The parties are encouraged to memorialize the resolution of their workplace dispute in writing whenever possible. The purpose of such a written document is to ensure that everyone involved in the dispute has a common understanding concerning the resolution of the dispute.

#### Dispute Resolution Limitations

The Dispute Resolution program is not available for:

- Disputes that have been the subject of a final ruling or decision according to other policies and procedures. For example, if someone's employment has already been terminated, that person may not utilize dispute resolution processes to appeal or negotiate the termination decision;
- Disputes involving criminal charges or serious threats to persons or property;
- Disputes involving claims of sexual harassment or alleged discrimination because of race, color, sex, age, religion, national origin, sexual orientation, gender identity, disability, or veteran status; and
- Disputes that do not concern the official business of the Institute.

#### On-Campus Resources

Georgia Tech's Dispute Resolution Program is administered by OHR's Talent Management Team who shall act as a first point of contact for any member of the Georgia Tech community who wishes to use this program. If the Talent Management Team determines that use of this program is appropriate given the specific nature of the dispute, the Talent Management Team will refer the parties to a designated neutral who will meet with the parties to the dispute and assist with appropriate dispute resolution processes. In addition, members of the Talent Management Team are available to work with employees, supervisors, and departments to facilitate informal discussions to clarify issues, improve communication, and repair working relationships.

The Faculty Ombuds Office is a confidential resource for all faculty members on campus. The Faculty Ombuds is a neutral that advocates not for a specific individual, but for the equitable resolution of work-related problems and concerns. <http://www.policylibrary.gatech.edu/faculty-handbook/3.1.8-concerns-complaints-and-ombuds-office>

#### Off-Campus Neutrals

At times, the Talent Management Team may deem it appropriate to obtain a neutral from off-campus. In these

instances, the Talent Management Team will contact and retain an experienced neutral from outside of Georgia Tech to assist parties through dispute resolution processes.

The Classified Staff Ombuds is a neutral and confidential third-party resource who can assist staff in determining options to resolve conflicts and problematic concerns. <http://www.ohr.gatech.edu/staffombuds>.

**Responsibilities:**

The responsibilities each party has in connection with the Dispute Resolution Program are:

Party	Responsibility
Talent Management, Office of Human Resources	Administer policy, ensure compliance, and offer assistance with policy interpretation

**Non-Discrimination and Affirmative Action**

**Anti-Harassment Policy**

**Policy No:** 1.7

**Type of Policy:** Administrative

**Effective Date:** Mar 2004

**Last Revised:** Jun 2016

**Review Date:** Jun 2019

**Policy Owner:** Human Resources

**Contact Name:** Eric White

**Contact Title:** Workforce Strategy

**Contact Email:** eric.white@ohr.gatech.edu

**Policy Statement:**

Discriminatory harassment of any person or group of persons on the basis of race, color, religion, sex, national origin, age, disability, sexual orientation, gender identity or veteran status is prohibited. Any employee, student, student organization, or person privileged to work or to study at the Georgia Institute of Technology who violates this policy will be subject to disciplinary action: for employees, up to and including termination; and for others, up to and including permanent exclusion from the Institute.

This policy applies to every member of the Institute community. Faculty, students, and staff at all levels are responsible for maintaining an appropriate environment for study and work. This includes conducting themselves in a professional manner. Toward this end, the Georgia Institute of Technology supports the principle that harassment represents a failure in professional and ethical behavior that will not be condoned.

This policy and procedure is intended to facilitate an atmosphere in which, faculty staff, and students have the right to raise the issue of discriminatory harassment without fear of retaliation and to ensure that violations are fully remedied. No member of the Georgia Tech Community will be retaliated against for making a good faith report of alleged harassment or for participating in an investigation, proceeding, or hearing.

Georgia Tech is committed to providing its staff, faculty, and students the opportunity to pursue excellence in their academic and professional endeavors. This opportunity can exist only when each member of our community is assured an atmosphere of mutual respect. The free and open exchange of ideas is fundamental to the Institute's purpose. It is not the Institute's intent in promulgating this policy to inhibit free speech or the free communication of ideas by members of the academic community.

**Policy Terms:**

**Discriminatory harassment** – unwelcome verbal, non-verbal, or physical conduct directed against any person or group, based upon race, color, religion, sex, national origin, age, disability, sexual orientation, gender identity, or veteran status that has the purpose or effect of creating an objectively hostile working or academic environment. A hostile environment is created when harassment is so severe, pervasive, or persistent as to unreasonably interfere with or limit an individual's employment or educational opportunities.

Harassment must be distinguished from behavior which, even though unpleasant or disconcerting, is appropriate to the carrying out of certain instructional, advisory, or supervisory responsibilities.

**Sexual harassment** – Unwelcome sexual advances, requests for sexual favors, and other verbal, non-verbal or physical conduct of a sexual nature, when:

1. Submission to such conduct is made either implicitly or explicitly as a term or condition of an individual's employment or status in a course, program, or activity;
2. Submission or rejection of such conduct by an individual is used as a basis for condition of an individual's employment or status in a course, program, or activity;
3. Such conduct has the purpose or effect:
  - a. of unreasonably interfering with the individual's work or education performance;
  - b. of creating an objectively intimidating, hostile, or offensive working and/or learning environment; or
  - c. of unreasonably interfering with or limiting one's ability to participate in or benefit from an educational program or activity.

Both men and women, as well as, persons of the same gender may be either the initiators or victims of sexual harassment.

#### **Procedures:**

#### **Complaints of Sexual Misconduct**

Complaints of Sexual Misconduct (which includes, but is not limited to, domestic violence, dating violence, sexual assault, sexual exploitation, sexual harassment, and stalking) are addressed pursuant to the policies and procedures of the Board of Regents Sexual Misconduct Policy. Additional procedures for complaints of sexual misconduct by students are contained in the Student Sexual Misconduct Policy.

#### **Complaints of Discriminatory Harassment**

1. Any member of the Institute community who believes that he or she has been the victim of discriminatory harassment other than sexual misconduct (the Complainant) should promptly report the matter to the appropriate institute officials within the offices designated to handle such complaints. The complaint should be brought within 60 calendar days of the most recent alleged harassing act.
2. For incidents involving faculty and staff, the Office of Human Resources – Performance and Talent Management team should be contacted. The Dean of Students Office should be contacted for incidents involving students or student claims.
3. The initial discussion between the Complainant and the Appropriate Institute Official will be handled with sensitivity and discretion. The Appropriate Institute Official will inquire into all reports of alleged sexual harassment brought to his or her attention.
4. During the initial meeting with the Appropriate Institute Official, a written summary of the complaint will be made and



should be signed by the Complainant.

5. The Appropriate Institute Official will inform the alleged offender ("Respondent") of the allegation and of the identity of the Complainant, will provide him or her with a written summary of the Complaint and will proceed as set forth in the following section.

### **Resolution of a Complaint**

1. When a complaint is submitted, the Appropriate Institute Official will discuss the matter with the parties promptly, will notify the appropriate Dean or Vice President of the charge, and may initiate whatever steps he or she deems appropriate to affect an informal resolution of the complaint acceptable to both parties within 15 calendar days of a reported incident. If an informal resolution is reached, it will be documented in writing, approved by the Senior Director Human Resources or the Dean of Students, as appropriate, and signed by the Complainant and the Respondent.

2. If an informal resolution satisfactory to the Parties is not reached within 15 calendar days after an incident is reported, or if in the sole discretion of the Appropriate Institute Official, an informal resolution is not possible; the Appropriate Institute Official will proceed with a full investigation. A report of the investigation results along with a recommendation for resolution of the Complaint and/or disciplinary action will be made to the Associate Vice President for the Office of Human Resources and/or the Dean within 60 days of the date the investigation was initiated in the ODM. The Associate Vice President for Human Resources or the Dean of Students will initiate prompt remedial or corrective action where warranted.

### **Equal Opportunity Complaint Policy**

**Policy No:** 1.11

**Type of Policy:** Administrative

**Effective Date:** Mar 2004

**Last Revised:** Oct 2010

**Review Date:** Oct 2019

**Policy Owner:** Human Resources

**Contact Name:** Thomas Vance

**Contact Title:** Performance & Talent Management

**Contact Email:** thomas.vance@ohr.gatech.edu

**Reason for Policy:**

Georgia Tech is committed to affirmative implementation of equal opportunity in education and employment.

#### **Policy Statement:**

The Office of Human Resources Performance and Talent Management (PTM) team facilitates compliance of the Institute with federal, state, and Board of Regents Equal Opportunity (EO) laws and guidelines. This office has the full support of the Institute to identify and initiate resolution of EO policy violations. This policy sets forth the procedure by which employees and faculty of the Institute may file a complaint of discrimination or an appeal.

PTM also facilitates compliance of the Institute with Title IX, which prohibits gender discrimination in education programs or activities. In addition, PTM investigates student discrimination complaints involving faculty or staff of the Institute.

The Institute will use this complaint process whenever it becomes aware of a possible violation of the laws or guidelines referenced herein. However, if an alleged violation is under review in another office/forum, or has already been reviewed in a different forum, PTM may reject a new complaint regarding the same allegations or elect to



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temporarily set the complaint aside until processing in the other forum is complete.

**Scope:****Entities Affected By This Policy**

All employees, students, and contractors of Georgia Tech are covered by this policy.

**Who Should Read This Policy**

All employees, students, and contractors within Georgia Tech should be aware of this policy.

**Policy Terms:****Retaliation/Non-Reprisal**

Seeking revenge, evening the score, or striking back at a perceived wrong. In an employment law context, examples of retaliation could include termination, suspension, disciplinary action, denial of promotion, benefits, or refusal to hire an individual. Federal and state laws prohibit retaliation against persons who file complaints of discrimination or who participate in an employment discrimination proceeding. For Appeals, an employee will be free from restraint, interference, coercion, or reprisal in bringing an appeal, serving as a representative of an appealing party, appearing as a witness, or in seeking information about the Appeal policy.

**Abuse of Process**

Adverse employment action may be taken against persons who knowingly file false complaints of discrimination, retaliation, or harassment. Such actions may include dismissal of the complaint and/or disciplinary actions against the employee, up to and including discharge or dismissal.

**Withdrawal**

Either the complainant, the appealing party, or the respondent may submit a voluntary complaint resolution or proposal for resolution prior to or during an investigation. The complainant or the appealing party may also, at any time, withdraw a complaint or appeal through the [complaint and appeal line](#). PTM may have a business responsibility to continue investigating certain types of complaints, even if the complaint is withdrawn, and where applicable will do so.

**Procedures:**

If an employee is not able to resolve the complaint informally and wishes to pursue the matter further, Georgia Tech has partnered with EthicsPoint, Inc. to provide an enterprise-wide solution by which members of the Georgia Tech community may file a formal complaint. Such complaints must be filed by completing an [online form](#) or by calling 1.866.294.5565 and having a neutral third party from EthicsPoint, Inc. transcribe the information. There are two types of formal procedures: (1) Discrimination Complaints and (2) Appeals.

Faculty, staff, and students are encouraged to communicate effectively, treat each other with respect, and to resolve conflicts as quickly as possible without having to use these formal procedures. However, any employee or student who believes he or she has been subjected to discriminatory and/or harassing behavior from individuals covered by the same policies may have their complaints addressed by the Institute's official complaint process.

Lawyers are prohibited unless the hearing involves a criminal indictment.

Alternatively, individuals may elect to file their discrimination complaints with an external civil rights agency or court of law and subject to the processes of those forums.

**Discrimination Complaints**

Employees who believe that they have been subjected to illegal discrimination or workplace harassment based on race, color, religion, sex/gender, national origin, age, disability, sexual orientation, veteran status or retaliation may file their complaint within 60 days of the alleged harm. All such complaints will be referred to PTM for investigation and resolution. Please refer to the [4-Step Discrimination Complaint Process](#) and the [60-Day Timeline for PTM](#)

[Discrimination Complaint Process](#) documents for more details.

**Appeals**

Employees who have been terminated, suspended, or demoted may appeal management's decision. If a satisfactory resolution of an appeal is not achieved by appealing to one administrative level above the level of the supervisor who took the original employment action, then the employee has up to 5 days of notification by next level management to file an Appeal. A PTM Rep. will initiate the formal grievance process. Please refer to the [4-Step Appeal Process](#) and the [60-Day Timeline for PTM Appeal Process](#) documents for more details.

According to the University System of Georgia's Grievance Policy, a grievance will not be available to dispute:

- promotion and tenure decisions,
- performance evaluations,
- hiring decisions,
- classification appeals,
- challenges to grades or assessments,
- challenges to salary decisions,
- challenges to transfers or reassignments,
- termination or layoff because of lack of work or elimination of position,
- investigations or decisions reached under the institutions Harassment Policy, and
- normal supervisory counseling.

A classified employee may file a grievance only if:

- The employee has been suspended; or
- The employee has been discharged; or
- The employee has been demoted, or their salary has been reduced.

An employee may not file a grievance, even in the above circumstances, if:

- The discharge occurred during the six (6)-month provisional period;
- They have been adversely affected by a reorganization, program modification or financial exigency (such employees may apply to the Board of Regents for review);
- The issue underlying the grievance is a charge of discrimination on the basis of race, sex, age, disability or religion.
- The issues being grieved have been previously heard by an administrative panel at the institution.

Faculty members who appeal may also seek the assistance of the Faculty Status and Grievance Committee (FSGC). See [Faculty Handbook](#)

**Responsibilities:**

The responsibilities each party has in connection with Equal Opportunity Complaint Policy are:

Party	Responsibility
Vice President for Institute Diversity and Inclusion	Ensure compliance with policy & offer assistance with policy interpretation.
Office of Human Resources	Ensure compliance with policy & offer assistance with policy interpretation.
Student Affairs, Dean of Students	Ensure compliance with policy & offer assistance with policy interpretation.
AVP for Enrollment Services	Ensure compliance with policy & offer assistance with

	policy interpretation.
Athletics, Director and Title IX Coordinator	Ensure compliance with policy & offer assistance with policy interpretation.
Legal Affairs	Ensure compliance with policy & offer assistance with policy interpretation.
Business Services, Procurement	Ensure compliance with policy & offer assistance with policy interpretation.

**Related Information:**

- [Vice President for Institute Diversity](#)
- [Georgia Tech Faculty Handbook](#)
- [The US Department of Justice](#)
- [The US Equal Employment Opportunity Commission](#)
- [Human Resources Administrative Practice Manual: Employee Relations](#)
- [EthicsPoint- To Make a Report](#)

**Related Documents:**

- [PTMAppealProcess\\_0.doc](#)
- [AppealProcessTimeline\\_0.doc](#)
- [4-Step Discrimination Complaint Process.doc](#)
- [60-Day Timeline for PTM Discrimination Complaint Process.doc](#)

**Policy of Nondiscrimination and Affirmative Action**

**Policy No:** 1.1

**Type of Policy:** Administrative

**Last Revised:** Sep 2011

**Review Date:** Mar 2019

**Policy Owner:** Human Resources

**Contact Name:** Eric White

**Contact Title:** Workforce Strategy

**Contact Email:** eric.white@ohr.gatech.edu

**Reason for Policy:**

Georgia Tech is committed to affirmative implementation of equal opportunity in education and employment.

**Policy Statement:**

The Institute does not discriminate against individuals on the basis of race, color, religion, sex, national origin, age, disability, sexual orientation, gender identity, or veteran status in the administration of admissions policies, educational policies, employment policies, or any other Institute governed programs and activities. The Institute's equal opportunity and non-discrimination policy applies to every member of the Institute community.

The Institute's affirmative action program, Title IX program, and related policies are developed in compliance with applicable law.

Pursuant to Title IX, the Institute does not discriminate on the basis of sex in its education programs and activities. As such, the Institute does not tolerate any kind of gender-based discrimination or harassment, which includes sexual violence, sexual harassment, and gender-based harassment. Inquiries concerning the Institute's application of or compliance with Title IX may be directed to the Title IX Coordinator, Burns Newsome, burnsnewsome@gatech.edu, 404-385-5151. Additionally, inquiries concerning the application of applicable federal laws, statutes, and regulations (such as Title VI, Title IX, and Section 504) may be directed to the U.S. Department of Education's Office of Civil

Rights ([www2.ed.gov/ocr](http://www2.ed.gov/ocr)).

**Scope:**

**Entities Affected By This Policy**

All employees, students, and contractors of Georgia Tech are covered by this policy.

**Who Should Read This Policy**

All employees, students, and contractors within Georgia Tech should be aware of this policy.

**Procedures:**

The policy outlines Institute practices to ensure compliance with applicable laws as well as the process for filing a formal complaint. Every member of the Georgia Tech community is expected to uphold this policy and to ensure that nondiscriminatory practices are followed at Georgia Tech.

Georgia Tech will:

- Provide equal opportunity to all employees, students, contractors, and to all applicants for employment or admission;
- Comply with all laws and regulations governing equal opportunity in the workplace;
- Review all of its personnel policies, including benefits, compensation, employment, promotion, training, tuition assistance, and separation, to ensure there is no unlawful discrimination or harassment because of a person's race, color, religion, sex, national origin, age, disability, sexual orientation, gender identity, or veteran status
- Make reasonable accommodations for the physical and/or mental disabilities of qualified employees, students, and applicants;
- Inform employees and students of the right to refer complaints to their supervisor, to the Human Resources Department, or to the Dean of Students without being subject to intimidation or retaliation in any form.

Any employee or student who believes he or she has been subjected to discriminatory and/or harassing behavior from individuals covered by this policy has the right to seek redress through consultation with management in the employee's or student's academic unit. When a complaint is accepted by an Institute Office for processing, voluntary mediation or a formal investigation may occur. Any investigation conducted by the Institute's Equal Opportunity Officer or his/her designee will result in a written determination of findings being issued. See 1.11 [Equal Opportunity Complaint Policy](#) for additional information on filing a complaint.

**Responsibilities:**

The responsibilities each office has in connection with Equal Opportunity are:

Party	Responsibility
Vice President for Institute Diversity and Inclusion	Ensure compliance with policy & offer assistance with policy interpretation.
Office of Human Resources	Ensure compliance with policy & offer assistance with policy interpretation.
Student Affairs, Dean of Students	Ensure compliance with policy & offer assistance with policy interpretation.
Associate Vice President for Enrollment Services	Ensure compliance with policy & offer assistance with policy interpretation.
Athletics, Director and Title IX Coordinator	Ensure compliance with policy & offer assistance with policy interpretation.
Business Services, Procurement	Ensure compliance with policy & offer assistance with policy interpretation.

Party	Responsibility
Legal Affairs	Ensure compliance with policy & offer assistance with policy interpretation.

**Related Information:**

- [Georgia Tech Diversity](#)
- [Georgia Tech Provost](#)
- [U.S. Equal Employment Opportunity Commission](#)
- [Ed.gov Office of Civil Rights](#)

## Employment

### Access to Medical Records

**Policy No:** 9.1

**Type of Policy:** Administrative

**Effective Date:** Aug 1993

**Review Date:** Dec 2018

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

The official personnel files are housed in the Office of Human Resources Records Department. Access to any medical records contained in personnel files is extremely limited. Medical information may be reviewed by 1) the employee, 2) Human Resources' staff members in the course of carrying out their job responsibilities, and 3) other individuals only if legally authorized to do so.

### Georgia Open Records Act

An employee's medical records are removed prior to review of an employee's personnel file by his/her supervisor. The Georgia Open Records Act specifically excludes medical records from disclosure under the Act, as release of such information would constitute an invasion of personal privacy.

### Approval of Resident Student Rates for Nonresident Employees

**Policy No:** 13.1

**Type of Policy:** Administrative

**Effective Date:** Aug 1998

**Last Revised:** Nov 2012

**Review Date:** Nov 2019

**Policy Owner:** Legal Affairs and Risk Management

**Contact Title:** Policy Specialist

**Contact Email:** policylibrary@gatech.edu

**Policy Statement:**

Georgia Tech follows [BOR Policy 7.3.4 Out-of-State Tuition Waivers and Waiver of Mandatory Fees](#) in approving resident student rates for non-resident employees.

**Policy History:**

Revision Date	scope="col">Author	Description
12-2012	Legal Affairs and Risk Management	Update to policy

## **Business Casual Dress Policy for Summer and Fridays**

**Policy No:** 5.8

**Type of Policy:** Administrative

**Effective Date:** May 2000

**Review Date:** Dec 2018

**Policy Owner:** Human Resources

**Contact Name:** Kim Harrington

**Contact Title:** Assc-VP Human Resources

**Contact Email:** kim.harrington@ohr.gatech.edu

**Policy Statement:**

It is the policy of the Georgia Institute of Technology that each employee's dress and grooming be appropriate for our work environment.

The normal dress code will be relaxed during the summer to provide a more practical and comfortable clothing standard. This policy will be in effect at the beginning of the summer semester and ending after the Labor Day holiday. Fridays throughout the year will be designated as Business Casual Dress Day. It is the intent that each employee may choose to wear less formal attire as long as clothing is in good taste and will not negatively affect the Institute's image.

**Procedures:**

Acceptable personal appearance is an ongoing responsibility of each employee. Specifically, "common sense" should be the basic guideline and employees should not wear suggestive attire, athletic clothing, shorts, T-shirts, novelty buttons, baseball hats, and similar items of casual attire that do not present a businesslike image.

As always, supervisors are responsible for determining appropriate dress for each specific work situation or environment. Radical departures from conventional dress or personal grooming standards will not be permitted. When dealing with customers and the public, your attire should be consistent with a positive business image.

**Exception**

Employees whose jobs require them to wear uniforms and/or whose attire must meet prescribed safety standards are not covered by this policy.

## **Business Ethics**

**Policy No:** 5.1

**Type of Policy:** Administrative

**Effective Date:** Dec 1998

**Review Date:** Dec 2018

**Policy Owner:** Internal Auditing

**Contact Name:** Phil Hurd

**Contact Title:** Director-Internal Auditing

**Contact Email:** phillip.hurd@gatech.edu

**Policy Statement:**

Georgia Tech policy is that the practice of accepting gifts or gratuities is unnecessary, undesirable, and contrary to the interest of the Institute.

**Procedures:**

The purpose of this policy is to recognize the Institute's responsibility to maintain good relations with its suppliers and others with whom Georgia Tech may have business dealings, and to prevent gift-bearing businesses from interfering with and/or influencing employees.

Exactly what constitutes a conflict of interest or an unethical business practice is both a moral and a legal question. Georgia Tech recognizes and respects the individual employee's right to engage in activities outside of his or her employment which are private in nature and do not in any way conflict with or reflect poorly on the Institute. Management reserves the right, however, to determine when an employee's activities represent a conflict with the Institute's interests and to take whatever action is necessary to resolve the situation - including termination of employment.

It isn't possible in a general policy statement of this sort to define all the various circumstances and relationships that would be considered "unethical." The list below suggests some of the types of activity that would reflect in a negative way on the employee's personal integrity or that would limit his or her ability to discharge job duties and responsibilities in an ethical manner:

1. Simultaneous employment by another business/organization, particularly if the other is a competitor.
2. Carrying on Institute business with a firm in which the employee, or a close relative of the employee, has a substantial ownership or interest.
3. Holding a substantial interest in, or participating in the management of, a firm to which the Institute does business with or makes purchases.
4. Borrowing money from customers or firms, other than recognized loan institutions, from which our Institute buys services, materials, equipment, or supplies.
5. Accepting substantial gifts or excessive entertainment from an outside organization or agency.
6. Speculating or dealing in materials, equipment, supplies, services, or property purchased by the Institute.
7. Participating in civic or professional organization activities in a manner whereby confidential Institute information is divulged.
8. Misusing privileged information or revealing confidential data to outsiders.
9. Using one's position in the Institute or knowledge of its affairs for outside personal gains.
10. Engaging in practices or procedures that violate Board of Regents, Institute, or other state and federal laws regulating the conduct of the Institute.

**REMEMBER: Employment by the Institute carries with it a responsibility to be constantly aware of the importance of ethical conduct. Employees must refrain from taking part in, or exerting influence in, any transaction in which their own interests may conflict with the best interests of the Institute.**

## **Campus Disability Compliance**

**Policy No:** 8.15

**Type of Policy:** Administrative

**Effective Date:** May 1998

**Last Revised:** Sep 2014

**Review Date:** Sep 2019

**Policy Owner:** Human Resources

**Contact Name:** Thomas Vance

**Contact Title:** Compliance Advisor

**Contact Email:** thomas.vance@ohr.gatech.edu

**Policy Statement:**



The Americans with Disabilities Act of 1990 (ADA) is the first comprehensive civil rights law to prohibit discrimination against people with disabilities on the basis of disability. Georgia Tech supports and complies with the provisions of the ADA. If you believe you have a disability and need an accommodation, please contact Georgia Tech's Compliance Advisor at 404-894-3249.

You may also reference the HR Web site for additional information: <http://www.ohr.gatech.edu/ers/disability>

## **Conflict of Interest**

### **Conflict of Interest**

**Policy No:** 5.4

**Type of Policy:** Administrative

**Effective Date:** Apr 2004

**Last Revised:** May 2012

**Review Date:** May 2018

**Policy Owner:** Georgia Tech Research Corp. (GTRC)

**Contact Name:** Jeff Steltzer

**Contact Title:** Dir. Conflict of Interest Mgt.

**Contact Email:** jeff.steltzer@gtrc.gatech.edu

**Reason for Policy:**

The purpose of this policy is:

- To set forth acceptable parameters relating to possible conflicts of interest which may arise from the outside professional activities of an Institute employee;
- To define and establish a mechanism to reduce, eliminate, or manage a situation that may pose a real or potential Conflict of Interest;
- To ensure the integrity of research, education or business transactions of the Institute and to identify real or potential Conflicts of Interest;
- To ensure that sponsored research at the Institute is conducted in compliance with regulations promulgated by the sponsor thereof including but not limited to the National Science Foundation and the National Institutes of Health as appropriate [Ref. NSF - Investigator Financial Disclosure Policy: October 7, 1996 <http://www.nsf.gov/pubs/stis1996/iin117/iin117.txt>, and NIH Guide – Objectivity in Research <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>]; and
- To articulate activities that would be prohibited.

**Policy Statement:**

State laws governing ethics and conflicts of interest are based on the premise that public employees are acting on behalf of government for the benefit of the public. As public employees of an institute serving the educational and public purposes of teaching, research, and professional service, there is an obligation to conduct research and official duties on behalf of the Institute in such a manner consistent with statutes and regulations. The avoidance of conflict of interest is vital to ensuring the integrity and objectivity in conducting and reporting research.

**Overview**

Based on State and federal law and regulations, the following two rules will be followed as a matter of Institute policy:

1. Activities which constitute a Conflict of Interest where there is Significant Financial Interest are prohibited unless a plan to reduce, eliminate or manage the Conflict of Interest has been expressly approved in



- accordance with the provisions of this policy; and
2. Activities which constitute a Conflict of Interest where there is a Substantial Interest are unlawful.

If you are a faculty member, you are governed by [Policy 5.6 Conflict of Interest and Outside Professional Activity](#) as defined in the Faculty Handbook.

If you are an employee conducting research, you are governed by [Policy 5.6.4 Disclosure of Real or Potential Conflicts of Interest](#) as defined in the Faculty Handbook.

Non-faculty members are not permitted to consult as defined and permitted under [5.6.5 of the Faculty Handbook](#).

**Scope:**

All staff at the Georgia Institute of Technology should be aware of this policy.

**Policy Terms:****1. Agency**

any agency, authority, department, board, bureau, commission, committee, office or instrumentality of the State of Georgia.

**2. Business**

any corporation, partnership, proprietorship, firm, enterprise, franchise, association, organization, self-employed individual, trust or other legal entity.

**3. Conflict of Commitment**

occurs when an Employee undertakes external commitments which burden or interfere with the Employee's primary obligations to the Institute. Conflicts of Commitment may arise out of consulting arrangements or with an entrepreneurial interest when a faculty member is involved in a startup company.

**4. Conflict of interest** Illustrative examples of such situations include, without limitation, the following situations:

1. It reasonably appears that a significant financial interest could affect the design, conduct, or reporting of activities funded or proposed for funding by a sponsor; or
2. The personal interest of an Employee or his or her Family may prevent or appear to prevent the Employee from making an unbiased decision with respect to the Employee's employment with the Institute.
  - The Employee, or a member of his or her Family, has a significant financial interest in a business which transacts business with the Institute.
  - The Employee, or a member of his or her Family, has a significant financial interest in an entity that competes or may compete with the Institute for sponsored activities.

**5. Conflict of Interest Review Committee**

shall mean an advisory committee to the Executive Vice-President for Research that shall be composed of the Chief Legal Counsel, the Vice-President for Research, a representative for the student body, and a member of the general faculty appointed by the Executive Board of the Institute. In absence of a standing Committee the Executive Vice-President for Research shall appoint an ad hoc committee as dictated by the circumstance.

**6. Conflict of Interest Management Office**

(COI Office) shall mean the central office designated by the Institute to review all disclosures that present actual or perceived conflicts of interest. The COI Office works with the COI Review Committee and the Responsible Unit Official to ensure that any conflicts of interest are reduced, managed, or eliminated in conjunction with federal, state, and local regulations and Institute policy.

**7. Consulting**

any professional activity related to the person's field or discipline (e.g. consulting, speaking, scientific advisory boards, paid attendance at company meetings, expert witness services, etc), where a fee-for-service or equivalent relationship with a third party exists. Consulting includes organizing or operating any educational program outside Georgia Institute of Technology.

- 8. Employee**

all Institute personnel who receive salary or wages from the Institute. Students and trainees are included if they receive pay from the Institute. Also included, by way of example without limitation, are Visiting Faculty and Scientists, Professors of the Practice, Affiliates, Adjunct Faculty, Emeritus Faculty (if they are engaged in part time work for pay), and Tech Temps.
- 9. Family**

spouse or partner and dependent children [Georgia Official Code 45-10-20] and anyone who could reasonably be assumed to be family in the context of situations in which there may be the appearance of a Conflict of Interest stemming from an action of an Employee in combination with such persons.
- 10. Full-time**

30 hours or more of work for the state per week for more than 26 weeks per calendar year.
- 11. Individual Conflicts**

a Conflict of Interest that arises when an Employee has the opportunity to influence research, academic or Institute decisions in ways that could lead to personal financial gain. The financial gain may be derived from owning stock in a company that is sponsoring research, from ownership interest or employment in a company that may benefit as a licensee of an invention, or from the existence or expectation of entering into a consulting arrangement with a company sponsoring research.
- 12. Institute/Institution**

the Georgia Institute of Technology.
- 13. Institutional Conflicts**

occur when the Institute, or one of its affiliated entities such as the Georgia Tech Research Corporation, Georgia Tech Applied Research Corporation, Georgia Tech Foundation or Georgia Advanced Technology Ventures, has a financial stake in the outcome of its research programs or licensed technology. The conflict may arise out of an equity interest in a start-up that licenses technology from the Institute or in the nature of royalties to be earned from licensing such technology.
- 14. Institutional Responsibilities/Institutional Obligations**

Investigator's professional responsibilities on behalf of the Institution, including for example, activities such as research, research consultation, teaching, professional practice, Institutional committee memberships, and service on panels such as Institutional Review Boards or Data and Safety Monitoring Boards.
- 15. Investigator**

the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research, which may include, for example, collaborators or consultants. If the research involves human subjects, it includes all personnel named in the protocol submitted to the Institutional Review Board. [NIH Guide - Financial Conflicts of Interest and Research Objectivity: Issues for Investigators and Institutional Review Boards, June 5, 2000  
<http://www.grants.nih.gov/grants/policy/coi/index.htm> FDA "Guidance: Financial Disclosure by Clinical Investigators" (March 20, 2001)  
<http://www.fda.gov/downloads/RegulatoryInformation/Guidances/UCM341008.pdf> ].
- 16. Part-time**

any amount of work other than full-time work.
- 17. Public Official**

any person elected to state office or any person appointed to a state office where, in the conduct of such office, the person so appointed has administrative and discretionary authority to receive and expend public funds and to perform certain functions concerning the public which are assigned to him or her by law.
- 18. Responsible Representative of the Institution**

the person designated by the Institute to oversee the solicitation and review of financial reporting statements from any Investigators who will be participating in Research. For purposes of this Policy, the Responsible Representative of the Institution is the Vice-President for Research or his/her designee(s).
- 19. Responsible Unit Official**

the supervisor of the school, laboratory, or department of the person making a disclosure. For such supervisors, the Responsible Unit Official will be the person he or she reports to at the next supervisory level. For any other

cases, it will be an individual designated by the Executive Vice-President for Research.

## 20. Significant Financial Interest

as defined in current Federal Regulations, means:

1. A financial interest consisting of one or more of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that reasonably appears to be related to the Investigator's institutional responsibilities:
  1. With regard to any publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds \$5,000. For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
  2. With regard to any non-publicly traded entity, a significant financial interest exists if the value of any remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator (or the Investigator's spouse and dependent children) holds any equity interest (e.g., stock, stock option, or other ownership interest); or
  3. Intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
2. The term significant financial interest does NOT include the following types of financial interests:
  1. salary, royalties, or other remuneration paid by the Institution to the Investigator if the Investigator is currently employed or otherwise appointed by the Institution;
  2. intellectual property rights assigned to the Institution and agreements to share in royalties related to such rights
  3. income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles;
  4. income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an Institution of higher education as defined in 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education;
  5. income from service on advisory committees or review panels for a federal, state, or local government agency, or an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.
3. Investigators who receive US Public Health Service funding (e.g. NIH) or a subcontract from another entity that receives funds from a US Public Health Service funding agency, also must disclose the occurrence of any reimbursed or sponsored travel, related to their institutional responsibilities; provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education. The disclosure must include the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration. Please refer to <http://coi.research.gatech.edu/> for answers to frequently asked questions.

## 21. Sponsored travel

travel expenses that are paid on behalf of the Investigator and not reimbursed to the Investigator so that the exact monetary value may not be readily available.

## 22. Substantial Interest

is "the direct or indirect ownership of more than 25 percent of the assets or stock of any business." [Official Code of Georgia 45-10-20]. An Employee, alone or in combination with Family, may not have an ownership interest of more than 25% of the assets or stock in any business which Transacts Business with the State of

Georgia including the Institute. Therefore caps of 24.9% are placed on the percentage of ownership an Employee, alone or in combination with Family, may have in any business which Transacts Business with the Institute. Ownership interests below this cap may be managed as provided in this policy.

**23. Transact Business or Transact any Business**

to sell or lease any personal property, real property, or services on behalf of oneself or on behalf of any third party as an agent, broker, dealer, or representative and means to purchase surplus real or personal property on behalf of oneself or on behalf of any third party as an agent, broker, dealer, or representative..

**Procedures:**

Activities Not Considered "Consulting"

1. Publication

Scholarly communications in the form of books, movies, television productions, art works, etc. though frequently earning financial profit for a non-faculty member and for another party (e.g., publisher), are not viewed as consultation.

2. Professional Service

Service on national commissions, advisory bodies for governmental agencies and boards, granting agency peer review panels, visiting committees or advisory groups to other universities, and on analogous bodies is not considered to be Consulting. The fundamental distinction between these activities and consulting is that they are public or Institute service. Although participants may receive an honorarium or equivalent, these professional service activities are not undertaken for personal financial gain.

3. "Moonlighting"

Employee may pursue a variety of endeavors for financial profit that are not directly related to the person's field or discipline. These efforts are part of the non-faculty member's private life and do not come under Institute regulation for this consulting policy. Such endeavors may be pursued only after the primary commitment to the Institute has been fulfilled and upon prior approval from a Responsible Unit Official of the Institute.

Use of Georgia Institute of Technology Facilities

In competing for consulting, employees are not to take advantage of their access to Institute facilities. State law precludes Institute employees from using State facilities or property for personal gain or benefit. The facilities and services of the Institute may not be used in connection with compensated outside work, except in a purely incidental way. This is not envisioned to exclude contracts with the Institute for the use of facilities or services such as the Computer Center or the Library or other facilities for which cost centers have been established.

Consulting Services for Other State Offices

As a general rule employees of the Institute may not receive compensation for services performed for other state offices. [Official Code of Georgia 45-10-20]

Employees of one State agency may teach or work as consultants for another state agency provided the work falls within one of the following classifications and provided the conditions stated below are met.

Employees of one state agency may teach or work as consultants for another state agency if the transaction involves part-time employment by the state agency seeking consulting services of a chaplain, fireman, any person holding a doctorate or master's degree from an accredited college or university, a licensed physician, dentist, psychologist, registered nurse or a licensed practical nurse, or veterinarian.

The chief executive officer of the department or agency desiring to obtain the services of a person falling within the

class of exceptions shall certify in writing the need for the services and shall set forth why the best interest of the state will be served by obtaining the part-time services of such a person *in lieu* of obtaining such services from a person not presently employed by the State.

The chief executive officer of the department or agency employing the person in the class of exceptions shall certify in writing that the person whose services are desired is available to perform such services, that the performances of such services will not detract nor have a detrimental effect on the performance of the person's employment, and, where appropriate, that the part-time employment of this person will be in the best interest of the State.

The two departments or agencies involved will then agree on the procedures under which the employee shall perform the additional services. The agreement shall specify the means of employment, whether as a part-time employee or as a consultant, the compensation, and other pertinent details and conditions of the employment relationship. The agreement may be terminated at any time by either of the parties to the agreement.

#### Prohibited Activities

No employee shall undertake any activity which constitutes a conflict of interest except as may be expressly approved and/or managed pursuant to the provisions of this policy.

It shall be unlawful for any full-time employee, for himself or herself, or on behalf of any business, or for any business in which such employee or member of his or her family has a substantial interest to transact any business with the agency by which such employee is employed; provided, however, that neither this section nor any other provision of law shall prevent full-time employees of the Board of Regents of the University System of Georgia from serving as members of governing boards of private, nonprofit, educational, athletic, or research related foundations and associations which are organized for the purpose of supporting institutions of higher education in this state and which in furtherance of this purpose may transact business with such institutions or with the Board of Regents of the University System of Georgia.

Except as expressly permitted by law, it shall be unlawful for any part-time employee, for himself or herself, or on behalf of any business, or for any business in which such employee or member of his or her family has a substantial interest to transact any business with the agency by which such employee is employed. **See** Official Code of Georgia Annotated Section 45-10-20 **et seq.**

#### Disclosure to the State of Georgia

Except as provided in subsection (b) of the Official Code of Georgia Annotated Section 45-10-26, any Public Official or Employee whether for himself or herself, or on behalf of any Business, or any Business in which such Public Official or Employee or any member of his Family has a Substantial Interest who transacts business with the state or any agency thereof, shall disclose such transactions. Such disclosure shall be submitted prior to January 31 each year to the Secretary of State on such forms as he or she shall prescribe and shall include an itemized list of the previous year's transactions with the dollar amount of each transaction reported and totaled. Such disclosure statements shall be public records. [Official Code of Georgia 45-10-26]

#### Disclosure to the Institute

Every employee of the Institute, including all who participate in outside professional activities and/or sponsored research must complete an annual disclosure using the online Conflict of Interest system. In answering the questions, if an employee has indicated an actual or potential conflict, the system will notify the COI Office for review. Employees must update their disclosures on an ongoing basis when circumstances change.

### Disclosure to Sponsors

Any person involved in the design, conduct, or reporting of research (technical and financial) or educational activities proposed for funding by a sponsor must complete the Investigator Financial Interest In Research Report via the online Conflict of Interest System disclosing any potential or actual Significant or Substantial Financial interests of the employee (including those of the Employee's Family). (See <http://coi.research.gatech.edu/> for this system.)

