

UNIVERSITY OF ILLINOIS AT CHICAGO

COLLEGE OF DENTISTRY

**HUMAN RESOURCES POLICY AND
PROCEDURE MANUAL**



October, 2014

College of Dentistry Policy and Procedure Manual

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NOTE: The College of Dentistry Policy and Procedure Manual can be accessed online at the College of Dentistry website at the College intranet site at <http://dentistry.uic.edu/> . Click on the Intranet (in the upper right corner of the page), then click on Policy & Procedure Handbooks.

NOTE: In situations where University Statutes, Rules, Policies and Procedures, Labor Agreements or other official documents contradict information in this document, University policy take precedence.

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Chapter 1

Introduction

Message from the Dean

The UIC College of Dentistry believes that we need to educate and graduate a dentist who is fundamentally different in professional capabilities than his/her predecessors. We believe this because the world is changing rapidly. Illinoisans today are dramatically more culturally diverse than ever before. And, there is a groundswell of growing public opinion that Illinois dentists must redress the disparities in oral healthcare access that exist in Illinois and across the United States.

Dental practice is also changing rapidly. As our society is aging dramatically, our patients are older and sicker, living with chronic systemic health problems and subsisting on complex polypharmaceutical regimes. Dental practice has become more “business-like” than ever before, creating almost daily professional ethical dilemmas for dentists. A computerized dental practice office is now routine, and the computer will continue to revolutionize dental practice in the future (e.g. digital radiography, artificial intelligence-based decision-making, CAD/CAM prosthodontic restoration fabrication, etc.) Human genomics knowledge discovery will lead to heretofore-unimaginable innovations in diagnosis and therapy (e.g. salivary diagnostics for systemic diseases; biomimetics; genetically engineered oral tissue replacement, etc.)

New Professional Competencies

The UIC College of Dentistry has determined that our graduates of the 21st Century must be competent to:

- Make clinical decisions on the basis of the best available clinical research evidence, i.e. to provide “evidence-based patient care”;
- Evaluate and utilize advanced computer technology in dental practice;
- Evaluate and integrate rapidly evolving biotechnological advances into dental practice;
- Diagnose disease/dysfunction, and plan appropriate patient care on the basis of scientific evidence, the patient’s needs, and in the context of health promotion and disease prevention;
- Continue our profession’s tradition of rendering clinically excellent patient care;
- Apply the principles and codes of professional ethics to balance the patient care and business/financial demands of dental practice;
- Function as an effective lifelong learner by actively reflecting on his/her patient treatment outcomes, evaluating areas which need improvement, and addressing these deficiencies with continuous learning;
- Originate and/or implement solutions to the oral health care access problem;
- Provide care to underserved and multiculturally diverse patient populations, in non-traditional clinical sites;
- Practice collaboratively with allied dental health professionals; and Counsel patients about their health behaviors (e.g. tobacco cessation, diabetes, hypertension, obesity, etc.).
- The College provides a wealth of learning experiences that ensure our students achieve these competencies before graduation.

"Real-World" Clinical Education

Our Group Practice Clinical Education Model replicates the "real world" of dental practice in the College clinical setting. Six vertically-integrated group dental practices, comprised of International Dentist Program students, fourth year and third year dental students, and second year dental hygiene students (from the Kennedy King Community College Program) are aligned with interdisciplinary teams of faculty lead by a "Managing Partner" and supported by dental assistants and front desk receptionists. Adult rehabilitative dentistry is provided to our patients in these group practice clinics. (Pediatric Dentistry, Oral and Maxillofacial Surgery, and Radiology learning experiences are provided in discipline-specific clinic rotations.) The group practice clinics have been equipped with chairside computers to operate a computerized electronic patient record-keeping system. Contemporary instrument tray sterilization and dispensing systems support this "real world" clinical environment.

Evidence-Based Dentistry

Students learn how to evaluate the dental literature in a systematic way, employing computer technology to answer patient treatment questions. An example of such a question is: "For a patient requesting implant therapy, does tobacco smoking affect the osseointegration potential of endosseous implants?"

Community-Based Dentistry

The College participates in the Robert Wood Johnson Foundation (RWJF) Community-Based Dental Education: Pipeline, Profession, and Practice Program. This program prepares students to be multiculturally competent to meet the needs of traditionally underserved populations in diverse community settings and community-based clinics and provides support for increased underrepresented minority and financially disadvantaged dental student enrollment and retention. The program provides community-based clinical health promotion experiences for students in a sixty-day community-based clinical experience in the fourth year.

Ethical Decision-Making

Students engage in group discussions of patient care scenarios, employing professional ethical principles to explore solutions to real-life patient care ethical dilemmas.

UIC's College of Dentistry is changing the way we educate dental students to enable them to become the New Illinois Dentist for the 21 st Century.

Bruce S. Graham , DDS , MS , MEd, FACD
Dean

10/04

College of Dentistry Mission

The Mission

The mission of the University of Illinois at Chicago College of Dentistry is to promote optimum oral and general health to the people of the State of Illinois and worldwide through excellence in education, patient care, research, and service. The College identifies the following goals to meet this mission:

- To prepare highly qualified healthcare professionals, educators, and scientists in the basic and oral health sciences;
- To provide patient-centered care that is comprehensive and compassionate for a culturally diverse population;
- To provide student-oriented education programs that prepare individuals for the thoughtful, ethical practice of dentistry and life-long learning;
- To foster collaborative research and develop specialized centers for innovated research in areas of health and disease;
- To address community and regional healthcare needs through outreach initiatives, educational programs, and consultative and referral services;
- To maintain a leadership role in forming healthcare policy at the university, state, and national levels;
- To be a worldwide resource for continued professional development;
- To provide an environment for individual growth founded on mutual respect and professionalism; and
- To value and seek diversity in students, staff, faculty, and patients.

College of Dentistry Vision

The Vision

By the year 2010, the University of Illinois at Chicago College of Dentistry will be recognized as a world leader in:

- patient-centered, evidence-based clinical care founded on the preventive and public health sciences,
- integrated educational programs based upon advanced technology, and
- centers of research excellence that are interdisciplinary and focused on innovative research areas.

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Just the Facts – Overview of College of Dentistry Statistics in 2006

- **Enrollment:** 266 dental students; 82 dental specialty postgraduate residents; 1 DDS/PhD student. There are several individuals working towards dual degrees in those figures. Four are seeking a DDS and MS in Oral Sciences; 35 are residents also seeking an MS in Oral Sciences; and three are residents seeking PhDs.
- **Faculty:** 92 full-time and 120 part-time.
- **Staff:** 168.
- **Student tuition and fees:** \$34,113 in-state, and \$69,444 out-of-state.
- **Student performance (over the last four years):** 92% first-time pass rate for the National Board Dental Examination Part I; 97.5% first-time pass rate for the National Board Dental Examination Part II; 92.5% first-time pass rate for the Central Regional Dental Testing Service (CRDTS); and 95% on-time graduation.
- **Alumni:** 6,300 dentists and 1,100 dental specialists.
- **Illinois Dentists who are UIC alumni:** 44%.
- **Graduates who practice in Illinois, annually, after graduation:** 74%.
- **Annual philanthropy donations (average of the past five years):** \$1.7 million per year.
- **Total College Endowment:** \$5.6 million (market value).
- **Annual National Institutes of Health (NIH) research funding:** \$6.7 million.
- **NIH funding ranking:** 11th out of 56 dental schools.
- **Areas of research emphasis:** Cancer, tissue-engineered replacement of oral structures, wound healing.
- **Annual patient care visits:** 83,500
-

Just the Facts – Overview of College of Dentistry in 2006 (continued)

- **Annual Medicaid/State Children’s Health Insurance Program (SCHIP) patient care visits:** 31,100; 15,400 for youngsters up to age 20; 15,700 for adults 21 and over.
- **Amount of “donated” dental care (for which College is not reimbursed):** \$1 million.
- **Annual Federal HIV/AIDS patient care funding:** \$467,000
- **Community clinic training sites:** 19.
- **College revenue budget (fiscal 2005):** \$36 million; breakdown: \$6 million State allocation; \$8 million tuition revenue; \$10.3 million clinical revenues; \$9 million research and contracts; \$1.7 million from philanthropy; \$1 million continuing education revenue.
- **State appropriation per dental student:** 20th among 20 medium-sized State-supported dental schools; 35th among 37 publicly supported dental schools.
- **Clinic revenue generated per dental student:** seventh among all 36 State-supported dental schools.

History of the College of Dentistry

Our History

University of Illinois at Chicago College of Dentistry evolved from the Columbian Dental College, founded in Chicago in 1891. The Columbian Dental College's early years were characterized by the struggle to survive, but through the dedication of its founders and faculty and because of their commitment to excellence, it became a forerunner in the fight to raise the standards of the dental profession through dental education. Its growth was characterized by constant attention to academic quality and excellence of facilities.

The College informally affiliated with the University of Illinois in 1901, and was chartered as an official College of the University in 1913. Since then, the College has endeavored to provide the most current technology to students, and often the College's innovations in teaching and clinical programs have been models for dental schools throughout the country.



Dr. Allan G. Brodie (left) and Dr. Earl W. Renfroe (right) were two of the world-class faculty at the UIC College of Dentistry during the 20th Century.

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From **Dr. Bernard Cigrand**, Dean of the College from 1903 to 1906, being the driving force behind the creation of Flag Day in the United States, to the College being the first in the country to use electric dental instruments, the College has a rich historical heritage. That heritage is manifested in its Kottemann Gallery of Dentistry, which highlights the individuals and advancements that have made the College a leader in teaching, research, and public service. The gallery is open to the public for special viewing, and tour and school groups are welcome.

In teaching, the College has changed from a 20th Century discipline/specialty based educational approach that focused on surgical therapy performed by solo practitioners to a 21st Century model focused on integrated teaching of subject matter, preventive patient care, and collaboration and collegiality—all using the latest technology. The College currently offers a four-year DDS degree; a two-year International Dentists DDS degree; PhD and MS degrees in oral sciences; and six advanced education/residency certificate programs. Major gifts from Astra Tech Inc. are helping to establish a top clinical implant dentistry program at the College, and major gifts from ProCare Dental Group PC are helping to establish a top clinical implant dentistry center as well.



The Kottemann Gallery contains historical artifacts from the UIC College of Dentistry and is available for tour and school groups.

The College has a variety of research and treatment centers in various specialties: endodontics, oral and maxillofacial surgery, oral biology, oral medicine and diagnostic sciences, orthodontics, pediatric dentistry, periodontics, and restorative dentistry. Cutting-edge research in oral cancer is funded by a U24 grant of \$2 million for the National Institute of Dental and Craniofacial Research, and other grants fund research in tissue engineering, biomimetics, and wound healing.

The foundation of the College's health research programs, consisting of basic investigations and applied studies of the oral structures in health and disease, is the rich heritage established by renowned researchers throughout the history of the College. The work of several individuals has significantly expanded the scientific knowledge base of dentistry:



Dr. E. Lloyd Du Brul assembled the finest collection of human, animal, and prehistoric skulls and jawbones prepared for teaching. They are housed at the UIC College of Dentistry.

The College was the top dental school in the United States in the 1930s and 1940s, as several members of dentistry's "Vienna Group," top dental faculty with European backgrounds, including **Dr. Harry Sicher** and **Dr. Joseph-Peter Weinmann**, joined the College's faculty.

Dr. John V. Borden, DDS '39, was the inventor of the highspeed dental handpiece, the basic tool of modern dentistry.



Research is an important component of the UIC College of Dentistry experience.

The research of **Dr. Bernard G. Sarnat**, DDS and MS '40, head of the Department of Oral and Maxillofacial Surgery at the College from 1946 to 1956, is considered the basis for the modern understanding of craniofacial surgery.

Dr. Isaac Schour, Dean of the College from 1956 to 1964, was the discoverer of “growth rings” in teeth. He and **Dr. Maury Massler**, who established the College’s Department of Pediatric Dentistry and served as its Head from 1946 to 1965, created a seminal chart of tooth development.

Faculty members **Dr. Earl W. Renfro**, DDS '31, MS '42, and **Dr. Thomas K. Barber**, DDS, MS '49, wrote what is considered the seminal article originating the concepts of preventive and interceptive orthodontics for the *Journal of the American Dental Association* in 1957.

of the 20 th century. The College’s Du Brul Archives Room houses his collection of human, animal, and prehistoric skulls and jawbones—the finest collection of such artifacts prepared for teaching.

Dr. E. Lloyd Du Brul, who taught oral anatomy at the College for 50 years, was considered the greatest dental anatomist

Dr. Allan G. Brodie Sr., MS '34 PhD '40, was considered the greatest student Dr. Edward Angle, the “father of orthodontics,” ever taught. He established the College’s postgraduate program in orthodontics in 1929—one of the first in the nation. Dr. Brodie set the standard for orthodontics expertise through much of the 20 th Century, and his book, *The Dentofacial Complex*, was considered so important that it was published nearly 30 years after his death.

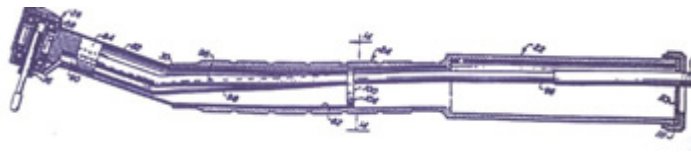


UIC College of Dentistry students give back to their community by providing dental care for youngsters at the College and in rotations in community clinics.

College of Dentistry Policy and Procedure Manual

As part of a public University, the College has a strong commitment to community oral health outreach service and to serving the underserved, providing nearly \$1 million in uncompensated care to indigent dental patients annually. The College was selected as one of only 11 sites nationwide for a Robert Wood Johnson Foundation grant of \$1.5 million, which is helping the college prepare an oral healthcare workforce competent and committed to treating oral diseases of vulnerable urban, rural, and special needs populations.