Disclosures should include, but is not limited to:

1. Performance or business transactions related to the sponsored activity;
2. Equity interests in or fees from either the sponsor of the research or a subcontractor;
3. Intellectual property rights.

Each such Disclosure needs to be updated via the online system by the employee during the life of any award, as new Significant or Substantial Financial Interests are recognized.

In completing a disclosure on the Conflict of Interest Online System, the employee is certifying to the following:

"In submitting this form I affirm that the above information is true to the best of my knowledge and I certify that I have read and understood the Conflict of Interest and Outside Professional Activity Policy as set forth in the Georgia Institute of Technology Faculty Handbook, that I have made all required disclosures, and that I will comply with any conditions or restrictions imposed by the Institute to manage, reduce or eliminate conflicts of interest."

In any proposal submitted to a potential sponsor, the Office of Sponsored Programs is responsible for certifying that the Institute has implemented a written and enforced conflict of interest policy that is consistent with the provisions of Grant Policy Manual Section 510 of the National Science Foundation, the National Institutes of Health Guide for Objectivity in Research and other applicable sponsor regulations. In submitting the proposal, the Office of Sponsored Programs certifies that to the best of their knowledge all financial disclosures required by such conflict of interest policy have been made and that all identified conflicts of interest will have been satisfactorily managed, reduced or eliminated prior to the Institute's expenditure of any funds under the award, in accordance with the Institute's Conflict of Interest and Outside Professional Activity Policy.

### Disclosure to the Institutional Review Board

Investigators submitting protocols to the Institutional Review Board (IRB) for the use of human subjects in research or other activities shall disclose any and all Significant Financial Interests that may appear to affect the design, conduct or reporting of such research. It is imperative that Investigators fully disclose to the IRB an ownership interest in any Business proposing to test any drug, device or other technology with human subjects or any potential financial interest in such technology that the Investigators, or the Investigators Family might have. The IRB, in collaboration with the COI Office, shall conduct an independent review and may or may not impose restrictions, including denial of approval for the protocol, as it deems is in the best interest of the subjects and the Institute.

### Disclosure to Students

Special care needs to be taken when dealing with students involved in research so that a potential or actual Conflict of Interest does not adversely affect their education, i.e. their ability to graduate or publish. Prior to retaining students on research projects that may involve a potential or actual Conflict of Interest, the Investigator and senior personnel will disclose to the student as well as to the COI Office and Responsible Unit Official, any interests in outside companies that may be perceived to benefit from the student's research. Should a conflict of interest exist, the COI Office, the Responsible Unit Official, the conflicted Investigator, and the Conflict of Interest Review Committee, will design a conflict management plan to manage, reduce or eliminate the conflict prior to the student's involvement in the project pursuant to the procedure provided for in [Section 5.6.4](#).



#### Review of Financial Disclosures and Resolution of Conflicts of Interest

When a financial disclosure or report of a conflict of interest is made via the online Conflict of Interest module and forwarded to the COI Office, the COI Office reviews the disclosure per the COI Office Procedures.

Should an actual or apparent conflict of interest exist, the COI Office and the Conflict of Interest Review Committee will design a conflict management plan to manage, reduce or eliminate the conflict prior to the Institute's expenditure of any such funds.

In developing a management plan, the COI Office and the Conflict of Interest Review Committee will work with the conflicted employee and with the Responsible Unit Official and will consider the relationships between the employee and the Institute to ensure adequate conditions or restrictions are in place to manage, reduce or eliminate the conflict(s).

Such conditions may include, without limitation:

1. Public disclosure of significant financial interests;
2. Monitoring of research by independent reviewers;
3. Modification of the research plan;
4. Disqualification from participation in the portion of the sponsor funded research that would be affected by the Significant or Substantial Financial Interests;
5. Divestiture of Significant or Substantial Financial Interests; and/or
6. Severance of relationships that create actual or potential conflicts.

Conflict management plans and/or restrictions must be in writing and forwarded to the conflicted employee and the Responsible Unit Official(s). The COI Office and the Responsible Unit Officials will monitor compliance with the plan. A copy of the plan and relevant documentation will be maintained in the COI Office.

Upon recommendation by a Responsible Unit Official, the Conflict of Interest Review Committee may determine a) that imposing conditions or restrictions would be ineffective or b) that any potential negative impacts which may arise from a Significant or Substantial Financial Interest is outweighed by interests of scientific progress, technology transfer, or the public health and welfare. In such cases, the Responsible Unit Official and the Conflict of Interest Review Committee may recommend to the Provost that the Institute allow research to go forward provided that any conflict management plan includes ongoing monthly review by the Responsible Unit Official and the Conflict of Interest Review Committee.

Notwithstanding the foregoing, nothing herein shall permit the Institute to authorize an activity that is contrary to the laws of the State of Georgia, federal regulations, or other restrictions imposed by regulation or contract by research sponsors. Furthermore, no activity involving human subjects may be authorized that has not been approved by the Institutional Review Board which in compliance with 45CFR46 may, in its sole discretion, deny such approval.

Should the Responsible Representative of the Institution find that the Institute is unable to satisfactorily manage a conflict of interest prior to the Institute's expenditure of any such funds, the Responsible Representative of the Institution shall immediately notify the COI Office and the Office of Sponsored Programs.

All determinations made or actions taken by the COI Office, and/or the Conflict of Interest Review Committee shall be in writing and together with all financial disclosures made hereunder, be maintained until at least three years after the later of the termination or completion of the award to which they relate, or the resolution of any government action involving those records. If the Investigator is engaged in any research or other sponsored activity supported by the Department of Health and Human Services including but not limited to the National Institutes of Health, the Responsible Representative of the Institution shall forward this information to the sponsor in compliance with regulation.

Written management plans must be reviewed annually or upon a change in circumstances affecting the plan and appropriate disclosures should continue during the ongoing management of any conflict.

**Conflict of Interest Training Requirements**

Conflict of interest training is required for all Investigators before engaging in funded research and every four years thereafter.

**Penalties**

Any employee who violates this policy shall be subject to disciplinary action up to and including dismissal.

There are also sanctions under State law [Official Code of Georgia Section 45-10-28] as described in the following paragraphs.

Any appointed public official or employee who violates Official Code of Georgia Annotated Section 45-10-23 ("Full-time employees prohibited from transacting business with own state agency; exception to prohibition for Board of Regents employees"), Section 45-10-24 ("Part-time public officials with state-wide powers prohibited from transacting business with any state agency; part-time employees prohibited from transacting business with own state agency; exceptions to prohibitions"), or Section 45-10-26 ("Public officials and employees to file yearly disclosure statements concerning business transactions with state; statements to be public records") shall be subject to:

- Removal from office or employment;
- A civil fine not to exceed \$10,000.00; and
- Restitution to the state of any pecuniary benefit received as a result of such violation.

Any business which violates Code Section 45-10-23, 45-10-24, or 45-10-26 shall be subject to:

- A civil fine not to exceed \$10,000.00; and
- Restitution to the state of any pecuniary benefit received as a result of such violation.

**Form Links:** [Conflict of Interest Form](#)

**Responsibilities:**

Party	Responsibility
Conflict of Interest Management Office	Ensure compliance with policy.
Office of Legal Affairs	Offer assistance with policy interpretation.

**Consultant Services within the University System**

**Policy No:** 8.13

**Type of Policy:** Administrative

**Last Revised:** Nov 2012

**Review Date:** Nov 2019

**Policy Owner:** Legal Affairs and Risk Management

**Contact Title:** Policy Specialist

**Contact Email:** [policylibrary@gatech.edu](mailto:policylibrary@gatech.edu)

**Policy Statement:**



Georgia Tech follows [BOR Academic Student Affairs Handbook 4.3.4 Inter-institutional Faculty Appointments](#), and [BOR Business Procedures Manual 5.3.3 Joint Staffing](#).

**Forms:** [EECompAgreement\(Nov2012\).pdf](#)

**Policy History:**

Revision Date	scope="col">Author	Description
12-2012	Legal Affairs and Risk Management	Update to policy

**Nepotism (Employment of Relatives)**

**Policy No:** 8.37

**Type of Policy:** Administrative

**Effective Date:** Jul 2001

**Review Date:** Jul 2018

**Policy Owner:** Human Resources

**Contact Name:** Eric White

**Contact Title:** Workforce Strategy

**Contact Email:** eric.white@ohr.gatech.edu

**Policy Statement:**

The basic criteria for hiring and promotion of faculty and staff at Georgia Tech shall be appropriate qualifications and performance as set forth in the policies of the Board of Regents, and incorporating certain requirements of the Institute. Relationship by family or marriage shall constitute neither an advantage nor a disadvantage, provided the individual meets and fulfills the appropriate University System/GIT hiring and promotion standards.

Regents' Policy 8.2.3--No individual shall be employed in a department or unit which will result in the existence of a subordinate-superior relationship between such individual and any relative of such individual through any line of authority. As used herein, "line of authority" shall mean authority extending vertically through one or more organizational levels of supervision or management.

Note: This policy does not apply to children working temporary or part-time under age 25; nor any individual as of February 14, 1990, then holding a superior position at least one level of supervision removed.

Relatives are defined as husbands and wives, parents and children, brothers, sisters, and any in-law of any of the foregoing.

**Exceptions**

Exceptions must be approved by the Board of Regents upon recommendation of the Chancellor as being clearly in the best interest of the Institute and the University System.

**Political and Occupational Outside Activities**

**Policy No:** 8.17a

**Type of Policy:** Administrative

**Effective Date:** Jun 1983

**Last Revised:** Nov 2012

**Review Date:** Nov 2019

**Policy Owner:** Legal Affairs and Risk Management

**Contact Title:** Policy Specialist

**Contact Email:** [policylibrary@gatech.edu](mailto:policylibrary@gatech.edu)

**Policy Statement:**

Georgia Tech employees shall follow [BOR Policy 8.2.15 Outside Activities](#).

**Policy History:**

Revision Date	scope="col">Author	Description
12-2012	Legal Affairs and Risk Management	Update to policy

**Fair Labor Standards Act (FLSA)**

**Policy No:** 4.9

**Type of Policy:** Administrative

**Effective Date:** Feb 2017

**Last Revised:** Feb 2017

**Review Date:** Feb 2020

**Policy Owner:** Human Resources

**Contact Name:** Julie Joyce

**Contact Title:** Sr. Director, HRBPs & Employee Relations

**Contact Email:** [Julie.Joyce@ohr.gatech.edu](mailto:Julie.Joyce@ohr.gatech.edu)

**Reason for Policy:**

To establish Institute policies and procedures that comply with the Fair Labor Standards Act (FLSA) of 1938, which establishes minimum wage, overtime pay, recordkeeping, and youth employment standards affecting full time and part-time workers in the private sector and in federal, state, and local governments.

**Policy Statement:**

The FLSA establishes minimum wage, overtime pay, recordkeeping, and youth employment standards affecting employees in the private sector and in federal, state, and local governments. Georgia Tech will provide compensation for the established workweek for employees covered by the provisions of the Fair Labor Standards Act. Georgia Tech also reserves the right to institute any processes and procedures necessary for complying with relevant state law(s).

**Scope:**

The policy applies to all departments, all faculty, staff, and student employees.

**Procedures:**

**Exempt/Non-Exempt Status**

Federal and state laws require that overtime must be paid for certain, but not all, jobs. The federal law is the Fair Labor Standards Act (FLSA).

The term “exempt” refers to jobs that are excluded from these overtime requirements. This means that employees are not entitled to (or exempt from) overtime pay, regardless of how many hours are worked.

The term “non-exempt” refers to jobs that are not exempt from legal overtime requirements. This means that employees in non-exempt jobs are entitled to overtime pay for all time worked beyond forty (40) hours in a work week.

In accordance with the FLSA, whether a job is classified as exempt or non-exempt depends on the content of the job. It does not depend on how the employee (or the manager) wants the job classified. Human Resources, with advice from the Office of Legal Affairs, makes the final determination as to whether a job is exempt or non-exempt, based on an evaluation of the job as compared to federal regulations.

## Overtime Compensation

The overtime rate of compensation is 1.5 times the regular hourly rate for each hour worked over forty (40) hours in a “work week” or Regular Rate (RR) X 1.5 X Overtime hours (OT) = Overtime pay due. (Example: a non-exempt employee’s regular rate of pay is \$10.00 per hour. He or she worked 10 hours of overtime in a regular work week. Thus, \$10.00 x 1.5 x 10 = \$150.00 (overtime pay due).) Georgia Tech defines the “work week” as beginning on Thursday at 12:01 a.m. and ending at midnight on the following Wednesday.

Departments at the Institute may grant compensatory time in lieu of payment for overtime, if the employee agrees to accept compensatory time. See the section below titled “**Compensatory Time**” for additional procedures in using this payment option.

Based on the needs of the department, some overtime may be a condition of employment or continued employment. It is to be expected that some departments may engage in temporary periods of mandatory overtime as a result of workload and in order to meet expected outcomes. In other situations, a job's work schedule may be different from the typical Institution workweek so that evening and weekend coverage can be provided without the Institution having to incur the expense of overtime pay. Managers are responsible for informing employees about the needs of the unit and each employee's expected schedule in a timely fashion.

## Breaks and Meal Times

Both exempt and non-exempt employees are encouraged to take occasional breaks or a meal period as reasonable. Managers and supervisors will generally designate any authorized breaks and meal times for each employee’s position and schedule. Non-exempt employees are encouraged to take a daily meal period of thirty (30) minutes or more and are encouraged to use this time as personal time where work for the Institute is not expected.

Time spent working should be recorded as such even if worked during a designated meal time. Time spent not working for a period of approximately twenty (20) minutes or more, i.e., a “break” period, should not be recorded as time worked.

Note that state law varies as to meal and break time requirements and to the extent it is in conflict with the above, the Institute complies with state law.

## Calculating Overtime

For purposes of calculating overtime, only hours actually worked will be considered. Vacation, holiday, sick, compensatory time and other leave times granted by the Institute will not factor into the overtime calculation.

## Timekeeping

Employees in non-exempt jobs are required to submit daily time records. Any employee or supervisor who falsifies any time record, application for leave, and the like, is subject to disciplinary action, up to and including termination.

## Travel Time

When a non-exempt employee is traveling, managers should meet with them to review and approve the travel itinerary (including, but not limited to, meeting schedule, route, and mode of transportation) and confirm what are considered working hours in accordance with University System of Georgia (USG) and Institute policies and Department of Labor (DOL) regulations. All compensable hours worked during the travel period must be recorded and reported to ensure an accurate calculation for payroll purposes.

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For additional guidance, please see [Compensation for Travel Time Guide for Overtime-Eligible Employees \[Include Link\]](#).

### Approvals

Supervisors and managers are expected to monitor the use and impact of overtime on their department to ensure employees are consistently completing work in a reasonable amount of time, as well as ensure that employees are not working unauthorized overtime.

Overtime-eligible employees must obtain approval from their direct supervisor for overtime before it is actually worked. Non-exempt employees must be compensated for all overtime hours worked regardless of whether such time was requested in advance. Employees who work overtime without supervisor authorization or fail to report accurately all hours of work are subject to disciplinary action, up to and including termination of employment.

### Compensatory Time

Compensatory time, or “comp time,” is an alternate way of paying for overtime worked. Instead of paying an employee overtime for work done over the time allotted in the normal work week, an employee’s department can allow one hour and a half of time off for each hour of overtime worked. This time may be used in emergencies, or scheduled and approved for personal use.

Comp time should not be confused with flexible working arrangements (including “flextime”) that allow employees to work a schedule with variable arrival, departure and/or lunch times ([see Flexwork Arrangements, Policy 8.65](#)). Flexible working arrangements (or “flexwork arrangements”), if approved, allow the Institute to enable employees to serve customers, meet Institute and departmental goals, and balance personal and professional responsibilities. Comp time strictly refers to compensation for overtime worked.

Supervisors, with departmental approval, may grant comp time instead of overtime pay to non-exempt employees. The choice of comp time must be made in advance and documented by an agreement between the supervisor and employee. (LINK to FORM.) Approved comp time is subject to a two hundred and forty (240)-hour maximum accumulation. Employees are required to use accrued comp time prior to using other earned/acrued leave.

Employees who have reached the comp time maximum must receive a cash payment for any additional overtime. Additionally, all comp time balances on record as of the last full pay period of the fiscal year must be paid out as well. Such payment shall be at the employee’s regular earnings rate at the time the payment is made.

Employees terminating from the Institution or transferring to a new department or other USG institution will receive a comp time payoff from the department in which they earned the compensatory time. The payoff will be calculated based on the employee's current rate of pay.

An employee’s request to use their comp time earned is approved utilizing the same process used for vacation.

### Pay for All Time Worked

Institute policy and practice is to accurately compensate employees in compliance with state and federal laws. If an overtime eligible employee works more than forty (40) hours in a workweek, he or she will receive additional pay (or comp time as previously agreed upon with his or her supervisor). To ensure that employees are paid properly for all time worked, an overtime eligible employee must record correctly all work time and review his or her pay records to promptly identify and report errors. Employees also must not engage in off-the-clock or unrecorded work.

To Report Violations of This Policy, Communicate Concerns, or Obtain More Information

It is a violation of Institute policy for any employee, including management, to falsify a time record. It is also a serious violation of Institute policy for any employee or manager to instruct another employee to incorrectly or falsely report hours worked or alter another employee's time record to under- or over-report hours worked.

**Employees are prohibited from committing the following actions: (1) incorrectly or falsely under- or over-reporting hours worked, (2) altering another employee's time record(s) to inaccurately or falsely reporting that employee's hours worked, or (3) concealing any falsification of time records. If any employee is instructed or encouraged to violate this policy, he or she should report it immediately to the Sr. Director, HRBPs and Employee Relations or may submit his or her concern on an anonymous (or otherwise) basis through the Ethicspoint system at <http://www.ethicspoint.com> or call 1.866.294.5565.**

Non-exempt employees should not work any hours outside of their scheduled work day unless their supervisor has authorized the unscheduled work in advance. Employees should not start work early, finish work late, work during a meal break or perform any other extra or overtime work unless authorized to do so and that time is recorded. Employees are prohibited from performing any "off-the-clock" work. "Off-the-clock" work means work performed but not recorded as time worked. Any employee who fails to report or inaccurately reports any hours worked will be subject to disciplinary action, up to and including discharge.

An employee with questions about pay deductions or the accuracy of his or her pay record should contact his or her supervisor immediately. If the employee's supervisor is not available or the employee believes it would be inappropriate to contact that person (or if the employee has not received a prompt and fully acceptable reply within three business days), the employee should contact the Sr. Director, HRBPs and Employee Relations or may submit his or her concern on an anonymous (or otherwise) basis through the Ethicspoint system at <http://www.ethicspoint.com> or call 1.866.294.5565.

Every report will be fully investigated and corrective action will be taken, up to and including discharge of any employee(s) who violates this policy.

In addition, the Institute will not allow any form of retaliation against individuals who report alleged violations of this policy or who cooperate in the Institute's investigation of such reports. Any form of retaliation in violation of this policy will result in disciplinary action, up to and including discharge.

### **Minimum Wage**

Effective July 24, 2009, the FLSA [requires a minimum wage of \\$7.25 per hour](#) to be paid to all employees covered under the Act.

### **Child Labor**

The FLSA prohibits the employment of children of certain ages and in certain hazardous occupations. It also establishes certain hours during which children may or may not work.

### **Exceptions to Policy**

The policy outlined above applies to all units of the Institute. Any exceptions to policy must be approved by the AVP of Human Resources. Questions about the policy's administration can be directed to your Human Resources Representative/Contact.

**Frequently Asked Questions:** [Fair Labor Standards Act \(FLSA\) Frequently Asked Questions Enforcement:](#)

Description of potential repercussions for those within policy scope who are found in violation of the policy. [\\_As much as possible, there should be a prescribed set of consequences for the various types and frequency of noncompliance that may occur.](#)

*Optional:* To report suspected instances of noncompliance with this policy, please visit Georgia Tech's *EthicsPoint*, a secure and confidential reporting system, at: [https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=7508](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7508)

**Related Information:**

- [Ethics](#)
- [Institute Ethics](#)
- [USG Fair Labor Standards Act](#)
- [USG Classification, Compensation, and Payroll](#)
- [Fair Labor Standards Act](#)
- [Fair Labor Standards Act Leave](#)

**Policy History:**

Revision Date	Author	Description
October 2016	Human Resources	Revisions to procedures
March 2017	Human Resources	New Policy

**General Work Rules**

**Policy No:** 5.9

**Type of Policy:** Administrative

**Effective Date:** May 2006

**Last Revised:** Jun 2015

**Review Date:** Sep 2019

**Policy Owner:** Human Resources

**Contact Name:** Thomas Vance

**Contact Title:** Strategic Performance Consultant

**Contact Email:** thomas.vance@ohr.gatech.edu

**Policy Statement:**

It is important that each employee's conduct and performance support and promote Institute and department goals. Review the following rules to serve as a guide in achieving these goals:

**Major Rule Violations**

Major offenses include any willful, deliberate violation of Institute or safety rules of such a degree that continued employment of the individual may not be desirable. The following are examples of some offenses that may subject an employee to immediate discharge without warning:

1. Any negligent act that might endanger the safety or lives of others or that might result in damage to or destruction of Institute property.
2. Insubordination or refusal to perform work assignments properly.
3. Willful, deliberate, or repeated violations of safety rules.
4. Willfully falsifying any Institution records.
5. Leaving Georgia Tech premises during working hours without permission of a supervisor.
6. Deliberately abusing, destroying, damaging, or defacing Institute property or the property of others on Georgia Tech premises.

7. Gambling, possession or use of liquor or narcotics, or the unlawful possession of firearms or other dangerous weapons on Institute premises.
8. Fighting on Georgia Tech premises.
9. Failure to return to work on expiration of vacation or leave of absence.
10. Disclosure of confidential Institute information to unauthorized persons.
11. Taking Institute or other employee's property for one's own use.
12. Repeated failure to meet financial obligations.
13. Sexual misconduct.
14. Failure to cooperate fully in an authorized internal investigation.

**Minor Rule**

Rule violations of a minor nature include violations that may affect the continuity, efficiency of safety or work and will not be tolerated if repeated. Minor rule violations may result in either verbal or written warnings to the employee; however, repeated violations could lead to suspension and possibly termination. The following are examples of minor rule violations that may result in either verbal or written warnings to the employee:

1. Excessive tardiness or absenteeism.
2. Failure to notify the supervisor within the first two hours after start of shift on first day of absence.
3. Failure to observe department working-hour schedules.
4. Unsatisfactory work performance.
5. Loafing or other abuse of time during assigned working hours.
6. Interfering with another employee's performance of duties.
7. Leaving regularly assigned work location without notifying the immediate supervisor (personal needs excepted).
8. Performing unauthorized personal work on Georgia Tech time.
9. Defacing bulletin boards or notices posted thereon.
10. Minor violations of safety rules.
11. Using Institute resources for personal work.
12. Using any tobacco product anywhere on the Institute's property as prohibited by the Board of Regents' Tobacco and Smoke-Free Campus Policy.

**The above lists are not intended to be all inclusive.**

Georgia is an employment at will state. Cause is not necessary to terminate employment.

**Hiring****Benefits Orientation and NH Orientation**

**Policy No:** 8.39

**Type of Policy:** Administrative

**Effective Date:** Feb 2006

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

Georgia Tech offers a two-part orientation for new employees. The Office of Human Resources provides a Benefits



Orientation for new employees, while the Office of Organizational Development provides a general New Employee Orientation. It is beneficial for new employees to attend both orientation events.

### **Benefits Orientation**

During this orientation the Office of Human Resources explains benefits options. The employee will complete essential benefits paperwork to enroll in selected insurance programs and other related benefits documents. The Benefits Department at (404) 894-1417 should be contacted immediately if a new employee is unable to attend the benefit orientation program. Employees must enroll in the Institute's group insurance products within 30 days of their employment.

### **New Employee Orientation**

The Office of Organizational Development offers general New Employee Orientation monthly. To best become oriented to a new organization it is critical to understand its traditions, history, future plans, and organizational culture. It is also imperative to be familiar with the organizational structure and how one's department fits into the structure as a whole. In addition to these components, the orientation includes a short walking tour and a bus tour of the campus. An information overview is provided about key campus departments.

### **Procedures:**

On the employee's first day of employment, he/she should visit the Office of Human Resources to complete tax and employment forms. The Benefits Department schedules new employees for the benefits orientation. The Benefits Department will provide a "new employee packet" containing essential information. Employees schedule the new employee orientation with the Office of Organizational Development at (404) 894-1146.

Note: These orientation programs are not designed to replace specific department orientation programs. Each department is encouraged to continue to acquaint their new employees with their work areas, departmental organization, and specific job responsibilities, etc.

Questions concerning scheduling of employees for the orientation programs should be directed to the Benefits Department, (404) 894-1417.

Questions concerning the content of the general orientation should be directed to the Office of Organizational Development, (404) 894-1146.

### **Classified Personnel**

**Policy No:** 8.7

**Type of Policy:** Administrative

**Effective Date:** Feb 2005

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Charvette Webb

**Contact Title:** Talent Acquisition Manager

**Contact Email:** charvette.webb@ohr.gatech.edu

### **Policy Statement:**

When a new position is created or when an authorized position becomes vacant, a Job Requisition Form must be completed by the appropriate department and sent to the Compensation or Talent Acquisition, respectively, when ready to fill. The Job Requisition Form is also accessible through the OHR website: [www.ohr.gatech.edu](http://www.ohr.gatech.edu) in the



'Downloaded Forms' section.

### **Procedures: Job Requisition**

Departments who wish to fill a vacant position must complete and submit to OHR/Compensation a Job Requisition Form. The Job Requisition Form should be filled out completely. The hiring range (minimum to midpoint) should be documented and any unusual hours should be noted such as overtime or shift work. You must document on the job announcement if applicant testing (drug, background, credit or skills test) is required. The description of duties and requirements must be stated in specific terms, not in the broad sense such as those in the Board of Regents description. A careful distinction should be made between basic qualifications (an absolute necessity to adequately perform the job) and preferred qualifications (that which would enhance ones job performance beyond the minimum).

Compensation will write a brief summary of the vacant position (to include duties, education, experience and hiring range). When the announcement has been advertised, Compensation should be informed immediately if editing is required.

### **Physical Requirements**

Under the Physical Requirements section of the Job Requisition Form, the essential job functions must be listed, such as prolonged standing, bending, reaching, walking, weight lifting, etc.

### **Job Bulletin**

For new positions, after the job requisition has been reviewed, edited and approved by Compensation, it is sent to the department for submission to Talent Acquisition and assigned to a Recruiting Consultant. The advertising process then begins. The job bulletin is updated daily and may be accessed in the Office of Human Resources receptionist area or on the OHR website: [www.ohr.gatech.edu](http://www.ohr.gatech.edu). Jobs may be added and deleted from the job bulletin daily.

### **The Bulletin Process**

The posting date is not restricted to Monday through Friday. It may begin any day of the week. A position can be posted one of three ways:

#### **External**

Requires the job to be posted on the Georgia Tech website for a minimum of five business days (external and internal applicants may apply).

#### **Internal**

Requires the job to be posted on the Georgia Tech website for a minimum of five business days (only internal applicants may apply).

#### **Departmental**

Must be placed in a conspicuous place within the hiring department for a minimum of five days (only employees within the department may apply, including students and Tech Temps).

**Normally, a job is first posted internal to the department unless another posting option is requested or if a position is underutilized. If a position is underutilized for females or minorities it is required to be posted**

**external a minimum of five business days. The hiring manager may request an exception, by separate correspondence, through the Talent Acquisition, to the Employee Relations Services (ERS) Director. Talent Acquisition will communicate to the hiring manager, the status of the exception ASAP. Exceptions should include bonafide job related reasons. If you are considering a minority for the vacant position an exception may be given.**

If the position is underutilized Talent Acquisition will advise the hiring manager to make a good faith effort to ensure a diverse pool of applicants. Talent Acquisition will discuss outreach activities with the hiring manager.

Talent Acquisition will contact Employee Relations Services and advise of the underutilization and recruiting strategy. During this period, no resumes will be referred to the hiring manager.

ERS will review the applicant pool weekly and determine within the second week of posting, if the applicant pool is diverse. If the applicant pool is not approved, Talent Acquisition will notify the hiring manager that resumes cannot be referred until additional good faith efforts are made. This process continues until a diverse applicant pool is established or a reasonable effort has been made to attract a diverse applicant pool.

When ERS approves a diverse pool of applicants Talent Acquisition is given permission to proceed with forwarding all qualified resumes to the hiring manager.

The hiring manager is also encouraged to utilize a diverse selection team or committee (2 or more employees, preferably including women and/or minorities) in the hiring process.

### **Newspaper Advertising**

OHR assists in the preparation/composition of ads. The hiring manager may write the ad; however, Talent Acquisition must review the copy for ERS and University policy compliance. Advertisements should always include the phrase "GT is an EEO/AA Employer". All ads must be consistent, specifically the requirements and education with the verbiage listed on the Georgia Tech job bulletin.

Billing information is required so that the cost of the ad is billed to the requesting department. Talent Acquisition will provide the hiring manager a draft of the ad to include the estimated cost for review and approval. All ads are billed to the specific department therefore a Project Number is required. Some publications will accept credit cards.

### **Applications**

Each individual who wishes to be considered for employment with Georgia Tech must submit an application online. The address for the online application is <http://www.careers.gatech.edu/>. The responsibility of ensuring that an application is submitted is that of the applicant.

Georgia Tech Employees must remain in their position for one year. Should an exception be requested the employee must receive permission from their supervisor and the Office of Human Resources. An employee is eligible to apply for a vacant position within their department at any time.

### **Recruiting Efforts**

Many people of their own initiative apply for positions, including current employees seeking transfers and/or promotions. In addition, OHR makes every effort to recruit qualified applicants. Recruiting takes many forms - advertising, visiting high schools, technical/trade schools, business colleges and other universities, job fairs, internet recruiting, websites, and contacting various government agencies such as the Department of Labor and Vocational Rehabilitation. A concerted effort is made to follow-up on persons referred through recruiting endeavors. As an equal

opportunity employer, special efforts are made to invite minorities, female, and disabled individuals to apply.

The recruitment process is automated through our web-based system. The hiring process takes place online for applicants, departments and OHR. Applicants search and apply for jobs online. They may also track the status of jobs applied for as well as receive email notification after applying for jobs. All profiles are kept active for one year and can be updated as needed. Applicants are encouraged to review the job bulletin frequently and reapply for new openings.

### **Department Contact**

A web-based system allows Talent Acquisition and the Hiring department to complete the classified hiring process via the internet. Managers are provided a user-name and password to retrieve resumes. You may contact a Recruiting Consultant if user-name/password is lost or misplaced.

The Office of Human Resources makes a concerted and conscientious effort to give each job opening personal attention. Open lines of communication are encouraged between OHR and each department on campus.

During the interview process, the Recruiting Consultant appreciates “feedback” on the quality of the applicants referred so that future screening will reflect better applicants. All applicants who meet the minimum requirements are referred to the hiring manager. Hiring managers are encouraged to screen applicants regarding preferred skills.

### **Resumes reviewed by the Recruiting Consultant**

The Recruiting Consultant will review your job every other day and daily when feasible. The hiring manager may at any time review the “Referred Applicants” list to see if additional resumes have been referred. Each applicant status may be updated by indicating if the applicant will be interviewed. It may be more applicable to view all applicants first and then make a decision on who you will interview when the position has been placed on hold. Please keep in mind when a decision has been made it can only be revised by your HR Representative.

The hiring manager must provide job related reasons for selection/non-selection in the comment section provided for all referred applicants. When the final candidate is chosen, you should immediately request approval for the position. Your request is forward to your HR Rep for review and approval and then forward to the Consultant for final approval. A written email will be forwarded to the hiring manager when the position has been approved by Talent Acquisition. If there are concerns regarding the selection process the Human Resources Representative (HR Rep) will be notified.

**Note:** If the recommended salary exceeds the midpoint you must submit an exception letter to the Director, Compensation, and Administrator for review and approval. An official offer should **not** be made until approval is received from OHR.

### **References**

References are required for external applicants only. We request that you submit at least two written references in the database or via mail.

### **Drug Testing**

Applicants who are chosen for positions that require drug testing for safety sensitive positions will be informed by the appropriate hiring manager. Offers should not be made until drug testing results have been provided to the hiring manager(s).

**Intrasystem Recruitment****Policy No:** 8.27**Type of Policy:** Administrative**Effective Date:** Jan 1985**Last Revised:** Feb 2014**Review Date:** Feb 2019**Policy Owner:** Human Resources**Contact Name:** David Bamburowski**Contact Title:** Director of Faculty Affairs**Contact Email:** david.bamburowski@provost.gatech.edu**Policy Statement:**

Quoted below is the Regents' policy on inter-institutional employment:

**Faculty Members**

"It is recognized as a good practice for USG institutions to employ principal administrators and faculty members from other USG institutions. When a president wishes to consider for employment a principal administrator or faculty member of another USG institution, he/she shall notify the president of the employing institution before an offer is made to the principal administrator or faculty member. When a formal offer is made, the letter shall include a statement to the effect that acceptance can be made only after all contractual obligations have been fulfilled."

**Transfer for Classified Personnel**

The Office of Human Resources should be contacted in cases of transfer for classified personnel.

**Pre-Employment Screening****Policy No:** 8.1**Type of Policy:** Administrative**Last Revised:** Feb 2014**Review Date:** Feb 2019**Policy Owner:** Human Resources**Contact Name:** Charvette Webb**Contact Title:** Talent Acquisition Manager**Contact Email:** charvette.webb@ohr.gatech.edu**Reason for Policy:**

This policy establishes a process and guidelines for evaluating an applicant's past record as part of the decision on whether or not to offer/continue employment.

**Policy Statement:**

It shall be a condition of employment with the Georgia Institute of Technology to submit to a Background Investigation.

**Scope:****Entities Affected By This Policy**

This policy applies to all units and employees within Georgia Tech.

**Who Should Read This Policy**

Each member of Georgia Tech should be aware of this Policy.

**Policy Terms:****Board of Regents**

The governing body of the University System of Georgia

**Background Investigation**

An investigation may be comprised of one or more of the following checks:

- Criminal History Search – includes social security number trace (to verify identity), a federal and state criminal history search, a multi-state sex offender search, and an OFAC watch list scan (used to find name matches with multiple state and federal terrorist watch list databases)
- Academic/Education Credentials Confirmation – A confirmation of academic/education credentials (highest degree obtained) will be required for all faculty and classified positions which require a post-secondary education degree
- Credit History – A credit history check is required for positions of trust or those with access to or responsibility for money/cash and/or a Purchase Card
- Driving History Search – Positions requiring a valid driver's license will require a driving history search and review of the applicant's motor vehicle report
- Substance Abuse Screening – Safety sensitive positions will require a pre-employment substance abuse screening (see HR Policy 5.6)

**Background Investigation Committee (BIC)**

The administrative committee charged with determining an applicant's suitability for hire when the results of the background investigation are questionable.

**Consent Form**

A form authorizing the Institute to conduct a background check. All employment finalists and promotion candidates at the Institute are required to sign a Background Disclosure & Authorization Form to be considered for employment with the Institute.

**Consumer/Credit Reporting Agency (CRA)**

An entity that collects and disseminates information about consumers to be used for credit evaluation and certain other purposes, including employment background investigations.

**Hiring Department**

The department hiring a new employee (whether internally or externally), or promoting an existing employee.

**Talent Acquisition**

The Institute's employment office that handles job postings and manages the applicant process for new hires/rehires/transfers at the Institute.

**Position of Trust**

Positions of trust are those that involve interaction with children, master access to facilities, access to financial resources, including but not limited to cash handling and Purchase Cards, delivery of patient care and have access to patient information or that have been otherwise so identified by the Institute.

**Moral Turpitude**

Georgia law defines crimes of moral turpitude.

**Procedures:**

The Institute will perform background investigations on regular full time and part-time new hires and rehires, as well as temporary, non-student hires. Offers of employment shall be conditional pending the result of the Background Investigation, which shall include, at a minimum, the following:

- A state and federal criminal history check covering a minimum of seven (7) years;
- A nationwide sex offender search;
- A social security number check;
- An educational/academic credentials check for all positions (classified and faculty) which require a post-secondary education degree; and
- Office of Foreign Asset Control (OFAC) check Offers of employment for Positions of Trust may be conditional pending the result of a state and federal criminal history check covering more than the minimum of seven (7) years.

A Background Investigation shall also be performed on any existing employee being transferred, reassigned, reclassified or promoted to a new position unless a Background Investigation conforming to this policy has been performed on such employee within the past year. Any existing employee who is transferred, reassigned, reclassified or promoted into a position requiring a Purchase Card ('P-Card'), when they have not been assigned a P-Card previously, must submit to a credit check. It is the policy of the Institute to check the credit history of any individual applying for a position with access to, or responsibility for, financial resources, including, but not limited to, cash handling and P-Cards.

**Petition for Waiver of a Background Investigation**

The hiring department may submit a formal request for a waiver of a Background Investigation. Instances where a waiver may be considered include, but are not limited to; a foreign national applicant's first time entry into the United States with no record of being issued a U.S. social security number and/or demonstration of recently passing screening conducted by an appropriate authority other than Georgia Tech's CRA (for example a valid U.S. government security clearance).

All petitions for waiver of a Background Investigation must be submitted on departmental letterhead specifically describing the facts justifying the waiver. Waiver requests will not be considered unless they are approved by the appropriate hiring department official and Talent Acquisition/Office of Human Resources ('OHR'). Hiring departments requesting a waiver are responsible for providing and/or maintaining documentation supporting such a request. All approved petitions will become part of the applicant's permanent personnel file in OHR.

**Guidelines for Determining Employment Eligibility for Applicants with Criminal History**

Only criminal convictions may be considered when determining an applicant's eligibility for a specific position or employment as a whole. Detention and/or arrest without conviction do not constitute valid grounds for adverse employment decisions and do not play a part in the decision-making process. If an individual has a criminal case pending, his or her suitability for employment will be reviewed upon disposition of the case. Nevertheless, it may be necessary for the Institute to move forward in the hiring process to satisfy its employment needs. The Institute will make this determination on a case-by-case basis.

1. Conviction of a criminal drug offense shall disqualify an individual for employment with the Institute.

1. The first conviction shall disqualify a person for not less than two (2) years.
2. Any person who has been convicted of a second or subsequent criminal drug offense shall be ineligible for employment or re-employment for a period of five (5) years from the most recent date of conviction.
2. Felony convictions and convictions of crimes of moral turpitude automatically disqualify an individual for employment with the Institute in a position of trust.
3. Failing to disclose a criminal conviction history where requested in employment application materials will disqualify an applicant for employment with the Institute.
4. When determining whether an applicant with disclosed criminal convictions is eligible for employment or promotion, the BIC will consider the specific responsibilities of the position for which the applicant is being considered, the nature, number and gravity of crimes for which the applicant was convicted and the amount of time that has passed since the conviction. A determination of ineligibility for a specific position as the result of a criminal conviction does not necessarily mean that an individual is ineligible for all employment with the Institute and each such determination will be made on a case-by-case basis.

#### Guidelines for Determining Eligibility for Employment, Procurement Card (PCard), or Continued Employment When Verifying Credit History

The following are guidelines for the Institute to interpret the information obtained in the credit report for each applicant and/or existing employee.

1. Student loans currently in default and bankruptcies should be considered bad credit. However, a bankruptcy followed by good credit established after filing, indicates an attempt to rectify past credit problems and may be considered acceptable if the bankruptcy occurred more than three (3) years ago.
2. One or more unpaid collections and judgments are considered to be bad credit. Collections and judgments appear under "Public Records." Collections and judgments can be paid, marked paid or satisfied but will not be removed from the credit report for seven (7) years. If collections and judgments have been paid and all other credit is satisfactory, the Institute may approve, at their discretion.
3. Mitigating factors regarding an applicant's credit report, such as hardships and disputes with creditors, will be considered by the Institute upon submission of objective written evidence, as long as the evidence presented, in the sole opinion of the Institute, represents reliable evidence beyond the applicant's control.
4. It is not the responsibility of the Institute to discover research or verify that there are possible mitigating factors. The burden of proof to present mitigating factors rests entirely with the applicant. If the applicant fails to respond in a timely manner to remove or clarify the disqualifying information the hiring manager may proceed with the hiring process and select another applicant.
5. A determination of ineligibility for a specific position based upon an individual's credit report results does not necessarily mean that the individual is ineligible for all employment with the Institute. Each such determination will be made on a case-by-case basis.

#### Process for Conducting a Background Investigation

Notice should be included in all job postings that finalists will be required to submit to a Background Investigation.

No Background Investigation will be conducted without the written consent of the applicant. Talent Acquisition/OHR is responsible for ensuring that an appropriate Background Disclosure & Authorization Form ('consent form'), as required by the Fair Credit Reporting Act (FCRA), is completed. Refusal to sign a consent form at any juncture of the application process will eliminate that applicant from further consideration for employment.

Talent Acquisition/OHR shall provide the Hiring Department all required employment paperwork, including the consent form, to be given to the final applicant. If an existing employee applies for a promotion, the Institute shall obtain the employee's consent prior to initiating a Background Investigation. The employee will undergo a Background



Investigation if it has been a year or more since the Institute's last Background Investigation of the employee. A conditional offer of employment/promotion may be made at this time.

**Important: All written contingent offers of employment must include the following statement: "This offer of employment is contingent upon completion of a background investigation including: (1) a criminal background check demonstrating your eligibility for employment with the Georgia Institute of Technology, as determined by the Institute in its sole discretion, (2) confirmation of your credentials and (3) if applicable, other necessary employment checks."**

Upon receipt of a signed consent form and a Background Information Form from the Hiring Department's applicant and a Background Investigation Request Form from the Hiring Department, Talent Acquisition/OHR will initiate the Background Investigation. If the top applicant is not hired for the involved position (e.g., criminal conviction precludes hiring, other criminal convictions render applicant ineligible for the specific position, applicant does not accept the job offer, etc.), the Hiring Department may select another applicant for the position. Once the appropriate forms for the next selected applicant are received by Talent Acquisition/OHR, Talent Acquisition/OHR will initiate the Background Investigation.

Discovery, at any time, of false, incomplete, or misleading information on a resume, application, or any other official document or in statements made during an interview, will result in disqualification for and/or termination of employment. Conviction of a criminal drug offense shall disqualify an applicant for not less than two (2) years. Any applicant who has been convicted of a second or subsequent criminal drug offense shall be ineligible for employment or re-employment for a period of five (5) years from the most recent date of conviction.

If an applicant is a current employee and the background investigation report reveals adverse information which constitutes grounds for termination, OHR will initiate the appropriate termination procedure. OHR's Employee Relations unit will draft a formal letter to the employee notifying him/her of the circumstances. The formal letter will include the rationale for the actions taken and information regarding the employee's option to contest the accuracy of his/her background investigation report. The employee will be given an appropriate and reasonable amount of time to contest the accuracy of his/her background investigation report before formal termination is initiated.

How Criminal Background Investigation Information is Processed:

Background Investigation reports are submitted directly to Talent Acquisition/OHR by the CRA conducting the investigation. The BIC is responsible for determining the eligibility of the selected applicant for employment with the Institute. Talent Acquisition/OHR should notify the Hiring Department of this determination. The BIC makes its decision about the selected applicant's eligibility as follows:

1. **The Background Investigation report shows no convictions:** the selected applicant is eligible for employment.
2. **The Background Investigation report shows one or more felony convictions or conviction of one or more crimes of moral turpitude and the applicant is applying for a position of trust:** the selected applicant is ineligible for employment with the Institute in a position of trust. Prior to making this final determination, Talent Acquisition/OHR must give a pre-adverse action disclosure to the applicant.
  - This pre-adverse action disclosure must include a copy of the applicant's Background Investigation report, together with the name, address and telephone number of the CRA that conducted the Background Investigation, and information on how to dispute information in the report. A copy of "A Summary of Your Rights under the Fair Credit Reporting Act" must also be provided to the applicant.
  - The applicant must be given an opportunity (a minimum of three business days) to provide an explanation in writing of the circumstances surrounding the results of the background investigation, including any mitigating factors, and have this explanation considered prior to the finalization of the



hiring decision. It is not the responsibility of the Institute to discover research or verify that there are possible mitigating factors. The burden of presenting mitigating factors rests entirely with the applicant.

- If the applicant fails to respond in a timely manner to remove or clarify the disqualifying information, the hiring manager may proceed with the hiring process and select another applicant.
- If the applicant successfully shows that s/he has no felony convictions or convictions of crimes of moral turpitude, then the applicant shall be eligible for employment in a position of trust. Talent Acquisition/OHR will notify the Hiring Department of this determination.
- If the applicant is unsuccessful in showing no felony convictions or convictions of crimes of moral turpitude, then the applicant is ineligible for employment in a position of trust. An adverse action notice must then be sent to the applicant. This notice must include:

1. the name, address and telephone number of the CRA that supplied the Background Investigation report;
2. a statement that the CRA that supplied the Background Investigation report did not make the decision to take the adverse action and cannot give specific reasons for it; and
3. a notice of the individual's right to dispute the accuracy and completeness of any information the CRA furnished in the Background Investigation report and the right of the individual to obtain an additional free report from the CRA upon request within sixty days.

**3. The Background Investigation report shows one or more criminal convictions or conviction of one or more crimes of moral turpitude and the applicant is not applying for a position of trust:**

**1. If the criminal convictions were all disclosed by the selected applicant in the application materials,** the BIC will determine whether the applicant is eligible for the involved position based on the job description and the nature of the crimes of which the applicant was convicted.

1. If the BIC determines the applicant is eligible, Talent Acquisition/OHR will so notify the Hiring Department.
2. If the BIC determines the applicant is not eligible, then prior to making this final determination, Talent Acquisition/OHR must give a pre-adverse action disclosure to the applicant.
  - This pre-adverse action disclosure must include a copy of the applicant's Background Investigation report, together with the name, address and telephone number of the CRA that conducted the Background Investigation, and information on how to dispute information in the report. A copy of "A Summary of Your Rights under the Fair Credit Reporting Act" must also be provided to the applicant.
  - The applicant must be given an opportunity (a minimum of three business days) to provide an explanation in writing of the circumstances surrounding the results of the background investigation, including any mitigating factors, and have this explanation considered prior to the finalization of the hiring decision. It is not the responsibility of the Institute to discover research or verify that there are possible mitigating factors. The burden of proof to present mitigating factors rests entirely with the applicant. If the applicant fails to respond in a timely manner to remove or clarify the disqualifying information the hiring manager may proceed with the hiring process and select another applicant.
  - If the applicant successfully shows that s/he does not have the criminal convictions that led the BIC to determine that the applicant was ineligible for employment, then the applicant shall be eligible for employment. Talent Acquisition/OHR will notify the Hiring Department of this determination.
  - If the applicant is unsuccessful in showing that s/he does not have the criminal convictions that led the BIC to determine that the applicant was ineligible for employment, then the applicant is ineligible for employment. An adverse action notice must then be sent to the applicant. This notice must include:

1. the name, address and telephone number of the CRA that supplied the Background Investigation report;
2. a statement that the CRA that supplied the Background Investigation report did not make the decision to take the adverse action and cannot give specific reasons for it; and
3. a notice of the individual's right to dispute the accuracy and completeness of any information the CRA furnished in the Background Investigation report and the right of the individual to obtain an additional free report from the CRA upon request within sixty days.

**2. If the criminal convictions were not disclosed by the selected applicant in the application materials,** Talent Acquisition/OHR will notify the applicant in writing that the Background Investigation revealed criminal convictions not disclosed in his/her application materials and that s/he will be removed from consideration for the involved position due to misrepresentation and falsifying application materials unless s/he contacts Talent Acquisition/OHR and corrects any inaccuracies contained in the report within a minimum of three (3) business days. This notification will be accompanied by a pre-adverse action disclosure.

1. The pre-adverse disclosure must include a copy of the applicant's Background Investigation report, together with the name, address and telephone number of the CRA that conducted the Background Investigation, and information on how to dispute the information in the report. A copy of "*A Summary of Your Rights Under the Fair Credit Reporting Act*" must also be provided to the applicant.
2. The applicant must be given an opportunity (a minimum of three business days) to provide an explanation in writing of the circumstances surrounding the results of the background investigation, including any mitigating factors, and have this explanation considered prior to the finalization of the hiring decision. It is not the responsibility of the Institute to discover research or verify that there are possible mitigating factors. The burden of presenting mitigating factors rests entirely with the applicant. If the applicant fails to respond in a timely manner to remove or clarify the disqualifying information the hiring manager may proceed with the hiring process and select another applicant.
3. If the applicant successfully shows that s/he has no criminal convictions, then the applicant shall be eligible for employment. Talent Acquisition/OHR will notify the Hiring Department of this determination.
4. If the applicant is unsuccessful in showing no criminal convictions, then the applicant is ineligible for employment due to misrepresentation and falsifying application materials. An adverse action notice must then be sent to the applicant. This notice must include:

1. the name, address and telephone number of the CRA that supplied the Background Investigation report;
2. a statement that the CRA that supplied the Background Investigation report did not make the decision to take the adverse action and cannot give specific reasons for it; and
3. a notice of the individual's right to dispute the accuracy and completeness of any information the CRA furnished in the Background Investigation report and the right of the individual to obtain an additional free report from the CRA upon request within sixty days.

## Credit Checks

If the BIC determines that the applicant or employee fails to meet credit screening criteria, Talent Acquisition/OHR must give a pre-adverse action disclosure notice to the applicant. The notification must include the following:

1. The name, address and telephone number of the CRA (including a toll-free telephone number, if it is a nationwide CRA) that provided the report.
2. A statement that the CRA did not make the adverse decision and is not able to explain why the decision was made.
3. A statement setting forth the applicant's right to obtain a free disclosure of the applicant's file from the CRA if the applicant makes a request within sixty (60) days.
4. A statement setting forth the applicant's right to dispute directly with the CRA the accuracy or completeness of any information provided by the CRA.

**Maintenance of Background Investigation Reports**

Background investigation reports obtained on new or existing employees shall be delivered directly to Talent Acquisition/OHR by the CRA performing the investigation. The report will remain with Talent Acquisition/OHR until the determination on employment or promotion eligibility has been made and then stored separate from the employee's OHR personnel file. Talent Acquisition/OHR shall place a certification in the employee's personnel file stating the date the report was obtained, the name of the person who reviewed the report and a statement that the report showed that the employee was or was not eligible for employment or promotion. Reports on all non-successful applicants for employment and applicants for promotion must be destroyed in accordance with the University System of Georgia ('USG') record retention guidelines.

The background report itself is not provided to nor maintained by the Hiring Unit. Except as may be required by law, Talent Acquisition/OHR shall not release the background reports to any person or entity except to members of the BIC for purposes of determining employment eligibility. Consent forms for Background Investigations shall be placed in the personnel file of the employee and maintained in accordance with USG Record Retention Guidelines.

**Form Links:** [Background Check Forms](#)

**Responsibilities:**

The responsibilities each party has in connection with the Background Investigation Policy are:

Party	Responsibility
AVP-OHR & Employee Relations	Ensure compliance with policy.
Legal Affairs	Offer assistance with policy interpretation.
OHR Talent Acquisition	Offer assistance with policy interpretation.

**Testing - Classified Personnel**

**Policy No:** 8.63

**Type of Policy:** Administrative

**Effective Date:** Jun 2005

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Charvette Webb

**Contact Title:** Talent Acquisition Manager

**Contact Email:** charvette.webb@ohr.gatech.edu

**Policy Statement:**

Georgia Tech provides equal opportunity with respect to all employment practices including employment testing. The Office of Human Resources is the sole authority in administering software skills tests to measure a candidate's ability to perform certain essential functions of a position.

**Procedures:****General Testing**

Candidates may be asked to demonstrate job-related skills or provide work examples to assist hiring supervisors in their evaluation of a candidate's qualifications. All similarly qualified candidates for a position must be given the same opportunity. All selected tests must be job-related and supported by the position description. Testing for specific positions must be included in the job announcement.

**Disabled Candidates**

An individual with a known disability, which prevents him/her from taking the test or performing the demonstration of a skill, may request an accommodation. Reasonable accommodations may include, but are not limited to, modification of the methods for providing testing, use of adaptive equipment or aids, etc. Hiring supervisors who know of a candidate's disability or receive a request for accommodation in testing should contact the Office of Human Resources/Disability Services at (404) 894-3344.

**Job Openings Subject to Testing**

Tests currently administered by OHR consist of office automation software, clerical skills, data entry skills and speed typing. Job openings that necessitate applicant testing are those positions requiring the use of personal computer skills in word processing, database, spreadsheet and/or presentation graphics applications and/or the demonstration of certain office support skills. Such positions include all secretarial, clerical and administrative assistant classifications as well as many accounting and technical positions.

**Cost for Test Administration**

The current cost for each software test administered by OHR is \$25.00. OHR will use the P. O. # listed on the Applicant Testing Request to transfer funds from the requesting department.

**Applicant Testing Request**

The hiring manager will specify the test(s) to be administered when the Job Requisition is submitted to the OHR/Compensation Administration Office. A copy of the web based [Qwiz Online Assessment tests](#) is included in this policy. Upon reviewing the assessment list, complete the [Applicant Testing Request Form](#) . The Applicant Testing Request form must accompany the Job Requisition submitted to Compensation Administration to initiate the hiring process.

The basis for test selection will be the software a successful candidate will be expected to use on an ongoing basis as an essential job function or the clerical skills that must be demonstrated.

**Selection of Applicants for Testing**

Following review of applications and/or resumes, the hiring contact will select those candidates whose qualifications appear best matched to the job requirements. The Employment Specialist assigned to the position will coordinate with the hiring contact to make arrangements to schedule testing. The average time frame for each test is 20-30 minutes.

**Test Administration**

At the scheduled time, the Testing Administrator (OHR second floor) will greet the candidate(s), introduce him or her to the testing process, and bring up applicable software test on the PC in the testing station. Once testing is completed,

the system will automatically send the test results via email to the appropriate Employment Specialist. The Employment Specialist will then forward scores to the hiring contact. OHR will maintain files on all tests administered.

### **Test Score Standards**

Several factors are involved in the selection process. In those cases where testing is applicable, the resulting test scores would certainly be one of the factors. However, test scores alone should not indicate whether or not an applicant should be hired. Other factors such as length of service, type of experience, interpersonal skills, etc. should also be considered. During evaluation of a candidate's test scores, it is often helpful to have a point of reference for purposes of comparison. When the hiring contact receives test scores, also included will be the Qwiz campus average for those who have taken the same test; and, the national average from Qwiz.

#### **Related Documents:**

[Application Testing Request Form.doc](#)

[Quiz Assessment Tests.doc](#)

## **Immigration**

### **Employment of Foreign Nationals**

**Policy No:** 8.3

**Last Revised:** Mar 2016

**Review Date:** Mar 2019

**Policy Owner:** Human Resources

**Contact Name:** Lori Jones

**Contact Title:** Global HR Supervisor

**Contact Email:** lori.jones@gatech.edu

#### **Reason for Policy:**

This policy provides departments with general guidelines for inviting Exchange Visitors, processing petitions for the most common non-immigrant employment classifications, and for permanent residence for foreign nationals employed at the Institute.

#### **Policy Statement:**

This policy addresses the hiring of foreign nationals in academic and research positions, not the employment of enrolled students.

In accordance with federal regulations defining the employment of foreign nationals, the Institute has delegated to the Office of International Education (OIE) sole authority to administer the Department of State's J-1 Exchange Visitor Program. The Institute has delegated to Human Resources (Global HR) sole authority to work with the U.S. Citizenship and Immigration Services (USCIS) and the Department of Labor to petition for the B-1, E-3, H-1B, O-1, TN and U.S. permanent residency based on Institute employment in support of the teaching and research mission of Georgia Tech. Per Georgia state law, these petitions cannot be filed by private attorneys on behalf of Georgia Tech. Therefore no Institute representative may sign a G-28 (Notice of Appearance) allowing an attorney to represent Georgia Tech.

#### **Procedures:**

#### **Overview**

Immigration regulations, legislation, and interpretations are constantly changing. More detailed, up-to-date information

on immigration matters can be obtained from Global Human Resources (Global HR) and the Office of International Education (OIE). Hiring foreign nationals and bringing them to Georgia Tech in a timely manner requires specialized attention and advice. Department of Labor regulations prevent employers from allowing foreign nationals to volunteer in positions that are usually compensated. Foreign nationals who are awaiting the necessary employment authorization or whose work authorization has expired are not allowed to serve as volunteers. Note: Foreign nationals who are financially supported by a source other than the Institute are not considered volunteers.

Federal law restricts the export of goods and technology pursuant to the Export Administration Regulations (EAR) and the International Traffic in Arms Regulations (ITAR). An export includes the release or disclosure, including verbal disclosures or visual inspections, of covered technology, software or technical data to any foreign national whether in the U.S. or abroad.

Thus, when research or educational activities involve providing information or a transfer of technology to foreign nationals, it is important to know whether the goods, services, data, or technology are covered by the export control laws and regulations.

#### Non-Academic, Non-Research Staff and Others

Georgia Tech does not sponsor the following individuals for employment based visas nor for exchange visitor visas: technical, administrative, library, or support staff members; individuals with inadequate funding, insurance, or credentials; those whose particular visa history precludes sponsorship. Additionally, Georgia Tech does not provide visa sponsorship to recent graduates and practicing professionals for internship training, practical experiences, or other non-teaching, non-research affiliations.

#### Orientation/Registration

The arrival and departure of scholars must be reported to either Global HR or OIE in order to comply with federal regulations and maintain accurate records. All new scholars in the J-1 status should "check in" at OIE upon their arrival at Georgia Tech. Scholars should bring their passports and other visa documents to complete the required registration process. Additionally, OIE offers regularly scheduled orientation sessions for international scholars in the J-1 status and their family members. Information about the next orientation session will be given to the scholar when checking in. The orientation includes information helpful in the "settling-in" process and important information on visa requirements and Georgia Tech resources. If a scholar cannot attend orientation, OIE should be notified immediately.

New scholars in the other nonimmigrant or immigrant categories must check in with Global HR upon arrival at Georgia Tech.

Visiting Scholars who are not employees of Georgia Tech, i.e. all B-1 business visitors and some J-1 Exchange Visitors, must sign a "Visiting Scholars Agreement" with the Office of Legal Affairs.

OIE or Global HR notify Departments, Laboratories, and Center headquarters four to six months in advance of the scholar's appointment or visa status end date, whichever comes first. If a sponsoring department indicates that a scholar's stay will be extended, OIE or Global HR provides relevant instructions for extension of immigration status.

#### Program Completion

Departments, Laboratories, and Centers are required to notify OIE or Global HR when a scholar completes his/her appointment earlier than expected, in order for OIE or Global HR to notify the appropriate government agency.

#### Nonimmigrant Visa Categories

Per Chapter 8 of the U.S. Code of Federal Regulations, individuals in the following nonimmigrant categories, among others, are not eligible for Georgia Tech appointment, employment, or payment under any circumstances. Georgia Tech appointment, employment, or payment is not permitted unless/until the individual obtains an immigration status

permitting such affiliation under the law. There may also be restrictions on access to some areas or facilities. Please see the Visitor's Policy for these restrictions.

- B-2 (or VWT) Visitor for Pleasure (Tourist)
- F-2 Spouse or Children of F-1 students
- H-4 Spouse or Children of H-1B, H-2, or H-3
- TD Spouse or Children of TN
- O-3 Spouse or Children of O-1

The nonimmigrant visa categories most commonly used for GT research and teaching activities are discussed briefly below:

- [J-1 Exchange Visitor \(Professor, Research Scholar, Short-term Scholar\)](#)
- [H-1B Visa for Temporary Workers in Specialty Occupations](#)
- [B-1 \(or VWB\) Visitor for Business](#)
- [TN Visa for Professionals who are nationals of Canada and Mexico](#)
- [O-1 Visa for Individuals of "Extraordinary" Ability](#)
- [E-3 visa for Australian nationals who are Temporary Workers in Specialty Occupations](#)

**Immigrant Visas (Permanent Residence)**

In order to be sponsored, faculty members must meet the criteria for the first preference classification, "Outstanding Professor/Researcher;" or for the second preference classification under the "special handling" provisions for college teachers. Researchers must meet criteria for a first preference classification, "Outstanding Professor/Researcher." Labor certification will not be pursued for research positions.

Information about these categories, including qualifications, application procedures, limitations, and payment options for scholars, is available at the Global HR website.

**Responsibilities:**

The responsibilities each party has in connection with Employment of Foreign Nationals are:

Party	Responsibility
Office of International Education (J Exchange Visitor Program)	Offer assistance with policy interpretation and administer policy
Office of Human Resources (Global HR) (B-1, E-3, H-1B, O-1, TN, & U.S. Permanent Residence)	Offer assistance with policy interpretation and administer policy

**Related Information:** [Equal Opportunity Complaint Policy](#)

**Payments to Non-U.S. Citizen Employees**

**Policy No:** 8.2

**Last Revised:** Mar 2016

**Review Date:** Mar 2019

**Policy Owner:** Human Resources

**Contact Name:** Lori Jones

**Contact Title:** Global HR Supervisor

**Contact Email:** lori.jones@gatech.edu

**Reason for Policy:**

This policy provides guidance to those seeking information about payments made to Non-U.S. Citizen employees.

**Policy Statement:**



Georgia Tech will comply with all federal, state, and local tax laws and regulations regarding payments made to non-U.S. Citizens. As allowed by those laws and regulations, Georgia Tech will honor requests by foreign national employees for applicable tax treaty exemptions. For more information regarding tax compliance procedures see <http://ohr.gatech.edu/tax-compliance>.

**Scope:**

All faculty and staff within the Georgia Institute of Technology are affected by, and should be aware of this policy.

**Procedures:**

Tax status and appropriate tax withholdings, including tax treaty determinations and implementations, will be determined and implemented by the Human Resources Office.

**Responsibilities:**

The responsibilities each party has in connection with Payments to Non-U.S. Citizen Employees are:

Party	Responsibility
Office of Human Resources (Global HR)	Offer assistance with policy interpretation and administer policy

**Related Information:** [Foreign National Tax Compliance](#)

**Policy History:**

Change made	Date
Policy statement, purpose, process/procedure, etc.	10/6/2010

**Joint Staffing**

**Policy No:** 10.3

**Type of Policy:** Administrative

**Effective Date:** Apr 1998

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

The following guidelines, issued by the University System's Board of Regents, pertain to recording personal services for personnel used by two or more units of the University System.

**Procedures:**

**General Guidelines**

- The faculty member, or other personnel, should receive full contract pay from the base institution. The employee thus should continue in "fully employed" status at the base institution.
- Each institution sharing the employee's time should budget its share of the employee's time (EFT) and dollars. Care should be taken to see that the EFT and dollars do not exceed the employee's contract.
- Upon making distributions of salary and wage costs from routine payroll records, the base institution would enter the personal service expenditures on its records in accordance with established procedures.



- Settlement of accounts may be effected by arrangements of several fiscal officers of the institutions involved. The timing and method shall be at the discretion of said officers.
- Staff Benefits related to the Personnel Service dollars involved may be transferred if the amount is deemed material by the fiscal officers involved.
- In instances where Sponsored Operations are involved, the overhead allowance in any given contract shall remain at the institution where the Sponsored Project is located. Exceptions to this rule may be made if the amount is material. An amount shall be considered material if it exceeds 50% of the total overhead allowance for that project.

This statement shall not apply to situations where Sponsored Projects are awarded jointly to two or more institutions. The arrangement as stipulated in the contract shall prevail in such instances.

**Non-Retaliation Policy**

**Type of Policy:** Administrative

**Effective Date:** Mar 2018

**Review Date:** Mar 2019

**Policy Owner:** Human Resources

**Contact Name:** Eric White

**Contact Title:** Employee Relations Consultant

**Contact Email:** eric.white@ohr.gatech.edu

**Reason for Policy:**

Georgia Tech has a responsibility to protect its employees from unlawful retaliation, and retaliation will not be tolerated at Georgia Tech. Georgia Tech has a strong interest in encouraging the reporting of misconduct and employees must be free from fear of retaliation to support that interest.

**Policy Statement:**

Retaliation against any employee, who, in good faith, files a complaint or grievance; seeks the aid of Human Resources; testifies or participates in investigations, compliance reviews, proceedings or hearings; or opposes actual or perceived violations of policy or unlawful acts is strictly forbidden. This policy does not protect an employee who provides information that she or he knows is false, files a bad faith retaliation claim, or participates in any illegal conduct. Georgia Tech will take timely and appropriate action, up to and including dismissal, against any employee who violates this non-retaliation policy.

**Scope:**

This policy applies to all Georgia Tech employees, including student employees.

**Definitions**

<b>Retaliation</b>	Retaliation is any materially adverse action taken or threatened against an employee because the employee has, in good faith, filed a complaint or grievance; sought the aid of Human Resources; testified or participated in investigations, compliance reviews, proceedings or hearings; or opposed actual or perceived violations of policy or unlawful acts.
<b>Good Faith Reporting</b>	A reasonable and sincere belief that the information provided is true.
<b>Bad Faith Reporting</b>	Knowingly or recklessly providing false information.

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**Reporting**

If an employee believes that she or he has been retaliated against, the employee should contact one of the following resources to make a retaliation claim:

<b>Georgia Tech Office of Human Resources</b> <b>(Staff Complaints)</b>	<a href="mailto:hr.ask@ohr.gatech.edu">hr.ask@ohr.gatech.edu</a> or 404-894-4847
<b>Georgia Tech Office of the Provost</b> <b>(Faculty Complaints)</b>	<a href="mailto:vpgefd@gatech.edu">vpgefd@gatech.edu</a> or 404-385-5726
<b>EthicsPoint</b> <b>(Faculty or Staff Complaints)</b>	<a href="#">EthicsPoint-Georgia Tech</a> ( <a href="https://secure.ethicspoint.com/domain/media/en/gui/7508/index.html">https://secure.ethicspoint.com/domain/media/en/gui/7508/index.html</a> ) or 1-866-294-5565  EthicsPoint is a third-party vendor available 24/7 that allows for confidential or anonymous reporting.

**Frequently Asked Questions:**

For answers to FAQs about retaliation, please go to: <http://www.larm.gatech.edu/non-retaliation-policy-faqs>

**Enforcement:**

Georgia Tech takes retaliation very seriously. Reports of retaliation made to the Office of Human Resources, Office of the Provost, or EthicsPoint will be investigated in a thorough and timely manner. Any employee who is found to have retaliated against another employee at Georgia Tech will be subject to appropriate disciplinary action, up to and including dismissal from Georgia Tech. Enforcement of any underlying policy violations by Georgia Tech employees will be referred to and handled through applicable individual policies.

**Related Information:**

- [USG Policy 16.4.3 Whistleblower Protection](#)
- [USG Ethics Policy](#)
- [USG Fraud, Waste and Abuse Reporting Policy](#)

**Policy History:**

Revision Date	Author	Description
03-01-2018	Human Resources	New Policy

**Performance Management Policy**

**Policy No:** 4.5

**Type of Policy:** Administrative

**Effective Date:** Mar 2008

**Last Revised:** Nov 2010

**Review Date:** Nov 2019

**Policy Owner:** Human Resources

**Contact Name:** Adrienne Richardson

**Contact Title:** Workforce Strategy

**Contact Email:** adrienne.richardson@ohr.gatech.edu

**Reason for Policy:**

The purpose of an effective performance management system is for employees to have a clear understanding of the work expected from them, to receive ongoing feedback regarding how they are performing relative to expectations, to distribute rewards accordingly, to identify development opportunities, and to address performance that does not meet expectations. A comprehensive performance management system empowers employees to have greater input to their personal career progression and will enable managers to better identify, recognize, and reward individuals based upon an agreed set of criteria.

**Policy Statement:**

Georgia Tech strives to provide an environment where all employees understand the impact their contributions have on the achievement of Institute goals and are provided the opportunity for ongoing personal growth. One way we can accomplish this goal is through a strong performance based management program that culminates in an annual performance review. The performance management process is continuous as we plan, manage, review, and reward performance.

**Scope:**

**Entities Affected By This Policy**

All classified employees at the Georgia Institute of Technology should be aware of this policy.

**Who Should Read This Policy**

All classified employees at the Georgia Institute of Technology should be aware of this policy. Contacts

**Policy Terms:**

**Performance Goals**

Help to define what is expected of you in your current position in relation to the department and/or unit's overall goals.

**Career Development Goals**

Outline opportunities for professional development and/or career growth

**Competencies**

Competencies are the key capabilities, characteristics, and behaviors that all Georgia Tech employees need to develop and demonstrate in order to drive superior work performance.

**Procedures:**

The Georgia Tech Performance Management Process consists of a four-phase cycle: planning, managing, reviewing, and rewarding performance.

The planning phase is the foundation of the entire Performance Management process. In this phase, individual goals and objectives are set for the performance period. Goals that are SMART (specific, measurable, achievable, relevant, and time based) increase employee motivation and commitment to goal attainment, leading to greater performance

and productivity.

Regular communication between the manager and employee is critical during the managing phase of the performance management cycle. Through formal and informal conversations, both parties are kept abreast of progress towards the successful completion of goals and expectations. These discussions also enable the manager to provide timely feedback and coaching as the year unfolds. Because the performance cycle spans several months, it is important for managers and employees to keep track of key performance highlights and challenges that occur during the year. These notes will help immensely when it's time to prepare the annual review.

At the conclusion of the evaluation cycle, the manager meets with the employee to conduct the annual performance review. If SMART goals have been set (planning phase) and ongoing communication/feedback has taken place (managing phase), the overall outcome of the annual review should come as no surprise to the employee.

When merit increases are available, employees may receive an increase to their annual base pay as a reward for meritorious performance. It is important to remember that performance increases should be differentiated between employees based upon their overall performance ratings and, in general, top performers should receive higher pay increases.

Additional resources are available on the Human Resources website at [www.ohr.gatech.edu/performance](http://www.ohr.gatech.edu/performance).

The University System of Georgia prohibits employees grieving performance reviews (refer to the University System of Georgia's Grievance Policy for more details).

**Goal Setting**

At least two performance goals are required for all employees with the recommended average being two to four goals.

**Competencies**

All Georgia Tech employees will be rated on the following seven competencies:

Decision Making	Able to analyze situations fully and accurately and reach productive decisions. Consults appropriate parties when necessary and identifies the key concerns and/or issues that need to be addressed in order to make the best decision possible.
Effective Communications	Able to express ideas in a clear, concise, and effective manner, whether speaking or in writing. Uses correct grammar and sentence structure in communications. Is a good listener, even when differing viewpoints are expressed. Openly shares information and keeps all relevant parties updated.
Interpersonal Relationships	Builds and maintains effective working relationships with others- both internal and outside the organization. Takes a positive and productive approach to resolving any conflicts which may arise. Exemplifies commitment to the USG core value of respect- treating everyone with fairness, compassion, and dignity.
Job Knowledge	Demonstrates the professional, administrative, supervisory, and/or technical knowledge required to perform the job successfully. Continuously strives to further improve job knowledge. Serves as a reliable

	resource for other employees regarding areas of expertise.
Producing Results	Assignments/projects are consistently completed in a timely manner with the desired level of quality and quantity. Follows up on the outcome of work efforts to ensure desired results.
Service Excellence	Makes excellent customer service a top priority and constantly seeks to improve customer service. Is responsive to changes in what customers want and need. Delivers on promises made to customers and follows up appropriately.

All classified staff managers/supervisors will also be rated on the following three competencies:

Cultivating Workplace Diversity	Ability to understand, appreciate, and use the unique contributions of staff in various cultures, nationalities, ethnic backgrounds, genders, ages, points of view, etc.
Leadership	Ability to work with a group to set its objectives and agenda, generate allegiance to those objectives, and guide and motivate their achievement. Articulates the end results needed and allows people to exercise initiative and discretion without micromanaging. Enforces standards/rules fairly and consistently and leads with courage.
Staff and Career Development	Addresses learning, training, and career development needs of individuals, teams, or organization. Works with employees to establish job and career development goals. Provides accurate, timely feedback including annual performance review.

These competencies align with the University System of Georgia's Competency Model where personal integrity and ethics, strategy, engagement, collaboration, and execution are at the forefront for all University System of Georgia employees.

Additionally, employees will be provided feedback in the areas of Attendance & Punctuality and Honestly & Integrity.

**Ratings**

The competencies and goals employees establish in the system will be rated on a new five point scale (Exceptional, Strong, Satisfactory, Needs Development, and Unsatisfactory).

**Online System**

Supervisors/Managers and employees will establish performance goals and enter them into an online system. This system will allow both employees and their managers to update and track progress on the goals throughout the year. An employee's overall rating will be based both on progress on reaching established goals and performance in aforementioned competency areas.

**Career Development Plan**

Georgia Tech's culture promotes individuals owning their careers. Career planning and professional development activities are designed to further develop and maintain a high-performance workforce by providing targeted opportunities for learning and growth. Career planning allows employees to align their annual development goals with long-term career goals and organizational needs. Typically, the career development goals are drafted and revised during the first phase of the performance management cycle. These goals can be entered into the online performance management system.

**Responsibilities:**

The responsibilities each party has in connection with Performance Management are:

Party	Responsibility
Human Resources Representatives	Offer assistance with policy interpretation and administer policy.
Office of Human Resources, Performance and Talent Management	Offer assistance with policy interpretation, administer policy, and ensure compliance.

**Performance Review Following Probationary Period**

**Policy No:** 4.6

**Type of Policy:** Administrative

**Effective Date:** Jan 2009

**Last Revised:** Oct 2010

**Review Date:** Oct 2019

**Policy Owner:** Human Resources

**Contact Name:** Adrienne Richardson

**Contact Title:** Workforce Strategy

**Contact Email:** adrienne.richardson@ohr.gatech.edu

**Reason for Policy:**

The Performance Review is an opportunity for the supervisor to review the employee's performance from that period and advise the employee of his/her progress in meeting assigned job duties and responsibilities. Additionally, it provides the opportunity for the supervisor to review the employee's developmental needs and formulate and communicate a development plan designed to improve performance.

**Policy Statement:**

Board of Regents and Institute policy requires that all classified employees serve the first six months of employment on a provisional basis, which is designated as the employee's probationary period. If the employee completes this period, the supervisor should review the employee's performance from that period and advise the employee of his/her progress in meeting assigned job duties and responsibilities.

**Scope:**

**Entities Affected By This Policy**

All classified employees of the Georgia Institute of Technology.

**Who Should Read This Policy**

All employees of the Georgia Institute of Technology should be aware of this policy.

**Procedures:**

With the exception of certain public safety personnel, all classified employees are required to serve the first six months of employment with the Institute on a provisional basis. During this period, the new employee should receive an on-the-job orientation relative to the work environment and job expectations so that he or she can begin fulfilling job duties on a regular basis. The supervisor should monitor the new employee's performance in the job and take appropriate action as necessary to make sure that expectations are being met, such as providing on-going feedback to the new employee regarding his or her performance relative to job expectations.

Immediately following the completion of the probationary period, and if the services of the employee are still needed, then the employee's performance should be formally reviewed and documented. Should performance problems occur during the first six months of employment, the supervisor should contact the Performance and Talent Management unit of the Office of Human Resources.

Public safety employees are subject to the same provisional employment requirements as other classified employees, except that the six month provisional period will not begin until any training mandated by the State of Georgia for certification as a police officer has been completed (if such training occurs after employment with the Institute begins).

The probationary review process involves assessing the employee's work performance during the first six months of employment relative to specific indicators and an overall rating. The following rating categories are employed:

- Meeting Expectations
- Needs Improvement

The University System of Georgia prohibits employees grieving performance reviews (refer to the University System of Georgia's Grievance Policy for more details).

#### Completing the Performance Review Form

The Performance Review Form should be completed by the employee's immediate supervisor within two weeks following completion of the first six months of employment.

The supervisor should first complete the identifying information required in the heading (name, job title, unit, dates, etc.).

Next, the supervisor should assign a rating for each indicator by checking the appropriate block and entering comments as appropriate in the space provided at the end of the form. **For any indicators rated as "Needs Improvement", the supervisor must enter in the Comments section specifically what causes justify the rating.** Entries in the Comments section for "Meeting Expectations" are optional.

Following the rating of each indicator, the supervisor should formulate an overall rating reflective of those individual ratings and enter that information on the 3rd page of the form.

The Comments on Ratings section has been provided for noting clarifications or explanations regarding any aspects of the review. This section is intended to provide an opportunity for the supervisor to support the individual and overall ratings with narrative comments related to actual performance during the probationary period. Explanations should include references to actual incidences that support a given rating. Additional pages may be added to the form if needed.

#### Communicating Results of the Probationary Period Performance Review

Supervisors must inform employees through face-to-face communication as well as documentation of how their performance has been rated.

Prior to this meeting the supervisor should have:

- Completed and signed the Performance Review form.
- Reviewed the results with his or her immediate supervisor and obtained approval.
- Developed a discussion outline to follow during the interview.
- Reserved a location where the interview can be conducted in private without interruption.



The meeting should be structured as a two-way means of communication between the supervisor and employee. The employee should be encouraged throughout the meeting to participate in the discussion.

During the meeting, each performance indicator should be covered by reviewing the indicator and the rating that was assigned. Actual occurrences that influenced the rating should be offered.

At the conclusion of the meeting, the employee should sign the form in the space provided. The employee's signature verifies only that the employee and supervisor have participated in a formal review of performance. It should not be construed as either agreement with or objection to the results of the review. Should the employee refuse to sign, the supervisor should make a note on the Performance Review Form and notify the Performance and Talent Management unit of the Office of Human Resources.

The employee should be provided with a copy of the completed and signed Performance Review Form at the end of the meeting. The supervisor is encouraged to keep a copy of the form for his or her records. The reviewer should sign the form in the space provided and obtain the signatures of the next level supervisor. The completed form should be routed to the Office of Human Resources- 0685 for further processing and filing.

**Probationary Period Review Notification**

Each month the Performance and Talent Management unit of the Office of Human Resources will compile a list of classified employees by unit who are about to complete their first six months of employment. The list will be sorted on an organizational basis and notifications sent to the appropriate Human Resources Representative. The Human Resources Representative will then be accountable for coordinating the probationary review process within his or her organization including review and return of completed forms to OHR.