With an emphasis on pediatric dentistry, faculty and students participate in health fairs and clinics in elementary schools, long-term care facilities, churches, and Head Start programs. The College also provides dental services for senior citizens and children in collaboration with the Chicago Department of Public Health. More than 80,000 patients are treated each year in the College's clinics. The College's Special Patient Care Clinic has become a referral dental clinic for 19 local organizations specializing in HIV care, and is the main source of dental care for HIV/AIDS patients in Illinois.



The high-speed dental handpiece, the basic tool of modern dentistry, was invented by UIC College of Dentistry alumnus Dr. John V. Borden.

As State support to the University is reduced each year, the College has come to rely more and more on private support. The percentage of College of Dentistry alumni who donate to their alma mater is among the highest on the UIC campus.

The College's Vision is to be recognized as a pre-eminent academic center for oral and craniofacial health. Building on a history of leadership in dental education, the College is implementing a Vision action plan to achieve this level of contribution to the profession.

Employee Recognition

WOW Award

So many people contribute to the goal of building relationships for life. Every time a UIC employee does good work and someone says, "You made my day," it should be celebrated and publicized. To recognize individuals who provide outstanding service at UIC, the Alumni Relations Council developed the WOW Award, which began recognizing UIC staff members in 2005.

The program includes a surprise visit to each month's recipient, during which the employee is presented with a special balloon, button and certificate. A photo of each honoree is taken to appear on the "WOW" Web site. Nominations for outstanding service can be submitted online at <http://www.uic.edu/homeindex/wownominate.shtml>. Awards are presented on a monthly basis and WOW Award recipients will be recognized annually during the Campus' November staff appreciation celebrations.

Service Recognition Award

The Service Recognition Award acknowledges the length of service beginning at five years of service, in five year increments, of all academic professionals and support staff. Faculty recognition begins at 25 years of service and is recognized in five year increments. Certificates and gifts to eligible employees are distributed annual each November during UIC's Employee Recognition Week.

In addition, The College of Dentistry acknowledges the length of service beginning at five years of service, in five year increments, of all employees.

College Administrative Units

Administrative Units

Office of the Dean

Dr. Clark Stanford, Dean
Janice Carter, Customer Service Representative

Office of Academic Affairs

Dr. Seema Ashrafi, Associate Dean for Academic Affairs
Lea Alexander, Director of Academic Affairs

Office of Clinical Affairs

Dr. Susan Rowan, Associate Dean for Clinical Affairs
Dr. Melisa Burton, Director of Clinics

Office of Research

Dr. David Crowe, Associate Dean for Research
Virginia Buglio, Associate Director of Research Services

Office of Prevention & Public Health Sciences

Dr. Caswell Evans, Associate Dean for Prevention & Public Health Sciences

Office of Student and Diversity Affairs

Dr. Darryl Pendleton, Associate Dean for Student & Diversity Affairs; Director of the Urban Health Program

Office of Administration

Cynthia Gonya, Associate Dean for Finance & Administration
John Frizzell, Executive Director of Finance & Accounting
Jacqueline Kalan, Director of Business Operations

Office of Advancement and Alumni Relations

Mark Valentino, Assistant Dean for Advancement and Alumni Affairs

Academic Departments and Centers

Academic Departments and Centers

Endodontics

Dr. Bradford Johnson, Head
Blanca E. Sanchez, Assistant to the Head

Oral Biology

Dr. Thomas G.H. Diekwisch, Head
Nona C. Flores, Assistant to the Head

Oral and Maxillofacial Surgery

Dr. Michael Miloro, Head
Maria Limon, Assistant to the Head

Oral Medicine and Diagnostic Sciences

Dr. Richard Monahan, Head
Susan Lloyd, Assistant to the Head

Orthodontics

Dr. Carla Evans, Head
Matthew Gantt, Assistant to the Head

Pediatric Dentistry

Dr. Marcio da Fonseca, Head
Karen Patton, Assistant to the Head

Periodontics

Dr. Salvador Nares, Head
Colleen Scroll, Assistant to the Head

Restorative Dentistry

Stephen D. Campbell, Head
Anna Panova, Assistant to the Head

College Human Resources Department

Human Resource Contacts

Director of Human Resources

Leticia R. Sanchez
Room 502E
lramir6@uic.edu
(312) 996-1019

Human Resources Associate

Saundra E. Brady
Room 502C
sbrady2@uic.edu
(312) 355-5075

Human Resources Associate

LaTasha Phillips
Room 502D
latashap@uic.edu
(312) 355-3439

Human Resources Business Manager

Rachel Patel
Room 502E
rpate58@uic.edu
(312)-996-9043

Important Campus Phone Numbers

Campus Benefits Center

809 S. Marshfield, 1st floor
(312) 996-6471
benefits@uillinois.edu

Campus Parking – Customer Service Office

818 S. Wolcott, Basement
(312) 413-5850

Campus Payroll Customer Service

809 S. Marshfield, 1st floor
(312)-996-7200

Campus Photo I-Card Office

828 Wolcott, Room 241
(312) 413-5944

Campus HR Information Center

715 S. Woods
(312) 413-4848

Office of Access and Equity

809 S. Marshfield, Room 717
(312) 996-8670

Office of International Services (OIS)

1200 W. Harrison St, 2160 SSB
(312) 996-3121

University Ethics Office

Toll-free Ethics Help Line: 1-866-758-2146

Campus Police Department

Emergency Phone Number: 5-5555 or (312) 355-5555
Non-emergency Police Dispatch: 6-1212 or (312)-996-1212

College of Dentistry Policy and Procedure Manual

Chapter 2

Work Rules

Purpose of Work Rules

The College of Dentistry is committed to building a positive environment for all employees to work in a supportive, collaborative and productive manner. Employees make personal sacrifices for the good of the College and teamwork is an essential component of our success. Employees treat each other with mutual respect, kindness and civility. Employees believe that everyone should be treated fairly and equitably. All employees are encouraged to perform at the highest personal level of potential for excellence.

The purpose for documenting these work guidelines is to:

- clearly communicate the College policies and expectations of its employees
- encourage consistency of application in all Departments
- eliminate common misunderstandings.

Input and suggestions from staff should be forwarded to the Department Head and the College Human Resources Department.

Employee Conduct

Employees are expected to perform work assignments efficiently and effectively and to be mindful of the expectations of the University, supervisors and other employees. Employees are expected to comply with State and Federal laws and University policy and procedures, regarding nondiscrimination and affirmative action/equal opportunity.

Employees are responsible for maintaining a University environment free of unlawful harassment in work and study. Under University policy, every complaint alleging unlawful harassment must receive a response from the immediate supervisor or other individual in accordance with the University and Campus grievance procedures for complaints of discrimination. Concerns should be brought to the immediate attention of the supervisor, Department Head, Associate Dean and/or the College Human Resources Department.

Employees should treat fellow employees with courtesy and respect, as well as comply with the University's nondiscrimination policy that forbids harassment of or discrimination against any individual in the full and equal use of the facilities and services of the University.

Supervisors and employees must comply with the University policy to prevent sexual harassment at the work site. Sexual harassment is prohibited under the provisions of state and federal law. Harassment on the basis of sex is a form of sex discrimination.

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Employee Conduct (continued)

The University is committed to a nonviolent work environment for all employees and students. Acts of violence, threats of violence and/or use of weapons on University property are not acceptable conduct in the workplace and will not be tolerated.

Employees shall exercise care in the use of personnel, property, and funds entrusted to them. Employees shall not conduct personal business on University time, or use University time, personnel, facilities, or property for other than officially approved activities. Employees are expected to be punctual and to be present at the work site during normally scheduled work hours.

Department Role in Employee Orientation

Departments and supervisors will insure that all employees receive adequate orientation about care of University resources and acceptable conduct on the job. Departments will provide the necessary leadership to assure equitable treatment to all employees.

Removal of University Materials and Equipment

Employees shall not remove materials from University property for the employee's own use or that of others, unless such removal has been approved in writing by the supervisor, as authorized by University policies. In certain special circumstances, employees may be permitted to take University equipment off Campus for the purpose of doing University work. In such cases, the employee should have written permission from the Department Head and College I. T. Department. Appropriate O.B.F.S. forms specifying the particular equipment, tag number, business purpose, and expected return date are completed and maintained by the I. T. Department.

Reporting of Violent Acts and Threats of Violence

Employees shall immediately report violent acts and threats of violence to the Campus Police, to supervisors and the College Human Resources Department.

Use of Intoxicants and Narcotics

The University of Illinois provides its employees with a drug-free workplace. All employees sign a Drug Free Statement prior to beginning employment. The unlawful possession, use, sale, distribution or manufacture of controlled substances is prohibited on University premises. If a supervisor is concerned about the welfare of an employee or the Department operations, the Supervisor should contact the College Human Resources Department. An employee suspected of being under the influence of a controlled substance or alcohol by observation of actions, comments, attendance or appearance will be escorted to University Health Services. The employee will not be permitted to return to work until cleared by University Health Services.

College Security Badges

College picture security badges are to be worn at all times while in the building by all College employees, graduate assistants, residents and students working or volunteering in departments, laboratories, clinics and offices. College security badges provide basic information to patients and visitors of the name and classification of each employee, student or volunteer.

College security badges also improve the overall security for all employees, as individuals without College security badges should not be present in most non-clinical areas. Often visitors are lost in the building and employees can assist by providing clear directions or escorting the visitor to the appropriate clinic. Employees should identify visitors, who do not belong in private work areas, labs, classrooms, clinics and Departments. If an employee is concerned with a suspicious activity of a visitor, the employee should immediately contact the UIC police at 6-HELP (6-4357) and solicit the support of a co-worker before addressing the visitor. Employees should not be confrontational or place themselves in a potentially dangerous situation.

The College pays \$5 for each security badge created by the Campus I.D. Office. Appropriate care should be taken of the College security badge, like all other forms of identification. If an employee, student or volunteer loses or damages the College security badge, the College will issue one free replacement. Additional replacements cost \$5. Payment for replacement College security badges will be taken in the College Human Resources Department before a replacement is ordered. A signed receipt of payment will be issued.

Disclosure of Confidential Information Prohibited

Employees with access to confidential or private information shall not disclose information, except as authorized by University policy. Some examples include student, patient and personnel records, legal records, medical records, budgetary or financial data, as well as information found by accessing private areas, such as student/employee work areas, storage areas or offices.

Customer Service and Respect

All employees are expected to interact with everyone in a courteous, professional manner. Respect to all patients, faculty, staff, residents, students and guests is expected. Patient confidentiality and HIPAA compliance guidelines regarding privacy and security are to be strictly maintained.

The University does not allow a hostile work environment for anyone. If an employee encounters a difficult situation, the employee should contact the supervisor for assistance in resolving the problem. The supervisor will contact the College H/R Department if further assistance is needed.

Employees are expected to be working in the unit's designated work area during scheduled work hours. If an employee leaves the work area, the employee should notify the supervisor (or delegate) prior to leaving the area. Repeated unauthorized absences from the work area will be subject to discipline.

Supervisor Responsibility

Supervisors are expected to provide leadership for the employees supervised and to respect the dignity and rights of the employees as individuals. Employees are expected to perform work assignments efficiently and effectively. Employees are to be mindful of the expectations of the University and of University employees. The supervisor is expected to set an example for employees by the supervisor's own conduct, attitude and work habits. Appropriate disciplinary measures should be applied firmly, consistently and impartially.

Work Schedules

Faculty and academic professional staff have a standard 8.0 hour work day, while civil service employees have a 7.5 hour or 8.0 hour day, depending on the employee's civil service classification. Work schedules are established by supervisors dependent on operational needs. Employees are expected to be at the workstation at the beginning of the shift and remain there until the end of the shift. There is no paid work time for changing into scrubs, uniforms or street clothes. This should be done prior to the start of the work shift or after the end of the work shift.

Fair Labor Standards Act (Overtime)

Faculty, academic professionals and exempt civil service employees are not paid for overtime and do not receive compensatory time. Overtime worked by a civil service non-exempt employee requires the pre-approval of the supervisor. This overtime is paid for hours worked beyond the daily normal work hours (7.5 or 8.0 hours) at a rate of time and a half. Due to the higher cost of overtime and budgetary constraints, it should be limited to infrequent situations of an urgent, operational nature. Supervisors should specifically mark and approve overtime hours on the employee's bi-weekly time sheet, prior to submitting the time sheet to the College Human Resources Department for payroll processing.

Socializing and Non-work Activities during Work Hours

Employees are expected to be at the work station in the employee's Department during work hours. Employees should not be visiting other departments during work hours except for work assignments. Employees should not use work time to make extended personal phone calls, socialize with other employees, write or answer personal e-mails, surf the internet, play games, or perform other types of personal business. Employees have two 15 minute break periods and one 30 minute lunch period for these types of personal activities and socializing. Repeated violations will be subject to discipline. Consolidated breaks/lunch periods are appropriate in clinics and other areas with supervisory approval.

Use of University Telephones and University Postage

When necessary, employees may make and receive brief personal telephone calls from time to time. Employees may not make personal long distance phone calls or receive collect phone calls at the Department's expense. The Campus mail service is to be used

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for official University business only. The personal use of University postage and University postage machines for private mail is prohibited.

Breaks and Lunch Period

Each full-time employee receives a 30 minute unpaid lunch period and two paid breaks (up to 15 minutes each). If an employee voluntarily does not take a break or the operational needs do not allow for a break, the breaks do not accumulate and will not be paid as additional compensation. Supervisors should allow the employees to regularly schedule breaks, as much as operationally possible. When an employee is going on break at a different time than the regular schedule, the employee should notify the supervisor of this change.

Departments have the right to establish set lunch hours and schedule employees for alternate lunch periods for coverage purposes. The Department may choose to allow employees to attach the morning and afternoon breaks to the lunch period, resulting in a one hour combined lunch/break time. Employees returning from lunch late will be docked for missed time and subject to discipline for repeated occurrences. Employees taking a one hour lunch/break period are expected to be at the Department work station the remainder of the day. No additional breaks are approved. It is recommended that employees that prefer to have a mid-morning break and a mid-afternoon break make arrangements to take a 30 minute lunch period.