**Forms:** [Probationary Review Following Completion of Probationary Period.doc](#)

**Responsibilities:**

The responsibilities each party has in connection with **Performance Review Following Probationary Period** are:

Party	Responsibility
Office of Human Resources, Performance & Talent Management	Offer assistance with policy interpretation and administer policy.

**Related Information:** [Human Resources Administrative Practice Manual: Employment](#)

**Personnel Records**

**Policy No:** 8.43

**Type of Policy:** Administrative

**Last Revised:** Nov 2010

**Review Date:** Nov 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Reason for Policy:**

Due to the confidential nature of certain information contained in the personnel files, access to these records is restricted to authorized personnel and to other individuals only in accordance with Institute policy and federal/state

laws. Removing documents from a personnel file is prohibited and is a major rule violation.

**Policy Statement:**

The Human Resources Records Office maintains the official personnel record for all faculty, staff and student employees who are paid through the Institute's Payroll Office. The personnel records consist of paper, digital, and microfiche and are stored in a restricted area within the Human Resources Office. These records are the property of The Georgia Institute of Technology.

**Scope:****Entities Affected By This Policy**

All faculty, staff, and student employees at the Georgia Institute of Technology should be aware of this policy.

**Who Should Read This Policy**

All faculty, staff, and student employees at the Georgia Institute of Technology should be aware of this policy.

**Procedures:****Overview**

The personnel file may contain documents including, but not limited to, the following:

- Personal Services Form to hire, change status, retire, or terminate employment
- Personal Data Form listing personal, educational, and other information related to the employee
- Board of Regents Security Questionnaire/Loyalty Oath
- Employment Agreement
- Payroll Authorization Agreement for Automatic Deposits, pay increases
- Federal W-4 and State G-4 Withholding Forms
- Garnishments, Tax Levy, Subpoenas, court ordered documentation
- Benefits elections, retirement information, beneficiary information
- Recognition letters from the Institute's President
- Award letters
- Letters of Offer, acceptance, commendation, resignation
- Performance Reviews, written reprimands
- Separation notices
- Certificate of Degree
- Performance Improvement Plans (PIPs)
- Flexwork agreements
- Employment application, resume/curriculum vitae

**Placing Information into the Personnel File**

Materials may be placed into the personnel files only in accordance with policies and procedures established by the Institute. Correspondence relating to job performance or other such matters between a supervisor and an employee may be placed into the employee's file under the following conditions:

- Evidence that a copy has been provided to the supervisor and the employee.
- A signature or stamp from the Performance and Talent Management Unit of Human Resources confirming their review and approval for the document to be placed into the personnel file.
- The document clearly shows that a copy has been sent to the Performance and Talent Management Unit of

Human Resources and to the employee's personnel file in Human Resources.

This procedure ensures that all parties involved are appropriately informed of such matters, thereby fostering an open and constructive relationship between management and employees at Georgia Tech.

Note: Employees are not authorized to place information into their own personnel files.

### **Form I-9, Employment Eligibility Verification**

A Form I-9, Employment Eligibility Form must be completed by all employees' citizens and noncitizens hired after November 6, 1986. The United States Department of Homeland Security requires employers to document each new employee hired after November 6, 1986, is authorized to work in the United States.

The Form I-9 Employment Eligibility Verification is maintained in the Office of Human Resources Records Department and is stored securely in a separate filing system. The Form I-9 is retained for three years after an employee is hired or for one year after an employee terminates his/her employment, whichever is longer.

### **File Review**

File reviews are by appointment only and require a 24-hour advance notice. You may email your request to any staff member in the Records Department. File reviews can be initiated by an employee reviewing his/her personnel file. Department managers/supervisors are allowed to review the performance reviews of their direct reports. Department managers, supervisors and HR Representatives/Contacts are allowed to review the performance reviews of job applicants external to their department upon consideration of being hired. HR Representatives and Contacts are permitted to review files of the employees within their unit that they represent. In all cases, photo identification must be presented at the time of the review and a Records Office Staff member will monitor the review process to ensure the integrity of the file.

An employee may obtain copies of documents from his/her personnel file. There is no charge for the first ten pages, but there is a fee of \$.25 per additional page, payable by check only made to the order of Georgia Tech.

### **Updating Personal Information**

It is important to keep personal information up to date and employees are encouraged to use the Employee Self Service tool that is available to all Georgia Tech employees and which allows an employee to access and update their personal information such as name, home address, home telephone number, emergency contacts, etc. The Employee Self Service tool can be accessed by logging onto Techworks at: <http://techworks.gatech.edu>.

### **Employment Verification**

The Records Office responds only to inquiries made in writing through fax or US mail. Standard information such as employment dates, job title, and work department are provided. Salary information requires a signed consent form from the employee and can be found online at: <http://www.ohr.gatech.edu/records>. Requests to verify employment should be faxed to: (404) 385-0765 or mailed to: Georgia Tech-Office of Human Resources Records Office, 500 Tech Parkway, Atlanta Georgia 30332-0435.

### **Legal Requests**

All legal requests are coordinated through Georgia Tech's Office of Legal Affairs; these requests include subpoenas, attorney requests, or Open Records Act requests. The Records Office complies with such requests as advised by the Office of Legal Affairs. The entire personnel file or limited information within the personnel file may be requested or

subpoenaed through the courts and on the advisement of the Office of Legal Affairs, the relevant records are retrieved, assembled and forwarded to the Office of Legal Affairs for final handling.

Requests for legal assistance should be sent to: asklegal@gatech.edu. The Office of Legal Affairs is located at: 760 Spring Street, N.W., Suite 324; Atlanta, Georgia 30332-0495.

### **Georgia Open Records Act (ORA)**

As a state university, Georgia Tech is subject to the provisions of The Georgia Open Records Act. The Open Records Act provides that all citizens are entitled to review the records of state agencies on request and to make copies for a fee. The Open Records Act requires that Georgia Tech produce public documents within three business days.

Georgia Tech's Office of Legal Affairs has been designated by the President of the Institute to respond to ORA requests. Once the Records Office receives an ORA request, the Office of Legal Affairs is immediately notified. The Records Custodian coordinates with the appointed attorney and determines what information may or may not be released under the ORA and to ensure a response to the request within three business days as required by law.

The information listed below is excluded from the Act and will not be released:

- Social Security Numbers
- Birthdates
- Medical information
- Insurance information
- Bank account information
- Credit card and debit card account information
- Financial information
- Mother's birth name
- Home addresses
- Telephone numbers

Georgia Tech charges twenty-five cents (\$0.10) per page for any copies in addition to the costs of search, retrieval, redaction, and re-filing.

### **Regulatory Agencies/Law Enforcement**

Georgia Tech allows federal and state regulatory agencies to review employee personnel records. A few of the agencies that request services from the Human Records Office are:

- The Federal Bureau of Investigations
- The Georgia Bureau of Investigations
- The Office of Personnel Management
- The Department of Defense
- The Department of State
- The Georgia Department of Human Resources
- The Georgia Department of Corrections
- The Georgia State Board of Pardons and Paroles
- The Georgia Department of Labor
- Law Enforcement Officers from various Georgia counties

Typically an agent will arrive in person and request to review a record on a current or past employee. The employee may be a candidate for employment through a state or government agency or the individual's employment may be

contingent upon securing a security clearance. Inquiries may also be a result due to criminal investigations. Each agent is required by their agency to inform us each time they review a record of the Privacy Act of 1974 as mandated by the federal government. An agent may call or fax a request prior to arriving in person.

When a review is requested, the agent must:

Present ID upon arrival in the Customer Service Center (CSC) and inform the staff of the reason for the visit.

- The CSC staff reviews the ID and notifies the Records Office of the request and allows the agent access to proceed to the file room.
- The agent must present their ID and a signed release from the individual(s) whose file has been requested for review.
- The agent is required to complete an Employee File Review Log. The log lists the agent’s name, the employee’s name, and the reason for the review.
- The file is pulled for the agent’s review. The agent has full access to all information contained in the personnel file pertaining to the employee, the employee’s spouse, children, birthdates, social security numbers, addresses, beneficiary information, statements of health, garnishments, etc.

The Employee File Review Log and a copy of the signed release are maintained on file in the Records Office.

**Responsibilities:**

The responsibilities each party has in connection with Personnel Records are:

Party	Responsibility
Office of Human Resources, Records	Offer assistance with policy interpretation, administer policy, and ensure compliance.

**Progressive Discipline**

**Policy No:** 5.13

**Type of Policy:** Administrative

**Effective Date:** Jun 2015

**Last Revised:** Jun 2015

**Review Date:** Jun 2018

**Policy Owner:** Human Resources

**Contact Name:** Eric White

**Contact Title:** Workforce Strategy

**Contact Email:** eric.white@ohr.gatech.edu

**Reason for Policy:**

To improve performance, attendance, and/or behavior by coaching employees and encouraging ownership of their job and career

**Policy Statement:**

Progressive Discipline is a constructive and corrective approach to solving work related performance, attendance, and/or behavior concerns. Through this process, employees are provided with the information needed to understand what aspect of their work performance, attendance, and/or behavior is unacceptable and what improvements are needed to demonstrate success.

**Scope:**

**Entities Affected By This Policy**

All staff at the Georgia Institute of Technology should be aware of this policy.

**Who Should Read This Policy**

All staff at the Georgia Institute of Technology should be aware of this policy.

**Procedures:****Overview**

It is the responsibility of all employees to adhere to the expectations outlined by their supervisor and to the standard of conduct at Georgia Tech. When employees fail to uphold these standards, the progressive disciplinary process may be utilized. However, there is no required number or sequence of warnings or reprimands that must take place before an employee is terminated. Further, some circumstances may warrant immediate termination.

If the progressive discipline process is used, managers must document the steps of the process as they occur. The steps involved in the process may include: verbal warning, written warning, final written warning, suspension, and termination. Performance and Talent Management (PTM) will review all supervisory recommendations involving disciplinary suspension, investigative suspension, demotion, or discharge and approve or deny such recommendations prior to actions being taken. As part of that process, PTM will review all disciplinary actions that have occurred to ensure they have been fairly administered and are consistent with policy and past practice.

**Process/Procedures**

For less severe infractions, the initial disciplinary action may be a verbal warning. The discussion between the employee and manager should be serious and professional in manner to ensure that the employee clearly understands the established standards and expectations with regard to his/her unacceptable performance or behavior. A written record of the date and content of the discussion should be maintained in the appropriate file.

A written warning may be issued if the unacceptable behavior is more severe or frequent in nature and/or a verbal warning has already been issued. The written warning should outline the undesirable behavior, state expectations, and indicate the consequences that will occur if there is no improvement in performance. Written warnings should be forwarded to the Office of Human Resources for placement in the employee's official personnel file.

Suspension without pay may follow a verbal or written warning or may be the first disciplinary action taken if warranted by the circumstances. Prior to suspending an employee, managers must obtain approval from PTM in the Office of Human Resources and supply appropriate supporting documentation. The length of the suspension will depend on the facts of each case such as type and severity of the behavior, previous work performance of the employee, and prior disciplinary actions. The suspension letter should outline the undesirable behavior, state expectations, and indicate the consequences that will occur if there is not any improvement. A copy of the letter should be forwarded to the Office of Human Resources for placement in the employee's official personnel file.

An employee may be suspended without pay for serious infractions of workplace conduct rules, including, but not limited to, rules prohibiting sexual harassment, workplace violence or drug or alcohol use, or for violations of state or federal laws. Exempt employees may be suspended without pay for serious misconduct, but may not be suspended for performance or attendance issues. Deductions from the pay of an exempt employee may be made for suspensions of one or more full days imposed for disciplinary reasons for infractions of workplace conduct rules, and such disciplinary deductions may only be made in full day increments.

An employee may be placed on an investigative suspension because of alleged serious misconduct. In these cases,

the employee is removed from the workplace while the Office of Human Resources investigates the matter. Normally investigative suspension is leave with pay. The Office of Human Resources must approve any investigative suspension.

Termination may be advised when an employee has engaged in serious misconduct or has not corrected performance and/or behavior. Prior to dismissing an employee, managers must obtain approval from PTM in the Office of Human Resources and supply appropriate supporting documentation. If approved, the written letter of termination includes the reason for termination, effective date, and information regarding the appeal process.

Please refer to [Progressive Discipline Procedures](#) for additional information on documentation, counseling, and responsibilities for managers.

**Forms:** [Corrective Action Form.pdf](#)

**Responsibilities:**

Party	Responsibility
Performance and Talent Management	Offer assistance with policy interpretation.

**Related Information:** [Employee Relations](#)

**Related Documents:** [Progressive Discipline Procedures.docx](#)

**Policy History:**

Change made	Date
Policy streamlined, separated procedures; added and revised language regarding suspension of exempt employees	07/05/2012

**Promotion Guidelines for Professional Research Personnel**

**Policy No:** 8.23

**Type of Policy:** Administrative

**Last Revised:** Jul 2013

**Review Date:** Jul 2016

**Policy Owner:** Human Resources

**Policy Statement:**

Please see the Faculty Handbook: [3.2.1 Research Faculty: Hiring and Promotion Guidelines](#)

**Policy History:**

Revision Date	Author	Description
08-2013	Policy Library	Fixed relative link

**Provisional Employment (Probationary Period)**

**Policy No:** 8.51

**Type of Policy:** Administrative

**Effective Date:** Mar 2009



**Last Revised:** Jun 2015

**Review Date:** Aug 2018

**Policy Owner:** Human Resources

**Contact Name:** Tamika Spirling-Brooks

**Contact Title:** Strategic Performance Consultant

**Contact Email:** Tamika.spirling-brooks@ohr.gatech.edu

**Policy Statement:**

Georgia Tech adheres to the University System of Georgia's policy on Provisional Employment. Visit

[http://www.usg.edu/hr/manual/provisional\\_appointments/](http://www.usg.edu/hr/manual/provisional_appointments/) to view the USG policy.

## **Purchase of Gifts for Employees/Students**

**Type of Policy:** Administrative

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

This policy provides guidance regarding items purchased with Institute resources and given as gifts to employees or students. This includes items given to employees and their families as expressions of sympathy. This policy pertains to purchases made with any Institute funding source, including state, GTF, GTRC, and sponsored funds. The policy establishes consistent, equitable treatment and prudent judgment for gift purchases. The policy also ensures compliance with university funding restrictions, state purchasing guidelines, IRS tax implications, and other applicable regulations. The policy also provides parameters for what constitutes a reasonable amount and type of gift.

**Policy Statement:**

Georgia Tech policy generally prohibits giving gifts to individual employees or students from Institute funding sources except for the following cases:

- length of service recognition gifts,
- retiring or separating employees,
- formal and announced employee recognition awards,
- sympathy gifts recognizing the loss of a close family member,
- gifts of support following significant illness of employee
- gifts given to groups of employees to recognize team performance
- gifts and prizes for participation in university events or activities.

Even in the cases above, which are allowable instances for gifts, Georgia Tech policy prohibits the use of most funding sources for gifts to employees except for GTF funds. No gift should ever be given to an employee under the premise that it is related to a specific performance event. It is not appropriate to use Institute funds for door prizes unless de minimis in nature (not to exceed \$50). Gifts of technology and alcohol are generally not appropriate for purchase with Institute resources (of any type).

### **Gifts and Events for Personal Events**

The recognition of faculty, staff, or students for non-work related milestones such as weddings, degree completion, birthdays, and baby showers should be paid for from personal funds. Non-work related events and gifts should not involve Georgia Tech business procedures for payment processing, even when personal contributions are collected for such an event or gift.

### Length of Service Recognition

Gifts can be given to employees to recognize length of service if they are given to the employee as part of a meaningful ceremony, the employee has at least 10 years of service and, the employee has not received a similar gift in the past five years. Length of service awards and awards recognizing employee safety milestones/goals, are not subject to tax withholding as long as it is tangible property.

### Retirement or Separation Gifts

Gifts given to a retiring or separating employee should be given as part of a meaningful ceremony/reception and the value of the gift(s) should correspond to the length of service, but should not exceed \$400. Gifts should be personal memorabilia and in most cases, gifts of technology or related to technology are not appropriate.

### Employee Recognition Awards

Gifts may also be given to employees as part of an approved and established employee award program and based on announced objective criteria. Such awards should be presented to employees on a basis that does not discriminate and amounts of the awards should correspond to the rigor of receiving the award. Please see the "Awards and Recognition" site noted in the Related Information section of this policy for examples and amounts. Awards of cash that are given to recognize outstanding service, contributions to the Institute, or other criteria are taxable and should be processed through Georgia Tech Payroll Services. A gift of tangible property is generally not taxable.

### Sympathy Gifts

Sympathy gifts are appropriate in cases of serious illness or death of an employee or immediate family member. Such sympathy acknowledgements are allowable because Georgia Tech recognizes the value of employees to the Institute and the working relationships developed during employment enrich the lives of all Institute employees. Gifts of sympathy generally should be tangible property such as flowers, fruit baskets, and meals generally under \$100. Monetary contributions to charitable organizations in lieu of personal property may be given if consistent with the value of a traditional commemoration. These gifts are not taxable due to their nature and nominal value.

### Recognition of Team Performance

Gifts may be given to groups of employees to show appreciation for their participation as part of a team, department, or Institute event. Gifts of this nature are typically one of a number of identical items (t-shirts, scarves, Georgia Tech spirit memorabilia, etc.). Gifts in this category should be de minimis (trivial), not occur frequently, and should not exceed \$50.

### Gifts and Prizes

Gifts and Prizes (non-cash) may be awarded to individuals for participation in games of chance or contests. Games of chance include raffles and door prize events. Raffles and games of chance should be approved in advance by the office of the EVPA&F. The amount of a prize should be limited to \$100. The department or unit sponsoring prizes must maintain detailed records of all receipts and expenditures associated with the event, including the names of winners and the value of the prize awarded. These gifts typically do not have tax consequences due to their nominal value and infrequent nature.

### Scope:

This policy applies to all Georgia Tech staff, faculty, researchers, and students. This policy does not preclude individuals from giving personal gifts to colleagues, students, and other individuals purchased with personal funds (i.e., no GT, GTRC, GTRI, GTF, or other Institute funding source is used). While this policy applies to GIT, any benefits provided to a GIT employee by an affiliated organization is subject to this policy and the same tax evaluation as if the benefit were provided by GIT. This policy does not apply to incentive gifts for survey participation or research participation from sponsored funds, when allowed by the sponsor.

### Definitions

#### **de minimis**

In general, a de minimis benefit is one for which considering its value and frequency with which it is

provided, is so small as to make accounting for it unreasonable or impractical. De minimis benefits are excluded under the Internal Revenue Code section 132(a) (4) and include items which are not specifically excluded under other sections of the Code.

**Responsibilities:**

Office of Human Resources – Jerry Jobe – Guidance and interpretation

**Enforcement:**

To report suspected instances of noncompliance with this policy, please visit Georgia Tech's EthicsPoint, a secure and confidential reporting system, at: [https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=7508](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7508)

**Related Information:**

- [Prohibited Receipt of Gifts By USG Employees](#)
- [GT Gift Card Policy](#)
- [Meals and Entertainment](#)
- [Georgia Tech Foundation Flower Fund](#)
- [Awards Policy](#)
- [Awards & Recognition](#)

**Policy History:**

Revision Date	Author	Description
February 2017	Human Resources	New Policy

**External Review Required On:** Jul 2020

**Relocation**

**Moving Expense Payment for New Academic Faculty**

**Type of Policy:** Administrative

**Last Revised:** Dec 2013

**Review Date:** Aug 2019

**Contact Name:** Autumn Peppers

**Contact Title:** Faculty Affairs Manager

**Contact Email:** [autumn.peppers@provost.gatech.edu](mailto:autumn.peppers@provost.gatech.edu)

**Policy Statement:**

The Office of the Provost will support the actual costs for moving household goods of new tenured/tenure track faculty members. For other faculty and administrative hires, units may provide relocation through the unit's state and GTF funds. Research faculty and lab moves will be covered through GTRC funds. The overall Georgia Institute of Technology relocation policy can be found [here](#).

The New Academic Faculty Relocation Program for new tenured and tenure-track faculty members, described below, is administered by the Office of Faculty Affairs.

**Disclaimer**

Georgia Tech has the sole right to revise, amend, or discontinue this program at any time.

**Procedures:  
Time Limit**

Because home relocations do not always follow a prescribed timeline, eligible faculty members can choose to initiate their relocation, as described here, at any time within one year of their appointment effective date. The New Academic Faculty Relocation Program is limited to one move per faculty member.

**Relocation Initiation**

New faculty members should contact their department administrator to begin the process once an official offer has been accepted. The responsible department administrator is asked to send the following information to the Faculty Affairs Manager:

- Faculty member's name
- Current (pre-hire) contact phone number and email address
- Current address
- Anticipated move date

Faculty Affairs will then authorize the move with the moving company. The moving carrier's customer service representative will contact the new faculty member to work out specific arrangements.

Georgia Tech has negotiated contract rates with several respected carriers in the moving industry. If new/prospective employees initiate their own move with a non-GT contract carrier, *their costs may be only partially covered by GT.*

**Moving and Packing Allowances**

The following costs are authorized:

- *Household Goods and Books (HHG)*: The actual costs of packing and moving of HHG.
- *Unpacking*: Unpacking is limited to the placement of furniture and appliances, setting up beds and mattresses, and placing boxes in appropriate rooms.
- *Motorcycle*: one motorcycle per faculty member
- *Minimal items*: Anything outside the scope of a normal move that can be moved with minimal cost.
- *Office Moves*: Contents of the faculty member's former office can be included if:
  - they are shipped with the HHG (i.e. loaded during the carrier-set HHG load time and invoiced to GT with the HHG)
  - they are already packed and ready to load when the movers – making an extra stop – arrive at the office. The packing of offices is not authorized without exception.

The following costs are not authorized:

- *Automobiles, boats, and/or pets shipment*
- *Firewood, outbuildings, chain link or other fencing, and building materials* (wood, bricks, cinder blocks).
- *Heavy equipment*
- *Hazardous materials*
- *Non-minimal costs beyond standard move*. This includes anything outside the scope of a normal move that cannot be moved at a minimal cost. In this event the charges will be the responsibility of the faculty member. Special circumstances will be taken into consideration, but consideration does not constitute approval.

Please contact your department administrator or Faculty Affairs with any questions.

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## Self Move

If a faculty member prefers to move their own belongings to Atlanta, they can be reimbursed for the following costs:

- cost for the truck rental (maximum of one truck),
- cost for necessary packing supplies,
- gas receipts, and
- personal travel expense for lodging (defined below).

## Storage

Georgia Tech will pay for up to 30 days of storage through the contracted carrier servicing the move. Delivery out of storage must be taken within the 30 days for Georgia Tech to pay for drayage (delivery costs out of storage). Origination storage (storage that is initiated by the employee with a vendor not currently contracted by GT) will not be reimbursed.

## Travel to Atlanta

### VIA CAR

*Mileage-based reimbursement.* Georgia Tech will reimburse the new faculty member for driving his/her vehicle from the prior residence to the new residence in Atlanta according to the reimbursable mileage rate, set by the IRS in publication 521. Mileage will usually be based upon the standard road distance from the point of departure to Atlanta, GA as stated by the moving agent. If more than one car is owned and driven to Atlanta, Georgia Tech will reimburse for a maximum of two vehicles.

*Gas.* Gas costs are included in this reimbursement rate and will not be reimbursed.

*Personal Travel Expense.* A standard, mileage-based reimbursement will be given for personal travel-related expenses (hotels, etc.) documented with original receipts. Please note that food costs will not be reimbursed. Even if two cars are driven, personal expenses will only be paid for one of the vehicles.

### VIA PLANE

*Airfare.* Reimbursement for one-way airfare for the faculty member and/or his/her immediate family, in lieu of car transportation allowance and personal travel expense, is authorized. If it is proven that a round-trip flight is cheaper at the time of purchase, reimbursement can be given in that instance.

*Transportation to and from the airport.* Use of public transportation (shuttle, taxi, bus, etc.) may be reimbursed when actually incurred in connection with common carrier transportation to and from residence and airport.

## Reimbursement

The following should be submitted to your department administrator for reimbursement:

- Air travel: a detailed receipt that lists passenger and flight information and any applicable public transportation receipts
- Road travel: a list of passengers, a printed map of the route from your previous residence to your new address (Mapquest, GoogleMaps, etc.), and any related lodging receipts.

What is reimbursable under this policy?

- Mileage amount based on the IRS set relocation rate for the current year
- Toll receipts
- Lodging: Not to exceed mileage based amount
- One way airfare to Atlanta (see paragraph above regarding what round-trip tickets are acceptable for reimbursement)
- Public transportation to and from the airport, when air travel is the primary means of travel to Atlanta

What is NOT reimbursable under this policy?

- Food: Food is not considered a relocation expense by the IRS and would be taxable as income to the employee.
- Gas receipts: Gas expenses are included in mileage reimbursement calculation.
- Rental cars
- Storage receipts that have not been approved prior to the relocation.
- Mileage for a non-direct route driven to Atlanta: The faculty member will be reimbursed based upon the most direct driving route from their origination address to Atlanta.
- Temporary housing: Any hotel and/or temporary housing rental after the faculty member's arrival in Atlanta.
- Home sale/purchase costs: Any costs associated with the purchase or sale of a home in connection with the faculty member's relocation to Atlanta.

## **Family**

Family members eligible for assistance under this policy include the employee, the employee's spouse and all of the employee's current, permanent household members.

## **IRS Regulations**

The Internal Revenue Service requires that the personal travel reimbursement paid to the employee be reported as income to the employee on Form W-2. In the general, the employee may show a deduction for travel and lodging expenses, but not for meals. GTF reports these reimbursements to Georgia Tech Payroll for proper withholding and reporting. The employee may refer to publication 521 for additional information.

## **Relocation Expenses (Intrastate)**

**Type of Policy:** Administrative

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

### **Reason for Policy:**

The Official Code of Georgia Annotated (O.C.G.A.) 45-7-22 through 45-7-24 authorize the reimbursement of relocation expenses to State employees and State of Georgia, Office of Planning and Budget. Policy Memorandum, No. 2 Revision 6 sets forth the rules, regulations and policies for the reimbursement program. The regulations limit reimbursement of expenses incurred which are related to moves made within the State of Georgia at the request of a state agency. The move must be in the best interest of the State of Georgia. The regulations as revised, went into effect December 1, 1989. They are summarized below:

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**Policy Statement:  
Eligibility**

In order to be eligible for relocation expense reimbursement, the state employee must satisfy the following criteria:

1. He or she must have been employed by the department ordering the transfer for at least six months prior to the date of transfer and must generally remain at his or her new duty station for at least one year following the effective date of move.
2. The transfer must be the result of an action by a state department requiring the relocation and must be in the department's best interest.
3. The relocation must be within the State of Georgia.
4. The distance between old and new duty stations must exceed 50 miles and, the transfer must result in the employee having to drive at least 35 miles farther from his or her old residence to his or her new duty station than was driven from the old residence to the old duty station.
5. The department must have sufficient operating expense funds within its budget to pay the reimbursement cost.
6. No other member of the employee's family may be reimbursed for the same move.
7. The move must be made within one calendar year of the employee's transfer.
8. The costs to be reimbursed are reasonable and proper as determined by Accounts Payable. The employee shall have no right to any review or further appeal from the determination made by Accounts Payable.

**Approval of Relocation Reimbursement**

The employee being transferred must complete and submit to his or her school or laboratory director an Employee Application for Intrastate Relocation Expense Reimbursement. Cost estimates from three different firms must be submitted along with the application form. **(The employee selects a firm which will provide a quality move within a reasonable time frame for a reasonable cost. The lowest bid does not have to be selected, but written justification must be given.)**

The application must be reviewed and approved by the employee's supervisor. The employee's department head must sign the application, certifying that the transfer is in the best interest of the Institute. The department's fiscal officer must sign the application, certifying that sufficient funds are available within the department's budget to cover the relocation expenses estimated.

**Expenses Authorized for Reimbursement**

"Reasonable and proper" costs "incurred for transportation of household goods" or "incident to change of residence" are reimbursable, as follows:

1. **Looking for a New Residence** - If the move to the new residence is greater than 100 miles, the statutory mileage rate for up to three trips to the new location, plus food and lodging for up to a total of three days and nights may be reimbursable (sum of all three trips cannot exceed three days and nights). Travel regulations are applicable with the exception that double occupancy rate for one room may be paid. If the move to a new residence is less than 100 miles, only mileage for up to three days spent at the location looking for a new residence may be reimbursed. No reimbursement of food or lodging expenses will be paid since a visit to the new location should not require any overnight trips.
2. **Transporting Household Goods** - The cost of moving household furnishings, equipment and appliances, furniture, clothing, books and similar property may be reimbursable. Actual costs associated with moving up to



11,000 lbs. of the afore-noted types of household goods by (i) commercial moving van, (ii) employee-owned or rented vehicle, and (iii) within an employee-owned mobile home will be reimbursed. The regulations include a breakdown of limitations on reimbursable amounts relating to insurance costs, fuel and labor. (The parameters of what constitutes reasonable includable and excludable expenses are listed in the regulations for each method of moving employed.)

3. **Transporting Family to a New Location** - Actual food and lodging expenses may be paid up to two days and nights for one room at the multiple occupancy rate, applying the maximum daily amounts established in the statewide travel regulations. Meals for children under 12 are reimbursable up to one half the adult maximum.
4. **Utility Reconnection** - Reimbursement is limited to the costs associated with establishing utility accounts and initiating basic service.

### **Employee Liability**

The transferred employee must sign an agreement that he or she will remain at the new location for at least one year from date of move except for reasons beyond the control of the employee and acceptable to the department, or be liable to the state for the amount of expenses reimbursed.

### **Payment of Reimbursement**

Payment will be made on the basis of the Employee Intrastate Relocation Expense Vouchers which have been approved by the Manager of Accounts Payable, Georgia Institute of Technology. All relevant receipts, invoices and bills of lading must be presented with the relocation expense voucher. Payments may be made either following each trip or in one lump sum upon the completion of the move at the discretion of the Institute.

### **Internal Revenue Service Reporting**

Reimbursements that are not deductible are reported to the IRS as "wages, tips and other compensation". However, there is no withholding made on these amounts. (See Regs. Sections 2.10 for details.)

### **Inter-departmental Transfers**

Employee transfers between state departments are not reimbursable under the subject regulations, and if made within one year from a reimbursed relocation, will result in employee liability for paying back any amounts received under these regulations.

### **Contact Person**

It should be noted that specific questions relating to allowability of expenses or particular procedures in processing relocation applications, should be directed to the Manager of Accounts Payable at (404) 894-0348. Prior to filling out any relocation expense application, specific limitations set forth in Policy Memorandum No. 2, Revision 6 should be reviewed. Copies are available from Accounts Payable.

### **Relocation Policy for New Faculty, Staff and Researchers**

**Type of Policy:** Academic

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Charvette Webb

**Contact Title:** Talent Acquisition Manager

**Contact Email:** charvette.webb@ohr.gatech.edu

**Reason for Policy:**

When relocation assistance must be provided in order to successfully recruit the candidate of choice, this policy provides guidelines regarding relocation assistance using Institutional funds for new academic and research faculty, and staff members. The policy also sets forth the guidelines for reimbursement of allowable relocation expenses to the new employee.

**Policy Statement:**

In order to attract the best faculty and staff, Georgia Tech's employment offers must be competitive. Georgia Tech may provide relocation assistance to new employees provided adequate funding is available and proper approval has been obtained.

**Procedures:**

**Eligibility For Program**

- New Academic Faculty – Over and above the following policy guidelines, the Office of the Provost may support the actual costs for moving household goods of new tenured/tenure track academic faculty members. Specific guidelines on faculty relocation may be found at [Moving Expense Payment for New Academic Faculty](#). Departmental Human Resource Representatives (HR Reps) may be contacted for assistance.
- Research Faculty
- Staff at Director level and above. Relocation expenses for other levels of staff may be provided based on availability of unit-level funds and appropriate approvals.
- All appointments must be hired into a benefits eligible position for a period to exceed one academic year.
- The hiring department must have determined that the new employee is the most qualified applicant available to fill the position.
- The recruit must reside, at the time of hire, more than 50 miles from the Georgia Tech office to which s/he will report and the employee's commuting distance must have increased by at least 50 miles one-way.

**Funding Options & Approval Process**

Provided that departmental funds are available and that prior approval has been granted, relocation and moving expenses may be offered to the recruit. The following approvals for estimated relocation expenses are always required prior to an offer of employment being extended: the manager requesting the relocation, his/her manager, the unit Financial Officer and the appropriate Vice Provost, AVP, Vice President, Dean, or higher.

The department's HR Rep/Contact will be responsible for obtaining the approvals using the GT [Relocation Authorization Form](#). The Employment Offer Letter must specify the maximum amount of relocation expenses the Institute may pay the employee.

Funds to assist in the relocation of a new employee are:

- **Institutional (General Operation/State) Funds:** Institutional funds may be used for the specific amount stated in the Employment Offer Letter and may not be used if expenses are not specifically included in Employment Offer Letter.
- **Georgia Tech Foundation Funds (GTF):** Departments are authorized to use foundation funds for relocation assistance and may provide relocation support to academic and/or general faculty and administrative hires through the unit's GTF funds.
  - The Office of the Provost may support the actual costs for moving household goods of new

tenured/tenure track academic faculty members. See [Moving Expense Payment for New Academic Faculty](#) to view specific guidelines as it pertains to faculty relocation.

- **Georgia Tech Research Corporation (GTRC):** GTRC will provide funding in an annual grant (fixed for the year) for reimbursement for travel expenses and/or relocation expenses incurred during the move of full-time professional employees, Research Engineer, Scientist, Associate, and Technologist. These funds will be provided to the Office of Faculty Affairs within the Provost's Office and they will administer those moves on the academic side. Those relocations pertaining to GTRI will be administered by GTRI Accounting.
- **Sponsored Project Accounts:** In rare cases sponsored project accounts may allow for the payment of relocation expenses for specific personnel with prior written approval of the Director of Office of Sponsored Programs.
- Departmental Revenue Funds cannot be used for relocation purposes.

### Travel Related to the Move - House Hunting Expenses

If the move to the new residence is more than one hundred (100) miles from the employee's new work location, the employee may be reimbursed for coach class airfare for himself/herself, spouse and dependent family members who will reside with the employee. A maximum of two house hunting trips and a maximum of three nights lodging per trip may be reimbursed.

Airfare associated with house hunting trips and the actual move may be directly billed to the Institute through Travel Inc. Refer to the [Business and Finance Manual Non- Employee Travel](#) for additional information. Departments may book directly through Travel, Inc. or reimburse the employee's flight purchase by submitting receipts and the [Relocation Reimbursement Form](#) to Human Resources Payroll Department – Attention Tax Accountant.

All house hunting reimbursements must be reported as taxable income. IRS regulations can be found at <http://www.irs.gov/publications/p521/index.html>.

### Household Goods Movement

Georgia Tech's preferred vendor is Armstrong Relocation & Companies. GTRC has contracts with Allied Van Lines and Armstrong Relocation & Companies and either vendor may be selected by the Corporation or moving coordinator. The contract carriers have a wide network of respected affiliates in the moving industry for which contract rates have been negotiated. These agreements provide for direct billing by the carrier to the coordinating unit (Office of Faculty Affairs or GTRI Accounting). The contract carriers handle domestic and international moves and should be used for full-service pack and move service. In-transit insurance coverage is included, contact the contract carrier for current limits. Household goods are defined as those articles normally part of a family's possessions such as furniture and clothing. Certain items such as high value, large collections or excessively heavy items may not be covered and should be discussed with a relocation counselor that will be assigned by the moving company.

Self moves may be offered if individuals are relocating a short distance, if they do not have a large quantity of household goods or if budgetary limitations exist. Reimbursable expenses include: rental truck, necessary packing materials, fuel en route, lodging, and approved travel expenses. The contract carriers also handle short moves and, upon request, will assign a complimentary relocation counselor to assist with the move.

Georgia Tech will pay for up to 30 days of storage through the contracted carrier.

If an employee chooses not to use or is unable to use one of the contract carriers and wishes to select another

vendor, three (3) quotes are required from licensed relocation carriers. Employees must submit the quotes to the Institute as evidence the company providing the lowest quote was selected. Also, when a preferred vendor is not used, employees may receive only partial reimbursement.

Movement of household goods through an approved vendor is a not a taxable benefit. Self moves will be taxed according to specific IRS regulations: [Publication 521 \(2009\), Moving Expenses](#). (Check the IRS Website [www.irs.gov](http://www.irs.gov) for updated regulations and Publication 521, Moving Expenses.)

All vendor initiations must be handled through Office of Faculty Affairs, GTRI Accounting, or Office of Human Resources. Upon completion of the move, departments must submit reviewed vendor invoice within 10 days of receipt to the Office of Faculty Affairs or GTRI Accounting for approval who in turn will forward to Accounts Payable for processing. In the case of a self move, receipts must be attached to the [Relocation Reimbursement Form](#) and submitted to the Human Resources Payroll Department – Attention Tax Accountant.

### **Final Destination Move**

For the final destination move, the employee may be reimbursed for coach class airfare for himself/herself, spouse and dependent family members who will reside with the employee if the employee is traveling farther than 200 miles. Airfare associated with the final move may be directly billed to the Institute through Travel Inc. See [Business and Finance Manual Non- Employee Travel](#) for more information regarding this process.

If driving, Georgia Tech will reimburse according to the IRS Standard and the current rate may be found at <http://www.irs.gov/pub/irs-pdf/p521.pdf>). Any mileage reimbursement that exceeds the current IRS guidelines maybe taxable, please consult your tax advisor or Publication 521 (2009), Moving Expenses. There is a two car maximum limit for reimbursement of mileage driven.

For food and lodging, the Federal per diem rate should be utilized and the rate can be found at <http://www.gsa.gov/Portal/gsa/ep/home.do?tabId=0>. Meals en-route to the new location are taxable.

For mileage reimbursement, receipts and odometer readings or mileage documentation from a map source, such as Mapquest.com, must be provided and reimbursement will be for the most direct route. For airfare reimbursement, e-tickets are acceptable as long as the name of the new employee and the family members match the ticket(s), and show a travel itinerary, cost of ticket and proof of payment. Receipts must be submitted along with the [Relocation Reimbursement Form](#) to the Human Resources Payroll Department – Attention Tax Accountant. Reimbursement of final destination expenses cease the night of arrival to the employee's assigned work location.

### **Temporary Living Expenses**

During the relocation process, at the request of the department, a reasonable part of the expenses associated with temporary living arrangements may be reimbursed. Except for one day (if the employee can no longer live in his/her former home because the furniture has been moved), all temporary living expenses must be reported as taxable income.

Reimbursement for temporary living expenses must be specified in writing as part of the original offer letter, including the maximum dollar amount to be paid and the maximum time period. Via an ePSF, Human Resources Payroll will process as a supplemental income payment and the 'Comments field' on the ePSF must include the total amount to be paid per pay period and the number of pay periods.

### **Reimbursement/Payment Process**

To be reimbursed expenditures must be reasonable and necessary. Expenses must be incurred after the employee executes an [Employment Relocation Agreement](#) and they must be reported within 12 months of the date the employee starts work at the new location.

All expenses must be itemized on the Relocation Reimbursement Form and submitted to the hiring department. Once approved the hiring department should forward the Reimbursement Form and a copy of the Employee Relocation Agreement, including all receipts supporting such expenses, to the Human Resources Payroll Department – Attention Tax Accountant.