Use of Vacation Leave

Employees should request the use of vacation leave at least two weeks prior to the dates requested. Employees must have adequate leave balances earned and banked, before the vacation time can be used. Supervisors will give written approval or denial of these requested based on operational needs. If a vacation request is denied, the supervisor and the employee will consider alternate dates.

If an employee becomes ill during a scheduled vacation day, the employee cannot use sick leave for that previously approved vacation day, unless hospitalized overnight. If an employee is scheduled to be on vacation, but decides to report to work, the employee needs the approval of the Department supervisor before starting work. Often, supervisors make alternate staffing arrangements or re-schedule workload based on employee vacation requests. If an employee's request to re-schedule vacation time is denied, the employee may not work that day. If the

Department supervisor is not available, the employee should return home to take the scheduled vacation day or report to the College Human Resources Department for further clarification.

Use of Personal Leave (Vacation Leave for Personal and Family Reasons)

As vacation time is earned, it is recognized that small increments of time may be needed by employees for personal and family reasons. Personal leave is for a short period of time, such as a partial day, one day or a maximum of two days. Personal leave will be granted by a Department supervisor for any reason upon request of the employee, subject to the Department's operational needs. In determining whether to give such approval, the Department supervisor will take into account staffing requirements needed to insure necessary continuity of operations.

Personal leave should be scheduled at least one week in advance, whenever possible. When such leave is necessary to handle urgent personal or emergency situations that are beyond the control of the employee and that arise too suddenly to permit advance approval, the employee may be granted post-approval by the supervisor. The supervisor may request clarification or additional documentation in such circumstances. In the event of an emergency or urgent need, the employee can request approval of personal leave after the time is taken off. Written approval of the supervisor is required for personal leave time to be used and the employee to stay in pay status. If the supervisor does not approve the use of personal leave time, the employee will not be paid for the time off.

Minimum Sick Leave Balances

All employees, who have worked for the University at least one year, should have a minimum sick leave bank of at least five work days (37.5 or 40 hours). Employees are encouraged to build a cumulative sick bank, so it is available in case of a potentially serious medical problem. The University's generous sick leave policy allows an employee to focus on dealing with a medical situation, without the added financial stress of being not receiving a paycheck (due to lack of sick leave benefits). Anything below the 37.5 or 40 hour bank of benefit time could necessitate an investigation to determine if Proof Status is warranted. The Department supervisor and College Human Resources Department will consider the specific circumstances on a case by case basis. If an employee has exhausted sick benefit time, any absence, with or without a doctor's note, could be unexcused, unpaid and lead to discipline.

Sick Leave Usage and Approval

Employees must receive approval from the Department supervisor to charge an absence against accumulated sick leave. The Department supervisor may require the employee to provide evidence to substantiate the reason for the absence if it exceeds three consecutive work days, if the supervisor has sufficient justification to question the employee's reason for requesting sick leave or if the Departmental policy requires such substantiation for all Department employees. An attendance record indicating a pattern of excessive use or previous abuse of sick leave is considered sufficient justification. Accrued sick leave cannot be used for vacation purposes. The Department Business Manager has access to the sick leave bank information for all Department employees.

An employee that finds it necessary to be absent should notify the Department supervisor at least one hour before the start of the work shift, consistent with the Department Call-in Policy. If the absence is due to a scheduled medical or dental appointment, the employee must seek advance approval from the Department supervisor, except in emergency situations. This advance approval should be at least one week in advance, if possible. The Department supervisor may request an employee to re-schedule a medical appointment due to the Department's operational needs. Failure to make proper notification to the Department supervisor may disallow the use of sick leave and result in the employee not being paid.

Proof Status – Sick Leave Abuse

Proof status is a condition which is enacted when an employee has exhibited a pattern of sick leave abuse. A memo is issued to the employee by the Department supervisor and the College Human Resources Department. An employee has the right to representation, if requested. Proof status requires that an original, signed doctor's note must be provided for future absences related to illness (even for one day) as proof of illness.

The employee must bring the doctor's note to University Health Services (UHS) upon returning to work and receive a UHS Return to Work Notice. The Department should forward the UHS Return to Work Notice to the College Human Resources Department. Proof status will remain in place for six months and is then re-evaluated. Employees that continue to have attendance problems may be kept on Proof Status for an additional six months, if necessary. A memo will be issued to the employee about the continuation of the Proof Status period. Probationary employees should not be placed on proof status, as the attendance issues should be addressed on the probationary review forms.

Any sick leave taken without a doctor's note and UHS Return to Work Notice will be unpaid and unexcused. Repeated occurrences will be subject to discipline.

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College Dental Appointments and Use of Benefit Time

Employees are encouraged to use the dental services provided by the Faculty Practice, Postgraduate Specialty Clinics or Undergraduate Group Practices. If dental treatment occurs during the employee's regular work time, the employee must use available sick time or personal leave time. If the appointment occurs during personal time (i.e. before or after work hours, during employee's lunch period, etc.), no benefit time is used.

No Discounts for College Dental Services

There are no discounts provided to employees or family members receiving dental services provided in the Postgraduate Specialty Clinics or Undergraduate Group Practices. These clinics have reduced fee schedules as compared to private dental practices. Employees are expected to pay for services when the dental treatment is provided. Certain procedures requiring lab work will require advance deposits.

If employees or family members are being treated in the Faculty Practice, insurance assignment is accepted for numerous dental insurance plans including CompDent. Payment for dental treatment is expected at the time of service or when the insurance coverage is determined. The faculty provider has the option of providing a courtesy discount, depending on special circumstances and the judgment of the provider. Any discounts given will be deducted from the provider's quarterly lump sum disbursement of net collections.

Probationary Period

Civil service employees have a six month or one year probationary period when starting a new Civil Service position. Supervisors should perform periodic evaluations with the new employee at regular intervals: one month after hire, three months after hire and five months after hire. If there are any concerns about work performance, reliability, attendance, judgment, work ethic or other types of concerns, the supervisor should contact the College Human Resources Department to discuss the situation. If an employee is not meeting the operational needs of the Department, the probationary employee may be dismissed.

Children at Work

To provide a safe and efficient working environment in College clinics, laboratories, classrooms and offices, employees are not allowed to bring children to work. Employees need to request personal leave time to address emergency childcare issues.

Tardiness

Employees are expected to be at the Department work station, properly attired and ready to work, at the start of the work day and for the full work day. If an employee is unavoidably detained, the employee should follow the Department call-in policy. At the supervisor's discretion, personal leave time may be approved by the supervisor for an occasional tardiness or the supervisor may allow the employee to make up the missing time by staying later that same day. Requests for use of personal leave time and the supervisor's approval should be written. If the supervisor does not approve the use of personal leave time, due to frequency of tardiness, operational needs, etc., the employee will not be paid for the missing time. Repeated tardiness will be subject to discipline.

Call-in Policy for Absences and Tardiness

All employees are expected to contact the Department supervisor a minimum of one hour prior to the start of the work day, if possible, when the employee expects to be late or absent. The employee should state the reason for the absence. If the supervisor is not available and the employee is leaving a message, the employee should leave a call-back phone number where the employee can be reached. Unless otherwise directed by the supervisor, if an employee is off work for multiple days, the employee is expected to follow the call-in policy each day. Departments can modify the call-in policy based on operational needs. The call-in policy should be written and distributed to all Department employees.

Eligibility for Holiday Pay

To be eligible for holiday pay, an hourly employee must have worked on the last workday before and the first workday after a University-observed holiday. An employee is also eligible to receive holiday pay if the supervisor has previously approved vacation, personal leave or a floating holiday for the day prior to or after the holiday. Employees calling in sick on the day prior to a holiday or day following a holiday may not be paid for the holiday, unless specifically receiving the written approval of the supervisor.

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General Dress Code Policy

Proper grooming and attire have a positive impact on the College's image. All employees shall maintain grooming and attire standards which reflect a reasonable relationship to the employee's work responsibilities. Staff and students, who have direct patient care responsibilities, must wear scrubs. Faculty have the option of wearing scrubs or "business casual" clothing. Research staff are required to wear protective clothing as determined by laboratory supervisors. If administrative or Civil Service employees are required to wear specific uniforms (not scrubs), the College will purchase the specific uniforms and a reasonable number of changes. Employees are responsible for the cleaning and laundering of all uniforms, scrubs, coats, etc.

When an employee is found to be outside of the acceptable grooming and attire standards, the employee will receive a verbal warning. On the second offense, the employee will be sent home without pay for the lost hours of productivity. Continued infractions of the dress code policy will lead to disciplinary action.

Proper Attire - Clinical Faculty, Staff, Postgraduate Residents and Dental Students:

Scrubs are to be worn by health care providers (faculty, staff and students). Faculty may wear a white laboratory coat, where appropriate. Comfortable work shoes, such as athletic shoes, can be worn in specific clinic areas. Open-toed and backless sandals/shoes are not allowed for clinic employees due to infection control purposes.

Proper Attire - Student Help (Labs and Offices)

Students are expected to wear clean clothing, which is appropriate to the student's work assignment. Specifically, low-cut tank or halter tops, excessively short shorts, midriff tops, T-shirts with offensive pictures or slogans, beachwear, see through or mesh clothing, and ragged, torn or dirty clothing is not allowed.

Proper Attire - Research Lab Staff

Casual and comfortable work clothes are allowed in the research laboratories. Blue jeans may be worn, but not shorts. The research laboratory supervisor will determine the necessary protective apparel to be worn in the research laboratory. The research laboratory coats worn during experiments should not be worn in the public areas such as lunch areas, washrooms, elevators and other public areas.

Proper Attire – Faculty, Administrative and Clerical Staff (Non-Clinical Areas)

If a uniform is not required, male employees are expected to wear neat and clean dress/casual trousers and shirt. Suits, ties and jackets are optional. Female employees are expected to wear neat and clean skirts, slacks, tops, dresses and suits.

Slacks

Inappropriate items include jeans of any color, sweatpants, jogging outfits, shorts, bib overalls, leggings, spandex or other form-fitting pants.

Shirts

Casual shirt, golf (polo) shirts, sweaters and turtlenecks are acceptable. Inappropriate items include tank tops, sweatshirts, shirts with large lettering, logos or slogans, halter-tops, tops with bare shoulders or midriff length, and T-shirts.

Dresses and Skirts

Dress and skirt length should not be shorter than four inches above the knee. Mini-skirts and spaghetti-strap dresses should not be worn for work.

Footwear

Dress shoes, dress sandals, rubber-soled shoes, loafers, boots and flats are acceptable. Athletic shoes, flip-flops and slippers are inappropriate in general office and administrative areas.

Hats

Hats are not allowed in the departments or work areas during work hours. If hair covering is required, it must meet College regulations (e.g. scrub caps or hairnets).

Jewelry

Conservative jewelry is acceptable in the workplace.

Other Inappropriate Attire

Clothing designed specifically for sporting activities, sleepwear and evening wear is not appropriate in the workplace.

Faculty and Staff Performance Reviews

The University requires that faculty and staff be reviewed by the supervisor on an annual basis. The College of Dentistry has decided to complete this evaluation process during the spring, which better accommodates the operational needs of the departments and vacation schedules during the summer. Therefore, the evaluations for AY07 will be for an eight or nine month period, while the College switches to this new timeframe.

The schedule is listed below for AY07 and future years:

AY 07:

- Staff and academic professionals review period: August, 2006 to March 31, 2007
- Faculty review period: September, 2006 to May 31, 2007

AY 08 and Future Years:

- Staff and academic professional review period: April 1st through March 31st; evaluations due in College HR on May 15th.
- Faculty review period: June 1st through May 31st; evaluations due in Academic Affairs on June 15th.

The performance appraisals will be used as a factor when determining salary increases for faculty and staff for the new academic year. There are three different evaluation forms, which are used for the various types of employees:

- faculty
- exempt employees (academic professionals, postdoctoral research associates and exempt Civil Service employees)
- non-exempt employees (Civil Service hourly employees).

The evaluation forms are available in the appendix.

Supervisor Conduct and Responsibilities

Supervisors are expected to provide leadership for employees supervised, to respect the dignity and rights of employees as individuals, and to set an example by the supervisor's own conduct, attitude and work habits.

Supervisors are charged with the responsibility of organizing, directing and controlling the work of employees. Supervisory effectiveness will be measured by the productivity of the workforce. There are no easy answers when it comes to managing people, particularly when deciding whether or not an employee should be disciplined. What works in one situation may be inappropriate in another. Regardless of the circumstances, appropriate disciplinary measures should be applied firmly, consistently, and impartially.

Purpose of the Disciplinary Process

The College follows the principles of corrective action and progressive discipline for offenses as defined by the University. The primary purpose of discipline should be to correct an employee's behavior rather than serve as punishment for wrongdoing. The penalty imposed for the first offense should be lighter than that for later discipline, which is caused by the continuation of the problem. If the discipline results in the employee correcting the problem, future disciplinary actions can be avoided. On the other hand, if the problem persists additional discipline may be required, which is progressively more severe. Discipline may ultimately lead to the employee's discharge.

The principles of progressive discipline, equitable and consistent treatment, and just cause are critical elements of the disciplinary process. Each disciplinary problem is unique requiring judgment and flexibility in determining a fair and equitable solution. The supervisor should consult with the College Human Resources Department at an early stage for assistance in correcting an employee's negative work habits and poor work performance.

Serious Disciplinary Issues

Although most discipline is caused by recurring problems such as work rule infractions, performance deficiencies or excessive unexcused absences/tardiness, there are times when major offenses occur that result in moving immediately to suspension or discharge. There are also times when the steps within the progressive disciplinary process may be repeated or skipped.

Some examples of serious disciplinary issues include:

- Acts of theft, regardless of the amount, may justify initiating discharge proceedings, regardless of whether the employee has been previously disciplined.
- Acts or threats of physical violence are viewed very seriously.
- Possession or distribution of drugs at the work-site could result in immediate discharge.
- The inability to perform work because of alcohol or drug use could result in immediate discharge.
- Negligence in carrying out security, safety or health care responsibilities are further examples of issues, which may cause severe discipline to be initiated.

University Corrective Action and Progressive Discipline Policy

The University will strive to insure consistent and uniform treatment in disciplinary matters for all Civil Service employees. Disciplinary suspensions and lesser forms of corrective action or discipline such as verbal warnings and reprimands, letters of warning, and letters of reprimand are not subject to review by the Merit Board of the State Universities Civil Service System.

Effort should be made to apply discipline consistently, impartially, fairly, and firmly. Decisions on discipline shall not be made in an arbitrary or capricious manner but as a result of informed and unbiased investigations. The College Human Resources Department will conduct a thorough investigation prior disciplinary action being taken. The College Human Resources Department will consult with Campus Labor Relations prior to taking disciplinary action. A pre-disciplinary meeting with the employee and the employee's representative is held when formal discipline is anticipated. Notification of the pre-disciplinary meeting shall be given to the employee at least three work days before the scheduled date of the meeting, unless there is potential threat to University property, staff, students, patients, and/or the general public.

In certain circumstances when an offense is of a serious nature, the principles of corrective action and progressive discipline may not be applicable, and immediate suspension or discharge may be warranted.

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Leave with Pay Pending Appropriate Disciplinary Action

In certain cases, the employee's presence on the job may be detrimental to the employee and/or Department, or constitute a substantial risk of injury to life or property. In such cases, the College Human Resources Department shall consult with Campus Labor Relations. If warranted, the employee will be placed on an approved leave of absence with pay, pending determination of appropriate action. An investigation to determine the appropriate course of action normally shall be completed within ten working days after the day the employee is placed on leave. If, as a result of the investigation, it is determined that disciplinary action is warranted, such action shall be administered in accordance with University Policy and Rules.

Supervisor's Role in Administering Discipline

One of the more difficult tasks for any supervisor is to administer discipline. Some supervisors may attempt to avoid uncomfortable and unpleasant situations by simply allowing the problems to continue. This only results in additional difficulties for both the supervisor and employee. As part of a supervisor's function, it is expected that the supervisor will apply formal discipline when the situation warrants in accordance with University procedures. Supervisors can administer discipline if:

- The case is properly documented.
- The supervisor has followed established University disciplinary procedures.

Before initiating disciplinary action with an employee, the supervisor should make sure the following conditions have been met:

1. Establish clear, reasonable and understandable work rules.
2. Communicate those rules to the employees. Make available any and all policies and procedures, work performance expectations and Department rules to the employees.
3. Apply all rules fairly and consistently. Do not allow one employee to routinely do something, which the supervisor would not allow another employee to do. For example, an employee that comes to work late one time would probably not be penalized in the same manner as another that frequently is late. The principle requires that the supervisor treats all "abusers" alike.
4. Set standards for employee performance and behavior.
As one might expect, not everyone will consistently measure up to performance standards or comply with the rules. When this occurs, it is the supervisor's responsibility to take the required disciplinary action.

Employee Discharge

After all attempts have failed to correct an employee's behavior, the last step in the progressive disciplinary process is discharge. Discharge is the ultimate penalty to be considered, after other attempts to correct the employee's behavior have failed. For recurring infractions, the employee's previous disciplinary record should generally include a Letter of Warning and three suspensions administered through the progressive discipline process.

Other more serious infractions may warrant discharge regardless of the employee's previous disciplinary history. For example, thefts or acts of physical violence usually result in immediate initiation of the discharge process. Contact the College Human Resources Department as quickly as possible after such incidents for advice and counsel. The College Human Resources Department will work with University Labor and Employee Relations and University Legal Counsel to determine whatever investigation might be required and the recommended course of action.

There must be concurrence among the Department, College Human Resources Department, University Labor and Employee Relations and University Legal Counsel. The facts of the case and accompanying documentation must support discharge. Once discharge is determined, University Labor and Employee Relations prepares an Intent to Discharge Letter. This letter documents in detail the charges against the employee. The letter offers the employee the opportunity to attend a reconciliation meeting or make a written response within three workdays after being served to discuss the charges. At the time of the meeting, the employee may also request an additional three days to make a further written response.

The University has seven workdays from the meeting or written response to decide whether to proceed with discharge, consider a lesser level of discipline or drop the charges altogether. If the decision is to proceed with discharge, University Labor and Employee Relations prepares the Written Charges for Discharge notice, which is served on the employee jointly by the Department and College Human Resources Department.

Disciplinary Documentation Requirements

It is essential that the supervisor carefully and consistently document the employee's deficiencies and the negative impact on Department operations. The documentation should specifically outline the specific dates, details of the various problems, conversations the supervisor had with the employee, directives given to the employee, etc. At a disciplinary hearing, it is not good enough to say:

"The employee has been absent too much over the last year."

"The employee forgets to call in to report an absence."

"The employee sometimes cannot be found in the work area."

Though these may be valid reasons to discipline an employee, the supervisor should provide more specific documentation to support the need for discipline. For example, the supervisor should:

- Produce time records showing each absence and tardiness.
- Outline the reasons the absence was unexcused. (i.e. The employee did not follow proper call-in procedures.)
- Provide documentation of past conversations and meetings with the employee.
- Provide detailed examples of poor work performance.
- Acts of insubordination, threats or other inappropriate behavior require detailed documentation.

The supervisor needs to address the disciplinary problems on a timely basis. The College Human Resources Department will work with the supervisor to identify a course of action and assist with the necessary documentation.

Chapter 3

Employee Conduct

Professional Conduct

Those acting on behalf of the University have a general duty to conduct themselves in a manner that will maintain and strengthen the public's trust and confidence in the integrity of the University and take no actions incompatible with their obligations to the University. With regard to professional conduct, those acting on behalf of the University should practice:

- * Integrity by maintaining an ongoing dedication to honesty and responsibility;
- * Trustworthiness by acting in a reliable and dependable manner;
- * Evenhandedness by treating others with impartiality;
- * Respect by treating others with civility and decency;
- * Stewardship by exercising custodial responsibility for University property and resources;
- * Compliance by following State and Federal laws and regulations and University policies related to their duties and responsibilities;
- * Confidentiality by protecting the integrity and security of university information such as student records, employee files, patient records, and contract negotiation documents.

Non-Discrimination Statement

The commitment of the University of Illinois to the most fundamental principles of academic freedom, equality of opportunity, and human dignity requires that decisions involving students and employees be based on individual merit and free from discrimination of all forms.

The University of Illinois will not engage in discrimination or harassment against any person because of race, color, sex, religion, national origin, ancestry, age, marital status, disability, sexual orientation including gender identity, unfavorable discharge from the military or status as a protected veteran. The University will comply with all Federal and State nondiscrimination, equal opportunity and affirmative action laws, orders and regulations. This nondiscrimination policy applies to admissions, employment, access to and treatment in the University programs and activities.

University complaint and grievance procedures provide employees and students with the means for the resolution of complaints that allege a violation of this Statement. Members of the public should direct their inquiries or complaints to the appropriate equal opportunity office.

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Annual Report of Non-University Activities (RNUA)

Illinois law and University statutes and regulations require all salaried academic staff to complete an annual Report of Non-University Activities (RNUA). The reporting and approval process is not intended to discourage non-University activities, but rather to ensure that external activities are compatible with University obligations. It is fully recognized that most external activities are consistent with, and often beneficial to, University roles. The University Policy on Conflict of Commitment and Interest, including sanctions is available at <http://tiger.uic.edu/depts/ovcr/research/conflict/index.shtml> .

Employees Required to File a RNUA Form

All paid academic staff (part-time or full-time) of the University must participate in the RNUA process. Academic staff includes the faculty ranks of professor, associate professor, assistant professor (and all of the foregoing whose appointments contain such terms as "research," "adjunct," "visiting," or "clinical"), instructor, and lecturer, as well as academic professionals and postdoctoral associates.

Students, including medical residents, are not considered academic staff, and do not need to file a report. Civil Service employees are covered by a different policy and do not need to complete the RNUA.

Update of RNUA Form for Significant Changes during the Year

The state law requires forms to be submitted annually. *Forms should be updated in the interim, and prior approval sought, if significant changes in activity occur.* It is the responsibility of the Department Head to collect any revised forms from faculty and academic staff members and to carefully review the proposed activities. The Department should submit updates to the College, which will forward them to the Office of the Vice Chancellor for Research if necessary. Whether or not an updated form is filed, advance written approval of all external income-producing activities is always required.

RNUA Additional Resources

The conflict of interest section on the OVCR web site is at www.research.uic.edu/conflict. This website has links to a variety of resources, including the RNUA form and detailed instructions; answers to frequently asked questions; the University Policy on Conflicts of Commitment and Interest; current University documents, State law and Federal regulations relevant to this policy; and more. Examples of allowable income-generating activities, non-allowable activities and activities requiring prior approval are also found at this website. Employees may also contact the Conflict of Interest Officer at coi@uic.edu or by phone at (312) 996-4070.

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Statement of Economic Interests

Some University employees will need to file a Statement of Economic Interests annually. This is received via the U.S. Mail and is different from the RNUA form discussed above. All paid full time and part time academic staff must complete the RNUA form. Only employees meeting specific criteria (listed below) must complete the Statement of Economic Interests, in addition to the RNUA.

The criteria that apply to University of Illinois employees are enumerated in Section 4A-101(f) of Public Act 88-187, which was amended in August 1993. They include:

- Persons who are or who function as the head of a department of other administrative unit.
- Those who have supervisory authority over or direct responsibility for the formulation, negotiation, issuance or execution of contracts entered into by the State in the amount of \$5,000 or more.
- Those who have supervisory responsibility for 20 or more employees.

The names of employees whose responsibilities may be expected to include one or more of the above criteria are certified to the Office of the Secretary of State by the University Office of Administration and Human Resources, after consultation with the Campus Human Resources Offices. If an employee is not on the list and does not meet the criteria, the employee is not required to complete the Statement of Economic Interests.

Confidentiality

All employees should respect the confidentiality rights of other employees, patients, students, research participants, the general public and families of those with whom the employee works or consults. Confidential information should be used only for professional purposes and shared only with authorized parties.

The Health Insurance Portability and Accountability Act (HIPAA) governs privacy, security and electronic transactions standards for Protected Health Information (PHI). These regulations became effective April 14, 2003. HIPAA regulations require that all members of the University-covered entity complete job-specific training. OSHA also requires annual training for all employees. HIPAA and OSHA training is provided online using the NetLearning system from the UIC Hospital. Each employee's training program is customized based on job classification. The College HIPAA Officer is Dr. David Clark, Associate Dean for Patient Services.

The rights of research participants and use of patient data for research purposes and/or publication purposes is governed by the Institutional Research Board (IRB) and the Office of Vice Chancellor for Research. The College contact for IRB questions is Dr. Indru Punwani, who also serves on the IRB Board.

Nepotism Policy

No individual shall initiate or participate in institutional decisions involving a direct benefit (initial employment, retention, promotion, salary, leave of absence, etc.) to a member of the individual's immediate family. "Immediate family" includes an individual's spouse, ancestors and descendants, all descendants of the individual's grandparents, and the spouse of any of the foregoing. Departments are not allowed to hire immediate family members to work in the same Department. Contact the College Human Resources Department for further information.

Code of Ethics

The Code of Conduct establishes guidelines for professional conduct by those acting on behalf of the University including executive officers, faculty, staff, and other individuals employed by the University using University resources or facilities, and volunteers and representatives acting as agents of the University. This is not an attempt to define specifically what one should and should not do, but to communicate the University's expectations of proper conduct and the professional conduct valued by the University. More information can be found at the website: <http://www.ethics.uillinois.edu> .

The *State Officials and Employees Ethics Act* requires all University employees to participate in annual ethics training on a calendar year basis. This training is web-based and should be completed during regular work hours or as directed by the employee's supervisor. The ethics training should be carefully read and an exam successfully completed at the end. After finishing the ethics training, the employee should print a certificate of completion and provide it to the Department supervisor. The certificates of completion will be forwarded to the College Human Resources Department each year.

All paid employees must complete this ethics training, including student employees, graduate assistants, residents, full-time and part-time faculty and staff. The University has developed a disciplinary action plan for non-compliant employees. Disciplinary action will be initiated for those employees not completing the training during the scheduled time. In addition, the Inspector General's office can impose penalties of up to \$5,000 per individual found to be non-compliant with the ethics training requirement.

Adjunct faculty in non-paid positions are not required to complete the annual ethics training. Temporary help employed by outside agencies within the College are not required to complete the annual ethics training. Newly hired employees during the year will complete the ethics training as part of the NESSIE New Hire Process.

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If an employee has any questions regarding this process, the employee should contact the University Ethics Office on the Toll-free Ethics Help Line at: 1-866-758-2146 or via e-mail at: ethicsofficer@uillinois.edu.

Chapter 4

Safety

Building Services Request & Equipment Problems

All building services requests are to be reported directly to Fred Chapa, Director of Building Services. This includes any problems related to electrical repairs, lighting, lock problems, temperature control, cleaning issues, furniture and file moving, etc. Do not contact Campus Facilities Management directly. Contact Fred Chapa first at fchapa@uic.edu (Blackberry). Do not use the College of Dentistry work-order form or the FMWEB site.