Payments to approved moving companies are paid through the Accounts Payable invoice approval process. If there are any tax implications, Accounts Payable will submit the amounts to the Human Resources Payroll Department for taxation and proper reporting.

The Internal Revenue Service (IRS) requires the Institute to report reimbursements and payments associated with the move as additional income to the employee if the reimbursements and payments exceed IRS guidelines. The additional income would also be subject to payroll taxes. IRS regulations can be found at <http://www.irs.gov/publications/p521/index.html>.

### **Non-Reimbursable Expenses**

Non-Reimbursable expenses include, but are not limited to, costs associated with the move of pleasure boats, airplanes, vacation trailers, recreational vehicles, building supplies, storage sheds, and fees associated with home sale or mortgage. Additional insurance that exceeds the state policy is a personal expense.

### **Moving of Laboratories**

When laboratory equipment and supplies must be moved, the department chair or dean must obtain the approval of the Provost, EVPR Research, and/or AVP Research, GTRC. GTRC will initiate and facilitate the move of laboratory equipment. Departments should contact GTRC as soon as possible to coordinate the lab move to coincide with the new employee move. Payments will be processed directly through GTRC.

### **Repayment Provisions**

Any employee to be reimbursed for relocation expenses pursuant to this policy must execute an [Employment Relocation Agreement](#) with GT before such expenses are incurred. The agreement will specify that the employee must remain employed on a regular full-time basis for at least one academic year and that if the employee discontinues employment before one academic year, the employee will reimburse GT. Reimbursement to the Institute will be pro-rated according to the number of months the employee has worked for GT and repayment may be waived if employment is terminated for reasons beyond the employee's control. The repayment provision must be included in the offer letter.

Process: The repayment process will follow the established procedure detailed in [Salary Overpayment Repayment Process](#).

### **General Payment Procedures**

Reimbursement and payment requests will be accepted **after the effective start date** of the employee.

In accordance with IRS guidelines, reimbursement or payment requests must be submitted within sixty (60) days after expenses are incurred or paid.

Any exception requests to this policy must be approved by the President, Executive Vice President for Administration & Finance, Executive Vice President Research, or Provost and Executive Vice President for Academic Affairs or their designees.

**Disclaimer**

Georgia Tech has the sole right to revise, amend, or discontinue this policy at any time.

**Forms:**

[RelocationReimbursementExpenseRequestForm.xls](#)

[RelocationAuthorizationForm.doc](#)

[RelocationRepaymentAgreement.doc](#)

**Form Links:**

[Relocation Reimbursement Form](#)

[Relocation Authorization Form](#)

[Employment Relocation Repayment Agreement](#)

**Related Information:** [www.IRS.gov](http://www.IRS.gov)

**Responding to Allegations of Scientific or Other Scholarly Misconduct**

**Policy No:** 5.14

**Type of Policy:** Administrative

**Review Date:** Dec 2014

Please see the Faculty Handbook [for Policy on Responding to Allegations of Scientific or Other Scholarly Misconduct](#)

**Student Employment****Eligibility for Student Employment**

**Policy No:** 11.1

**Type of Policy:** Administrative

**Effective Date:** Apr 2006

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Policy Statement:**

A student employee is a part-time employee who is currently enrolled in at least a half-time credit load (6 credit hours for undergraduates, 4 credit hours for graduates) at Georgia Tech with the primary goal of achieving a degree. A student employee is considered a temporary employee and is not eligible for benefits. It is allowable to hire enrolled students within the University System of Georgia; however, contact the Office of Human Resources for more information.

**Procedures:**

There are three categories in which a student can be classified; Graduate, Undergraduate, and Co-op described below:

1. Graduate: Graduate Students can be classified as Graduate Research Assistants (GRAs), Graduate Teaching Assistants (GTAs), Graduate Student Assistants (GSAs) and Graduate Assistants. GRAs, GTAs and GSAs are typically hired by the graduate schools to perform assistantships that are related with the student's degree. Graduate Assistants can be hired to perform tasks within a department such as clerical support, web development, etc. Please refer to the policy on [Hour Loads for Graduate Students](#). In addition, contact the Graduate Studies Office and the Office of Academic Affairs for more information regarding appointment of and approvals for hiring GRAs, GTAs, and GSAs.
2. Undergraduate: Undergraduate students are considered Student Assistants. They can perform many jobs within an office such as clerical support, web development, etc. Undergraduate students may qualify for Federal Work Study.
3. Co-op: Co-op students are those students who are currently in a Co-op work semester. For more information regarding the Co-op program, contact the Undergraduate or Graduate Co-op offices.

## Funding

Funding for student positions is allocated within each department each fiscal year. Departments pay 100% of the student's salary unless the student has been approved for a Federal Work-Study Award.

## Federal Work-Study

The Federal Work-Study Program (FWSP) is a federally funded financial aid program offered to students that have a demonstrated financial need. If a student qualifies for the Federal Work-Study Program, a department can hire the student as a FWS Student Assistant. The FWSP will pay a portion of the student's salary up to the allocated award and the department pays the remainder. For more information regarding the FWS Program, refer to policy on [Federal Work-Study Program](#).

## International Students

International students that have an F-1 or J-1 student visa are eligible to work anywhere on campus as a student employee. The following conditions must be met:

- F-1 and J-1 students must maintain a full course load of study in the Fall or Spring unless authorized by OIE to be less than full-time.
- F-1s must have a Georgia Tech I-20; J-1s must have a Georgia Tech DS-2019.
- The international student can work no more than 20 hours per week during the Fall and Spring semesters, but can work more than 20 hours per week during the Summer semester and breaks between the semesters provided that s/he intends to enroll in the next term. However, students who are transferring to a new school may work on-campus until the date that their I-20 is released to the new school.

## Allowable Work Hours

Generally, during an enrolled semester or summer, students should work no more than 20 hours per week or 50% time. There are exceptions to this rule, especially during break or summer periods (if not enrolled for the summer). Students cannot be appointed greater than a total of 100% time.

International students holding an F-1 or J-1 visa cannot work more than 20 hours per week, or 50% time. Please refer to the ISSP office for questions regarding changes in F-1 or J-1 status and how it may affect employment. International students holding an F-1 or J-1 visa cannot work more than 20 hours per week, or 50% time during the Fall and Spring semesters. F-1 and J-1 students can work more than 20 hours in the summer or during semester breaks. Please refer to the Office of International Education for questions regarding changes in F-1 or J-1 status and how it may affect employment.



For graduate students, refer to policy 11.5 on Hour Loads for Graduate Students.

### **Breaks/Vacation (including summer)**

Students can work full time as Student Assistants or Graduate Assistants during break and summer session (if not enrolled), provided that s/he was enrolled in the previous term of the break period and will be enrolled in the following term of the break period.

### **Hour Loads for Graduate Students**

**Policy No:** 11.5

**Type of Policy:** Administrative

**Effective Date:** Oct 2005

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Policy Statement:**

The following general policies are provided to serve as guidelines for determining the hourly workloads of students who are pursuing graduate degrees:

1. Full-time graduate students are expected to give primary attention to the pursuit of their degrees.
2. Graduate students are expected to take semester workloads which will contribute to substantial progress toward a degree.
3. Graduate students shall register for a number of hours of research which is consistent with a realistic appraisal of the amount of work to be done on a project, thesis, or dissertation, and the amount of faculty involvement and use of Institute facilities required.
4. Realistic accounting for graduate student credit hours helps support a quality graduate program.

**Procedures:**

#### **Transcript Recognition of Teaching and Research Activity**

Students holding graduate teaching or graduate research assistantships may register for courses in recognition of teaching (8997) and research (8998) activities if these courses are available for their school. The 8997 and 8998 courses are audit-base courses. **A student may not register for more than a total of 9 hours of 8997 and 8998 during any semester.**

#### **Course Load Requirements**

The following regulations shall govern the semester registration requirements for students who are pursuing graduate degrees:

1. Full-time students must be enrolled for at least 12 credit hours on a letter grade or pass-fail basis. As an exception, the advisor and school chair may allow up to 3 hours out of the 12 minimum to be taken on an audit basis in Fall and Spring semesters; in Summer semesters the advisor and school chair may allow up to 6 hours out of the 12 minimum to be taken on an audit basis. Hours in excess of the required 12 may be taken on any basis. Full-time students working exclusively on thesis research should be registered for 18 or more hours of 7000 or 9000 (Master's or Doctoral Thesis) in Fall and Spring semesters, and for up to 16 hours during

Summer semesters.

2. The following students must register on a full-time basis as defined above:
  1. graduate research and teaching assistants
  2. students supported by fellowships, traineeships, or individual grants
  3. students with out-of-state tuition waivers
  4. students assigned to the Institute by the Armed Forces for the purpose of pursuing a degree
  5. students on student visas
  6. graduate co-op students on non-work semesters.
3. Students involved in thesis research must register for an appropriate number of 7000 or 9000 hours.
4. The minimum load for part-time students is 3 credit hours.
5. A student may register for only one hour of Master's or Doctoral Thesis (7000 or 9000) during the semester of graduation. This exception may be used once for each degree.
6. The maximum allowable semester load for employed students other than graduate assistants is reduced as a function of the number of hours employed per week as follows:

Workload per week	Maximum semester hour load
Full time (40 hours)	6
3/4 of full time (30 hours)	9
2/3 of full time (27 hours)	10
1/2 of full time (20 hours)	12
1/3 of full time (13 hours)	15
1/4 of full time (10 hours)	18 (16 for Summer semesters)

The minimum load for these students is three hours, except as described in Course Load Requirement #5 above, but such students should be encouraged to take the maximum load they can handle in order to progress toward completion of the degree.

**Course Selection**

Full-time students are expected to enroll for a letter grade in regular courses and thesis hours whenever possible. Registration loads should reflect, as much as possible, the student and faculty efforts involved in the program of study. Registration loads each semester should be comprised of various hours from the areas listed below:

n Regular courses: letter-grade, pass-fail and in special cases, audit;

n 7000 or 9000 courses for thesis students;

n Special problem or research project courses;

n Specific courses for teaching or research education;

n GTA/GRA courses 8997/8998 (up to a maximum of 9) if available in the student's major school and the student has an assistantship.

**Guidelines for Registration of Doctoral Dissertation Hours**

1. Beginning full-time doctoral students, especially those who are research assistants, are encouraged to register for at least 3 hours of 9000. This would allow, and encourage, such students to maintain a lighter academic load to begin laying the groundwork for Ph.D. research.
2. Advanced full-time doctoral students who are working primarily on their dissertation research should register for 18 or more hours of 9000 in Fall and Spring semesters, and for up to 16 hours of 9000 for Summer semesters.

If they are taking other coursework, the number of 9000 hours would be reduced by the number of formal coursework hours. Students who are required by their school to register for 8997 or 8998 would further reduce the number of 9000 hours, so that the total number of hours is at least 18 (no more than 16 in the Summer). The advisor and/or school determines whether the total is above 18 for Fall and Spring semesters.

3. Part-time doctoral students engaged in their research phase for the Ph.D. should register for 9000 consistent with their and their faculty member's activity on the dissertation research.
4. All full-time students coded as Master's students but involved in preparation for the Ph.D. are encouraged to register for 9000 consistent with the amount of work involved.

Academic units are encouraged to remove any in-school restrictions on registering for 9000. For example, some schools will not allow a graduate student to register for 9000 until after the student has become a candidate for the Ph.D. degree. The reasoning behind this restriction is not clear unless one takes a very restrictive interpretation of what registering for 9000 means. Academic units are encouraged to adopt a broader interpretation, so that dissertation hours reflect all stages of the doctoral dissertation--literature research, topic selection, experimental/theoretical preparation, research performance, writing, and presentation. All of these stages require Institute facilities and faculty involvement.

**Responsibilities:**

The responsibility for advising graduate students properly, not only in regard to programs of study, but also in regard to minimum and maximum semester course loads, rests solely within the chain from advisor/graduate coordinator to school chair to college dean. Although each graduate student is responsible for knowing the requirements for his or her degree and for insuring the appropriate, steady progress is being made toward that degree, each graduate student must have access to fair and equitable advisement. Responsibility for scheduling the proper requirements for a particular program of study and an appropriate course load per semester rests with the student and advisor alike.

**Tech Temp****Tech Temp Employment Procedures**

**Policy No:** 8.64

**Type of Policy:** Academic

**Effective Date:** Mar 2009

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Charvette Webb

**Contact Title:** Talent Acquisition Manager

**Contact Email:** charvette.webb@ohr.gatech.edu

**Policy Statement:**

The Tech Temp Office will prepare PSFs for all Tech Temp employees. This includes PSFs that effect: Hires, Changes of Status, and Terminations.

**Procedures:****Tech Temp Employment**

A completed Job Order Request is mandatory to initiate online recruitment and/or generate a PSF. The Tech Temp Job

Order Request details the Tech Temp employment process and can be used as a reference for most Tech Temp administration.

**Hiring where assistance with recruitment is needed (if candidate is already identified skip to #6):**

1. Complete a Job Order Request form. Tech Temp Job Order Request may be obtained from OHR's web page (<http://www.ohr.gatech.edu/>) by clicking on the "Forms" link.
2. Either e-mail the form to the Tech Temp Office or forward the hard copy (via campus courier) to the OHR/Tech Temp Office mail code 0435.
3. Indicate on the form that you want to review resumes from the online application Tech Temp pool. To request access to the applicant pool, (at a minimum) the perceived job title, work duties description, required education/experience, and hiring department (and manager) fields must be completed.
4. Instructions as well as access for using the Georgia Tech online application system for Tech Temp recruitment will be sent via email. Make sure your password is operational and contact the OHR/Tech Temp office if there are any problems.
5. While reviewing candidates, print the applications of interest and follow-up with interviews as necessary. Do not move applicants through the brackets, otherwise other departments will not be able to use the applicant pool.

**Hiring where recruitment is completed or not needed (applicant identified through OHR recruitment or referral):**

1. When a candidate is identified and an appropriate title is finalized; determine if the title requires a pre-employment substance abuse screening (all Tech Temp hires require a criminal background check). The Tech Temp office is available for assistance with choosing an appropriate title and pay range for duties assigned to the position.
2. Complete all fields of the Tech Temp Job Order Request. The proposed Tech Temp must bring the authorized Job Order Request, an updated resume (proving qualification for the position/title), appropriate identification documents, and a Pre-Employment Screening Request Form to the Tech Temp Office before the start of any assignment. Applicants are not permitted to begin work until the hiring manager receives conformation of a passed background screening (and a passed substance abuse screening, if applicable).
3. The OHR/Tech Temp office will send a copy of the completed PSF for review and **conformation. Tech**

**Temp Termination Procedures**

Hiring managers are required to send a separate request (termination dates on the Tech Temp Job Order Request are projected only) to terminate a Tech Temp assignment.

1. Send an e-mail requesting the termination and specify the reason and termination date. NOTE : The termination date should be the day after the last day worked by the Tech Temp, e.g., if Brandi Johnson's last day worked was December 1, 2003 -- then her termination effective date would be December 2, 2003.
2. The terminating Tech Temp must hand deliver their completed termination clearance form to the OHR/Benefits Office on the last day of their employment. OHR/Benefits will release the final check and help prepare the Georgia Defined Contribution refund paperwork.

**Pay Rate Changes, Job Changes**

Send an e-mail requesting the pay rate/job change and specify an effective date. Include a detailed outline of the circumstances which justify the pay change.

Send an e-mail detailing any other employment change requests so the circumstances can be evaluated and the

proper course of action can be initiated.

The requesting department will receive a copy of all PSFs prepared by the Tech Temp Office via e-mail. Please review these copies for accuracy and if you have any questions or concerns, contact us immediately at 404-894-7011 or 404-894-8963.

### **Tech Temp Service**

**Policy No:** 8.61

**Type of Policy:** Administrative

**Effective Date:** May 2005

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Charvette Webb

**Contact Title:** Talent Acquisition Manager

**Contact Email:** charvette.webb@ohr.gatech.edu

**Policy Statement:**

Georgia Tech Temps are temporary employees of the Georgia Institute of Technology. Temporary employees shall be employed for a period no longer than six calendar months; however, such temporary employment may be extended up to an additional six months if the appropriate employing supervisor needs the services of that individual, subject to the approval of the Associate Vice President for Human Resources or his/her designated representative. Once an individual has served as a "temporary" employee for a twelve month period, he/she shall not thereafter be employed as a "temporary" employee until a period of thirty (30) calendar days has elapsed. Temporary employees are not eligible to participate in any of the benefits programs offered by the Institute. All assignments are temporary and the Office of Human Resources (OHR) cannot guarantee continuous work assignments. OHR will make every effort to send current Tech Temps on assignments when they become available.

Tech Temp recruitment through the Office of Human Resources is facilitated by use of the Georgia Tech online application system. However, departments may hire applicants (who can present a resume proving their qualification for a position) via personal referral. Hiring managers also have the option to hire a temporary employee through a currently approved and contracted temporary employment vendor (vendor temporary workers are not considered to be Georgia Tech employees and are not paid through Georgia Tech payroll). Information regarding currently approved vendors can be obtained by contacting the Georgia Tech HR/Tech Temp office.

**Procedures:**

**Requirements for Eligibility**

Before the start of any assignment, Tech Temp applicants who are hired as campus employees (whether through referral or OHR recruitment) must provide the Office of Human Resources with the following; an authorized Pre-Employment Screening Request Form, an updated resume documenting their qualification for the open position, proper identification proving their eligibility to work in the United States, and a Tech Temp Job Order Request (signed and dated by the hiring department). The cost of pre-employment screening is the responsibility of the hiring department. See OHR online Policy No. 5.6 for a list of safety sensitive positions.

**Benefits Eligibility**

Tech Temp employees are not eligible to participate in any of the benefits programs offered by the Institute except for the mandatory Georgia Defined Contribution Plan and the optional 403(b) retirement plan.

### **Criminal Background Investigations**

Georgia Tech requires a criminal background investigation for all Tech Temps. Board of Regents policy prohibits employment of applicants with certain convictions. Applicants with a history of these convictions will be refused employment with Georgia Tech. Before the start of any assignment, a Tech Temp must present a departmentally authorized Pre-Employment Screening Request Form. A hiring manager must receive confirmation of a passed background check from the HR/Tech Temp office before any Tech Temp begins work.

### **Pre-employment and Substance Abuse Screening**

Georgia Tech requires alcohol and drug screening tests for individuals working in selected safety-sensitive positions. The notification requiring pre-employment alcohol and drug tests is included in all advertised (regular and temporary) safety-sensitive positions included in the program. Applicants testing positive for alcohol and/or drug abuse will not be considered for employment at Georgia Tech for a period of two years.

Candidates are not allowed to start working until the Tech Temp Office calls a department by phone or e-mail to officially give the hiring status. Timeliness regarding notification of test results can vary depending on applicant's date of specimen submittal, results of test, and administration of Medical Review Officer Rules regarding confidentiality. Complete information regarding this policy can be located at [Pre-Employment and Substance Abuse Screening](#).

### **Dress**

Tech Temps should dress in a professional manner appropriate to their work assignment and/or department. Complete guidelines regarding dress for classified staff can be found, online, in the [Business Casual Dress Policy for Summer and Fridays](#).

### **Punctuality**

It is the responsibility of each temporary employee to be on time for all assignments. If a situation occurs where the Tech Temp is unable to be on time, or must cancel the assignment, the Tech Temp must call the immediate supervisor. If problems such as absenteeism or tardiness persist, the Tech Temp will be terminated.

### **Evaluation and Performance Expectations**

Tech Temps sent out on assignments will be evaluated by the department. The evaluation will be returned to the Office of Human Resources and become part of the employment records. Unsatisfactory evaluations will result in the Temp being denied future referrals as a Tech Temp. Departments may terminate the assignment at any time based on performance, change in needs, or budget considerations. It is the Temp's responsibility to clear all departments at the end of each assignment (turn in keys, Georgia Tech I.D., etc.).

### **Parking**

For information concerning parking permits please see the [Office of Parking and Transportation](#) for further information.

### **Pay Period**

Pay periods end every other Wednesday, and checks are issued the following week on Friday.

### **Overtime**

Tech Temps on assignment do not normally work overtime (more than 40 hours in one workweek) unless written

approval is first received from the current supervisor.

### **Transfers**

Tech Temps on long term assignments will not be transferred to another assignment unless they have been on the current assignment at least one month; made a request in writing to be reassigned; and, received a favorable evaluation from their current assignment.

### **Regular Employment**

Hiring for regular positions is coordinated by the Office of Human Resources. Temporary employees may apply for internal campus-wide (and departmental postings within their department) positions listed on the OHR online application Job Bulletin.

### **Distinction Between Tech Temp and Temporary Researcher**

Applicants who are being considered for positions conducting scientific research (and generally requiring an advanced degree) on a temporary basis should be classified in an appropriate research faculty position. These research faculty positions require additional credential verification (transcripts, reference letters, BOR approval, etc.) beyond what is required to become a Tech Temp. Any Tech Temp job order request that is submitted with primary duties of conducting scientific research will be evaluated by the HR/Research Faculty office for proper classification.

## **Terminations, Reorganizations, and Reassignments**

### **Exit Interview**

**Policy No:** 12.3

**Type of Policy:** Administrative

**Effective Date:** Jul 2011

**Last Revised:** Jul 2011

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Charvette Webb

**Contact Title:** Talent Acquisition Manager

**Contact Email:** charvette.webb@ohr.gatech.edu

**Policy Statement:**

To view the Board of Regents Policy on Exit Questionnaires, please visit:

[http://www.usg.edu/hr/manual/exit\\_questionnaires/](http://www.usg.edu/hr/manual/exit_questionnaires/)

To access the Georgia Tech Office of Human Resources exit survey, please visit: <http://gtohr.gtexit.sgizmo.com/s3>

For Georgia Tech Office of Human Resources Termination Procedures, please visit:

<http://www.ohr.gatech.edu/termination>

### **Reassignment and Reductions in Force**

**Policy No:** 12.5



**Type of Policy:** Administrative

**Last Revised:** Jun 2015

**Review Date:** Oct 2019

**Policy Owner:** Human Resources

**Contact Name:** Julie Joyce

**Contact Title:** Sr Dir-HRBP & Empl Relations

**Contact Email:** julie.joyce@ohr.gatech.edu

**Reason for Policy:**

The Institute established this policy to address unit reorganization and/or reduction of Institute programs and the reassignment or termination of employees.

**Policy Statement:**

It is the goal of Georgia Tech to provide a working environment which offers job stability and security for all Institute employees; however, the continuation of academic, research, and service programs depends to a large degree on the availability of State and Federal funds and the organizational needs of the unit.

**Scope:**

**Entities Affected By This Policy**

All employees of the Georgia Institute of Technology are covered by this policy.

**Who Should Read This Policy**

All employees within the Georgia Institute of Technology should be aware of this policy.

**Policy Terms:**

**Reduction in Force**

An involuntary separation of an employee due to shortage of funds, lack of work, organizational changes, or other reasons of business necessity which require a reduction in staff.

**Reassignment**

A change from one position to another

**Procedures:**

The policy is intended to explain the process to follow should it become necessary to reassign or terminate the services of regular employees because of general program or project reduction, discontinuance, or modifications.

1. Staff reassignments or reductions will be determined on a unit or department basis as necessary.
2. If reassignment within the same unit or department is not possible and a determination has been made to reduce the work force, a written summary justifying the proposed actions shall be prepared by the unit head for review by appropriate higher administrative levels, the Chief Human Resources Officer, and approval by the President or the President's designee. For positions being eliminated, the summary must include the incumbent's age, sex, and race. The summary must also include plans for reassignment or discontinuation of duties.
3. Factors to be taken into account in determining which employee(s) are to be terminated shall include length of service, overall job performance, the position level, and future organizational needs.
4. Employees whose employment will be terminated will be afforded as much notice as possible. Whenever possible the employee should receive the notification at least sixty (60) and preferably ninety (90) days prior to the effective date.
5. The Office of Human Resources shall be notified concurrently with the terminating notice to the employee(s) in order that preferential referral to other available Institute positions can be made.

Appeals of terminations because of general program or project reduction, discontinuance, or modifications are prohibited according to the University System of Georgia's Grievance Policy (refer to the University System of Georgia's Grievance Policy for more details).

**Responsibilities:**

The responsibilities each party has in connection with Reassignments & Reductions in Force are:

Party	Responsibility
Office of Human Resources, Performance and Talent Management	Ensure compliance with policy and offer assistance with policy interpretation.

**Related Information:** [Human Resources Administrative Practice Manual: Employee Relations Grievance Policy](#)

**Reorganizations**

**Policy No:** 12.6

**Type of Policy:** Administrative

**Last Revised:** Oct 2010

**Review Date:** Oct 2016

**Policy Owner:** Human Resources

**Contact Title:** HR Business Partner Manager

**Reason for Policy:**

The Institute established this policy to address unit reorganization which may result in one or more of the following conditions: addition or elimination of responsibilities that impact the structure and scope of the unit, change(s) in reporting relationships within the unit that impact occupied positions, and significant increase or decrease in the number of positions.

**Policy Statement:**

It is the goal of Georgia Tech to provide a working environment which offers job stability and security for all Institute employees; however, the continuation of academic, research, and service programs depends to a large degree on the availability of State and Federal funds and the organizational needs of the unit. Reorganizations should always be based on sound business reasons which promote the improvement or enhancement of operational efficiencies, implementation of best practices, and/or achieve cost reduction.

**Scope:**

**Entities Affected By This Policy**

All classified employees of the Georgia Institute of Technology are covered by this policy.

**Who Should Read This Policy**

All classified employees within the Georgia Institute of Technology should be aware of this policy.

**Policy Terms:**

**Reorganization**

The restructuring of an organizational unit, which may result in one or more of the following: addition or elimination of responsibilities that impact the structure and scope of the unit, change(s) in reporting relationships within the unit that impact occupied positions, and significant increase or decrease in the number of positions.

**Procedures:**

The policy is intended to explain the process to follow should it become necessary to reorganize an organizational unit, which may result in one or more of the following: addition or elimination of responsibilities that impact the structure and scope of the unit, change(s) in reporting relationships within the unit that impact occupied positions, and significant increase or decrease in number of positions.

The requesting unit must prepare a reorganization plan detailing the reasons for action and the positions to be affected. The information should be prepared in the form of a memorandum directed to the AVP-OHR. The recommended format for the memorandum is:

1. Describe actions the unit has taken to this point, if any, to respond to budget reductions (i.e. services, programs or events eliminated, unfilled positions in unit, reductions in travel, etc.)
2. Describe the current business operations and the role of the affected positions within the operation of the unit. Attach a current organization chart with employee titles.
3. Describe the new/different business operations and the impact on positions within the unit. If positions are being reclassified or new positions are being created, include the proposed new job titles; if jobs are being eliminated or an employee's percentage of time is being changed, elaborate on the rationale for doing so. Factors to consider include, but are not limited to: employee tenure with the Institute or department, job performance, and job competencies. Attach a proposed organization chart reflecting the new organization along with relevant job classification questionnaires.
4. Summarize the changes including the number of jobs eliminated, the number of jobs to be changed or created, and any salary savings or adjustments. Include the dates the actions are to be implemented.
5. Include an approval signature block for the AVP-OHR.

Within the Office of Human Resources, the plan will be reviewed by HR Consultancy, Employee Relations, and Compensation (referred to collectively as the "OHR Group"). This review will consist of an assessment of the probable impact on affected personnel. Specifically, the OHR Group will analyze:

1. The impact on employees, particularly those in protected classes
2. The impact of new assignments/opportunities
3. The length of service of affected employees
4. The salary equity within the unit
5. The demonstrable business reasons for the reorganization

The Compensation unit will analyze the impact of the reorganization on current and proposed job grade assignments.

The OHR Group will submit the plan to the AVP-OHR along with a recommendation to approve or deny the request. HR Consultancy will notify the requesting unit, in writing, of the Institute's decision.

Therefore, the following levels of approval are required:

1. Unit Level: Dean or Associate Vice President
2. Office of Human Resources: Heads of Consultancy, Employee Relations, and Compensation
3. Executive Level: AVP-OHR

The University System of Georgia prohibits appealing actions associated with reorganizations such as termination, demotion, salary reduction, program modification, promotion decisions, hiring decisions, challenges to transfers or reassignment, challenges to classification or salary decisions, and termination or layoff because of lack of work or position elimination (refer to the University System of Georgia's Grievance Policy for more details).

**Responsibilities:**

The responsibilities each party has in connection with Reorganizations are:

Party	Responsibility
Office of Human Resources, Consultancy	Ensure compliance with policy.
Office of Human Resources, Performance and Talent Management	Ensure compliance with policy and offer assistance with policy interpretation.

**Related Information:** [Human Resources Administrative Practice Manual: Employee Relations Grievance Policy](#)

**Termination Procedures**

**Policy No:** 12.9

**Type of Policy:** Administrative

**Effective Date:** Jul 2011

**Last Revised:** Jun 2015

**Review Date:** Jul 2019

**Contact Name:** Kim Harrington

**Contact Title:** Associate Vice President-Human Resources

**Contact Email:** kim.harrington@ohr.gatech.edu

**Procedures:**

To view the Board of Regents Policy on Resignations addressing voluntary terminations, please visit:

<http://www.usg.edu/hr/manual/resignations/>

To view the Board of Regents Policy on Dismissals, Demotions or Suspensions addressing involuntary terminations, please visit: [http://www.usg.edu/hr/manual/dismissal\\_demotions\\_or\\_suspensions](http://www.usg.edu/hr/manual/dismissal_demotions_or_suspensions)

To view the Board of Regents Policy on Exit Questionnaires, please visit:

[http://www.usg.edu/hr/manual/exit\\_questionnaires/](http://www.usg.edu/hr/manual/exit_questionnaires/)

For Georgia Tech Office of Human Resources Termination Procedures, please visit:

<http://www.ohr.gatech.edu/termination>

**Unemployment Compensation**

**Policy No:** 4.13

**Type of Policy:** Administrative

**Effective Date:** Jan 2000

**Last Revised:** Jun 2015

**Review Date:** Jan 2019

**Policy Owner:** Human Resources

**Contact Name:** Enrique Passmore

**Contact Title:** Records Supervisor

**Contact Email:** enrique.passmore@ohr.gatech.edu

**Policy Statement:**

Institute employees are covered under The Georgia Employee Security Act, known as unemployment compensation. This insurance program is designed to assist eligible employees who are temporarily unemployed through no fault of their own, are able and available for work, and are unsuccessful in finding work.

**Procedures:**

Employees are mailed a separation notice following termination. The notice should be used to apply for unemployment

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compensation if eligible for benefits. The notice will be issued by the Benefits Department. If further information is needed contact the Benefits Department at (404) 894-1417.

## **Human Resources Administrative Practice Manual: Classification, Compensation, and Payroll**

**Last Revised:** Apr 2014

**Review Date:** Apr 2019

**Contact Name:** Charvette Webb

**Contact Email:** charvette.webb@ohr.gatech.edu

**Reason for Policy:**

This policy ensures consistency among institutions of the University System as necessary for hiring, extending benefits, applying policy, and meeting applicable reporting requirements while also affording the appropriate level of flexibility needed at the institutional level.

For additional information [http://www.usg.edu/hr/manual/employee\\_categories](http://www.usg.edu/hr/manual/employee_categories)

**Policy Statement:**

The University System of Georgia has established employee categories (types of employees and types of employment) to identify persons who are employed by the University System of Georgia. The types of employees and types of employment are used to determine benefits eligibility and applicability of Board of Regents policy, as well as ensure accuracy in reporting based on employee and employment type.

**Related Information:** [Human Resources Administrative Practice Manual: Classification, Compensation, and Payroll](#)

## **Safety & Security**

### **Alcohol and Illegal Drug Use**

#### **Drug and Alcohol Testing**

**Policy No:** 5.7

**Type of Policy:** Administrative

**Effective Date:** May 1999

**Review Date:** Dec 2018

**Policy Owner:** Human Resources

**Contact Name:** Eric White

**Contact Title:** Workforce Strategy

**Contact Email:** eric.white@ohr.gatech.edu

**Reason for Policy:**

To establish policies and procedures for drug and alcohol testing in accordance with the Omnibus Transportation Employee Testing Act of 1991.

**Policy Statement:**

The Omnibus Transportation Employee Testing Act requires alcohol and drug testing of safety sensitive employees in various fields of transportation including employees of the Board of Regents who hold commercial driver's licenses. Rules mandating implementation of the controlled substance (drug) abuse and alcohol misuse prevention programs

were published by the United States Department of Transportation (USDOT) in February 1994.

In accordance with the federal law, Georgia Tech will conduct pre-employment, random, reasonable suspicion, post accident, return to duty, and follow-up drug testing for employees in safety sensitive positions requiring a commercial driver's license.

**Policy Terms:****Employee or applicant**

Any individual who is employed or who has been offered employment in a safety sensitive position.

**Safety sensitive position**

Any position whose incumbent is required to undergo drug and alcohol testing by regulations of the United States Department of Transportation (49 CFR Part 382.103). In general, such positions shall be those where the duties require possession of a valid Commercial Driver's License or other positions subject to drug and alcohol testing as required by federal law or regulation.

**Established drug test, drug testing or drug test**

The collection and testing of urine administered in a manner equivalent to that required by the regulations of the United States Department of Transportation (49 CFR Part 40).

**Illegal drug**

Marijuana/cannabinoids (THC), cocaine, amphetamines/methamphetamine, opiates or phencyclidine (PCP). The term illegal drug shall not include any drug when used pursuant to a valid prescription or when used as otherwise authorized by state or federal law.

**Medical Review Officer**

A properly licensed physician who reviews and interprets drug tests and evaluates those results together with medical history or any other relevant biomedical information to confirm positive results.

**Alcohol testing or alcohol test**

A breath test using an evidential breath testing device capable of printing results and approved by the National Highway Traffic Safety Administration and placed on their "Conforming Products List of Evidential Breath Measurement Devices". Such testing shall be performed only by a certified Breath Alcohol Technician.

**Alcohol confirmation test**

A second test following an alcohol test which indicated an alcohol concentration of 0.02 percent or greater.

**Breath alcohol technician**

An individual who instructs and assists individuals in the alcohol testing process and operates an evidential breath testing device in accordance with the regulations of the United States Department of Transportation.

**Alcohol**

The intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular weight alcohol including methyl and isopropyl alcohol.

**Alcohol concentration or alcohol content**

The alcohol in a volume of breath expressed in terms of grams of alcohol per two hundred and ten (210) liters of breath as indicated by an alcohol test.

**Substance abuse professional**

A licensed physician (Medical Doctor or Doctor of Osteopathy), or a licensed or certified psychologist, social worker,

employee assistance professional, or addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission) with knowledge of and clinical experience in the diagnosis and treatment of alcohol and controlled substances related disorders.

**Refuses testing or refused testing means:**

1. Expressly declining to submit to testing;
2. Failure to appear for testing after proper notification;
3. Failure to remain readily available for testing;
4. Failure to provide adequate breath for alcohol testing without a valid medical explanation;
5. Failure to provide adequate urine for drug testing without a valid medical explanation;
6. Providing a urine sample determined by the testing laboratory and the Medical Review Officer to have been adulterated; or;
7. Engaging in conduct that clearly obstructs the testing process.

**Procedures:**

All applicants for listed positions will be advised of Georgia Tech's commitment to a drug free workplace and that the position for which they are applying requires a pre-employment alcohol and drug test. In addition, applicants will be advised that if selected, they will be subject to random, reasonable suspicion, post accident, return to duty, and follow-up alcohol and drug testing.

**Administration**

Drug and alcohol testing shall be conducted in accordance with applicable federal law, regulations, and procedures. The Georgia Institute of Technology shall enter into such contracts as may be necessary to provide for testing and verification services. Such testing programs shall give due consideration to security of sample collection, chain of custody requirements, accuracy of testing and confidentiality of testing results.

**Applicability**

All safety sensitive employees and applicants shall be subject to drug and alcohol testing for evidence of use of illegal drugs and/or misuse of alcohol. Prior to being placed in a position subject to testing, an employee or applicant shall be notified of the requirement for such testing and of the consequences of a positive result or having refused testing.

**Expense of Drug Testing**

The expense of drug and alcohol testing shall be the responsibility of the employer; provided, however, if an employee or applicant request that a split sample be submitted for separate analysis, the cost of such analysis shall be the responsibility of the employee or applicant.

**Types of Testing:**

Pre-employment Applicants for safety sensitive positions and employees who have not previously performed safety sensitive duties shall be required to successfully complete drug and alcohol testing prior to performing safety sensitive duties.

An employee selected for drug and alcohol testing shall be considered as being on duty for all time necessary to undergo the testing process including such time, if any, as may be required for transportation to and from the same collection facility. An applicant shall not be considered as being on duty for any time necessary to undergo drug and alcohol testing.

Random All affected employees shall be subject to random drug and alcohol testing. The numbers of employees to be tested and the scheduling of employee selection shall be determined by the Office of Human Resources in accordance with applicable law and regulations.



Post-Accident All affected employees shall be subject to post-accident drug and alcohol testing.

Return-to-Duty Any affected employee who has been subject to alcohol testing and whose test result indicates that the employee has misused alcohol, shall undergo a return-to-duty test. Such test must indicate an alcohol concentration of less than 0.02 percent before the employee can be returned to safety sensitive duties.

Follow-Up Following a determination by a Substance Abuse Professional that an employee is in need of assistance in resolving problems associated with alcohol misuse, the appointing authority shall ensure that the employee is subject to unannounced follow-up alcohol testing. Follow-up testing shall be conducted only when the employee is scheduled to perform safety sensitive functions. Testing shall be conducted at least six (6) times in the first twelve (12) months following return to safety sensitive duty and may, upon the recommendation of the Substance Abuse Professional, be continued for up to sixty (60) months.

Reasonable Suspicion Any affected employee may be required to submit to drug and/or alcohol testing when their supervisor has reasonable suspicion to believe that the employee has used illegal drugs or has misused alcohol. The determination of reasonable suspicion shall be made by a supervisor or other official who is trained to make such determinations. Such training shall consist of one (1) hour of illegal drug training and one (1) hour of alcohol training which covers physical, behavioral, speech and performance indicators of probable illegal drug use or alcohol misuse. A written record, signed by the observing official, shall be made to document the observations. Alcohol testing may be conducted only when the employee is scheduled to perform safety sensitive duties.

#### **Disciplinary Action**

If an employee refuses testing or documentation from the Medical Review Officer indicates that an employee has used an illegal drug, the supervisor shall dismiss the employee. The notice of dismissal shall include the name, address and telephone number of at least one (1) Substance Abuse Professional or counseling and treatment program.

If an applicant refuses testing or documentation from the Medical Review Officer indicates that an applicant has used an illegal drug, the applicant shall not be permitted to report for duty and the offer of employment shall be withdrawn.

#### **Alcohol Testing**

If an employee refuses testing, the employee shall be dismissed.

If the results of an employee's alcohol confirmation test indicate an alcohol concentration of 0.02 percent or greater, the employee shall be immediately removed from safety sensitive duties. Any disciplinary or adverse action deemed appropriate by the supervisor may be imposed.

#### **Random Testing**

Random Sample Once each month, the Office of Human Resources shall select, at random, a sample of positions in the subject pool.

Notice of Selection The Office of Human Resources shall notify each employee, if any, that have been selected from the subject pool. The notice shall contain the effective date to be utilized for determining the commencement of testing.

#### **Time Limits**

Employees selected for random drug testing shall be notified of the selection by the supervisor. The supervisor shall specify a date and time by which each employee must report for testing. Such date and time shall be as soon as possible, but not later than two (2) business days following the date the employee is notified to report.