Building maintenance problems include the following:

- Heating/air conditioning: too hot, too cold
- Lighting: blown bulbs
- Plumbing: plugged sinks, toilets, water leaks, etc.
- Carpentry: hanging pictures, damaged ceiling tiles, assembling office furniture, doors jammed, door knobs falling off, etc.
- Electrical: bad light switches, unsafe receptacles, power outage, handicap doors
- Locksmith: issuing new keys for rooms, desks, file cabinets, etc.
- Signs: room name plates, and department signs, etc.
- Moves/disposals: equipment, furniture, chemicals, etc.
- New equipment installations.
- Elevators not working properly. If stuck inside an elevator, use intercom to communicate; also press alarm button inside elevator.
- Entrance doors, outside perimeter lighting, security, grounds, windows, graffiti, unsafe conditions, building evacuation.
- Sterilizers, D.I. water, exhaust fume hoods, medical gas, bio-hazard materials, compressed air (80 and 20 p.s.i.), vacuum, steam.
- Disinfection of Dental Delivery System.
- Housekeeping issues, comments, complaints, etc.

Remodeling Projects

Remodeling projects must be approved by the Dean and the budget approved by the Associate Dean for Administration. This also includes minor carpentry and painting.

Receiving Dock/Deliveries

Shipping address must include the specific room number. The receiving dock has a telephone on the outside of the dock, so that delivery drivers can dial for assistance.

Emergency Clean-Ups

For emergencies such as spills, overflowing trash cans, washrooms needing cleaning or supplies, Departments should contact the housekeepers directly at extension 6-3688. There are three housekeepers on call during the day shift from 7:00 A.M. to 5:00 P.M., Monday through Friday. Other non-emergency issues can be addressed to Fred Chapa at fchapa@uic.edu .

Dental Equipment Emergency Repairs

Equipment technicians are on call from 8:00 A.M. to 11:00 P.M., Monday thru Friday.

1. E-mail “8772484837@archwireless.net “ .
2. Enter room and unit number with a brief description of problem.

Technicians will respond to all dental equipment problems in all the clinics, instructional and plaster labs throughout the building. Breakdowns include: unit keys, unit cabinets, unit drawers/doors and lockers. Technicians will also respond to medical gas problems.

Workplace Violence

All employees are entitled to a safe workplace that is free from violence or the threat of violence. Workplace violence creates unsafe working conditions, undermines the safety of employees and will not be tolerated. The University has a zero tolerance for workplace violence. An employee should contact the Department supervisor, the Department Head and the College Human Resources Department with any questions or concerns. If there is an immediate danger, the employee should contact the Campus Police at 6-HELP.

Clinic Manual

The goal of the College's Clinic Manual is to provide a set of guidelines for the safe and effective practice of dentistry in an environment that fosters a high level of quality education that ensures learning, communication and patient satisfaction. This manual has been prepared to provide a comprehensive insight into our patient care operations. The contents of the manual signify the intent of the College's clinical education to provide excellence in patient care and the development of critical thinking and clinical abilities of our students. Integrity and professionalism are paramount in the field of dentistry. Developing a patient's trust and respect cannot be overemphasized. Becoming a professional is a lifelong process that requires personal commitment, personal development and continued self-appraisal. The faculty and staff are present to guide and foster these beliefs in helping students develop and contribute to dentistry, society, and to the patients we treat.

College of Dentistry Policy and Procedure Manual

Clinic Manual (continued)

The manual has been prepared for all students, clinical faculty, and staff and contains rules, procedures and guidelines by which the College clinic facilities and resources will be coordinated and conducted in adherence to the above philosophy and goals. **All students, faculty, and staff involved in clinical activities are required to know and adhere to the policies and procedures described in this manual.** The current manual can be found on the College intranet site at <http://dentistry.uic.edu/> . Click on the Intranet (in the upper right corner of the web page), then click on Policy & Procedure Handbooks. Under Clinic Policies is the Clinic Manual. The College Intranet can only be viewed inside the building, but copies of the Clinic Manual can be printed out for reference purposes. This same website also contains other information important to the clinical staff regarding radiology guidelines, laboratory prescription criteria and quality assurance, conscious sedation, anesthesia and controlled substances, policy on reporting child abuse, policy on reporting elder abuse, local anesthesia policies and the consent form – bisphosphonate drugs.

Infection Control Manual

The goal of the College's Infection Control Manual is to protect College personnel and patients from cross infections related to the dental clinic environment through:

1. Requiring current immunization against hepatitis B and other appropriate diseases for all College of Dentistry personnel having contact with bodily fluids.
2. Education and training in the principles and practice of infection control in dentistry.
3. Reducing or eliminating exposure of clinic personnel to penetrating injuries with needles and sharp instruments.
4. Reducing or eliminating exposure of College personnel and patients to potentially infective aerosols, splatter, saliva and other body fluids.
5. Reducing or eliminating contamination of clinical and laboratory environments by use of optimal aseptic techniques, including barrier techniques.
6. Using, to the fullest extent feasible, intrinsically safe substances, procedures or devices (engineering controls) as primary methods to reduce exposure of College personnel and patients to harmful substances and hazards.

It is the responsibility of faculty, staff and students to learn everything in the Infection Control Manual, understand its application and, most importantly, to practice these proper infection control procedures at all times. The Infection Control Manual can be found the College intranet site at <http://dentistry.uic.edu/> . The College Intranet can only be viewed inside the building, but copies of the Infection Control Manual can be printed for reference purposes.

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Incident Reporting

Any incidents, occurrences and injuries in the building need to be reported to the Office of Patient Services in Room 301 of the College. There are four different forms, one or more may be applicable to the situation. The direct supervisor should also be notified immediately. The forms are briefly described below and are available on the College intranet site at <http://dentistry.uic.edu/> . Click on the Intranet (in the upper right corner of the page), then click on Policy & Procedure Handbooks. Under Clinic Policies is the section on Incident Reporting and the various forms. **The Office of Patient Services will give the College Human Resources a copy for their records.**

Occurrence Report

This form should be used by students, faculty, and staff for reporting all unusual outcomes to them. The form should be filled out by the person involved with the occurrence and the attending faculty member should be listed as a witness. Return the form to the Office of the Associate Dean for Patient Services.

Employee Injury Report (Workers' Compensation)

Used for reporting an employee injury. This form has two parts, one for the employee to complete and one for the supervisor to complete. This form is filled out in addition to the occurrence report listed above. Return completed form to the Office of the Associate Dean for Patient Services. The employee and supervisor should also notify the College Human Resources Department, if an employee is off work due to a workers' compensation claim.

Patient Occurrence Report

This form should be used for reporting all unusual outcomes involving patient treatment. The form should be filled out by the attending faculty member with the student listed as a witness. Return the form to the Office of the Associate Dean for Patient Services.

Visitor Incident Report

This form is used for the general public in reporting incidents not related to dental treatment (i.e. a person falls out of a chair in the lobby, slips on the floor, etc.). The area supervisor is responsible for filling out this form, with the assistance of any witnesses to the incident. This form should be returned to the Office of the Associate Dean for Patient Services.

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Employment Accommodation Policy for Employees and Applicants

The University has the responsibility to give notice to all applicants and employees of the right to request accommodations, the procedures to do so, and the right of appeal. The University also has the responsibility to make reasonable accommodations to the physical or mental limitations, which are a result of an individual's **known** disability. UIC has no obligation to accommodate disabilities of which it is unaware or disabilities/handicaps not covered by Federal or State law.

All applicants who submit applications or take civil service exams, and all candidates who are invited to interview for a specific job, will be given notice of the University's policy of nondiscrimination against persons with disabilities and the procedures available for requesting a reasonable accommodation in the application or interview process. An employee may request an accommodation from the Human Resources Department or Office for Access & Equity.

Request of an Accommodation

An employee may request an accommodation in writing using the Accommodation Request Form. Questions and the completed Accommodation Request Form should be sent to the Office of Access & Equity. An employee is also free to discuss verbal requests with the supervisor or the College Human Resources Department. A copy of the Accommodation Request form can be found in the Appendix of this manual.

Once the request is made, Access & Equity will contact the College and inform it of the request. The Department is only provided with the information needed to determine how reasonable the accommodation is and how to implement it. When a final decision is made regarding the request for an accommodation, the employee will be informed of the right of appeal.

The Accommodation Request Form will be kept in a secure file in the College Human Resources Department, separate from the employee's personnel file. Access to the information will be limited to individuals who have a need to know about the accommodation

Documentation of the Medical Condition

Employees may be asked to provide documentation of the Medical Condition. Some situations where documentation may not be necessary include, but are not limited to, instances where:

- the employee is a current or former UIC student who received service from University Health Services;
- the employee has an observable Medical Condition;
- the request expands upon existing accommodations or previously provided accommodations for which documentation was provided.

When an employee is requested to provide verification of a Medical Condition, the employee should be directed to provide the medical information to University Health Services or the Office of Access & Equity. University Health Services and Access & Equity will work jointly to determine the medical validity of the documentation.

An employee must bear the initial cost of verification of the Medical Condition. If the University requests additional verification of the Medical Condition or the Medical Condition's impact on job requirements, the University will bear the additional costs.

All medical information will be kept confidential in the same secure file as the Accommodation Request Form, separate from the employee's personnel file, and with access to the information limited to individuals who have a need to know.

Reasonableness of an Accommodation Request

When determining the reasonableness of the accommodation the following factors should be used:

- Is the employee otherwise qualified to perform the essential job functions?
- Whether the accommodation would accomplish the desired result (i.e., allowing the individual to effectively perform the essential functions of the job)?
- Whether the accommodation would be unduly disruptive to the workplace, so that business cannot be conducted?
- Does the accommodation raise safety concerns?

As a general rule, the Department will purchase equipment, only if it is determined that the use of the equipment is necessary in transaction of the official business. The equipment may not be of a personal nature (eyeglasses, hearing aids, etc.), which the employee can be reasonably expected to provide.

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Resolution of Accommodation Requests

The employee or applicant will always be the primary person consulted when determining the most appropriate accommodation. Employees will be given the opportunity to provide, or arrange for, their own accommodation; (i.e., using volunteer drivers or readers, providing their own adaptive equipment, etc.). While the procedures in these policies and guidelines must be followed in order for documentation to be maintained, the procedures should not be interpreted rigidly. The process of determining an effective, reasonable accommodation for employees should be an interactive one, involving input and feedback from the employee, as well as the supervisor.

If an employee of the University acquires a Medical Condition and the University is unable to make reasonable accommodations, which allow the individual to continue his or her current position, the University will explore possibilities for placement in other positions within the institution. Any movement to another position will be considered in accordance with applicable University and Campus rules.

While appropriate deference will be given to the employee's or applicant's requested accommodation, the accommodation originally requested by the employee or applicant may be modified or altered to provide an effective, reasonable accommodation. Any modifications will be noted on the accommodation request form.

It may also be decided that an accommodation will be granted not because the University is obligated under the law, nor because the requesting employee has a Medical Condition, but for other sound reasons.

Sexual Harassment

Sexual harassment is a violation of Title VII of the Civil Rights Act of 1964. Sexual harassment can be defined as “unsolicited, deliberate or repeated sexual explicit derogatory statements, gestures or physical contacts which are objectionable to the recipient and which cause discomfort or humiliation. Sexual harassment can also include environmental harassment, which is defined by the Equal Employment Opportunity (EEOC) as: “Verbal or physical conduct of a sexual nature which has the purpose or effect of substantially interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.”

The University will not tolerate sexual harassment of students or employees and will take action to provide remedies when such harassment is discovered. The University environment must be free of sexual harassment in work and study. In order to assure that the University is free of sexual harassment, appropriate sanctions will be imposed on offenders in a case-by-case manner. The College will respond to every complaint of sexual harassment reported.

For additional information, see the Office of Access & Equity website:
<http://www.uic.edu/depts/oae/Harassment.htm> .

Chapter 5

College Computer and Network Policies

Use of Internet and College Computer Network

The computer network is the property of the UIC College of Dentistry and may only be used for legitimate business purposes. Employees are provided access to the computer network to assist in the performance of a job. Students are provided access to the computer network to assist in the education of the student. Additionally, all computer users are provided with access to the Internet through the computer network. Employees have a responsibility to use College's computer resources and the Internet in a professional, lawful and ethical manner. Abuse of the computer network or the Internet, may result in disciplinary action, including possible termination, dismissal, and civil and/or criminal liability.

Prohibited Uses

Without prior written permission from College I.T. Department, the College's computer network may not be used to disseminate, view or store commercial or personal advertisements, solicitations, promotions, destructive code (e.g., viruses, self-replicating programs, etc.), political material, pornographic text or images, or any other unauthorized materials. Employees and students may not use the College's Internet connection to download games or other entertainment software, or to play games over the Internet. Additionally, the computer network is not be used to display, store or send (by e-mail or any other form of electronic communication such as bulletin boards, chatrooms, Usenet groups, etc.) material that is fraudulent, harassing, embarrassing, sexually explicit, profane, intimidating, defamatory or otherwise inappropriate or unlawful. Furthermore, anyone receiving such materials should notify the Department supervisor, the College Human Resources Department and the College I.T. Department immediately.

Illegal Copying

Employees and students may not illegally copy material protected under copyright law or make that material available to others for copying. Everyone is responsible for complying with copyright law and applicable licenses that may apply to software, files, graphics, documents, messages, and other material to download or copy. Employees and students may not agree to a license or download any material for which a registration fee is charged without first obtaining the express written permission of the College I.T. Department.

Accessing the Internet

To ensure security and avoid the spread of viruses, employees and students accessing the Internet through a computer attached to College's network must do so through an approved Internet firewall or other security device. Bypassing College's computer network security by accessing the Internet directly by modem or other means is strictly prohibited unless the computer is not connected to the College's network.

Virus detection

Files obtained from sources outside the College, including disks brought from home, files downloaded from the Internet, newsgroups, bulletin boards, or other online service; files attached to e-mail, and files provided by vendors, may contain dangerous computer viruses that could damage the College's computer network. Users should never download files from the Internet, accept e-mail attachments from outsiders, or use disks from non-College sources, without first scanning the material with College-approved virus checking software. If an employee suspects that a virus has been introduced into the College's network, notify the College Information Technology Department immediately.

No Computer Privacy

Employees and students are given computers and Internet access to assist them in the performance of their jobs and education. Users should have no expectation of privacy in anything created, stored, sent or received while using the College's computer equipment. The computer network is the property of the College and may be used only for College purposes. The College has the right to monitor and log any and all aspects of its Computer system including, but not limited to, monitoring Internet sites visited, monitoring chat and newsgroups, monitoring file downloads, and all communications sent and received by users. The College has the right to utilize software that makes it possible to identify and block access to Internet sites containing sexually explicit or other material deemed inappropriate in the workplace.

Security Access

Employees are given access to various computer systems to assist in the performance of job duties. On the New Hire Checklist and the Exit Checklist, security access needs are addressed for the Banner systems, Axiom, UIC Phonebook (e-mail access), and HIPAA Net Learning access. The use of these checklists is mandatory and will assist the Departments in establishing access and removing it on a timely basis for new and departing employees. The completed checklists should be returned to the College Human Resources Department preferably by the date of hire or termination, but no later than one week after hire date or termination date. Contact the College Human Resources Department for any questions or if assistance is needed.

Net ID and Phonebook Information

All employees are assigned a unique net ID, which serves as a UIC e-mail account. This Net ID is used to access the University NESSIE system for various personnel items (employment information, earnings statements for paychecks, benefit options, employment history, educational, demographic and personal data, etc.). The Net ID is also used to log into various other University systems. Employee Net ID's are password protected. Passwords should not be shared with other employees. It is recommended that passwords be changed occasionally.

The Net ID assigned to an employee is input by the College Human Resources Department and activated by the ACCC (Academic Computing & Communications Center) overnight. A Net ID Application Form is provided for an employee to complete, which lists the key data elements needed for the phonebook. The employee must have the University I-card issued and picture taken before a Net ID can be issued. The Net ID is a combination of the employee's last name, first name and/or initials. It is a public identifier used for business purposes. The employee can indicate various options preferred for the Net ID. Once a Net ID is assigned to a University employee, it can't be changed.

The College network and e-mail access is provided by the College IT Department. The initial password is assigned by the IT Department.

Academic Computing and Communications Center (ACCC) Policies

In addition to the College Policies, the Academic Computing and Communications Center (ACCC) has an acceptable use policy. The ACCC policy is located at: <http://www.uic.edu/depts/accc/policies/uicpol.html> . ACCC also has a number of policies that govern the usage of computers, telephones and electronic mail. Links to these policies can be located at: <http://www.uic.edu/depts/accc/policies/> .

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Chapter 6

Recruitment and Searches

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Questions Prior to Starting a Search

Before deciding to make an academic appointment (whether administrative, faculty, or research), the Department should first consider:

- whether the position should be filled and how it should be filled
- what the desirable attributes of a successful candidate would be
- the availability of a salary/relocation budget and the proper funding source
- if the position will require a new or updated Principle Administrative Position Exemption (PAPE). A PAPE is required for all non-faculty positions, which are exempted from the Civil Service System. A PAPE is also required for all administrative stipend faculty positions (i.e. Director, Coordinator, etc.), except for the Clinic Chief title.
- Whether the position will require Board of Trustee approval. Tenure-track or tenured positions, Director faculty titles or academic professional positions with salaries exceeding \$90,000 require the preparation of a Board package. See the College Human Resources Department for more information.

Search Requirements

In accordance with UIC's equal opportunity and affirmative action obligations, all salaried faculty and academic professional positions, which are 50% FTE or greater must be advertised. A search could take as little as three months to complete or as long as a year. The scope of the search varies based on the position. The minimum requirement is an ad placed in the Chicago Tribune and UIC News or a search can be as far reaching as a nationwide search. The ad for the position must be published as a print copy in an approved journal or newspaper. Online advertisements as a sole advertising source do not meet the UIC requirements for the search process. A Department may choose to advertise in multiple sources, if desired.

Appointments That Do Not Require a Search

The following positions do not require a formal search:

- Temporary appointments, which are limited to a specific time or term lasting not longer than one year (i.e. fellowships)
- Appointments for less than 50% FTE
- Visiting appointments
- Trainee and student appointments, such as Post-Doctoral Research Associates, Visiting Scholars, Externs or Residents, Teaching Assistants, Graduate Research Assistants and Graduate Trainees.

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Visiting Appointments

Visiting appointments can be made for a maximum of one year (or up to three years if funded by a grant) for faculty and academic professional positions. These visiting positions do not require a search. However, all permanent positions are subject to the full search requirements. Individuals appointed to visiting positions must be informed that these are temporary positions and that a search is required to fill any permanent position.

Waiver of Standard Search Procedures

In extenuating special circumstances, an appointment can receive a search waiver from the Office of Access & Equity. Often, these exceptions relate to a faculty member changing from a tenure track to a non-tenure track or to hire an individual named in an externally funded grant award by a member of the UIC faculty or staff.

To obtain a search waiver, a Request for Waiver of Search Process must be submitted for approval to the College Human Resources Department. A copy of the Search Waiver Form is included in the Appendix.

Internal Searches

Some searches may be limited to current University employees. These are cases where it is clearly determined that the essential job duties and responsibilities require specific knowledge gained from UIC employment. Hiring of an outside candidate would require an oppressively long period of orientation and development, thereby causing substantial operational difficulties. A detailed justification for an internal search should be submitted by the Department to the College Human Resources Department. An internal search requires the specific approval by the Office of Access & Equity. This step often delays the start of the search process by a few weeks, but is beneficial for certain highly specific managerial and administrative roles.

Equal Opportunity and Affirmative Action

Female and minority hiring and promotion goals (not quotas or preferences) for open faculty and academic professional positions are assessed by the Office of Access & Equity by comparing the current representation of these groups employed by the Department to up-to-date estimates of female and minority availability by occupation or specialization. Hiring goals for finding and interviewing female and specified minority group candidates may warrant expanded recruitment efforts. Positions associated with hiring goals will be reviewed closely for equal opportunity search standards. Before approving a new search, Access & Equity assesses the position and Department to determine whether the hiring unit is measurably under-represented by women, African Americans, or Latinos. If so, targeted recruitment efforts will be strongly urged.

Since 1972 and in accordance with federal Executive Order 11246, when signing a contract or subcontract in excess of \$10,000 with the Federal government, the University of Illinois has agreed that it "will not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin," and that it "will take affirmative action to ensure that applicants are employed and that employees are treated during employment" without regard to these factors.

Search Deadlines

An application deadline is helpful to candidates, but should not be too restrictive. It is recommended that the advertisement provide flexibility by using the following phrase: *"For fullest consideration, submit [credentials] by [date]"* or *"Review of applications will commence on [date]."* Deadlines must be at least three calendar weeks after the last advertisement for the position is published.

Searches remain open for one year after the minimum three-week recruitment period, until a candidate is selected and approved for appointment. In the event that finalists have not been identified at the end of the year and three weeks, the position must be re-advertised if the search is to continue.

Advertising

Announcements of faculty and academic professionals positions must meet certain standards. Advertising to the Campus is a minimal requirement, one which is met by the Job Guide in UIC News and by the "UIC Academic Employment Opportunities" listing on the Internet (<http://www.uic.edu>). Advertising beyond the Campus must be approved in advance by the Office of Access & Equity. Local searches at the Chicago campus require as a minimum that an advertisement be placed in the Sunday classified section of the Chicago Tribune. National advertising, a requirement for many administrative and faculty positions, is often placed in recognized leading journals of the profession and area of specialization.

While ad length and level of descriptive detail are Departmental prerogatives, all announcements, including internal ones, should contain:

- Position rank or title
- Minimal qualifications for application
- The College and/or Department contact person's name, mailing address, and e-mail
- The federally mandated statement that the University is an *Equal Opportunity/Affirmative Action Employer* (minimally *EEO/AA*)

The search should request candidates to provide a cover letter, curriculum vitae or resume and the names of three business references. Salary history or salary expectations should also be addressed in an ad. Once the ad is approved by the Office of Access & Equity, the College Human Resources Department will place the ad. The Department should provide a FOAP for the cost of the ad to be charged appropriately.

Purpose of Search Committees

A Search Committee strengthens the pursuit of high-quality and diverse appointees. Good Search Committees will seek out and attract first-rate applicants. *Search Committees are always advisory, since ultimate responsibility for hiring rests with the Department Head or Chair of the Search Committee.* Crucial to the success of any search is a serious commitment to the time and effort required on the part Chair and Search Committee members. Search Committees should be diversified in gender and race to the extent feasible. An important goal of the Search Committee is to make good faith efforts to identify appropriate women and minority candidates.

Preliminary Responsibilities of the Chair and/or Search Committee

The following is needed at the early stages of a search:

- Develop a schedule of activities
- Agree on ground rules for recruitment of candidates
- Agree on the review and screening process
- Decide how to evaluate candidates
- Decide how to deal with references
- Decide if the candidates will be required to submit samples of work or previous projects to the Committee for consideration

The Chair should keep a record of these decisions and remind the Search Committee that all information and discussions are to be treated in a confidential manner and not to be shared with other employees or applicants.

Acknowledgment Letters

The College Human Resources Department sends a letter of acknowledgment to all applicants by the “for fullest consideration date” or as soon as possible. The Equal Employment Opportunity Information Request form is forwarded electronically to applicants to return separately to the Office of Access & Equity. At the end of the search process, a second reply is sent to applicants regarding the completion of the search.

Evaluation of Candidates

Eliminate the unqualified (those who do not meet the minimum qualifications) and those who clearly would not be suitable for the position, as defined by non-arbitrary standards. Develop a ranking system to be used by the Chair and/or Search Committee. A matrix of the candidates listing the desired key attributes, education and experience should be completed. Points and weights are assigned to the criteria reflecting the relative importance of the factors. Forward the completed matrix to the College Human Resources Department and the names of highest ranking candidates selected to be interviewed. The matrix will be reviewed and discussed with the Chair. The names of the selected finalists will be submitted to the Office of Access & Equity for approval.

Timing of Interviews and Treatment of Candidates

Departments are not to interview candidates until the listing of finalists is approved by the Office of Access & Equity. Tentative interviews, even by phone, can result in a delays or problems. Departments may contact candidates to for clarification of the candidate's background or to request additional information. If time restraints are great, verbal approval for an interview can usually be obtained from the College Human Resources Department.

It is important that all applicants be treated fairly and equally. A courtesy extended to one applicant should be extended to others. Any applicant who has the impression that he or she has been treated differently from other applicants may take action against the University or may spread this perception with potential candidates for other University positions.

It is recommended that the Chair keep as much information as possible about the search for a two year period. Should there be any question about how a search was conducted, notes of the Chair and/or Search Committee, the search matrix, the rating sheets of finalists, etc. could prove invaluable. These records may possibly be needed as evidence in a discrimination charge, grievance or lawsuit. Preservation of search records should not compromise the confidentiality of searches. The equal employment opportunity and affirmative action regulations require that search records be maintained for two calendar years after closure of a search. The College Human Resources Department will keep all application materials sent out and received for the two year period.

Interview Guidelines

Foresight and planning can make this stage of the recruitment and hiring process a smooth one. Seven recommendations follow:

- (1) More than one person should interview qualified, selected candidates. It is helpful to bring the top finalists back for a second interview with additional participants.
- (2) Use the interviews to gain vital information about that candidate's views on substantive job- and Campus-related topics and to measure how the candidate will relate to other faculty, staff, students, patients and the general public served by the University.
- (3) The Chair or one member of the Search Committee needs to direct the interview and ensure that the process stays on track during interviewing sessions.

Interview Guidelines (continued)

(4) Plan interviews in advance. Decide what topics to explore and what practical information can be elicited in the time allotted. Identify the primary questions and sequencing of questions asked by the Search Committee members. Consider asking open-ended questions that require the candidate to address likely situations that will be encountered on the job.

(5) Meet at least briefly with the Search Committee members both before and after the interviews are completed. Have each interviewer provide informal or formal feedback and reactions from each interview.

(6) Listen to the candidates and let the candidate do most of the talking. Realize that the candidates are assessing the University and Department as well.

(7) Make certain that the interview is centered upon assessing qualifications to perform the job requirements in an effective manner. Bias and stereotyping about gender, race, ethnicity, physical appearance, disability, sexual orientation, age, national origin, or ancestry should not cloud interviews in any way. Prohibited by law are pre-employment inquiries about race, creed, color, national origin, gender, age, disability, marital status, or arrest records, unless they are asked with reference to bona fide occupational qualifications. University policy prohibits discrimination on the basis of sexual orientation.

Inquiries Not Permitted During the Application or Interview Process

Search Committees, interviewers, and the Chair may not ask certain questions, either in an application form or in a personal interview before selecting an employee. The following types of direct inquiries are not permitted. Indirect inquiries are acceptable where they relate to performing functions of the position in question. Many of the topics discussed below may surface during the interview process. Unsolicited personal information volunteered or introduced by an applicant is frequent and unavoidable. It is permissible as long as the originator of the topic was the candidate, not the interviewer.

- **RACE**

Impermissible:

Requiring the applicants attach a photo in the application process.

Inquiries as to race or color before the hiring decision has been made.

Requiring the listing of all club, society and lodge memberships.

Permissible:

To request racial information from applicants when information is seen by individual or office not involved in making a hiring decision. This information is only requested and accumulated by the Office of Access & Equity.

Requiring applicants to list professional organizations or associations.

- **RELIGION OR CREED**

Impermissible:

Inquiries about religious denomination, religious affiliations, or church.

Inquiries about religious holidays observed.

Permissible:

If required for the job, applicants can be questioned if he or she is available for work on weekends.

- **NATIONAL ORIGIN**

Impermissible:

Inquiries about country of origin or ancestry.

Inquiries about a native language or the birthplace of parents.