Employees selected for random alcohol testing shall be notified by the supervisor. The supervisor shall specify a date, time, and location to report for testing. The date and time must be during a workday on which the employee is scheduled to perform safety sensitive duties. The employee shall not be notified more than four (4) hours prior to the

time of testing. In no case shall such testing be performed more than two (2) hours before or two (2) hours after the performance of the safety sensitive duties.

**Employees on Leave**

If an employee selected for drug or alcohol testing was on any form of paid or unpaid leave as of the date specified in the Notice of Selection and the incumbent returns to duty within thirty (30) calendar days of the effective date, the supervisor shall specify when the employee shall report for testing.

**Post Accident Testing**

Any employee performing safety sensitive duties who is involved in an on-the-job vehicular accident shall be required to undergo drug and alcohol testing as soon as possible following the accident. Such testing shall only be conducted if the employee is cited under state or local law with a moving violation or the accident involved the loss of human life.

If the accident involved the loss of human life, any employee present in the vehicle at the time of the accident shall be required to undergo drug and alcohol testing.

Under no circumstances shall an employee who may be subject to post-accident testing consume alcohol between the time of the accident and the administration of an alcohol test or until efforts to administer such test have been discontinued.

A drug test shall be administered as soon as possible following an accident, but not later than thirty-two (32) hours following an accident.

In any instance in which an employee is not tested within specified time limits, the supervisor shall prepare and maintain on file a record of the reasons the test was not promptly administered.

**Alcohol Testing Results**

Any employee whose test indicated an alcohol concentration of 0.02 percent or greater shall be given an alcohol confirmation test not less than fifteen (15) minutes nor more than twenty (20) minutes after the original test.

Any employee whose alcohol confirmation test indicated an alcohol concentration of 0.02 percent or greater shall be immediately removed from safety sensitive duties for a period of not less than twenty-four (24) hours.

Any employee whose alcohol confirmation test indicated an alcohol concentration of 0.04 percent or greater shall not be returned to safety sensitive duties until the employee has been evaluated by a Substance Abuse Professional and is able to provide documentation that the Substance Abuse Professional has certified that the employee is fit to return to duty.

Any employee whose alcohol confirmation test indicated an alcohol concentration of 0.02 percent or greater shall not be returned to safety sensitive duties until a subsequent test indicates an alcohol concentration of less than 0.02 percent.

**Unsuitable Sample**

If the testing laboratory and the Medical Review Officer determine that a urine sample is unsuitable for testing without legitimate medical explanation, the employee shall be directed to appear for retesting. Such retesting shall be conducted as an observed sample.

**Rejected Sample**

An employee whose sample is rejected by the testing laboratory or cancelled by the Medical Review Officer shall be directed to appear for retesting.

**Insufficient Sample**

If an employee, while at a collection facility, is unable to produce at least forty-five (45) milliliters of urine after following the procedures of the collection facility, the employee shall be directed to appear the next business day for retesting.

**Positive Results From Testing**

Any employee whose drug testing results indicate the use of illegal drugs shall be dismissed.

**Confidentiality of Results**

Results of drug testing shall be accessible only as is necessary to comply with state and federal laws.

**Medical Review Officer - Drug Testing****Laboratory Reports**

The testing laboratory shall forward the results of all drug testing to the Medical Review Officer who shall assure the security of such results.

**Negative Results**

The Medical Review Officer shall forward negative results of drug testing to the Office of Human Resources as soon as practical.

**Positive Results**

Laboratory reports indicating the presence of an illegal drug(s) shall be retained by the Medical Review Officer for five (5) years. Such information shall be confidential and shall only be available to the Medical Review Officer or designee and the affected employee. Positive laboratory reports shall be reviewed by the Medical Review Officer who shall make determination of legal or illegal usage.

**Employee Contact Procedure**

The Medical Review Officer or designee shall, upon receipt of a laboratory report indicating the presence of an illegal drug, attempt to contact the employee at the daytime or home phone number indicated on the drug testing form and shall attempt to establish a time at which a private discussion may be conducted regarding the results of the random drug testing.

If the employee expressly refuses to discuss with the Medical Review Officer the results of the random drug testing, declines the opportunity to provide an explanation of the results, or admits to the usage of an illegal drug(s), the Medical Review Officer, without further action or review, shall report to the Office of Human Resources that the results of the random drug testing indicate that the employee has used an illegal drug(s).

If the Medical Review Officer is, within two (2) business days of the initial attempt, unable to directly contact the employee, the Medical Review Officer or designee shall contact the Office of Human Resources, who shall contact the employee. The supervisor shall inform the employee that the employee must contact the Medical Review Officer by the end of the next business day, or the employee shall be considered to have refused to contact the Medical Review Officer and, to have used an illegal drug.

**Reporting Determination of Illegal Drug Usage**

If after appropriate review, the Medical Review Officer determines that the results of a random drug testing indicate that an employee has used an illegal drug, the Medical Review Officer shall, in writing, notify the Office of Human Resources. Such notification shall include the specific drug(s) the employee has been deemed to have illegally used.

**Disqualification from Employment****Period of Disqualification**

Applicant Any applicant who refuses drug or alcohol testing or whose testing results indicate the use of illegal drugs or the misuse of alcohol shall be disqualified from employment for a minimum of two years from the date of testing.

Employee Any employee whose employment is terminated due to refusing drug or alcohol testing or whose testing results indicate the use of illegal drugs, shall be disqualified from employment for a minimum of two years from the date of termination.

**Positive Alcohol Or Drug Test Result**

Employees who violate the alcohol misuse rules will be removed from safety sensitive duty, and be referred to a substance abuse professional for evaluation. Before being returned to a safety sensitive position, the employee must:

1. be evaluated by a substance abuse professional;
2. comply with any recommended treatment;
3. have a negative result on a return-to-duty alcohol test;
4. subject his/herself to unannounced follow up tests.

As with an alcohol misuse violation, an employee who has a positive test result will be removed from duty and be referred to a substance abuse professional for evaluation. The result is not considered positive until the Medical Review Officer has interviewed the employee and determined that the positive drug test resulted from the unauthorized use of a controlled substance. Before being returned to a safety sensitive position, an employee must:

1. be evaluated by a substance abuse professional;
2. comply with any recommended treatment;
3. have a negative result on a return-to-duty alcohol test;
4. subject his/herself to unannounced follow-up-drug tests.

The Institute will provide information on contacting substance abuse professionals, counseling and treatment programs. All employees who test positive for alcohol or drug misuse will be encouraged to fully participate in case management and treatment follow-up services available through the Faculty and Staff Assistance Program. Participation is a voluntary adjunct to, not a replacement of rehabilitation. The employee assistance counselor may act as the substance abuse professional, or the counselor may refer the employee to a substance abuse professional appropriate to the employee's insurance plan.

**Employee Alcohol and Illegal Drug Use****Policy No:** 5.5**Type of Policy:** Administrative**Effective Date:** Oct 2009**Last Revised:** Mar 2018**Review Date:** Mar 2019**Policy Owner:** Human Resources**Contact Name:** Eric White**Contact Title:** Employee Relations Consultant**Contact Email:** eric.white@ohr.gatech.edu**Reason for Policy:**

Georgia Tech has a vital interest in maintaining safe and healthy working conditions for its employees. Being under the influence of a drug or alcohol on the job may pose serious safety and health risks not only to the user and to those who work with the user, but also to the students and public we serve. In compliance with the federal Drug-Free Workplace Act of 1988 and Drug-Free School and Communities Act Amendments of 1989, Georgia Tech has established this policy on employee alcohol and illegal drug use.

**Policy Statement:**

Georgia Tech employees must not perform job duties while using any substance in any manner that has a negative effect on performance of assigned duties or adversely affects Georgia Tech business. In accordance with federal and state laws and because of the potential detriment to the health and well-being of Georgia Tech employees, all employees are prohibited from engaging in the unlawful use, possession, manufacture, distribution, dispensation, or sale of alcoholic beverages, controlled substances (including marijuana), or other dangerous drugs on the campus of Georgia Tech (including all property owned or leased by Georgia Tech) and at all Georgia Tech activities on or off campus.

Federal, state, and local sanctions for those convicted of violating laws prohibiting the unlawful use, sale, possession, or distribution of alcohol, controlled substances, or other dangerous drugs include heavy fines, incarceration for various periods of time including life, forfeiture of assets, and suspension or loss of driver, business, or professional licenses.

It is Georgia Tech’s policy to educate our employees about wellness and the hazards of alcohol and drug abuse and the impact this has on their health and well-being, and to provide appropriate referrals to health professionals when problems are reported. Georgia Tech operates an Employee Assistance Program that provides free information and referrals to professional services for its faculty and staff on matters related to the abuse of alcohol and drugs. For more information about the Employee Assistance Program, please visit the Georgia Tech Office of Health & Well-Being website: <http://hwb.gatech.edu/eap>

**Scope:**

This policy applies to all employees, both faculty and staff (including full-time, part-time, student, temporary, intermittent and contracted employees).

Subcontracts with other organizations may require additional procedures for Georgia Tech employees working under those contracts.

**Definitions**

<b>Alcohol</b>	The intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular weight alcohol including methyl and isopropyl alcohol.
<b>Controlled Substance</b>	Any drug (including marijuana), substance, or immediate precursor in Schedules I through V of Official Code of Georgia Sections <a href="#">16-13-25</a> , <a href="#">16-13-26</a> , <a href="#">16-13-27</a> , <a href="#">16-13-28</a> , and <a href="#">16-13-29</a> and <a href="#">Schedules I through V of 21 C.F.R. Part 1308</a> (see “controlled substance” definition in Official Code of Georgia Section <a href="#">16-13-21 (4)</a> ), as well as Schedules I through V of the Federal Controlled Substances Act: <a href="#">21 United States Code Section 812 et seq.</a>
<b>Dangerous Drug</b>	Prescription drugs as defined in the Official Code of Georgia Section <a href="#">16-13-71</a> .
<b>Illegal Drug</b>	All controlled substances and the illegal use of dangerous drugs. The term illegal drug shall not include any drug when used pursuant to a valid prescription or when used as otherwise authorized by state or federal law.

**Procedures:**

**5.1 Annual Notice**

Office of Human Resources	The Georgia Tech Office of Human Resources is responsible for ensuring that this policy is distributed annually to each employee of Georgia Tech.
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<b>5.2 Drug &amp; Alcohol Testing</b>	
Office of Human Resources	The Georgia Tech Office of Human Resources manages the process for pre-employment, random, reasonable suspicion, post-accident, return-to-duty, and follow-up to rehabilitation drug and/or alcohol testing for employees per the <a href="#">Pre-Employment and Substance Abuse Screening Policy</a> and <a href="#">Drug and Alcohol Testing Policy</a> .

<b>5.3 Disclosure</b>	
<b>Pre-Arrest Disclosure</b>	<p>Per the <a href="#">University System of Georgia Policy 8.2.18 Voluntary Disclosure of Drug Use</a>, if prior to arrest for an offense involving a controlled substance, including marijuana, or a dangerous drug, an employee notifies his or her supervisor that he or she illegally uses a controlled substance, including marijuana, or a dangerous drug, and is receiving or agrees to receive treatment under a substance abuse and education program approved by Georgia Tech Office of Human Resources, such employee shall be eligible to retain their position for up to <b>1 year</b>, provided such employee follows the treatment program and is subject to random drug testing.</p> <p>Retention of such employee is conditioned upon satisfactory job performance and does not affect any disciplinary action for criminal conviction or drug related misconduct on the job. The employee's work activities may be restructured if in the opinion of the immediate supervisor it is deemed advisable. This option is available to employees only once during a 5 year period and shall not apply to any such employee who has refused to be tested or who has tested positive for a controlled substance, including marijuana, or dangerous drug.</p>
<b>Criminal Charge Disclosure</b>	<p>Pursuant to <a href="#">University System of Georgia General Criteria for Employment Policy</a>, any current employee charged with a crime (other than a minor traffic offense) must report being charged with such crime in writing to the Georgia Tech Office of Human Resources (<a href="mailto:hr.ask@ohr.gatech.edu">hr.ask@ohr.gatech.edu</a>) <b>within 72 hours</b> of becoming aware of such a charge.</p> <p>Failure to report being charged with such a crime may result in appropriate disciplinary action, including termination of employment. The Georgia Tech Office of</p>

	<p>Human Resources will review the nature of the crime and determine what, if any, action should be taken regarding the employee's employment status until resolution of the charge.</p>
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**5.4 Conviction Notice**

<p><b>All Convictions</b></p>	<p>Pursuant to <a href="#">University System of Georgia General Criteria for Employment Policy</a>, any current employee convicted of a crime (other than a minor traffic offense) shall report such conviction in writing to the Georgia Tech Office of Human Resources (<a href="mailto:hr.ask@ohr.gatech.edu">hr.ask@ohr.gatech.edu</a>) <b>within 24 hours</b> of the conviction.</p> <p>Failure to report such conviction may result in appropriate disciplinary action, including termination of employment. The Georgia Tech Office of Human Resources will review the nature of the crime and determine what, if any, action should be taken regarding the employee's employment status.</p>
<p><b>Employees Working under Federal Contracts</b></p>	<p>If the employee is working under a federal contract, Georgia Tech Office of Sponsored Programs will notify the federal contracting agency within <b>10 calendar days</b> after receiving notice from the employee, or otherwise receiving notice, of drug convictions that occur in the workplace.</p>

**5.5 Employee Assistance Program**

<p><b>Office of Health &amp; Well-Being</b></p>	<p>The Office of Health &amp; Well-Being leads prevention and education efforts related to alcohol and other drug use and abuse for the Georgia Tech community and is responsible for ensuring that information about well-being, the hazards of alcohol and drug abuse, and the availability of appropriate referrals to health professionals through the <a href="#">Employee Assistance Program</a> are given annually to each employee of Georgia Tech.</p> <p>The Employee Assistance Program confidentially refers employees to resources such as clinics, physicians, and agencies. The Employee Assistance Program is provided at no cost to employees; however, the employee may be responsible for payment of services that are beyond the number of sessions provided by the Employee Assistance Program.</p> <p>For more information about the Employee Assistance Program, please visit the Office of Health &amp; Well-Being website: <a href="http://hwb.gatech.edu/eap">http://hwb.gatech.edu/eap</a></p>
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**Enforcement:**

Employee misconduct related to alcohol or drug abuse in violation of this policy will not be tolerated. Any employee who violates this policy or any state or federal law regarding the unlawful use, possession, manufacture, distribution, dispensation, and sale of alcoholic beverages, controlled substances (including marijuana), or other dangerous drugs shall be subject to appropriate disciplinary actions and penalties up to and including termination of employment and referral to appropriate federal, state, or local authorities for prosecution in the courts. Employees may be required, at the discretion of Georgia Tech, or as mandated by law, to participate satisfactorily in a substance abuse assistance or rehabilitation program.

To report suspected instances of noncompliance with this policy, please contact the Georgia Tech Office of Human Resources: [hr.ask@ohr.gatech.edu](mailto:hr.ask@ohr.gatech.edu) or (404) 894-4847, or visit Georgia Tech's *EthicsPoint*, a secure and confidential reporting system, at: [https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=7508](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7508)

**Related Information:**

- [Georgia Tech Employee Assistance Program](#)
- [Georgia Tech Drug and Alcohol Testing Policy](#)
- [Georgia Tech Pre-employment and Substance Abuse Screening Policy](#)
- [USG-BOR Policy 4.6.4 Alcohol and Drugs on Campus](#)
- [USG-BOR Drug Testing Policy](#)
- [USG-BOR Voluntary Disclosure of Drug Use Policy](#)
- [USG-BOR General Criteria for Employment Policy](#)
- [Campus Alcohol Policy](#)
- [Tobacco and Smoke-Free Campus Policy](#)

**Policy History:**

Revision Date	Author	Description
October 2009	Office of Human Resources	New Policy
October 2011	Office of Human Resources	Legal compliance update
March 2018	Office of Human Resources	Legal compliance update

**Pre-employment and Substance Abuse Screening**

**Policy No:** 5.6

**Type of Policy:** Administrative

**Effective Date:** Jul 2001

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Charvette Webb

**Contact Title:** Talent Acquisition Manager

**Contact Email:** [charvette.webb@ohr.gatech.edu](mailto:charvette.webb@ohr.gatech.edu)

**Reason for Policy:**

To establish policies and procedures for pre-employment drug testing as required by O.C.G.A 45-20-111.

**Policy Statement:**

The Georgia Institute of Technology will conduct pre-employment screening examinations designed to prevent hiring individuals who use illegal drugs or individuals whose use of legal drugs indicate a potential for impaired or unsafe job performance.

Georgia Tech has vital interest in maintaining safe, healthful and efficient working conditions for its students and employees. Being under the influence of a drug or alcohol on the job may pose serious safety and health risks not only to the user, and to those who work with the user, but also to the public we serve. The possession, use or sale of an illegal drug or alcohol in the workplace may also pose unacceptable risks for a safe, healthful and efficient operation.

Designated job applicants at Georgia Tech will undergo screening for the presence of alcohol and/or illegal drugs as a condition for employment. Applicants will be required to submit to a urinalysis test at a laboratory chosen by Georgia Tech.

Georgia Tech will not discriminate against applicants for employment because of past abuse of drugs or alcohol. It is the current abuse of drugs or alcohol which prevents employees from properly performing their jobs that the Institute will not tolerate.

**Policy Terms:****Applicant**

a candidate who may be offered employment regular and/or temporary with Georgia Tech or has commenced employment but has not submitted to an established test for illegal drugs.

**Job**

a defined set of key responsibilities and performance standards encompassing one or more positions sufficiently similar in responsibilities and performance standards to be grouped together.

**Position**

a set of duties and responsibilities assigned or delegated by competent authority for performance by one person.

**Illegal Drug**

means marijuana/cannabinoids (THC), cocaine, amphetamines/methamphetamines, opiates, or phencyclidine (PCP). The term

**illegal drug**

shall not include any drug when used pursuant to a valid prescription or when used as otherwise authorized by state or federal law.

**Establish Test**

the collection and testing of bodily fluids administered in a manner equivalent to that required by the mandatory (Guidelines for Federal Workplace Drug Testing Programs (HHS) regulations 53 Fed. Reg. 11979, et seq., as amended).

**Medical Review Officer/**

a properly licensed physician who reviews and interprets results of drug testing and evaluates those results together with medical history or any other relevant biomedical information to confirm positive and negative results.

**Procedures:****Positions to Be Tested**

[Positions to be tested](#)

**Testing**

Fill out the [Applicant's Disclosure and Consent Release of Information](#) form.

An applicant who is offered employment in a position requiring a drug test shall, prior to commencing employment,

submit to an established test for alcohol and/or illegal drugs.

Any applicant who declines an offer of employment for reasons not related to drug testing shall not be deemed to have refused drug testing.

Any applicant who expressly declines drug testing or engages in conduct that clearly obstructs the testing process shall be deemed to have refused drug testing.

Any applicant who fails to appear for drug testing after proper notification shall be deemed to have refused drug testing.

Any applicant who fails to provide adequate urine for testing without a valid medical reason shall be deemed to have refused testing.

### **Screening Results**

**Adulterated Sample:** If the testing laboratory and the Medical Review Officer determine that the sample of an applicant has been adulterated, the applicant shall be deemed to have refused drug testing.

**Rejected Sample:** An applicant whose sample is rejected by the testing laboratory may, at the discretion of the Office of Human Resources, be directed to appear for retesting.

**Unsuitable Sample:** If the testing laboratory and the Medical Review Officer determine that the sample of an applicant is unsuitable for testing without legitimate medical explanation, the applicant may, at the discretion of the Office of Human Resources, be directed to appear for retesting. Such retesting shall be conducted as an observed sample.

**Negative Results:** An applicant whose results of drug testing do not indicate illegal drug usage may be considered as eligible for employment. Such negative results may be utilized by any other state employer for a period of thirty (30) calendar days after the date the test was administered.

**Positive Results:** An applicant whose results of drug testing indicate that the applicant has used an illegal drug(s) shall be disqualified from employment.

**Non-Disclosure:** The results of pre-employment drug testing shall remain confidential and shall not be a public record unless necessary for the administration of this rule or otherwise mandated by other state or federal law.

**Laboratory Reports:** The testing laboratory shall forward the results of all pre-employment drug tests to the Medical Review Officer who shall assure the security of such results.

**Reporting Negative Results:** The Medical Review Officer shall forward negative results of pre-employment drug tests to the Office of Human Resources as soon as practicable. The Office of Human Resources shall notify the appropriate personnel that the applicant is eligible for employment.

**Reporting Positive Results:** Laboratory reports indicating the presence of an illegal drug(s) shall be retained by the Medical Review Officer until a final determination is reached. Such information shall be confidential and shall only be available to the Medical Review Officer or designee and the affected applicant. Positive laboratory reports shall be reviewed and determinations of legal or illegal usage shall be made in accordance with procedures established by the Medical Review Officer.

### **Confirmatory Test**

Any test which indicates the presence of illegal drugs shall be followed by a confirmatory test using gas

chromatography/mass spectrometry analysis. If results of the confirmatory test indicate the presence of illegal drugs, such results shall be reviewed and interpreted by a Medical Review Officer (MRO) to determine if there is an alternative medical explanation. The testing facility will contact the individual directly if confirmatory test and medical review is necessary. If the applicant provides appropriate documentation and the Medical Review Officer determines that it is a legitimate usage of the substance, the results shall be reported as **negative**.

### **Applicant Contact Procedure**

The Medical Review Officer shall, upon receipt of a positive laboratory report, attempt to contact the applicant at the daytime or home phone number indicated on the drug testing form. The Medical Review Officer shall attempt to determine if there is an alternative medical explanation for the positive report.

If the applicant expressly refuses to discuss with the Medical Review Officer the results of the pre-employment drug testing, declines the opportunity to provide an explanation of the results, or admits to the usage of an illegal drug(s), the Medical Review Officer, without further action or review, shall report to the Office of Human Resources that the results of the drug testing indicates that the employee has used an illegal drug(s). The Office of Human Resources shall report to the supervisor that the applicant is disqualified from employment.

If the Medical Review Officer is, within two (2) business days of the initial attempt, unable to directly contact the applicant, the Medical Review Officer shall contact the Employment or Tech Temp Supervisor in the Office of Human Resources, who shall attempt to contact the applicant and shall inform the applicant that the applicant must contact the Medical Review Officer by the end of the next business day, or the applicant shall be considered to have tested positive for the use of illegal drugs, and as specified, to have been disqualified from holding **any position** with the employer for a period of two (2) years from the date the test was administered.

If the Employment or Tech Temp Supervisor is unable to contact the applicant within two (2) business days of the initial attempt, the Supervisor shall so notify the Medical Review Officer. The Medical Review Officer shall then deem the applicant to have tested positive.

Reporting Determination of Illegal Drug Usage: If an applicant is unable or fails to provide an alternative medical explanation for the presence of an illegal drug(s), the Medical Review Officer, after appropriate review, shall notify the Employment or Tech Temp Supervisor that the applicant is disqualified from employment. The results of the test shall remain confidential and shall not be public record unless necessary for the administration of these provisions or otherwise mandated by other state or federal law.

## **Hiring Process**

### **Advertising**

Advertisements for positions (117) listed in this document will include the following statement: "**The Georgia Institute of Technology is committed to a drug free workplace. This position will require a pre-employment drug test.**" This statement will be included in every outside advertisement, i.e. Atlanta Journal/Constitution and Atlanta Daily World, etc..

### **Georgia Tech Job Bulletin**

Positions requiring a pre-employment drug test will be advertised in the Internal and External Job Bulletins under the Qualifications section as follows: "**The Georgia Institute of Technology is committed to a drug free workplace. This position will require a pre-employment drug test.**"

### **Job Request Form**

The Office of Human Resources will be responsible for annotating on the Job Request Form when the position requires

a pre-employment drug test.

**Recruiting, Prescreening and Interviewing**

All applicants for listed (117) positions will be advised of Georgia Tech's commitment to a drug free workplace and that the position for which they are applying requires a pre-employment drug test.

**Former Employees Rehired at Georgia Tech**

If an employee worked in one of the 117 safety sensitive positions, listed in this policy and terminates, the negative test results applied only to that position. If that individual is rehired in the same or another safety sensitive position listed in this policy, the candidate must be retested prior to reporting on the first day of work. Departments must not allow the selected candidate to start working until notification of a negative test result is verified by the Office of Human Resources.

**Drug Testing Process:**

1. After the department interviews and selects the number one candidate, the paperwork will be returned to OHR/Employment. OHR will refer the candidate to the drug testing facility.
2. The drug testing facility, upon completing the test, will notify the Employment or Tech Temp Supervisor (or a designee) of the test results.
3. If the test is positive, the department will be notified by OHR that the candidate is disqualified for employment. The candidate will be notified by OHR regarding the disqualification.
4. If the test is negative, the OHR Supervisor (or designee) will notify the hiring department to make the job offer to the candidate. Disqualification from Employment An applicant who refuses to submit to or fails to appear for an established test for alcohol or illegal drugs or whose test results are positive, shall be disqualified from employment by the state. Such disqualification shall not be removed for a period of two years from the date that such test was administered or offered, whichever is later.

**Disqualification from Employment**

An applicant who refuses to submit to or fails to appear for an established test for alcohol or illegal drugs or whose test results are positive, shall be disqualified from employment by the state. Such disqualification shall not be removed for a period of two years from the date that such test was administered or offered, whichever is later.

**Forms:** [ApplicantConsentForm.pdf](#)

**Related Documents:** [PositionsDrugAlcohol Testing.xls](#)

**DRAFT: Motor Vehicle Use**

**Type of Policy:** Administrative

**Last Revised:** May 2010

**Review Date:** Sep 2016

**Policy Owners:**

Human Resources

Insurance and Claims Management

**Contact Names:**

Jerel Harris, General Safety Manager, [jerel.harris@ehs.gatech.edu](mailto:jerel.harris@ehs.gatech.edu)

Eric White, Strategic Performance Consultant, [eric.white@ohr.gatech.edu](mailto:eric.white@ohr.gatech.edu)

Tom Provancher, Director of Insurance, Claims and Property, [tom.provancher@business.gatech.edu](mailto:tom.provancher@business.gatech.edu)

**Reason for Policy:**

The Georgia Institute of Technology (Georgia Tech) Motor Vehicle Use policy is intended to: (1) implement procedures

for the appropriate use of State of Georgia Vehicles by Georgia Tech faculty, staff, and students while on Institute business; (2) inform Georgia Tech employees of screening and training requirements for driving state vehicles; (3) promote a safe working environment on the Georgia Tech campus; and (4) provide knowledge regarding driver qualifications and disqualifications. Georgia Tech’s main objective is maintaining and promoting a work environment that is productive and meets the necessary standard for business travel.

**Policy Statement:**

Georgia Tech adheres to overarching state and University System of Georgia (USG) policy regarding the use of state-owned vehicles. State policy is provided through the Georgia Department of Administrative Services (DOAS). The DOAS Office of Fleet Services’ [Georgia Fleet Management Manual](#) serves as the policy document governing the acquisition, maintenance, repair and replacement of state-owned passenger-carrying vehicles.

The [USG Motor Vehicle Use Policy](#) sets minimum driving qualification standards for employees who drive vehicles purchased through state funds, including Georgia Tech owned or controlled vehicles, as well as vehicles rented or leased using state funds.

All Drivers, including those who engage in Routine Driving and Special Purpose Driving for the purpose of Institute Business, must have appropriate documentation of a license to drive and operate the vehicle, are subject to annual training, and are required to complete the Driver Acknowledgement Form on an annual basis. In addition, Drivers who are authorized for Routine Driving are subject to an annual Motor Vehicle Record check, are required to complete a Defensive Driving Course every 3 years, and may be required to attend Van Safety Training as provided below.

Georgia Tech will screen employees, students or volunteers whose position includes requirements for operating a State of Georgia Vehicle.

**Scope:**

This Policy applies to all employees, students or volunteers who drive a State of Georgia Vehicle while conducting Institute Business.

**Definitions**

<b>Driver</b>	Georgia Tech employees, students, and volunteers who operate State of Georgia Vehicles within the scope and course of their employment or structured volunteer program duties regardless of the frequency and location of driving.
<b>Institute Business</b>	Business functions or activities that are performed within the scope and course of employment or structured volunteer program for the benefit and best interests of Georgia Tech.
<b>State of Georgia Vehicle</b>	A vehicle purchased through state funds or rented or leased using state funds. State of Georgia vehicles include Georgia Tech owned or controlled vehicles.
<b>Special Purpose Driving</b>	Travel covered by Georgia Tech travel authorization; this includes in-state travel approved through a blanket routine travel authorization as well as occasional trips for professional development, meeting attendance, workshops, conferences, etc.
<b>Routine Driving</b>	Driving that is an essential part of an employee’s job

	conducting business for the benefit and interests of Georgia Tech.
<b>Motor Vehicle Record</b>	A report issued from an agency that issues driver's licenses, that list accidents and violations that appear on the driver's driving record.
<b>Driver's License</b>	Appropriate documentation of a license to drive and operate a motor vehicle.
<b>Driver Acknowledgment Form</b>	A State of Georgia form that is signed by an employee who operates a State of Georgia Vehicle that certifies that he/she is qualified to safely operate the vehicle and is aware of his/her responsibility as a driver.
<b>Scope of Employment</b>	The duties assigned to employees by his/her supervisor, usually within the employee's job description, all of which must be for the benefit and best interests of Georgia Tech.
<b>Structured Volunteer Program</b>	A program organized, controlled, and directed by a responsible Georgia Tech Department and with an established set of written guidelines, policies, and/or procedures, including the scope of duties the volunteer will be performing for the benefit and best interests of Georgia Tech.
<b>Volunteer</b>	A person participating on an unpaid basis and with a set scope of duties in a structured volunteer program.
<b>Authorized User</b>	An individual who has met the qualifications to operate a State of Georgia Vehicle.
<b>Unauthorized Passenger</b>	A person <b>not</b> 1) performing Institute Business, or 2) being transported for the direct support of Institute Business.
<b>Rental/Leased Vehicle</b>	A vehicle that involves an agreement where a payment is made for its temporary use which is owned by another person or company. The owner of the vehicle is the lessor and the party paying for the vehicle is the lessee or renter. Any vehicle rented/leased and used for Institute Business. The rental of motor vehicles for Institute Business is also governed by the <a href="#">Georgia Tech Rental Vehicle Policy</a> .

**Procedures:**

**5.1 Qualification and Training**

<b>Supervisor and Authorized User Responsibilities</b>	<p>Georgia Institute of Technology departments or units that are assigned State of Georgia Vehicles must establish a system for authorized state vehicle use.</p> <ul style="list-style-type: none"> <li>• The Supervisor/Manager must only allow drivers with a valid U.S. license to operate State of Georgia</li> </ul>
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	<p>Vehicles.</p> <ul style="list-style-type: none"> <li>• Other individuals who do not have an employment relationship with the University who are under 18 years of age should not be authorized to transport passengers.</li> <li>• Human Resources must be notified of any position that requires driving so that the initial Motor Vehicle Record check can be completed for individuals who apply for the position.</li> <li>• Each individual authorized to operate a Georgia Tech vehicle should have a copy of the <a href="#">USG Motor Vehicle Use Policy</a>.</li> <li>• Authorized Users should be provided with adequate training on specific features and handling. Training also includes the Department of Administrative Services (DOAS) Training Resources. Operators also should have training for driving practices for unfamiliar vehicles.</li> </ul>
<p><b>Annual Training</b></p>	<p>All Drivers must watch the Auto Liability Coverage and Driving Do's and Don'ts training videos annually. The videos are provided by the Georgia Department of Administrative Services (DOAS). The videos are available on the Office of Human Resources (OHR) Training web site.</p>
<p><b>Driver Acknowledgement</b></p>	<p>Drivers must acknowledge each safety standard by signing their initials next to the standards on the <a href="#">Driver Acknowledgement Form</a> to be deemed eligible to drive. The completed form should be reviewed by the Supervisor/Manager and forwarded to the General Safety office in Environmental Health and Safety.</p>
<p><b>Motor Vehicle Record Check</b></p>	<p>The Motor Vehicle Record of employees whose duties include Routine Driving must be checked annually.</p>
<p><b>Defensive Driving Course</b></p>	<p>Routine Drivers are required to complete a Defensive Driving Course approved by EH&amp;S before driving a State of Georgia Vehicle. This training will occur every 3 years after the driver's date of hire.</p> <p>Environmental Health &amp; Safety (EHS) offers a defensive driving course to GT employees, students, and volunteers for free. Routine driver training records will be maintained in the learning management system utilized by the Department of Human Resources.</p> <p>Completion of the Defensive Driving Course is a pre-requisite for the van-safety driving course. Both courses must be completed before driving a passenger van for Institute business.</p>

<p><b>Van Safety Training</b></p>	<p>Drivers who operate passenger vans for Institute Business are required to attend special van-safety driving courses offered by Environmental Health and Safety and must comply with the <a href="#">Georgia Tech Van Safety Advisory</a>.</p>
<p><b>Privately Owned Vehicles</b></p>	<p>Employees and volunteers who use their personal vehicle for Institute Business or travel should notify his/her supervisor, and follow the <a href="#">Georgia Tech Privately Owned Vehicle (Business) Use Policy</a>.</p>

<p><b>5.2 Disqualifications</b></p>	
<p><b>Driver Disqualification</b></p>	<p>An employee who is considered a Disqualified Driver under the USG Motor Vehicle Policy may not drive on Institute Business until his or her Motor Vehicle Record has been reviewed by the Office of Environmental Health and Safety (EH&amp;S) and the employee has satisfied the corrective measures specified by EH&amp;S.</p>
<p><b>Controlled Substance Policy</b></p>	<p><b>Georgia Tech prohibits the illegal use, storage, transport, or delivery of controlled substances in a State of Georgia Vehicle. Anyone violating this policy will lose their privilege to drive a State of Georgia Vehicle and may be subject to disciplinary action up to and including termination.</b></p>
<p><b>Prohibited Driver Activities</b></p>	<p>Drivers are prohibited from any form of distracted driving as well as:</p> <ol style="list-style-type: none"> <li>1. Knowingly operating an unsafe vehicle.</li> <li>2. Offering rides to unauthorized passengers.</li> <li>3. Utilizing motor vehicle for personal use.</li> <li>4. Ignoring any posted signage.</li> <li>5. Eating while driving.</li> <li>6. Texting or emailing while driving.</li> <li>7. Listening to loud music while driving.</li> </ol>

	<ol style="list-style-type: none"> <li>8. Allowing more passengers than seatbelts available.</li> <li>9. Smoking in motor vehicle.</li> <li>10. Any act that violates the safe operation of a vehicle.</li> </ol>
<p><b>Accidents</b></p>	<p>All accidents that occur in the course of employment or structured volunteer program activities must be immediately reported to the Manager of Insurance, Claims, &amp; Property Control within 24 hours. <b>(Call the Claims Reporting Hotline at 1-877-656-7475 to report accidents).</b></p> <p>Supervisors must complete an accident follow-up checklist and forward it to the Risk Management Services Division (RMS) within 2 working days regarding the accident involving a State of Georgia vehicle.</p> <p>Accidents occurring on campus must be reported to Georgia Tech Police: (404) 894-2500.</p> <p>Failure of a driver to report a motor vehicle accident within 48 hours may result in disciplinary action, up to and including termination of employment.</p>
<p><b>Accident Review Panel</b></p>	<p>All driver accidents will be reviewed by an ad hoc three-member <b>Accident Review Panel</b> made up of one representative from GTPD, one representative from driver's department, and one representative from Insurance &amp; Claims Management, EH&amp;S, or Facilities Fleet Services.</p> <p>The Panel will establish whether the incident was preventable by the driver, the appropriate corrective measures, the applicable discipline process for preventable accidents, and what other corrective actions may be warranted. The panel's decision/recommendations will be final. The panel will provide the decision and recommendations to the driver's supervisor for action.</p>
<p><b>Corrective Measures</b></p>	<p>Corrective measures should include:</p> <ol style="list-style-type: none"> <li>1. Re-watching the driver training videos provided by DOAS and available on the OHR Training web site;</li> <li>2. Re-taking the Defensive Driving Course offered by EH&amp;S.</li> </ol>

	<ol style="list-style-type: none"> <li>3. Waiting a specified period of time before being permitted to drive a motor vehicle</li> <li>4. Steps taken by the manager after consulting with the Office of Human Resources.</li> </ol>
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**Form Links:**

- [Driver Acknowledgment Form](#)
- [Driver Notification Form](#)
- [Supervisor's Accident Follow-up Checklist Form](#)

**Responsibilities:**

Party	Responsibility
Office of Human Resources	Ensure compliance with Policy
Environmental Health & Safety	Ensure compliance with policy; provide a general orientation to each new employee, including information on employee benefits if applicable.
Institution Managers/Supervisors	Ensure compliance with policy; review with new employees the duties and responsibilities of their position, review departmental policies and procedures

**Enforcement:**

Drivers and Supervisors who violate this policy could face disciplinary action up to and including termination.

To report suspected instances of noncompliance with this policy, please contact the Office of Human Resources or visit Georgia Tech's *EthicsPoint*, a secure and confidential reporting system, at: [https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=7508](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7508)

**Related Information:**

- [Georgia Fleet Management Manual](#)
- [USG Motor Vehicle Use Policy](#)
- [GT Rental Vehicles Policy](#)
- [Van Safety Advisory Information and Training](#)
- [DOAS Auto Program](#)
- [DOAS Comprehensive Loss Control Program](#)
- [DOAS State Tort Claims Policy](#)
- [GT Motor Vehicle Use Program Driver Safety Tips](#)
- [USG Motor Vehicles Policy](#)
- [USG Vehicles Policy](#)
- [GT Privately Owned Vehicles-Business Use Policy](#)
- [GT Insuring of State Owned Vehicles Policy](#)
- [GT Insuring Long-Term Leased Vehicles Policy](#)
- [GT Motor Vehicle Maintenance Policy](#)
- [Review of Incident Reports](#)

**Policy History:**

Revision Date	Author	Description
December 2017	Office of Human Resources	New policy

**Hazardous Weather/Emergency Conditions Plan**

**Policy No:** 2.9

**Type of Policy:** Administrative

**Effective Date:** May 2006

**Review Date:** Dec 2018

**Policy Owner:** Security and Police

**Contact Name:** William Smith

**Contact Title:** Dir-Emergency Preparedness

**Contact Email:** william.smith@ep.gatech.edu

**Reason for Policy:**

The purpose of the plan is to set forth policies, procedures, lines of responsibility, authority, and communications necessary to effect a rapid and orderly process for either canceling classes or closing the campus in the event of hazardous weather conditions or other emergency situations.

**Policy Statement:**

**Situation**

Weather (or other emergency situations) may make it necessary for Georgia Tech to declare either CLASSES CANCELED or CAMPUS CLOSED conditions. Which declaration is made will determine which employees are required to come to work.

When the CLASSES CANCELED condition is in effect, all classes and instructional laboratories are canceled. Students and instructional faculty are not to report to campus. Administrative and research activities not directly tied to the instruction function will generally continue as normal, unless otherwise instructed by a supervisor. Other support employees may also be instructed not to report to work at the discretion of the administrator responsible for each major division.

When a CAMPUS CLOSED condition is in effect; no employees are to report to work, except those previously designated as "emergency essential" by their department, or otherwise instructed by a supervisor.