Permissible:

If applicant is not a citizen of the United States, inquiries about the applicant's legal right to remain permanently in the United States.

Inquiries about if candidate holds a visa for employment and type of visa.

Inquiries if candidate is fluent in any language other than English.

Inquiries requesting the candidate to describe his or her military experience in the U.S. armed forces.

- **SEX OR GENDER, MARITAL, PARENTAL OR FAMILY STATUS**

Impermissible:

Asking the candidate if she prefers to be addressed as Mrs., Miss, or Ms.

Inquiries about the candidate's maiden name or the name of a spouse.

Inquiries about where a spouse is employed.

Inquiries about the ages of candidate's children.

Permissible:

Inquiries if the candidate has ever worked for the University under a different name.

For purposes of checking the applicant work record or credentials, inquiries if the candidate has ever changed names or assumed another name.

Inquiries if the candidate has any relatives, or spouse, already employed by the University.

- **AGE**

Impermissible:

Inquiries about the candidate's date of birth?

Permissible:

Inquiries if the candidate is between 18 and 65 years of age? If not, candidate can be requested to state his or her age.

- **DISABILITY**

Impermissible:

Inquiries if the candidate has a disability?

Inquiries if the candidate has ever been treated for the following diseases:

Inquiries if the candidate's family has a history of certain diseases.

Permissible:

Inquiries of a candidate whether he or she has any impairment, physical, mental, or medical, which would interfere with his or her ability to perform the job.

- **ARREST RECORD**

Impermissible:

Candidate can not be questioned if he or she has ever been arrested?

Permissible:

Candidate can be questioned if he or she has ever been convicted of a crime? If yes, candidate should be asked to provide further details.

Checking References

It is required that candidates' credentials and references be thoroughly checked before extending an offer. The Department or College Human Resources Department should make confidential inquiries about educational and experiential qualifications, but also about the candidates' working relationships and reasons for wanting to leave the present position. All information so gained, including any detrimental information, should become part of the official search record kept by the Chair or College Human Resources Department. Finalists will be requested to sign an Education Verification Form and the Employment Verification Form authorizing release of education degree information, current salary and dates of employment.

Searches Not Producing an Adequate Applicant Pool

If a search produces few qualified candidates, it may have to be re-advertised to extend the search for further recruitment. The College Human Resources Department will notify Access & Equity of any planned re-advertisements. A new "for fullest consideration date" of at least three weeks will be set based on the publication of the revised ad.

Summary of the Search Process and Timeline

The following is a general guideline of the key steps of a search process for a faculty or academic professional position:

<u>Timeline</u>	<u>Description</u>
n/a	Diverse Search Committee is established.
n/a	PAPE (position description and exemption from the Civil Service System) is reviewed, updated and/or written.
1-2 weeks	PAPE finalized and submitted to Campus Human Resources for approval.
n/a	Budgetary approval received from Associate Dean for Administration. Department provides FOAP for cost of advertisement.
1-2 weeks	Advertisement developed by Department and College Human Resources Department. Search package is submitted to Access & Equity by the College Human Resources Department for approval.
1-6 weeks	Advertisement order placed by College Human Resources Department. Ad is published in the Sunday Chicago Tribune or desired professional journal. Some journals are only published bi-monthly and have a long lead time.
3-4 weeks	Applications are received. Acknowledgment letters and Equal Employment Opportunity Information Request forms are sent to applicants by College Human Resources Department. Chair or Search Committee identify affirmative action goals, selection criteria and develop standard interview questions. Chair and Search Committee make personal contacts to invite women and minorities to apply. Copy of the journal advertisement and front page of the journal is forwarded by Department to College Human Resources.
1-2 weeks	Chair or Search Committee evaluate the pool of candidates for adequacy in qualifications, size and diversity. Applicants are evaluated by applying consistent selection criteria. Search matrix is completed and finalist names forwarded to College Human Resources Department.
1 week	Search paperwork with the finalist names is submitted by College Human Resources to Access & Equity for approval. A copy of the published ad is attached.

Summary of the Search Process and Timeline (continued)

- 2-4 weeks Search Committee holds interviews with the finalists, including second interviews of the top finalists. References, educational background and salary history are checked by the Chair or College Human Resources. The Chair meets with College Human Resources or the Dean before extending a verbal offer to a finalist.
- ½ week Final details of the offer are sent to College Human Resources, including the title, FTE, salary, expected start date and other significant details. Letter of offer is prepared by College Human Resources for signature by the Department Head, Associate Dean and Executive Director of Human Resources & Administration.
- After Hire College Human Resources notifies candidates that the search has been completed. Access & Equity is notified that a hiring decision has been made and the search is closed.

A Search Process Checklist is included in the Appendix.

Chapter 7

New Hire Process

New Hire Checklist

A New Hire Checklist is provided to assist Departments with an orderly process of adding new employees. Some steps can be taken prior to the start date of the new employee, although several University processes cannot be completed until the University ID picture has been taken (usually the first day of work). The New Hire Checklist identifies the necessary forms to be completed and forwarded to the College Human Resources Department. This will reduce processing time for adding employees to Banner and the payroll system. Departments must complete the New Hire Checklist and send it with the New Hire paperwork, when the PITR has been submitted. See the Appendix for a copy of the form.

Offer Letter

All offer letters are prepared by the College Human Resources Department and co-signed by the Department and/or Associate Dean. Once a Department is aware of a planned new hire, please notify College Human Resources and provide the name of the candidate, the CV or resume, the proposed title, FTE, proposed salary, budget information (new position or individual being replaced), source of funding and FOAPAL. **No new hire can start without an offer letter.**

DART – Creation of NESSIE New Hire Log-on

DART is a computer software package used by Campus Human Resources to add new hire employees to the University systems. To use DART, the Department must have key pieces of information. The steps to creating a New Hire Log-on are found at the DART link at: <https://hrnet.uihr.uillinois.edu/dart-cf/>.

If the employee is a foreign national, the Department needs to know the visa status. Please note, F-1 and J-1 visa holders are not eligible for retirement and insurance benefits, until the employee has met the “IRS substantial presence test”, which is overseen by University Payroll. The Department needs to schedule all new employees on F-1 and J-1 visas for appointments with the Campus Payroll Department to have the “substantial presence” test done. If a full-time employee is not eligible for SURS and the University health insurance, the employee will be paid a monthly insurance stipend of \$166.67 until the requirements of the “substantial presence test” are met.

NESSIE New Hire Process

All new hires or returning employees need to complete some of the required new hire forms online through the NESSIE New Hire System. NESSIE New Hire will summarize all of the required post-hire transactions electronically. A new employee will complete personal information and professional history, a tax withholding statement, benefit enrollment, arrange for direct deposit, and obtain other valuable information related to employment at the University of Illinois. New hire employees should carefully submit all educational degree information and dates, as missing data will delay the appointment. The Department should monitor that the employee is completing all required steps of the NESSIE New Hire process on a timely basis to avoid payroll delays.

New Hires are given ten calendar days from start date to make State health, dental, and life insurance coverage choices. Failure to choose benefits within the ten day period automatically enrolls the new employee in the Quality Care Health and Dental plans, Basic Life Insurance and provides no dependent coverage. If an employee chooses to waive health and dental coverage, this must be done through NESSIE in the same ten day period. This ten day period can be briefly extended by the Campus Benefits Department for unusual circumstances.

New Hires will use the NESSIE New Hire computer screen until all the forms have been completed. The NESSIE New Hire screen will only be available for up to 60 days before being deleted. The new hire should complete the new hire forms as quickly as possible in the first few weeks of employment. The new hire log-on ID and password expire 60 days after first initiated by the Department (not 60 days after the start date). The new employee will not be able to access the NESSIE New Hire screen, once it has been submitted. The New Hire web site is at:

[https://newhire.uihr.uillinois.edu/cf/newhire/index.cfm?CFID=266396&CFTOKEN=49746908&jsessionid=8030a1a960000\\$08x0\\$A1](https://newhire.uihr.uillinois.edu/cf/newhire/index.cfm?CFID=266396&CFTOKEN=49746908&jsessionid=8030a1a960000$08x0$A1) .

Once the new hire forms have been completed, new hires will use a separate website called NESSIE, which allows the employee to view or edit personal information, such as date of birth, marital status, benefit information, or earnings information. If a new employee needs to make a change to a previously submitted New Hire form, the employee must go to the regular NESSIE screens to update or add any additional information (the employee will no longer have access to the NESSIE New Hire system).

Confidentiality Agreement Form

As an employee, volunteer or student at the University of Illinois, there is possible access to “Confidential Information”. The purpose of the Confidentiality Agreement is to explain the employee’s obligations regarding confidential information. Confidential information is protected by Federal and State Laws, regulations, including HIPAA, the Joint Commission on Accreditation of Healthcare Organizations standards, and strict University policies. The intent of these laws, regulations, standards and policies is to insure that confidential information will remain confidential. Such information will only be used as necessary to accomplish the needed operational purposes.

All employees are required to read and sign the Confidentially Agreement Form, acknowledging that the employee is aware that the University may take disciplinary action, up to and including termination or expulsion from the University, in the event of a violation of the Confidentiality Agreement. In addition, the University may initiate legal action against an employee, including but not limited to civil litigation or criminal prosecution. See the Appendix for a copy of the form.

Drug Free Workplace Form

The University of Illinois is committed to maintaining a drug-free workplace in compliance with applicable State and Federal laws. The unlawful possession, use, distribution, dispensation, sale or manufacture of controlled substances is prohibited on University premises. Violation of this policy may result in the imposition of employment discipline as defined for specific employee categories by existing University policies, statutes, rules, regulations, employment contracts, and labor agreements. Any employee convicted of a drug offense involving the workplace shall be subject to employee discipline and/or be required to satisfactorily complete a drug rehabilitation program as a condition of continued employment.

The illegal use of controlled substances can seriously injure the health of employees, adversely impair the performance of job responsibilities and endanger the safety and well being of fellow employees, students and members of the general public. Therefore, the University encourages any employee having a problem with the illegal use of controlled substances to seek professional advice and treatment. A list of sources for drug counseling, rehabilitation and assistance programs may be obtained from University Health Services or the Employee Assistance Services. Employees may obtain this information anonymously either through self-referral or at the direction of the employee’s supervisor. Employees engaged in work under a Federal contract may be required to submit to testing for illegal use of controlled substances as provided by the law or regulations of the contracting agency.

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Drug Free Workplace Form (continued)

As a condition of employment, employees are asked to abide by this Drug Free Workplace statement. In addition, any employee working on a Federal contract or grant must notify the employee's supervisor, if the employee is convicted of a criminal drug offense occurring in the workplace, within five days of the conviction. The University will notify the granting or contracting Federal agency within ten days of receiving notice of a conviction of any employee working on a Federal contract or grant, when said conviction involves a drug offense occurring in the workplace. This statement and its requirements are promulgated in accordance with the requirements of the Drug-Free Workplace Act of 1988 and shall be interpreted and applied in accordance with this law and the accompanying rules and regulations. See the Appendix for a copy of the form.

Conditional Hire Acknowledgement Form

To establish and maintain the safety for students, customers, clients, patients, research participants and the general public utilizing the University of Illinois facilities and hospital, and to comply with the Campus Security Act, the Illinois Health Care Worker Criminal Background Check Act (HCWCBCA) and the Medicare-Medicaid Anti-Fraud and Abuse Amendments, the University conducts sanctions background checks on all College of Dentistry prospective employees, who have the potential for contact with UIC patients. A conditional offer of employment will be made pending the results of the sanction background check. Should the employee's name appear on a government sanction list, the employment will be revoked. See the Appendix for a copy of the form.

Criminal Background Check & Government Exclusive List Release Form

Applicants considered for employment in positions identified as security sensitive, must undergo a criminal background check/credit check under the State of Illinois Campus Security Act and the Illinois Health Care Worker Criminal Background Check. A conditional offer of employment will be made pending the results of the criminal background check/credit check. Should the background check result in adverse information, the employment can be revoked. See the Appendix for a copy of the form.

Employment Verification

The College Human Resources Department will complete an employment verification of the prospective employee, in consultation with the Department. The prospective employee will be asked to sign an Employment Verification Release Form. If not completed prior to issuance of the letter of offer, a conditional offer of employment will be made pending the results of the employment verification check. This employment verification is not a reference check, but only a verification of employment dates, titles, salary, etc. In addition, the Department and/or College Human Resources will contact a minimum of three references. See the Appendix for a copy of the form.

Education Verification

The College Human Resources Department will complete an education verification of the prospective employee. The prospective employee will be asked to sign an Education Verification Release Form. If not completed prior to issuance of the letter of offer, a conditional offer of employment will be made pending the results of the education verification check. See the Appendix for a copy of the form.

One Month Delay in Receipt of First Paycheck for New Hires

The addition of a new employee to the various University systems requires numerous steps and is time-consuming. Transactions are handled by the Department, the College Human Resources Department, various Campus Human Resource Departments and the Campus Payroll Department. Prior to starting work, the Departments should alert new employees that there will be a delay of approximately one month before the employee receives the first paycheck.

College Human Resources will work with the Department and Campus Units to resolve any outstanding issues delaying the employee's appointment being entered into Banner. The first check generally requires manual payment processing. These pay adjustments can be submitted to the Campus Payroll Department once a week for processing. If an employee prefers to receive a Payroll Advance, this can be arranged. However, the University has strict rules regarding the amount of the advance and the repayment of the advance. Contact the College Human Resources Department for additional information and assistance in this matter.

Electronic Employee Clearance

The Office for International Services (OIS) assists with the processing of the Employee Clearances and Employment Eligibility Verification Forms (Form I-9) for all internationals on campus (both students and faculty/staff.) In order to finalize the employment process, all internationals must have an Employee Clearance and I-9 completed by OIS.

The EC process should be completed within the first three days of the international's employment with the Department. Delays in sending the international to OIS for this process may result in paycheck delays, pay shortages or other problems for the international. Departments should not wait to send the individual to OIS because the employee is without a Social Security Number. The Employee Clearance can be done without a social security number.