When a DELAYED OPENING UNTIL TIME condition is declared.

**Procedures:**

**Execution**

Weather conditions may change drastically at any time of the day or night presenting hazardous conditions affecting employees working all shifts.

When the decision is made by the Senior Vice President for [Administration and Finance](#) (or alternate), in consultation with the President, to declare CLASSES CANCELED, CAMPUS CLOSED or DELAYED OPENING UNTIL TIME, the Associate Vice President of Institute Communications and Public Affairs will immediately notify local radio and television stations and place the campus status decision on the Institute's main Web page ( <http://www.gatech.edu/> ). The AVP will also contact the [Office of Information Technology \(OIT\)](#) to place a message on the main campus phone line, 404.894.2000, noting the status of the campus.

The [Georgia Tech Police Department](#) will also immediately notify the administrators on the [Hazardous Weather/Emergency Conditions Notification List](#) . Each administrator will then notify appropriate people in their own departments.

Since safety of employees and students is of primary concern, it is of utmost importance that a decision process and a notification process be established so those who might otherwise be traveling to campus will be notified of campus conditions prior to the time they would normally begin their commute to campus. Conditions permitting, all decision processes will be completed immediately upon the determination of a current or imminent hazardous weather condition and all notifications of CAMPUS CLOSED be made as soon as possible after the decision is rendered by the Senior Vice President for Administration and Finance.

Employees and students should listen or watch the major radio and/or television media in the Atlanta area to learn about the campus' status. For those with Internet access, check the Georgia Tech home page ( <http://www.gatech.edu/> ) frequently for the most up to date information. Employees and students may also call the main Georgia Tech phone number (404.894.2000) to hear a pre-recorded message.

### **Tornado Safety Information**

In the Atlanta metropolitan area, the period from March through May is normally the peak season for tornadoes. Tornado "Watch" and "Warning" information is announced over radio and television stations and weather alert radios which are automatically tuned to the national weather broadcast frequency.

It is recommended that each vice president, dean, director, department head, and lab director obtain a weather alert radio and have it located in an area which is occupied at all times during normal Institute working hours. These weather alert radios automatically broadcast information on all hazardous weather identified by the National Weather Service for the metropolitan area.

If a tornado warning is issued for the Atlanta area, faculty, staff, and students should seek shelter in the basement or in the interior corridors, stairways, or rooms of the lowest floor of the building.

### **Atlanta Media Contacts Regarding Inclement/Emergency Weather Conditions**

Updated June 14, 2006

Main Campus, including Cobb County Research Facility and NEETRAC Facility (south of the airport)

#### **TV**

WAGA Channel 5  
WGCL Channel 46  
WSB Channel 2  
WXIA Channel 11

#### **Radio**

WGST 640 AM/105.7 FM (includes WPCH 94.9 FM, WKLS 96.1 FM)  
WSB Radio Group (includes NewsTalk 750 WSB, B-98.5 FM, KISS 104.1 FM, Fox97 WFOX, and 95.5 The Beat.)

### **Savannah Campus**

#### **TV**

WJCL Channel 22  
WTGS Channel 28  
WSAV  
WTOC

#### **Radio**

WRHQ FM  
WSVH FM 91.9  
WHCJ FM  
WVGS FM

### **Hazardous Weather/Emergency Conditions Notification List**

Upon being alerted to hazardous weather, weather-related hazardous conditions, or other emergency situations that affect the campus, the campus police will notify the Associate Vice President for Facilities (or designated alternates) of the hazardous weather, campus and area conditions, or other emergency factors.

After being notified of a "CLASSES CANCELED," "CAMPUS CLOSED" or "DELAYED OPENING" decision by the Senior Vice President for Administration and Finance (or alternate) for both Georgia Tech - Main Campus and Georgia Tech - Cobb County Research Facility, campus police will then notify each of the following administrators (or designated alternates):

Executive Assistant to the President  
Provost and Vice President for Academic Affairs  
Vice President, Student Affairs  
Vice Provost for Research and Dean of Graduate Studies  
Vice Provost for Undergraduate Studies and Academic Affairs  
Vice Provost for Distance Learning, Continuing Education and Outreach  
Vice President and Director, GTRI  
Vice President, Development  
Dean, College of Architecture  
Dean, College of Computing  
Dean, College of Management  
Dean, College of Engineering  
Dean, Ivan Allen College  
Dean, College of Sciences  
Dean and Director of Libraries  
Director of Athletics  
Registrar  
Associate Vice President, Human Resources  
Associate Vice President, Auxiliary Services  
Associate Vice President, Financial Services  
Associate Vice President, Budget and Planning  
Associate Vice President/Associate Vice Provost, Information Technology  
Secretary to the Senior Vice President for Administration and Finance  
Institute of Paper Sciences & Technology  
GCATT

The administrators shown above should notify those administrative units reporting directly to them.

**Related Information:** [Emergency Procedures](#)



## Tobacco and Smoke-Free Campus Policy

**Policy No:** 5.15

**Type of Policy:** Administrative

**Effective Date:** Dec 2005

**Last Revised:** Jun 2015

**Review Date:** Sep 2017

**Policy Owner:** Human Resources

**Policy Owners:**

Administration and Finance

Human Resources

Student Health Services

**Contact Names:**

### Policy Statement:

The Georgia Institute of Technology is committed to taking all practical measures to create a safe and healthy work environment for all students, faculty, staff, and visitors. Georgia Tech complies with the Board of Regents Tobacco and Smoke-Free Campus Policy (6.10).

### Compliance

Management is responsible for ensuring adherence to the policy. Violators of this policy may be subject to disciplinary action. Questions or concerns regarding this policy or other related matters should be addressed to the appropriate department manager or to the Office of Human Resources.

### Related Information:

[BOR Tobacco and Smoke-Free Campus Policy](#)

[General Work Rules](#)

### Policy History:

Revision Date	Author	Description
10-2015	Policy Specialist	Policy Owner and contacts update
10-2014	Human Resources	Updates to verbiage

## Visitors in the Workplace

**Policy No:** 5.19

**Type of Policy:** Administrative

**Effective Date:** Aug 1998

**Last Revised:** Feb 2014

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Lori Jones

**Contact Title:** Global HR Supervisor (Interim)

**Contact Email:** lori.jones@ohr.gatech.edu

**Policy Statement:**

It is the policy of Georgia Tech to provide a workplace for all employees that is professional and free from distraction.

**Procedures:**

Individual department managers may impose restrictions, which are considered appropriate to the successful operation of the individual unit, on visitors in the workplace.

Except when authorized by the department-head/manager, all visitors including relatives of employees, who do not have official business with the department may be restricted from prolonged visits to the workplace. Time spent attending to a personal visitor, especially a child, detracts from work production of not only the employee, but also co-workers. In no case should the work site become a substitute for a day care center.

Work areas, laboratories, closed stacks, trade shops, machine rooms, and other Institute work areas should be off limits to anyone but employees authorized access to minimize physical risk to the individual as well as risk to the Institute. However, if visitors must visit risk associated areas, they should be accompanied by an authorized employee.

## Workplace Violence

**Policy No:** 5.2

**Type of Policy:** Administrative

**Effective Date:** Mar 2004

**Last Revised:** Mar 2017

**Review Date:** Mar 2020

**Policy Owner:** Security and Police

**Contact Name:** Rob Connolly  
**Contact Title:** Chief of Police  
**Contact Email:** robert.connolly@police.gatech.edu

**Reason for Policy:**

The Georgia Institute of Technology (Georgia Tech) is committed to providing a workplace that is free from violence by establishing preventative measures, by holding perpetrators of violence accountable, and by providing assistance and support to victims. This procedure provides a collaborative, cross-functional approach to assessing and responding to individuals who might pose either an immediate threat to themselves or others or a less immediate threat, and establishes a Consultation and Assessment Team to evaluate and review workplace violence on campus.

**Policy Statement:**

A safe and secure environment is a fundamental prerequisite for effectiveness and innovation in teaching and learning, research advances, and entrepreneurship in all sectors of society. Georgia Tech reaffirms the basic right of students, faculty, staff and visitors to a safe campus work environment. Threatening behavior or violence on the campus of Georgia Tech, satellite locations, and sanctioned functions off campus are prohibited and will not be tolerated. Violence, for the purpose of this policy includes, but is not limited to: intimidation, bullying, stalking, threatening behavior, physical attack, property damage, or domestic and family violence.

**Scope:**

This policy applies to Georgia Tech students, faculty, staff, vendors, clients, and visitors.

**Definitions:**

<b>Bullying</b>	Offensive and malicious behavior that undermines an individual or group through persistently negative attacks. The behavior may include an element of vindictiveness, and is intended to undermine, patronize, humiliate, intimidate or demean the recipient.
<b>Domestic, Relationship, and / or Family Violence</b>	Abusive or violent behavior, including threats and intimidation, between people who have an ongoing or a prior intimate relationship (including people who are married, live together or date, or who have been married, lived together or dated) or between family members.
<b>Intimidation</b>	Behavior intended to frighten, coerce, or induce duress.
<b>Physical Attack</b>	Unwanted or hostile physical contact including, but not limited to, hitting, fighting with, shoving, restraining, or throwing objects at a person.
<b>Property Damage</b>	Intentional damage to property, including property owned by Georgia Tech or by employees, students, clients, visitors, or vendors.
<b>Stalking</b>	Following a person, placing a person under surveillance, or contacting a person for the purpose of harassment or intimidation.

<b>Threatening Behavior</b>	The expression of intent to cause physical or mental harm. An expression constitutes a threat without regard to whether the party communicating the threat has the present ability to carry out the threat and without regard to whether the expression is contingent, conditional, or future.
<b>Workplace Violence</b>	Acts of violence committed by or against any individual on the campus of Georgia Tech, at satellite locations, or at sanctioned functions off campus that involve students, faculty, staff, vendors, clients, and/or visitors.

<b>5.1 The Consultation and Assessment Team</b>	
<b>Facilitators</b>	<p>The Consultation and Assessment Team will be facilitated by:</p> <ul style="list-style-type: none"> <li>• The Chief of the Georgia Tech Police Department</li> <li>• The Associate Vice President of Human Resources (for situations involving faculty and/or staff)</li> <li>• The Vice President for Legal Affairs and Risk Management</li> </ul>
<b>Support Team Members</b>	<p>The threat of or act of violence being assessed may require varying expertise and /or perspectives. Only those needed to assess and manage a specific situation will need to be included in the Team. Those who might be called upon to participate in a threat assessment include:</p> <ul style="list-style-type: none"> <li>• The Director of Health Services</li> <li>• The Director of the Georgia Tech Counseling Center</li> <li>• The Vice President for Legal Affairs and Risk Management</li> <li>• The Director of Environmental Health and Safety</li> <li>• The Associate Director of Residence Life</li> <li>• The Director of the Women's Resource Center</li> <li>• The Director of the Georgia Tech Research Institute</li> <li>• Any other individual with knowledge of or expertise related to the situation, as identified by the facilitator(s).</li> </ul>

<b>5.2 Threats and Acts of Violence</b>
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<p><b>Immediate Threats</b></p>	<p>Any member of the Georgia Tech community observing violent or threatening behavior is expected to first secure his/her own safety and then immediately contact the Georgia Tach Police Department. If the incident occurs off campus or at satellite locations, the observer should first call 911 or the emergency number of the facility at which he/she is located. The Police Department will notify the Consultation and Assessment Team (CAT) of the facts of the event.</p> <p>A facilitator with knowledge of the event(s) will determine which team members will be needed to investigate and assess the event to determine if preventive measures should be established, changed, or added. If necessary, counselors will be made available to provide stress debriefings for members of the Georgia Tech community affected by the incident.</p>
<p><b>Less Immediate Threats</b></p>	<p>When a possible threat is identified, the person who is concerned will contact the appropriate facilitator (or his/her designee). If the incident arises during non-business hours, the person who is concerned will contact any other individuals who can assist in reporting to the appropriate facilitator.</p> <p>The facilitator will determine which team members are needed to assess and manage the situation, and convene those individuals. This group will assess the potential danger, explore possible outcomes of various approaches to managing the threat, and then implement a plan. Anyone with a follow-up assignment will update the team members involved via email, telephone, or in person. Personally identifiable information should be kept to a minimum on email (i.e., use initials or refer to "the person we discussed"). After the plan is implemented, the facilitator will be responsible for coordinating follow-up to insure that the threat has been appropriately managed.</p> <p>Team members must recognize and respect that there are members of the campus community and visitors who will have legal and ethical limitations on information that may be shared when discussing a concern. It is the responsibility of each team member to exercise his or her best professional judgment in determining what information may be shared with the team.</p>
<p><b>5.1 Training and Resources</b></p>	

<p><b>Supervisory Training</b></p>	<p>Employees who have supervisory responsibilities should receive training in the identification of and how to deal with workplace violence. This training may include, but will not be limited to, conflict resolution, counseling and stress management. All training will emphasize the need to address workplace violence with professionalism, sensitivity, and respect for all individuals involved.</p>
<p><b>Resource Coordination</b></p>	<p>Facilitators will work to develop relationships and coordinate their procedures with relevant off-campus resources (law enforcement, hospitals, etc.) to ensure the availability of these resources when needed.</p>
<p><b>Policy Review</b></p>	<p>Facilitators will meet quarterly to review campus needs, and if indicated, facilitate the revision of policies and procedures to address workplace violence.</p>

**Responsibilities:**

Responsibilities

1. Chief of Police

The Chief of Police is responsible for forming and facilitating Consultation and Assessment Teams to assess and/or manage workplace violence incidents involving individuals who are not Georgia Tech students, faculty or staff. As a designated facilitator the Police Chief is responsible for resource coordination, policy review and ensuring supervisory training for Police Department personnel. The Chief of Police may designate a member of the Police Department to perform the required tasks.

2. The Associate Vice President of Human Resources

The Associate Vice President of Human Resources is responsible for forming and facilitating Consultation and Assessment Teams to assess and/or manage workplace violence incidents involving faculty or staff. As a designated facilitator the Associate Vice President is responsible for resource coordination, policy review and ensuring supervisory training for staff personnel. The Associate Vice President may designate a member of the Office of Human Resources to perform the required tasks.

3. The Dean of Students

The Dean of Students is responsible for forming and facilitating Consultation and Assessment Teams to assess and/or manage workplace violence incidents involving students. As a designated facilitator the Dean of Students is responsible for resource coordination and policy review. The Dean of Students may designate a member of the Dean's Office to perform the required tasks.

**Enforcement:**

To report suspected instances of noncompliance with this policy, please visit Georgia Tech's *EthicsPoint*, a secure and confidential reporting system, at: <https://secure.ethicspoint.com/> or call 1-866-294-5565.

**Related Information:**

[USG Human Resources Administrative Practice Manual: Safety and Security: Workplace Violence](#)

[USG Ethics Policy: 8.2.20.5 Code of Conduct](#)

[U.S. Department of Labor: Occupational Safety and Health Act of 1970](#)

[O.C.G.A. § 16-11-127.1 Carrying Weapons within School Safety Zones](#)

[O.C.G.A. § 19-13-11, et. seq. – Protective Orders](#)

## Time Away From Work

### Absenteeism and Lateness

**Policy No:** 2.1

**Effective Date:** Mar 1998

**Review Date:** Feb 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

Georgia Tech's primary objective is to educate our students and at the same time operate efficiently the various departments across campus that support this effort. In order to do this in a tradition of high quality, our departments must be fully staffed. Absenteeism and lateness detract from this service and cause an undue burden for those employees who must fill in for absent employees. Each employee is expected to report to work promptly at the beginning of the day and after lunch. If an employee finds it necessary to be absent from work, such absence should be immediately reported to the supervisor. A record of tardiness and inexcusable absence may interfere with promotion and may result in loss of pay or disciplinary action. See Sick Leave Policy--Procedure No. 2.13 and Vacation Policy--Procedure No. 2.15.

**Policy Statement:**

In regard to attendance and lateness, employees are expected to:

1. Maintain good personal health standards which will allow them to perform their work in a competent manner on a regular basis.
2. Avoid letting minor ailments keep them from performing their jobs. At the same time, good judgment should be used with respect to contagious ailments which might have an adverse effect on other employees.
3. Attend to personal affairs during nonworking hours.

#### Minor Rule Violations

The following are considered as minor rule violations:

1. Excessive tardiness or absenteeism.
2. Failure to notify the supervisor within the first two hours after start of shift on the first day of absence.

**Procedures:**



The department supervisor is responsible for maintaining the lowest practical level of absence. The most effective way for the supervisor to do this is to talk with the employee returning from an absence. This will place emphasis on attendance and set the climate in the unit. At the same time the supervisor can ascertain if there is a reason behind the absenteeism. Although it is the employee's responsibility to correct problems and prevent absenteeism, the supervisor can counsel the employee on the importance of maintaining good attendance. In order to accomplish this the supervisor should:

Receive the call concerning absence personally (if possible).

1. Speak directly to the employee rather than a relative or friend.
2. If the employee appears to be suffering only minor ailments, encourage the employee to come to work.
3. Inquire whether the employee has taken steps to improve the condition causing the absence.
4. Determine when the employee expects to return to work.

By following the pattern outlined above, the supervisor should be able to detect poor attendance habits and take corrective action. There is no substitute for working closely with an employee and determining the validity of each absence as it occurs. The supervisor might also bear in mind the following:

1. Frequency of absence. Frequent short-term absences often indicate the formation of poor attendance habits.
2. Patterns of absence. A pattern of Monday or Friday absences, or absences on the day before or after a holiday or long weekend, will indicate an unsatisfactory attendance pattern.
3. Causes of absence. Absences of a questionable nature or those absences which could have been avoided by proper advance planning should be monitored closely.
4. Lateness record. Lateness should be considered with absenteeism in determining unsatisfactory attendance patterns.
5. Length of service. An employee with long service and an attendance record which in previous years has been good would be given a little more latitude in any particular year when there is a noticeable change in attendance.

### **Supervisory Counseling-- Chronic Absenteeism or Lateness**

Early steps toward correcting chronic absenteeism should take the form of private, individual counseling between supervisor and employee. This counseling session should cover the following:

1. A review with the employee of his personal attendance record.
2. A statement of why the record is unsatisfactory, and that it must be corrected.
3. A discussion of the reasons for absence and for not calling in, if applicable. Here the supervisor should listen closely to the employee's stated reasons and try to assess their validity.
4. An inquiry to the employee as to whether he thinks his personal attendance record is satisfactory. Let him be his own judge.
5. An inquiry to see if the Office of Human Resources may assist the employee with problems causing absence. This may include solving transportation difficulties, a medical assessment by a doctor, or referral to the Faculty/Staff Assistance Program (see Procedure No. 6.3). While the supervisor should not become deeply involved in personal problems of employees, he/she may be able to suggest ways to solve absence-causing problems.
6. Emphasizing to the employee that he/she is expected to:
  - be at work, on time, all the time.
  - notify the supervisor of absences.
  - let the supervisor know in advance of impending absences, whenever possible.
  - come in late rather than not report at all.
  - call in every other day, if absent for an extended period (if requested).
  - bring in a doctor's release to work, if absent over 5 days or sooner if requested by the supervisor,

especially in cases of chronic absenteeism.

7. Finally, the supervisor should emphasize (if the absences are considered excessive) that the employee is jeopardizing his/her own future with Georgia Tech, his merit increases, his vacation earnings, and his potential for promotion. The threat of discipline should be avoided at this point, as it may undermine the positive impact of the face-to-face meeting. At this stage the supervisor should try to be helpful. If discipline actually becomes necessary, the employee can be told that he is in danger of losing his job (see Corrective Action and Disciplinary Procedures, No. 5.13).

## **Campus Closed – Inclement Weather and Other Emergencies**

**Policy No:** 2.10

**Type of Policy:** Academic

**Last Revised:** Jan 2017

**Review Date:** Jan 2020

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

The purpose of this policy is to provide consistent guidance regarding emergency and/or inclement weather closing. As with all policies, not every situation can be anticipated or covered. Any situation that is not specifically addressed in this policy will be handled on a case-by-case basis at the discretion of the President or Institutional Leader.

**Policy Statement:**

Emergency conditions like the weather, declared state of emergency, safety, or other situations may require the Institute to declare the campus closed. When the Institute is declared closed, all academic classes, administrative offices or other functional areas are suspended and only essential services are maintained.

In accordance with Board of Regents Policy (Section 8.2.7.7), in the event of inclement weather or any emergency which requires the absence of employees, the President or Institutional Leader of a unit in the System may declare leave with or without pay. Employees whose job responsibilities require that they work during hazardous or emergency weather conditions in order to maintain critical institutional functions, e.g. public safety or facility employees, information technology or employees with critical health and safety responsibilities, may be designated as 'essential personnel' by their organization.

Essential personnel will be expected to maintain a normal work schedule unless specifically excused. Essential Personnel who are required to report to work during inclement weather or other emergency closings may receive Campus Closed Pay for their regularly scheduled hours. Designated Essential Personnel refusing to report to work may be subject to the Institute's Progressive Discipline Policy 5.13.

**Scope:**

**Entities Affected By This Policy**

All U.S. based campuses of the Georgia Institute of Technology.

**Who Should Read This Policy**

All U.S. based campuses of the Georgia Institute of Technology.

**Notification:**

Faculty and staff can find out about campus closures and Tech's weather response in several ways:

- An alert will be sent via the Georgia Tech Emergency Notification System (GTENS).
- Updates will be shared on the Georgia Tech homepage, [www.gatech.edu](http://www.gatech.edu).
- A pre-recorded message will be placed on the main campus information line, 404-894-2000, noting the status of the campus.
- Information will be shared via social media. Updates will be posted to Twitter at [@gtpdalerts](https://twitter.com/gtpdalerts) and [@georgiatech](https://twitter.com/georgiatech), and on Facebook at [www.facebook.com/gtemergency](http://www.facebook.com/gtemergency) and [www.facebook.com/georgiatech](http://www.facebook.com/georgiatech).

**Policy Terms:**

**CCD:** The payroll code entered on a timecard to represent Campus Closed time *for employees not working* during the closure.

**CCE:** The payroll code entered on a timecard to represent Campus Closed time *worked by essential personnel during the closure*.

**Non-Exempt Employees:** bi-weekly paid (hourly time reporters).

**Exempt Employees:** Monthly paid employees who do not report hours worked, no special procedures or time reports are necessary as a result of closure.

**Essential Services or Personnel:** Departments should create and maintain a list of services and employees who are considered essential to running critical functions within their operations in the event of a declared emergency. This list is to be updated on at least an annual basis, employees should be notified that they are on the list. The list of essential personnel should be housed in the Georgia Tech Police Department Office of Emergency Preparedness.

If a supervisor decides an employee must remain on campus between work shifts (e.g., sleeping or resting in designated areas), the employee will be compensated for the total hours spent on campus during the closure.

Non-exempt employees who are designated as essential and required to work during scheduled campus closings may be paid at the straight-time rate and Campus Closed Essential (CCE) for all hours actually worked during the inclement weather or other emergency closing.

**Students:** Certain designated student workers' services are relied upon during campus closure periods. Students working during campus closure times will receive pay at the special events rate.

**GTRI Employees:** GTRI employees should refer to directions from the GTRI News Source.

**GT Satellite Campuses:** Campuses that are geographically located outside the greater Atlanta Metro Area. Please refer to communications and directions from these sites.

**Procedures:**

The decision to close the Institute will generally be made on a workday by workday basis. Once there is a decision to close the Institute, only those employees previously designated by the Institute as "essential personnel" to oversee the critical functions during an institutional emergency are required to report to work if notified. All other employees are to either stay home/away or to leave their work area as soon as practicable after the notice is made. Non-essential employees who report to work during unscheduled closings, without authorization, pose an unnecessary liability risk to

the institution.

If the President or Institutional Leader designates the emergency and/or inclement weather closing as paid, then the following guidelines may apply to “essential” bi-weekly employees required to work during the closing.

The decision to close a campus will generally be made on a workday by workday basis. Campus closure decisions are made on a workday by effective period basis. The use of Campus Closed time worked (**CCE**) will only be applicable through the end of the period a campus is closed.

Nonessential Non-exempt employees: Will use campus closed time (**code CCD**) to list time that would have been worked had the campus been open for business. The CCD code is used on timesheets when campus is closed and time is paid. Unscheduled leave (Campus Closed Time) is not counted as hours worked in the calculation of overtime pay. Non -exempt employees will be compensated in compliance with FLSA regulations and the Georgia Tech workweek and overtime policy for all hours actually worked over 40 in a work week. Campus closed time is pro-rated for part time employees.

Essential Non-exempt employees: Each department should have a list of employees designated as “essential” during a campus closed event. These employees should contact their supervisor for work instruction during an event. Essential employees may record regular shift hours not worked during the campus closure as **CCD (Campus Closed)**. If required to work, they will report their regular hours worked as well as **CCE (Campus Closed Essential)** for the same number of hours worked during the campus closed period. When an employee, who has not been previously designated as an essential employee, is asked to report to work or to the office during a campus closure, that employee will be paid as an essential employee for all hours worked. In accordance with FLSA, travel time from the home location to the primary work site is not compensable.

Georgia Tech is a continuous operation and personnel work various hours throughout the 24-hour day. Employees’ shifts may not align with the start or end of a campus closure. Examples are provided below that provide guidance on reporting hours during the closure period.

Note: Some situations may be unique. Members of our payroll team are available to assist with more specific questions. Faculty, staff, and student employees may direct questions to [pay.ask@ohr.gatech.edu](mailto:pay.ask@ohr.gatech.edu).

For those employees that are not designated by the Institute as essential personnel; the amount of time to be paid during a campus closure is not to exceed the employee’s regular shift hours in a day (regular and unscheduled closing time combined).

Campus Closing Leave is equivalent to the employee’s normal shift. Employees working **compressed workweek schedules** during periods of unscheduled closings will not be required to take additional leave.

If an employee does not report to work on the day the institution is declared closed for a partial day/delayed opening, the employee should record campus closed time (CCD) for the hours the campus is closed during the employee’s normal work schedule. The employee may be permitted to make up work time lost within the same pay period or charge the absence period to accrued leave (vacation or sick) for the hours the campus is open during the employee’s normal work schedule.

A non-exempt employee who is on an approved accrued leave (vacation or sick) on a day the campus is declared closed may charge time as campus closed time (CCD timecode for non-exempts). An exempt employee that had previously requested an accrued leave (vacation or sick) on a day the campus is declared closed may change the request in Timeout so as not to lose the accrued leave.

If an employee is absent from duty because of severe weather conditions or other emergencies, during which the

institution does not close, may be permitted to make up work time lost within the same pay period or charge the absence period to accrued leave (vacation or sick). If the employee does not have enough vacation or sick time accrued, the employee will not be paid for the balance of that time and may be placed on leave without pay for the period of absence.

Compensatory time, in lieu of campus closed time, cannot be used for non-exempt (bi-weekly) employees.

When an employee, who has not been previously designated as an essential employee, is asked to report to work or to the office during a campus closure, that employee will be paid as an essential employee for all hours worked.

Since campus closures are made on a workday by workday basis, the use of campus closed time will only be applicable through the end of the day a campus is closed. As a reminder, the official work day at the Institute is defined as 12:00am-11:59pm. For those instances when an essential employee's shift carries over from one workday into another, the employee will only receive campus closed time for hours worked while the campus was declared closed until the end of the workday.

**Pay Treatment for Bi-weekly Employees**

Situation	Employee Group	How to Code Time
Campus is closed all day	Department Designated - Essential Employees who report to work for the full day.	Record actual hours worked (8) hours as REG – Regular and (8) hours as CCE (Campus Closed Essential)  Does time of decision of closing matter? Response. No  Can actual hours and unscheduled hours be greater than 8 hours? Response. Yes, employees should record actual hours worked as REG and the same number of hours as CCE.
	Regular - Benefits Eligible Employees (do not report to work) OR Essential Employees who do not report to work.	Record eight (8) hours of CCD (Campus Closed) - unscheduled closings should be designated the same as the employees' regularly scheduled hours. (pro rated for part time employees)
	All Other Employees including student, temporary or casual labor employees (do not report to work)	Will not receive paid leave or be paid for CCD (Campus Closed) time.
Campus is closed a partial day	Department Designated - Essential Employees who report to work prior to campus opening (delayed start) or remain at work after campus has been declared closed	Record REG for all hours worked.  Also record CCE for hours worked during the campus closed period.
	Regular - employees (do not remain at work/do not report prior to campus opening) OR Essential Employees who do not remain at work/do not	Record actual hours worked while campus is open as REG (Regular) hours worked.

Situation	Employee Group	How to Code Time
	report to work prior to campus opening	Record CCD (Campus Closed) hours for hours the campus is closed during employee's normal work schedule.  The total number of actual hours worked plus unscheduled closing hours should equal the employee's regular shift hours.
	All Other Employees including student and casual labor employees (do not remain at work/do not report prior to campus opening)	Record actual hours worked while campus is open.  Will not be paid unscheduled closing time.

**Related Information:** [University System of Georgia: Inclement Weather or Other Emergencies](#)

**Donated Sick Leave**

**Policy No:** 2.14

**Type of Policy:** Administrative

**Last Revised:** Sep 2014

**Review Date:** Sep 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Reason for Policy:**

The purpose of this policy is to establish criteria and standards for the donation of accrued sick leave to a sick leave pool in order to cover absence of a benefits-eligible employee necessitated by illness or injury of the benefits-eligible employee or an immediate family member (spouse, parent, or child) of a benefits-eligible employee

**Policy Statement:**

This policy addresses a donation program whereby accrued sick leave may be donated to a sick leave pool for sharing with benefits-eligible employees in certain circumstances.

**Scope:**

**Entities Affected By This Policy**

All faculty and staff (excluding GTRI) who are eligible to accrue and use paid sick leave and who have been continuously employed as a benefits eligible employee for not less than 12 months by the Georgia Institute of Technology. The department of the recipient receiving donated leave is responsible for funding as the expense has been allocated in the employees' salary. If you have any questions, please contact your assigned budget analyst.

**Who Should Read This Policy**

All faculty and staff within the Georgia Institute of Technology should be aware of this policy.

**Policy Terms:**

**Family Member**

As defined by the Family Medical Leave Act (FMLA):

Spouse - the employee's legal husband or wife as defined or recognized under State Law for purposes of marriage in the State where the employee resides.

**Parent**

A biological parent of the employee. An individual who stands or stood "in loco parentis" to an employee by providing primary day-to-day care and financial support when the employee was a child. Coverage does not include parents-in-law.

**Child**

The employee's biological son or daughter under the age of 18. A legally adopted son or daughter under the age of 18. A foster child, stepchild or ward under the age of 18, legally placed with the employee. Any such child over the age of 18 if the child is incapable of self-care due to a mental or physical disability.

**Incapable of self-care**

Requiring active assistance or supervision to provide daily self-care in three or more basic or instrumental "activities of daily living," such as grooming and hygiene, bathing, dressing, eating, cooking, taking public transportation, etc.

**Physical or mental disability**

One that substantially limits one or more major life functions as defined under the American with Disabilities Act (ADA).

**Serious medical condition**

A serious medical condition is a health condition involving a serious illness, injury, impairment, or condition that is likely to require the employee's absence from work for an extended period of time longer than the amount of sick and vacation leave available to the employee, and the health condition is such that it is not medically appropriate for the employee to delay the absence in order to accrue additional sick or vacation leave prior to the absence. Some examples of such conditions include: advanced or rapidly growing cancers, acute serious illnesses, chronic life threatening conditions involving failure of bodily organs or systems (e.g., heart attack) or chronic conditions requiring extended rehabilitation such as back surgery. The absence may be continuous, as in hospitalization following surgery or an accident, or intermittent, as in period absences for chemotherapy or other procedures. Normal pregnancy without complications is not considered a serious health condition under this program.

**Procedures:****Overview**

This program shall be a donation program whereby accrued sick leave may be donated to a sick leave pool for sharing with benefits-eligible employees in certain circumstances.

**Employee Donation of Sick Leave**

1. The donation of sick leave is strictly voluntary and is irrevocable.
2. An employee may donate sick leave to a pool for use by eligible recipients. Any unused sick leave so donated will revert to the donor pool and will not be returned to the donating employee.
3. The donation of sick leave is on an hour-by-hour basis, without regard to the dollar value of the donated or used leave.
4. The minimum number of sick leave hours that a benefits-eligible employee may donate is 8 hours. All donations will be in increments of whole hours.
5. The maximum number of sick leave hours a benefits-eligible employee may donate in one calendar year is 80 hours.



6. No employee may donate sick leave if, after that donation, his or her balance of sick leave is less than 80 hours.
7. Employees will be given the opportunity to donate sick leave annually during benefits open enrollment. The donated sick leave will be transferred from the donor to the leave pool on December 31st.

#### Recipient Eligibility

Employees may utilize donated leave when they have exhausted all available accrued vacation and sick leave. The employee or immediate family member must:

1. Provide certification from a licensed physician of a serious medical condition; or
2. Be in quarantine due to exposure to contagious disease.

#### Conditions or Circumstances That Do Not Qualify for Receipt of Donated Leave

Employees may not receive donated leave in the following circumstances:

1. Any occupationally-related accident or illness which is compensable under Workers' Compensation benefits;
2. Disability incurred in the course of the commission of a felony (including driving while impaired) or assault; or
3. Disability related to an uncomplicated pregnancy/delivery
4. An employee may also not utilize donated leave:
  - During the period of any disciplinary suspension;
  - While receiving disability insurance/Social Security Income (SSI) benefits; or
  - After the termination of employment.
5. An employee employed less than one year is ineligible to receive donated leave.

#### Application Process to Utilize Donated Leave

An eligible employee may request donated leave by submitting a written request through the Donated Sick Leave Form and the physician's certification form to the Donated Leave Certification Committee.

1. The minimum number of hours that a benefits-eligible employee may request is 40 hours.
2. If the employee does not use the entire 40 hours within twelve months, the remainder will revert back to the leave pool.
3. In the event of a chronic illness or injury requiring episodic treatment (dialysis, chemotherapy, radiation therapy, physical therapy), the recipient may use donated leave in non-consecutive increments.
4. No individual employee may receive donated leave in excess of 320 hours (eight weeks) during the course of one consecutive 12 month period.
5. 4.5. Donated leave will be granted in blocks of up to 160 hours. Employee may receive additional time up to the 12 month maximum by providing additional documentation.

#### Donated Leave Certification Committee

A committee shall be appointed by the AVP of Human Resources or his/her designee to review requests for donated leave and to make the final determination of granting the requested leave. This committee shall consist of a representative from the Office of Human Resources, a member of the Faculty Benefits Committee, and a classified staff member.

The Donated Leave Certification Committee will review the request for donated leave within 5 business days of receiving the request. The Committee's decision to approve or disapprove a request will be by simple majority vote and may be the result of communication by email or phone or other means in lieu of meeting. A letter from the supervisor shall accompany the application. This letter can be of a general nature and does not need to include reference to the medical condition.

If the request is approved, the Committee will notify the donated leave program administrator who will then notify the

applicant. The program administrator will inform the employee that the request is approved and the date he/she may start drawing leave from the pool.

If the request is denied, the Committee will notify the donated leave program administrator with the reason for denial. The program administrator will inform the employee of the denial. All determinations made by the Committee are final.

**Forms:** [DonatedSickLeaveForms.pdf](#)

**Responsibilities:**

The responsibilities each party has in connection with Donated Sick Leave are:

<b>Party</b>	<b>Responsibility</b>
Donated Leave Certification Committee	Ensure Compliance with policy.
Benefits	Offer assistance with policy interpretation.
Payroll	Maintain leave balances in PeopleSoft.

**Related Information:** [OHR Benefits](#)

**Family Leave**

**Policy No:** 2.12

**Type of Policy:** Administrative

**Last Revised:** Sep 2014

**Review Date:** Sep 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Reason for Policy:**

This policy ensures compliance with applicable law and consistency among institutions of the University System in providing leave to eligible employees under the Family and Medical Leave Act.

**Policy Statement:**

Georgia Tech complies with the provisions of the federal Family and Medical Leave Act. FMLA allows employees to balance their work and family life by the use of paid and unpaid leave for certain family and medical reasons. FMLA is a complex policy. Readers should refer to the related documents/resources cited in this policy as well as consult Human Resources for additional information.

**Scope:**

All faculty and staff within the Georgia Institute of Technology should be aware of this policy.

**Policy Terms:**

**Eligibility**

To be eligible for federal FMLA leave, an employee must have at least 12 months of total service and have worked at least 1,250 hours in the 12 months immediately preceding the beginning of the requested leave. ("Hours worked" does not include time spent on paid leave- sick, vacation, personal, administrative, or unpaid leave).

**Health Care Provider**

Department of Labor regulations for the FMLA define a health care provider as a doctor of medicine or osteopathy, podiatrist, dentist, chiropractor (limited to treatment consisting of manual manipulation of the spine to correct a subluxation as demonstrated by X-ray to exist), clinical psychologist, optometrist, nurse practitioner, nurse-midwife, or

clinical social worker who is authorized to practice by the State and performing within the scope of their practice as defined by State law, or a Christian Scientist practitioner listed with the First Church of Christ Scientist in Boston, Massachusetts.

**Spouse**

The employee's legal husband or wife as defined or recognized under State law for purpose of marriage in the State where employee resides

**Parent**

A biological parent of the employee; an individual who stands or stood "in loco parents" to an employee by providing primary day-to-day care and financial support when the employee was a child; Does not include "parents-in-law"

**Child**

The employee's biological son or daughter under the age of 18; a legally-adopted son or daughter under the age of 18; a foster child, stepchild, or ward under the age of 18, legally placed with the employee; any such child over the age of 18 if the child is incapable of self-care due to a mental or physical disability; "incapable of self-care" means requiring active assistance or supervision to provide daily self-care in three or more basic instrumental "activities of daily living" such as grooming & hygiene, bathing, dressing, eating, cooking, taking public transportation, etc.; a "physical or mental disability" is one that substantially limits one or more major life functions as defined under the Americans with Disabilities Act (ADA)

**Inpatient Care**

As defined by FMLA, (i.e. overnight stay) in a hospital, hospice, or residential medical care facility, including any period of incapacity or subsequent treatment in connection with or consequent to inpatient care

**Absence plus treatment**

As defined by FMLA, a period of incapacity of more than three full consecutive calendar days and any subsequent treatment or period of incapacity relating to the same condition, that also involves (a) treatment two or more times by a health care provider or (b) treatment by a health care provider on at least one occasion which results in a regiment of continuing treatment under the supervision of the health care provider

**Pregnancy**

Includes prenatal care

**Chronic conditions requiring treatment**

A chronic condition which 1) requires treatment at least twice a year by a health care provider, or by a nurse or physician's assistant under direct supervision of a health care provider; 2) continues over an extended period of time (including recurring episodes of a single underlying condition); and 3) may cause episodic rather than a continuing period of incapacity (i.e. asthma, diabetes, epilepsy, etc.).

**Permanent long-term conditions**

(i.e. Alzheimer's, a severe stroke, terminal states of a disease)

**Multiple treatments of non-chronic conditions**

(i.e. cancer and kidney disease)

**Injury or Illness in the line of duty**

In the case of a current member of the Armed Forces, including a member of the National Guard and Reserves, this means an injury or illness incurred in the line of duty while on active duty, or which existed prior to active duty but was aggravated by service in line of duty while on active duty, that may render the member medically unfit to perform the duties of the member's office, grade, rank, or rating. In the case of a veteran of the Armed Forces, including a member

of the National Guard or Reserves, this means an injury or illness incurred in the line of duty while on active duty, or which existed prior to active duty but was aggravated by service in line of duty while on active duty, and that manifested itself either before or after the covered service member became a veteran.

## Procedures:

### Family Medical Leave Act (FMLA)

#### FMLA Request Procedures

The Family Medical Leave Act (FMLA) entitles eligible employees to take up to 12 weeks of unpaid, job protected leave each year. The employee must be employed for at least one year and have worked at least 1,250 hours during the previous 12 months. Employees may request FMLA for the following reasons:

- Birth of a child
- Adoption of a child
- Serious health condition of the employee, the employee's child, spouse, or parent
- Any period of incapacity or treatment connected with inpatient hospital care, hospice, or residential medical care facility
- Any period of incapacity, sporadic absence from work, school, or other regular daily activities that also involves continuing treatment by a health care provider, or
- Continuing treatment by a health care provider for a chronic or long-term health condition that is incurable or so serious that if not treated, would likely result in a period of incapacity; and for prenatal care
- Military Caregiver Leave-An eligible employee who is the spouse, son, daughter, parent, or next of kin of a covered service member who is recovering from a serious illness or injury sustained in the line of duty on active duty is entitled to up to 26 weeks of leave in a single 12-month period to care for the service member. This provision became effective immediately upon enactment. Military caregiver leave is available during a single 12-month period during which an eligible employee is entitled to a combined total of 26 weeks of FMLA leave. A single 12-month period begins on the 1st day the employee takes military leave and ends 12 months later. A covered service member is a member of the Armed Forces, including a member of the National Guard and Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness, OR a veteran who is undergoing medical treatment, recuperation or therapy for a serious injury or illness and who was a member of the Armed Forces, including the National Guard and Reserves, at any time during the five-year period preceding the date on which the veteran undergoes medical treatment, recuperation, or therapy.
- Active Duty Leave- Eligible employees are entitled to up to 12 weeks of leave because of 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 in the Armed Forces in a foreign country. Qualifying exigencies may include: short-notice deployment (7 days notice or less and only available for 7 days total), military events and related activities (such as ceremonies and briefings), child care and school activities (for non-routine matters), financial and legal arrangements, counseling, rest and relaxation (up to 5 days), post-deployment activities (including debriefings or funeral services for up to 90 days following the termination of the covered military member's active duty status), and any additional activities agreed upon by the Institute and employee.

#### Benefits and Protections

During FMLA leave, the Institute maintains the employee's health coverage under any group health plan on the same terms as if the employee had continued to work, provided the employee continues to pay his/her portion of the premium. Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee leave. If an employee has short term disability insurance, he/she may be eligible to receive these benefits while on leave.

An employee generally has a right to return to the same position or an equivalent position in terms of pay, benefits, and working conditions. Certain “key employees” may be denied job restoration if they are among the highest-paid 10% of employees and if such denial is necessary to prevent substantial and grievous injury to the operations of the employer.

Adverse action or discrimination is prohibited against an employee or prospective employee who has taken FMLA leave and interference with any rights provided by FMLA will not be tolerated, including:

- Refusing to authorize FMLA leave
- Discouraging an employee from using FMLA leave
- Changing the essential functions of the employee’s job to preclude the taking of FMLA leave
- Reducing hours of work to avoid employee eligibility

The Institute uses a “rolling” 12-month period (rather than a fixed calendar, fiscal, or academic year) to determine eligibility for, and availability of, leave time under FMLA. The 12-month period during which twelve weeks of family leave may be taken shall begin on the first day such family leave is taken.

Eligibility for FMLA leave at any given time is determined by reviewing the twelve months of employment prior to the date that the employee requests FMLA leave to begin. If the employee has not utilized the equivalent of 12 weeks of FMLA-qualifying leave during the 12 months prior to the designated date, then the employee is eligible to take leave on that date, provided that all other eligibility criteria are met.

FMLA leave is unpaid and the Institute requires that employees use their accrued paid sick leave and/or vacation concurrently with FMLA leave before they go into unpaid status. If your FMLA leave is a result of an on-the-job injury however, you have the option of taking unpaid leave even if you have sick leave and/or vacation available. Similarly, an employee on FMLA leave who has short term disability (STD) insurance may go into an unpaid leave status at any point once they begin receiving STD benefits, reserving any remaining sick leave and/or vacation for use after the employee returns from leave. Please note that an employee must use their available accrued sick leave and/or vacation during the STD waiting period. (View Examples)

Accrued sick leave may not be used to make adoption arrangements or to “bond” with a healthy newborn or newly-adopted or placed child therefore, the employee must use accrued vacation time or take time off without pay if no vacation time is available for such a purpose. This time must be taken within the 12 months immediately following the birth, adoption, or placement. Georgia Tech requires that such “bonding” time off be taken as a single continuous period rather than as intermittent.

### **Leave Administration**

An employee is not required to use his or her leave entitlement in one continuous block except when leave is used for “bonding” purposes. The Institute has designated that leave for the birth, adoption, or foster care placement must be for a continuous period and cannot be taken intermittently. Leave can be taken intermittently when medically necessary. The Institute may assign the employee to an alternative position with equivalent pay and benefits that better accommodates the employee’s intermittent leave or reduced work schedule. Assignment of such an alternative position must be coordinated through the Consultancy unit of the Office of Human Resources.

If an employee is on intermittent or reduced schedule FMLA leave and would otherwise be required to work overtime hours, any overtime hours not worked during the leave period count as FMLA leave.

Although intermittent and reduced schedule leave are available for qualifying exigencies, qualifying exigency leave counts against the employee’s total allotment of FMLA leave. The Institute may also request documentation of the need for qualifying exigency leave.

Employees who accept light duty positions in lieu of taking time off from work under FMLA leave cannot have the time spent on light duty counted against their FMLA entitlement.

It is presumed that employees on FMLA for their own serious health conditions are not working outside of the Institute while on FMLA leave. Consulting or outside activity agreements may still apply. The protections of the FMLA will not, however, cover situations where the reason for the leave no longer exists, where the employee has not provided required notices or certifications, or the employee has misrepresented the reason for leave.

Employees must make reasonable efforts to schedule leave for planned medical treatments so as not to unduly disrupt the Institute's operations. Employees are expected to consult with their supervisors prior to scheduling treatment in order to work out a treatment schedule that best suits the needs of the employee and the Institute.

For purposes of determining the amount of leave used by an employee, the fact that a holiday may occur within the week taken as FMLA leave has no effect; the week is counted as a week of FMLA leave. However, if an employee is using FMLA leave in increments of less than one week, the holiday will not count against the employee's FMLA entitlement unless the employee was otherwise scheduled and expected to work during the holiday. Similarly, if the Institute's business operations have ceased and the employees are generally not expected to report for work for one or more weeks (i.e. during winter holiday break), then those days do not count against the employee's FMLA entitlement.

If both the employee and the employee's spouse work for the University System of Georgia and are eligible for FMLA, then they are limited to a combined total of:

- 12 workweeks of FMLA leave during any 12-month period for the birth of a child or the placement of a child for adoption or foster care; or to care for an employee's parent with a serious health condition; however, each employee may use up to 12 workweeks of FMLA leave during any 12-month period if the leave is for the care of the employee's spouse or child with a serious health condition or the employee's own serious health condition
- 26 workweeks during the single 12-month period if the leave is Military Caregiver Leave or a combination of Military Caregiver Leave and Family Medical Leave, Employee Medical Leave, or Active Duty Leave

### **Advance Notice and Medical Documentation Requirements**

An employee who foresees the need for leave due to a planned medical treatment or other planned FMLA-qualifying reason (i.e. anticipated birth, adoption, or surgery) for herself/himself or for an applicable family member, must notify his/her supervisor in writing as early as possible so that the absence can be scheduled at a time least disruptive to the Institute's operations. Such notice must be at least 30 calendar days in advance of the start of leave, unless impracticable, in which case the employee must provide written notice as early as circumstances permit.

When the need for leave is not foreseeable, an employee must comply with the Institute's usual and customary notice and procedural requirements for requesting leave, which includes call-in procedures established by the employee's department, absent unusual circumstances. When an employee seeks leave due to a qualifying reason for which the Institute has previously provided the employee FMLA-protected leave, the employee must specifically reference the qualifying reason for leave. Calling in "sick" without providing more information will not be considered sufficient notice to trigger the Institute's obligations under FMLA.

In the case of medical conditions, the Institute may find it necessary to inquire further to determine if the leave is because of a serious health condition and may request medical certification to support the need for such leave. The Institute may also request certification to support the need for leave for a qualifying exigency or for military caregiver leave. Employees must provide the requested certification to the Institute within the time frame requested, unless it is not practicable to do so despite the employee's diligent, good-faith efforts. The Institute may request recertification at some later date if there is reason to question the appropriateness of the leave or its duration. Failure to provide the needed documentation may result in disapproval of the leave or a delay in its commencement.



If the validity of the medical certification is in doubt, a second opinion may be required with a health care provider chosen by the department and/or Human Resources at the Institute's expense. If the two opinions conflict, the department may request and pay for a third opinion. The third opinion will be final and binding.

Georgia Tech has the right to designate as FMLA leave any time off that qualifies as such, even if the time is not specifically requested as FMLA leave per se by the eligible employee.

**Recertification**

The Institute may request recertification documentation no more often than every 30 days (except as indicated below) and only in connection with an absence by the employee, unless the medical certification indicates that the minimum duration of the condition is more than 30 days, in which case the Institute must wait until that minimum duration expires before requesting recertification. For example, if the medical certification states that an employee will be unable to work, whether continuously or on an intermittent basis, for 40 days, the employer must wait 40 days before requesting recertification.

The Institute may request recertification in less than 30 days if:

1. The employee requests an extension of leave.
2. Circumstances described by the previous certification have changed significantly (i.e. the duration or frequency of the absence, the nature or severity of the illness, complications).
3. The Institute receives information that casts doubt upon the employee's stated reason for the absence or the continuing validity of the certification.

**Georgia Tech FMLA Process****Subject**

1. Employee completes FMLA request paperwork and submits to supervisor or Human Resources mails FMLA paperwork to employee after 3rd full day of consecutive absence.
2. HR Representative issues Eligibility and Rights & Responsibilities Notice and appropriate certification form to employee within 5 business days after FMLA request notification. Employee must return the certification form to OHR within 15 calendar days.
3. Supervisor should confer with HR Representative to ensure (1) that the employee's absence qualifies for FMLA, and (2) that required paperwork is complete. The employee must correct, complete and return all required paperwork within seven calendar days after being notified of any deficiencies in the required documentation.
4. OHR issues Designation Notice to employee within 5 business days after receiving FMLA certification.
5. OHR-Benefits maintains FMLA paperwork in a file (separate from employee's personnel file) which is kept under lock and key.
6. Department tracks FMLA time taken by employee. Employee must report all time taken for the qualifying FMLA event.

**Return to Work**

Employees must periodically report to the supervisor regarding their status and intent to return to work if requested to do so by their supervisors. The employee may be required to furnish periodic medical updates to OHR.

Employees are expected to return to work by the end of the approved FMLA leave. If the employee does not return, and if failure to return is not due to a continued or new documented qualifying serious health condition, then the employee may be required to reimburse the Institute for the employer portion of the health coverage premiums it paid



on the employee's behalf during the leave. If the employee is not able to return to work by the end of the approved FMLA leave, he or she still may be eligible to request additional sick or personal leave under those policies. The granting of such additional leave is at the discretion of the Institute. In no case may all leaves combined exceed 12 months. If an employee does not return and is not granted additional leave, employment ends on the last day of the approved FMLA leave.

Employees are required to present a fitness-for-duty certification from their healthcare provider before being reinstated to active duty upon completion of FMLA leave for their own serious health condition. The Institute may require that the certification specifically address the employee's ability to perform the essential functions of the employee's job. If reasonable job safety concerns exist, the Institute may require a fitness-for-duty certification before an employee may return to work when the employee takes intermittent leave.

**Form Links:** [Benefits Forms](#)

**Frequently Asked Questions:** [Family Medical Leave Act FAQ Index](#)

**Responsibilities:**

#### 8.1. AVP-OHR

Ensure appropriate utilization of family leave as governed by the FMLA.

#### 8.2. OHR Consultancy

Provide guidance to institution human resources officers on effective utilization of policy and monitor for compliance.

**Enforcement:**

*Optional:* To report suspected instances of noncompliance with this policy, please visit Georgia Tech's *EthicsPoint*, a secure and confidential reporting system, at:

[https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=7508](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7508)

**Related Information:**

[Family and Medical Leave Act](#)

[FMLA FAQ Index](#)

## Holiday Schedule for Employees

**Policy No:** 2.5

**Type of Policy:** Administrative

**Last Revised:** Oct 2017

**Review Date:** Jun 2018

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Policy Statement:**

The Fair Labor Standards Act (FLSA) does not require payment for vacations or holidays (federal or otherwise). Paid holidays and vacations are generally a matter of agreement between an employer and an employee. Paid holidays shall be awarded in addition to earned vacation time, and shall be observed in accordance with the rules and regulations set forth by the respective institutions.

In order to receive pay for the holidays, an employee must be in active pay status the day before and the day after the holiday. Active pay status is defined as working regularly scheduled hours immediately preceding and following the holiday. Employees receiving excused absences prior to and following the holiday will be eligible to receive the holiday pay provided. Excused absences include approved sick, vacation, bereavement, jury duty, and other FMLA related absences.

The Institute observes 12 official paid holidays each calendar year. A schedule of holidays is published each year by the Institute and can be found at <http://ohr.gatech.edu/additional-benefits#node-145>.

Holidays are not carried into another calendar year. If the holiday time is not taken by the end of the year, it must be forfeited.

**Scope:**

Regular employees and faculty working one-half time or more

**Process:**

**Non-Exempt full- and part-time employees:** If a holiday falls on a regularly scheduled workday, the employee will be paid for their standard hours as holiday pay. Should an employee's normal work schedule not include a holiday, that employee's supervisor should schedule an alternate "holiday" to ensure the employee receives the "benefited" holiday time allowed by the University System of Georgia. When determining eligibility for overtime pay, holiday hours are not counted as hours worked.

**Exempt part-time employees:** If a holiday falls on a regularly scheduled workday, the employee will observe that holiday. Should an employee's normal work schedule not include a holiday, that employee's supervisor should schedule an alternate "holiday" to ensure the employee receives the "benefited" holiday time allowed by the University System of Georgia. Exempt employees are not paid hourly and their monthly salary will remain the same as though there were no holiday hours.

**Special conditions**

**Termination:** A terminating employee shall not be paid for any official holidays occurring after the last working day of employment.

**Retirement or inter-institutional transfer:** Employees will receive pay for holidays occurring at the end of their final month of employment if they are in a paid status (work time, annual leave, sick leave, or other paid leave) on the last scheduled work day of the month.

**Compressed Work Week Schedules:** Holidays count as eight hours; therefore, if an employee is on a 10-hour a day schedule and one of his or her work days falls on an Institute holiday, the employee must work an additional two hours another day of the work week. Otherwise, regular policies regarding holiday pay should be followed.

**Remote Units & Police Department:** Operating units that are physically remote from the main campus in Atlanta, the Police Department and staff supporting affiliated organizations may be permitted to observe a holiday schedule more consistent with that of the host organization. This schedule is not to exceed the number of holidays per year allowed for the University by the Board of Regents.

**Partial Year Employees:** Partial-year employees are not eligible for holiday pay for those holidays occurring during the designated leave period, nor are they eligible to receive unemployment compensation benefits during this period.

**Part-time benefited employees:** Employees who work part-time and receive benefits are eligible for holiday pay on a pro-rated basis.

**Non-benefited employees:** Regular employees and faculty working less than one-half time are not eligible for holiday pay.

**Religious Observance**

We consider each individual's decision to either engage in or refrain from religious worship to be worthy of respect and consideration, therefore, we encourage reasonable accommodations be provided for observance of religious holidays.

Employees should inform their supervisor in advance, specifically requesting an adjusted work schedule related to religious purposes. Depending upon business needs, you may be able to work on a day that is normally observed as a holiday and then take time off for another religious day. Also, planned absences for such requests may be taken as paid vacation leave (if applicable); as time off without pay; or be permitted as alternative work hours at a time and manner agreed upon by the employee and the responsible supervisor or manager. The hours worked in lieu of the normal work schedule may be scheduled before or after the religious observance within the workweek, so as not to create any entitlement to premium pay (including overtime pay). An employee's request for time off should not be granted without simultaneously scheduling the hours the employee will work to make up the time, in order to provide a clear record of the employee's adjusted work schedule. If an employee is absent when he or she is scheduled to perform work to make up for a planned absence for a religious observance, the employee must take paid leave, request leave without pay, or be charged absent without leave, if appropriate. These are the same options that apply to any other absence from an employee's basic work schedule.

**Alternative holidays for essential work:** At times, the operating demands of a department make it necessary for all or a portion of the staff to work on a scheduled/official Institute holiday. If a non-exempt employee is designated as essential and is required to work on an official Institute holiday, the employee's supervisor may choose one of the following holiday pay options:

1. Grant the employee another work day off with pay by designating that day as the employee's paid holiday.
2. Pay the employee his or her holiday pay, plus pay the employee at his/her regular rate of pay for the additional time actually worked on the holiday. Under this option, the employee does not receive another day off with pay for having worked an official holiday.

**Responsibilities:**

The responsibilities each party has in connection with the Campus Holiday Policy are:

Party	Responsibility
Institution Chief Human Resources Officers	Ensure compliance with policy.
GTHR Payroll	Offer assistance with policy interpretation.

**Leave of Absence**

**Policy No:** 2.11

**Type of Policy:** Academic

**Last Revised:** Oct 2014

**Review Date:** Oct 2019

**Policy Owner:** Human Resources

**Contact Name:** Kevin Merkel

**Contact Title:** Senior Director-Payroll and Total Rewards

**Contact Email:** Kevin.Merkel@ohr.gatech.edu

**Reason for Policy:**

This policy ensures consistent application of leave at Georgia Tech.

**Policy Statement:**

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This policy outlines the process for the granting and the use of a Leave of Absence at Georgia Tech.

**Scope:**

All regular part-time or full-time classified or faculty employees within the Georgia Institute of Technology.

**Policy Terms:****Personal Leaves of Absence without Pay**

Due to unforeseen events or special circumstances, an employee may need time off for personal reasons. Such approved leaves shall allow the employee the right to elect to continue their group insurance benefits by making arrangements through the Office of Human Resources Benefits Department and paying the total amount of all premiums due. All other benefits for which the employee is eligible would not accrue during the unpaid leave. Employees requesting a personal leave of absence of more than 30 days must first exhaust accrued vacation before going into an unpaid status. Failure to return to work at the conclusion of the leave period constitutes grounds for termination of employment. Every effort will be made to place an employee in the same position or another of equal status upon return from an approved leave of absence. Temporary personnel may be employed to fill the vacancy during the approved leave period.

**Educational Leave with and without Pay**

Please refer to the [USG Time Away from Work Educational Leave Policy](#) for additional information.

**Military Leave**

Please refer to the [USG Time Away from Work Military Leave Policy](#). A [Military Leave Reporting Form](#) should be completed and submitted along with the supporting orders to the Benefits Department in the Office of Human Resources prior to start of the military leave. Employees should also contact the Office of Human Resources Benefits Department prior to the start of an extended military leave to make arrangements with regards to their benefits.

**Maternity Leave**

Appropriate sick leave provisions shall apply. See 2.13 Sick Leave Policy and 2.12 Family and Medical Leave Policy for more details.

**Family Leave**

See 2.12 Family and Medical Leave Policy for more details.

**Miscellaneous Leave**

Bereavement Employees may take up to five accrued sick days due to the death of an employee's immediate family member (employee's spouse, parents, parents-in-law, grandparents, children, brothers, sisters, and members of the employee's household). Employees must notify his/her supervisor immediately if he/she needs to take time off due to the death of an immediate family member. If an employee does not have adequate sick days to cover the absence, then he/she must use vacation time.

**Court Duty**

Any employee summoned for court duty as a juror or witness must notify his/her immediate supervisor as soon as official orders are received and provide a copy of the orders. Employees called for jury duty or witness duty will be paid at the normal rate of pay for any regularly scheduled time lost from the job. If the court duty is completed prior to the end of the employee's normal work schedule, the employee must report to work for the remainder of his/her shift.

**Voting Employees**

are encouraged to exercise their constitutional right to vote in all federal, state, and location elections. If election polls are not open at least 2 hours before or 2 hours after an employee's normally scheduled work shift, sufficient leave time must be granted to permit the employee to vote. In this instance, an employee should be granted a two-hour block of time in which to vote, if needed.

**Selective Service and Military Physical Examinations**

Any employee required by Federal law to take a physical examination for Selective Service must notify his/her immediate supervisor as soon as orders are received and provide a copy of such orders. The employee shall be paid for any time lost to take such an examination.

**Leave for Blood Donations**

An employee is allowed a leave of absence, without loss of pay, of not more than 8 hours in each calendar year for the purpose of donating blood with his/her supervisor's approval. This absence shall be computed as 2 hours per donation, up to 4 times per year. Any employee who donates blood platelets or granulocytes through the plasmapheresis process shall be allowed a leave of absence, without loss of pay, of not more than 16 hours in each calendar year. This leave shall be computed as four hours per donation, up to four times per year. Tracking and monitoring of Blood Donation leave shall be done by the department.

**Leave for Organ and Marrow Donation**

Each employee who serves as an organ donor for the purpose of transplantation shall receive a leave of absence, with pay, of 30 days. Each employee who serves as a bone marrow donor for the purpose of transplantation shall receive a leave of absence, with pay, of 7 days. Leave taken under this provision shall not be charged against or deducted from an employee's accrued vacation or sick leave. Such leave shall be included as service in computing any retirement or pension benefits. This provision shall apply only to an employee who actually donated an organ or marrow and who presents his/her supervisor with a statement from a licensed medical practitioner or hospital administrator that the employee is making an organ or marrow donation. Leave for the purpose of organ or marrow donation may qualify under the Family and Medical Leave Act (see 2.12 Family and Medical Leave Policy for more details). Tracking and monitoring of Organ and Marrow Donation leave shall be done by the department.

**Procedures:****Requesting Leave**

Personal or educational leaves must be approved by the supervisor and department/unit head via the Leave of Absence request form.

**Leave of Absence Request Form**

If the request is for a Classified employee, the form must be submitted to the AVP of Human Resources for approval.

If the request is for an Academic Faculty member, the form must be submitted to the Office of the Provost for approval.

If the request is for a Research Faculty member, the form must be submitted to the Office of the Executive Vice President- Research for approval.

Requests for military leave and supporting orders must be submitted to the Benefits Department in the Office of Human Resources via the Military Leave Reporting Form. After receiving approval for any of the above requests, the originating department would then submit an ePersonal Services Form (ePSF) when the person begins his/her leave.

**Reporting Leaves of Absence**

Time granted for leaves of absence without pay will not be reported on time sheets/documents, etc. Court duty and military leave with pay will be reported.

**Exempt Employees with Insufficient Accrued Leave**

When an exempt employee is absent from work for less than one scheduled workday and his/her accumulated leave is insufficient to cover the partial day of absence, the employer will deduct the cost for such leave in hourly increments from an exempt employee's salary.

**Forms:**[Military Leave Form.pdf](#)[Leave of Absence Request Form.pdf](#)**Form Links:**[Leave of Absence Request Form](#)[Military Leave Reporting Form](#)[ePersonal Service Forms](#)**Responsibilities:****8.1. AVP-OHR**

Ensure appropriate utilization of leave

**8.2. OHR-Consultancy**

Provide guidance to institution human resources officers on effective utilization of policy and monitor for compliance.

**Enforcement:**

Description of potential repercussions for those within policy scope who are found in violation of the policy. As much as possible, there should be a prescribed set of consequences for the various *types* and *frequency* of noncompliance that may occur.

*Optional:* To report suspected instances of noncompliance with this policy, please visit Georgia Tech's *EthicsPoint*, a secure and confidential reporting system, at:

[https://secure.ethicspoint.com/domain/en/report\\_custom.asp?clientid=7508](https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7508)

**Related Information:**[Military Leave](#)[Policy on Education Leave without Pay](#)[Family and Medical Leave Act](#)

## Sick Leave

**Policy No:** 2.13**Type of Policy:** Administrative**Last Revised:** Sep 2014**Review Date:** Sep 2019**Policy Owner:** Human Resources**Contact Name:** Kevin Merkel**Contact Title:** Senior Director-Payroll and Total Rewards**Contact Email:** Kevin.Merkel@ohr.gatech.edu**Reason for Policy:**

This policy ensures consistency in the administration of sick leave with or without pay as well as sick leave transfer between Institutions and State of Georgia Agencies. The Institute recognizes that employees may experience catastrophic life events.

**Policy Statement:**

For all regular full-time exempt employees, sick leave shall be accumulated at the rate of one working day per calendar month of service. Regular part-time employees working one-half time or more will accumulate sick leave in an equivalent ratio to their percentage of time employed. Non exempt employees will accrue vacation based on a percentage of the time worked during the pay period.

**Scope:****Entities Affected By This Policy**

All faculty and staff within the Georgia Institute of Technology

**Who Should Read This Policy**

All faculty and staff within the Georgia Institute of Technology should be aware of this policy.

**Procedures:****Classified Employees**

Regular full-time exempt classified employees accrue twelve sick leave days per year at the rate of one working day per month. Regular full-time non-exempt classified employees accrue twelve sick days per year based upon the number of compensable hours recorded each pay period. In all cases, a day of sick leave for purposes of pay and time off will be computed on the basis of an employee's regular workday.

For nonexempt employees, all sick leave will be earned by the compensable hour and will be credited to each employee's record at the end of each pay period. Accruals for a pay period will not be posted to an employee's record until the pay period has ended, which will prohibit charging sick leave against accruals earned in the same period in which the leave is taken. Accrual will be based on factors which were computed by dividing the number of sick leave hours accrued per year by the number of working hours in the year (2080). Non-exempt employees will accrue sick leave at the rate of .046154 per compensable hour. ( $12 \times 8 = 96 / 2080 = .046154$ )

For regular full-time exempt employees, all sick leave is accrued on a monthly basis at a rate of one day per month. During the first month of employment, the employee must be on the payroll on or before the 15th of the month and work (or be in a paid status) through the end of the month in order to accrue sick leave. No time will accrue for a month in which employment begins on or after the 16th day. Regular part-time employees working one-half time or more will accrue sick leave in an equivalent ratio to their percentage of time worked.

For nonexempt employees, all sick leave will be earned by the compensable hour and will be credited to each employee's record at the end of each pay period. Accruals for a pay period will not be posted to an employee's record until the pay period has ended, which will prohibit charging sick leave against accruals earned in the same period in which the leave is taken. Accrual will be based on factors which were computed by dividing the number of sick leave hours accrued per year by the number of working hours in the year (2080). Non-exempt employees will accrue sick leave at the rate of .046154 per compensable hour. ( $12 \times 8 = 96 / 2080 = .046154$ )

For regular full-time exempt employees, all sick leave is accrued on a monthly basis at a rate of one day per month. During the first month of employment, the employee must be on the payroll on or before the 15th of the month and work (or be in a paid status) through the end of the month in order to accrue sick leave. No time will accrue for a month in which employment begins on or after the 16th day. Regular part-time employees working one-half time or more will accrue sick leave in an equivalent ratio to their percentage of time worked.

**Faculty Employees**

General faculty employees accrue sick leave at the rate of one day (8 hours) per month. Nine-month faculty members accrue nine days of sick leave each academic year and an additional three days if they teach in the summer session, which will be prorated based on the number of months worked.

This accrual is based on continuous employment at one-half (.50 EFT) time or more and earned in a ratio equivalent to the percentage of time worked. For example, a regular faculty member working one-half time earns four hours of sick



leave per month. Faculty members working less than one-half time and temporary faculty members do not accrue sick leave.

### **Faculty Sick Leave Reporting**

The following provisions for the reporting of sick leave shall apply to all faculty who serve primarily in assignments defined by faculty roles in instruction, research and scholarly activity, and service.

1. Faculty is responsible for informing their unit head of any illness that prohibits them from meeting their assigned responsibilities in instruction, research, and service.
2. In reporting sick leave, academic year faculty will report leave based on the number of whole hours sick (see BOR Policy Manual regarding Leave Policy), with a full day being eight (8) hours, a half day being four (4) hours, and less than a half day based on whole hours missed, with a full week being the equivalent of a forty (40) hour workweek.
3. Nothing in this policy shall be interpreted to indicate or require that faculty work on a standardized schedule.
4. Each month, faculty members must also report if they did not take any sick leave.

### **All Employees**

There is no limit as to the total amount of sick leave which may be accrued. Sick leave may be granted at the discretion of the Institute and upon approval of the employee's immediate supervisor for any of the following reasons:

1. Illness or injury of the employee
2. Medical or dental treatment or consultation
3. Quarantine due to a contagious illness in the employee's household
4. Illness, injury, or death (See Bereavement leave under 2.11 Leave of Absence) in the employee's immediate family requiring the employee's presence. Immediate family is defined as the employee's spouse, parents, parents-in-law, grandparents, children, brothers, sisters, and members of the employee's household.
5. Inability to report to work due to pregnancy or other disability

Accrued sick leave may not be used to make adoption arrangements or to "bond" with a healthy newborn or newly-adopted or placed child. However, either parent may use accrued vacation time or take time off without pay if no vacation time is available for such a purpose. Please refer to Policy 2.12 Family and Medical Leave for more information.

Sick leave in excess of five consecutive work days requested or taken for health reasons requires a physician's statement clarifying the need for the employee's absence from work and in order for future sick leave with pay to be taken. The statement should include: date of onset of illness, the date upon which the employee will be able to return to work, what percentage of time he/she will be able to work, and whether or not any restrictions are imposed on the employee's daily work activities.

Employees should complete the [GT Vacation and Sick Leave Request Form](#) or follow his/her department's procedure for requesting sick leave. Whether or not an employee used sick leave must be reported on time sheets, time documents, or other forms provided by the department no later than the pay period following the pay period in which the sick leave was taken. Departments may establish other deadline dates for reporting sick leave. Even if no sick leave was taken, that information must be reported. Failure to do so may result in disciplinary action. It is the responsibility of the department to certify sick time reported and to ensure that sick leave balance(s) are accurate.

When sick leave has been reported incorrectly in a prior pay period, the department's administrator must send an email to payroll's customer service desk: [pay.ask@ohr.gatech.edu](mailto:pay.ask@ohr.gatech.edu). The adjustments must be made to time reported and current balance(s) on the Georgia Tech Vacation & Sick Adjustment Form; a scanned copy of the form should be included with the email. Sick leave documentation must be maintained by the department for a period of five years after the last date of the leave.

If an employee overdraws his/her sick leave, any accrued vacation leave will be used to pay the employee. If there is insufficient vacation, the overdrawn amount will be deducted from the employee's next check.

Employees must immediately notify their supervisor if they are leaving sick from work. Please see 2.1 Absenteeism and Lateness Policy for more details.

A terminating employee will not accrue sick leave or be entitled to receive paid sick leave after the last working day of employment.

### **Workers' Compensation**

If sick leave is the result of an on-the-job injury, you have the option of using unpaid leave even if you have paid leave available. Under the Workers' Compensation Act, an employee injured on the job and unable to work may elect in writing not to use accrued leave. Under these conditions, the employee may be granted sick leave without pay in keeping with the provisions of the leave without pay policy (see 2.11 Leave of Absence Policy for more details). The employee is required to submit medical verification from their physician to verify inability to perform their normal job duties. Failure to return to work at the conclusion of the leave period constitutes grounds for termination of employment.

### **Sick Leave without Pay**

Any regular employee who is unable to work due to his/her own injury or illness after exhausting all accrued sick leave and vacation leave may be granted sick leave without pay for a period not to exceed one year. The total amount of leave taken, including both paid and unpaid time, shall not exceed one year. Employees should complete the [GT Vacation and Sick Leave Request Form](#) or follow his/her department's procedure for requesting unpaid sick leave. The employee's department must approve a sick leave without pay and submit the required information through an Electronic Personal Services form (ePSF). Approvals based on factors such as performance, length of service, and business needs of the department. Such approved leaves shall allow the employee the right to continue his/her group insurance benefits by making arrangements through the Office of Human Resources Benefits Department to pay his/her portion of premiums due and the Institute will continue its share of the cost for such period. All other benefits for which the employee is eligible would not accrue. Failure to return to work at the conclusion of the approved leave period constitutes grounds for termination of employment.

Note: Employees should contact the Office of Human Resources Benefits Department to see if they may be eligible for leave under the Family and Medical Leave Act (FMLA). Please see 2.12 Family and Medical Leave policy for additional information.

#### **Forms:**

[vac\\_sick adjustment form.xls](#)

[Vac-Sick Leave Request.pdf](#)

#### **Related Information:**

[Board of Regent's HR Manual Sick Leave without Pay](#)

[Board of Regent's 8.2.7.3 Sick Leave without Pay](#)

[Board of Regent's 8.2.7.2 Sick Leave with Pay](#)

[Board of Regent's HR Manual Sick Leave with Pay](#)

[2.12 Family and Medical Leave Policy](#)

[2.11 Leave of Absence Policy](#)

## **Vacation**

**Policy No:** 2.15

**Type of Policy:** Administrative

**Last Revised:** Aug 2011

**Review Date:** Mar 2019

**Policy Owner:** Human Resources

**Contact Name:** Zachary Rogers

**Contact Title:** Director-Payroll

**Contact Email:** zachary.rogers@ohr.gatech.edu

**Reason for Policy:**

This policy ensures consistency in the administration of vacation as well as vacation transfer between Institutions.

**Policy Statement:**

This policy addresses vacation as well as vacation transfer between Institutions.

**Scope:**

**Who Should Read This Policy**

All faculty and staff within the Georgia Institute of Technology should be aware of this policy.

**Procedures:**

During the first month of employment, an employee must begin working on or before the 15th and must work (or be in a paid status) through the end of the month in order to accrue any vacation for the month. No time will accrue for a month in which employment begins on the 16th or later. For persons terminating before the 15th, vacation does not accrue for that month. It will accrue if the employee's last working day is on or after the 15th. No vacation time is accrued by an employee during a nonpaid leave of absence. Vacation time does not accrue past the last working day.

It is the responsibility of the employee's home department to ensure that vacation balance(s) are accurate. When vacation has been reported incorrectly in a prior pay period, the department's administrator must send an email to payroll's customer service desk: pay.ask@ohr.gatech.edu. The adjustments must be made to time reported and current balance(s) on the Georgia Tech Vacation & Sick Adjustment Request Form (scanned copy of the form should be included with email).

All regular employees working half-time or more, but less than full-time shall accrue vacation in a ratio to his/her percentage of time worked.

Up to 45 days (360 hours) earned vacation may be carried over each calendar year. Once time taken through December 31st has been posted, individual vacation records are adjusted to show no more than 45 days of vacation time. Vacation time may be taken as accrued upon the consent of the employee's immediate supervisor.

Vacation time may not be taken in excess of the amount accrued. To do so places the employee in a nonpay status for the overdrawn hours. The department's administrator must send an email to pay.ask@ohr.gatech.edu to request that

future pay be docked for the overdrawn hours.

Employees should complete the [GT Vacation and Sick Leave Request Form](#) or follow his/her department's procedure for requesting vacation time. An employee's immediate supervisor must approve all requests for taking vacation time in advance so that proper provision can be made for absences. Reasonable effort will be made to accommodate the employee's wishes in this matter, but the time selected for vacation must be mutually acceptable to the employee and to the supervisor. Taking of vacation time must not be allowed to interfere with essential work. Vacation time must be reported on time sheets/time documents or forms specified by each department. Employees will be instructed by their respective department on reporting vacation time according to the department's specifications.

Upon termination of employment, payment shall be made for accrued vacation time (up to a maximum of 45 working days) that has not been used by the employee. Such compensation shall be based on information derived from vacation leave records.

**Classified Non-exempt Employees**

Full-time regular non-exempt employees who are not members of the general faculty shall accrue vacation according to his/her length of service and they begin accruing vacation from the first day worked. Accruals for a pay period will not be posted to an employee's record until the pay period has ended, which will prohibit charging vacation against accruals earned in the same period in which the leave is taken. Accruals will be based on factors which were computed by dividing the number of vacation hours accrued per year by the number of working hours in the fiscal year (2080).

Ex. 15 days =  $120/2080 = .057692$

Years of Service	Accrual Rate (per compensable hour)	Vacation Days (per year) Working at 100% time
Less than 5 years	.057692	15
5 but less than 10 years	.069231	18
10 or more years	.080769	21

**Classified Exempt Employees**

Full-time regular exempt employees who are not members of the general faculty shall accrue vacation as follows, according to his/her length of service.

Years of Service	Accrual Rate (hours per month)	Vacation Days (per year) Working at 100% time
Less than 5 years	10	15
5 but less than 10 years	12	18
10 or more years	14	21

**Research Faculty, Academic Faculty, General Faculty, and Post Doctoral Fellows**

Full-time, regular fiscal year employees who are members of the research and general faculty, as well as post-doctoral fellows, shall earn 21 working days vacation per year, accrued at the rate of 14 hours per month.

A regular employee who accrues vacation while working on sponsored research within instructional units is encouraged to take all vacation accrued prior to the expiration of the sponsored research.

Research faculty who are working shared time with another Georgia Tech department shall also accrue vacation time in an equivalent ratio to his/her percentage of time worked within the home department and the shared department. Prior to the end of the shared period, the employee must take all vacation accrued in the shared unit. The employee is responsible for reporting vacation time accurately.

Academic faculty from an academic unit who are appointed on a nine-month basis do not accrue vacation during the academic year.

Twelve-month academic faculty (working under a fiscal contract) who are working shared time with another department shall accrue vacation time in a ratio to his/her percentage of time worked with the shared department. Prior to the end of the shared period, the employee must take all vacation accrued within that unit. The employee is responsible for reporting vacation time accurately.

When research faculty members transfer to other Georgia Tech units, the liability for accrued vacation will normally be transferred along with the faculty member to his/her new administrative unit. Faculty members changing from a fiscal year contract to an academic year contract shall be paid their accrued vacation time subject to the 45-day maximum payment restriction upon termination of the fiscal year contract.

**Vacation: Transfer between Institutions**

Upon a move between University System institutions, with no break in service, an employee must transfer accrued vacation leave of between 1 and 20 days (160 hours). For employees with accrued vacation leave of greater than 20 days (160 hours), the employee may elect one of the following options:

1. Transfer of the total accrued vacation balance, not to exceed 45 days (360 hours)
2. Transfer of 20 days (160 hours) accrued vacation and payment by the Institution from which the employee is moving of accrued vacation greater than 20 days (160 hours). The total accrued vacation for which the employee may be paid shall not exceed 25 days (200 hours).

Vacation hours will not be accepted for an employee who moves from a State of Georgia agency to the University System of Georgia.

**Forms:**

[vac\\_sick\\_adjustment\\_form\\_0.xls](#)

[Vac-Sick Leave Request\\_0.pdf](#)

**Responsibilities:**

The responsibilities each party has in connection with Vacation are:

Party	Responsibility
AVP-OHR	Ensure compliance with policy.
Payroll	Offer assistance with policy interpretation and administer policy.
OHR Consultancy	Offer assistance with policy interpretation.