The Department will complete the Electronic Clearance online along with the Departmental Work Authorization Form for the employee. OIS will process the Employee Clearance and forward the I-9 back to the employee. The Department will promptly forward the I-9 Form to the College Human Resources Department for further processing.

Situations Requiring a New Employee Clearance Form

Employee Clearances must be completed any time the information on the form changes including:

- New Hires
- Moving from Unpaid Adjunct Position to a Paid Position
- Title Change
- Change in Immigration Status
- Percent Time Change
- Extension/Renewal of Immigration Documents
- New Department

If the individual's Employee Clearance is about to expire, the Department must complete a new Electronic Employee Clearance and send the employee to OIS with new documents demonstrating continuing work eligibility **before** the expiration date of the current Employee Clearance. OIS will update the status and end date in Banner. The Department will need to process a PITR to extend the end date of the employee's job.

Employee Clearance Process at OIS

Employee Clearances are usually completed on a daily basis (Monday to Friday) between 2:00 p.m. and 3:00 p.m. in OIS. Internationals should bring the original immigration and identification documents with the Employee Clearance Form to OIS. Photocopies are not acceptable. The individual can choose to wait at OIS, while it is being completed, or may return to pick up the Employee Clearance after 4:00 p.m. that day, if it was dropped off before 2:00 p.m. Alternately, the Department may request the Employee Clearance to be sent via Campus mail, unless there is other documentation that the international must complete. However, a PITR cannot be processed until the Employee Clearance process is complete. Electronic Employee clearance link: https://www-s.ois.uic.edu/cgi-bin/bluestem/lb_login.cgi/

Monitoring of Job Expiration Dates for International and Visiting Employees

It is the joint responsibility of the international employee and the Department to closely monitor job expiration dates. **If an employee has an employee clearance with an end date, that employee can not work past that date under any circumstances.** A new employee clearance is required. Employees will not be paid for any lost work time due to employee clearance issues, as the employee is ineligible to legally work at that time.

If an employee has a visiting appointment that ends before the end of the academic year, the visiting employee can not work past that date without the appointment being extended. The Department should contact the College Human Resources Department to initiate a search to hire a permanent employee for the position.

The College Human Resources Department runs a monthly Banner report of all visiting employees and employees with job end dates. The Department will be notified two months in advance of an upcoming end date, so that appropriate action can be taken.

I-9 Form and Requirements

All employees performing services in the United States are required to complete an I-9 form to demonstrate employment eligibility. Faculty, academic professionals and postdoctoral research associates will complete Section 1 of the I-9 form in the Department by the date of hire (or no later than three days after the date on which employment services start.) Campus Human Resources will complete the I-9 form for all Civil Service employees. If the employee is a visa holder, OIS will complete the remaining sections of the I-9 form, not the Department. OIS will then provide a copy to the Department with the Employee Clearance.

An I-9 form can be completed prior to the employee's start date, up to two months in advance. See the Appendix for a copy of the form.

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Completion of the I-9 Form

There are two important sections on the I-9 form that must be accurately completed in order to comply with the I-9 requirements:

Section 1: The employee must complete section 1 at the time of hire (no later than three days after the employee starts). It is the Department's responsibility to assure that the employee fills in the correct information, signs and dates the form.

Section 2: The employee must present original documents (not photocopies) that establish identity and employment eligibility. The employee may present the necessary documentation in one of two different ways:

1. Present one document from List A on the I-9 form, establishing both identity and employment eligibility; OR
2. Present one document from both List B (establishing identity) and List C (establishing employment eligibility) on the I-9 form.

A sample completed I-9 Form is included in the Appendix, as well as a blank I-9 form.

The Department may not specify which documents an employee is required to present. Such a requirement can be considered "document abuse" and is an unlawful immigration-related employment practice. After reviewing the employee's documentation, the Department must accept the documentation presented by the employee if the documents appear to be genuine. The original I-9 and copies of the supporting documentation should be forwarded to the College Human Resources Department for review.

If the employee is hired for less than three business days, both Sections 1 and 2 must be completed at the time of hire.

Departments can not go back any more than three days for an effective date of a signed I-9 form. Departments need to carefully monitor the proper completion of the I-9 form, as the employee will only be paid from the effective date of the I-9 form.

If a non-salaried employee is being converted to a paid position, even for a short time period, an initial I-9 and clearance must be done within the first three days of the employee starting the paid position.

Request of a PITR and Use of PEAR System

The University provides the Protected E-mail Attachment Repository (PEAR) Messaging Application with Banner as a means of sending and receiving the Personnel Information Transmittal Report (PITR) in a secured environment. To request a PITR from the College Human Resources Department, complete the PITR request form found on the M drive in Administration under HR Forms. See the Appendix for a copy of the form.

All completed PITR forms must be forwarded by the Department to College Human Resources using the PEAR system. This provides additional security of the personal information through the PEAR encryption program. PITR's should not be forwarded by regular e-mail. A sample of a completed PITR form can be found in the Appendix.

New Employee Orientation and Benefits Enrollment

All newly hired faculty members, academic professionals, and support staff employees should attend a New Employee Orientation session at Campus Human Resources the first week of employment. The Orientation sessions are usually held each Monday morning and last about four hours. The New Employee Orientation Program acquaints employees with policies related to UIC employment, safety and security information, benefits options, and the UIC web-sites for obtaining additional information and performing employment transactions.

Please note: New employees, who do not complete the initial benefits forms within the first ten calendar days of employment, are restricted to the following benefit choices:

- Automatic enrollment in the State of Illinois health and dental plans (the Quality Care plan as opposed to one of the HMO's).
- Life insurance limited to annual salary.
- Coverage for the employee only. Dependents cannot be insured until the next open enrollment period.

If a newly hired employee is eligible for benefits (50% FTE or greater) and unable to attend the New Employee Orientation within ten calendar days of the effective date of hire, the Department should contact the Benefits Center either on or before the employee's first work day to make special arrangements. The Benefits Center phone number is (312) 996-6471.

Net ID for Computer Access

A Net ID is an employee's electronic identity on Campus and used for security purposes in various computer applications and permanent records. A unique Net ID is established for each employee and student. Once a Net ID is assigned to an employee, it cannot be re-assigned to another employee. The Net ID's are shared by the Chicago, Urbana and Springfield Campuses.

Net ID's must be between 3 and 8 characters in length, and contain only lowercase letters and numbers (a-z, 0-9). Faculty and staff Net ID's should be all alpha characters, as student Net ID's have a number at the end. The Net ID should be a combination of the last name, first name or initials of an employee, so that it is more readily identifiable. Proposed Net ID's, which do not contain the employee's name, will not be used.

Net ID's are set up in the College Human Resources Department, after the employee has completed the online New Hire paperwork and has received an I Card. A Net ID form is included in the Appendix.

Security Badge

College security badges are to be worn and visible by all College employees, graduate assistants, residents and student working or volunteering in departments, laboratories, clinics and offices. All employees working at the College of Dentistry are required to wear an identification badge in work places located in and on the grounds at all times. This includes employees who work after business hours. The Department should request a College security badges for all new employees.

Employees and Departments should notify the Human Resources Department immediately if a College security badge is damaged, lost or misplaced. Employees and students will be allowed one free replacement security badge. Additional security badges will have a replacement fee of \$5.00. Upon leaving employment at the College of Dentistry, the employee should return the College security badge to the Department or College Human Resources.

Key Requests

Any request for keys for offices and labs must first be approved by the responsible Department Head or Associate Dean, then forwarded to Fred Chapa for delivery of the cards to the Key Shop. The Key Shop can be reached at extension 6-2826. Requests for "N" or Medeco master keys and exterior doors/docks are to be sent to the College Human Resources for processing. Special high security locks ("bastard locks") or work orders for lock changes need to be processed through Fred Chapa.

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Building Access

In order to obtain building access, the Department completes a building access card in accordance with the College’s established hours (listed below). If the building access is for a student or special user (non-University employee), an expiration date must be included. The Department Head must sign all building access cards for Department employees and students. If there are unusual circumstances where an employee needs extended access (until 10:00 pm or midnight) or even 24 hour access, the Department Head can approve such a request on a limited basis.

The Police Department is responsible for entering the building access hours into the various University systems. If an employee or student is having problems accessing the building, the employee or student should contact the Department for assistance in getting the problem resolved. On a week-end or after-work hours, if an employee or student needs to enter the building and access is denied, the employee or student should contact the UIC Police Department. If the employee or student has the proper access on file, the Police Department will send a patrol car to the College and unlock the door for the employee.

BUILDING ACCESS HOURS– COLLEGE OF DENTISTRY

General Hours for entering the building:

24 HOUR ACCESS

Dean, Associate & Assistant Deans, Department Heads, Full-time Faculty Researchers, Residents with Hospital Privileges, Postdoctoral Research Associates and Senior Research Staff

7 DAYS 6:00 AM – 8:00 PM

Full Time Faculty, Academic Professionals and Students with Research Appointments in Laboratories

Monday – Friday 6:30 AM – 8:00 PM
Saturday – Sunday 9:00 AM – 8:00 PM

Residents without Hospital Privileges, Post-graduate Students, Dental Students and Volunteers

Dental Hygienists	Monday – Friday 8:00 AM – 5:00PM
Part-time Faculty, Civil Service Support Staff, Volunteers	Monday – Friday 7:00 AM – 7:00 PM Saturday – Sunday 9:00 AM - 5:00 PM

Chapter 8

Benefits

Information on Benefits

Benefits provided to employees are determined by the Board of Trustees of the University and are subject to change at any time. For more detailed information on your specific benefits, contact the Benefit Center in Campus Human Resources at (312) 996-6471. Additional information and benefit resource materials are available at the following website: <http://www.uic.edu/depts/hr/benefits/index.html> . All new benefit-eligible employees are required to attend a New Hire Orientation session presented by the Campus Human Resources Department in the first two weeks of employment. It is recommended that supervisors schedule new employees to attend this orientation the first day of employment, if possible. Sessions are generally held on Mondays mornings. Employees are required to make certain benefit selections (such as health insurance, dental insurance, etc.) within the first ten days of employment.

Benefit Changes and Open Enrollment Period

Changes to enrollment in health, dental, vision, life insurance and flexible spending accounts generally must occur in the annual open enrollment period (held each spring, usually in May). Changes to enrollment can also occur when an employee is experiencing a qualified change in family status (birth, marriage, divorce, change in employment status of employee or spouse, etc.). Exceptions to this rule include spouse or dependent life insurance, increases or decreases to employee life insurance if coverage of \$50,000 or greater is maintained, or when adding or dropping a dependent while remaining in the two or more dependent category.

Vacation Leave

Vacation time varies based on the type of position held and years of service. Full-time academic professionals and 12 month faculty earn two days of vacation per month, up to 24 days per academic year. Staff employees may earn up to 28 days per year, depending on length of service. The maximum vacation accrual is 48 vacation days. Any vacation time in excess of the 48 day limit is forfeited. Graduate assistants are not eligible for vacation leave. Grant /contract funded employees are required to utilize all vacation benefits during the year earned. Staff are required to work closely with their supervisor in scheduling vacation benefits. Vacation is based on the employment year of August 16th to August 15th.

Faculty employees on twelve month appointments are eligible for vacation time. College policy requires that faculty less than 50% FTE and grant funded employees utilize all accrued vacation during the year earned, with no accumulation or "carry forward" of unused vacation days balances. Employees are encouraged to use vacation days during the weeks that the students are not scheduled to be in the College, typically in December, March, May and August (Please check College and Department Calendars for exact dates). Employees are required to work with their department head/supervisor to schedule vacation days, as much as is possible, during these time periods.

Sick Leave

Sick leave may be used for illness of, injury to, or need to obtain medical or dental consultation for the employee, the employee's spouse, children, parents, or members of the household. Amount of leave depends on the employee's type of appointment. Sick time is earned on a pro-rated basis and accumulated per pay period. Departments should monitor and record sick leave usage.

Full-time faculty and academic professionals earn a total of 12 cumulative and 13 non-cumulative sick days per academic year. Part-time faculty and academic professionals earn a portion of 13 non-cumulative sick days per academic year, in proportion to the employee's FTE. Full-time medical residents and postdoctoral research associates earn 13 non-cumulative sick days per academic year.

Graduate assistants are eligible for the 13 non-cumulative sick days per year, pro-rated for the percentage of appointment. A 25% graduate assistant that works both semesters (summer is optional) is eligible for 3.25 sick days (26 hours) and a 50% graduate assistant working both semesters earns 6.5 sick days (52 hours).

Full-time Civil Service employees accrue earn 12 cumulative sick days per year. The sick leave time for Civil Service employees is earned and accumulated at a rate of 3.5 to 3.7 hours per pay period (depending on number of hours in the work week).

Floating Holidays

Full-time employees earn one floating holiday for each six months of the fiscal or academic year worked. Civil Service employees earn one day for the period of July 1st to December 31st and another day for the period of January 1st to June 30th. Academic professionals and faculty earn one day for the period of August 16th to February 15th and another day for the period of February 16th to August 15th. Employees with an FTE of 50 to 60% earn a total of one floating holiday per year.

Floating holidays should be scheduled in advance and approved by the Department supervisor. Floating holidays are not cumulative. Floating holidays not used expire at the end of the fiscal year (June 30th for Civil Service employees) or academic year (August 15th for faculty and academic professionals).

University Holidays

The University Board of Trustees and the Chancellor establish the annual holiday schedule for each Campus. There are ten designated holidays each year:

- Labor Day
- Thanksgiving Day
- Friday Immediately After Thanksgiving Day
- Christmas Day
- Another Designated Day Before or After Christmas
- Gift Day
- New Year's Day
- Martin Luther King's Day
- Memorial Day
- Independence Day

Reduced Service Schedule (Between Christmas Day and New Year's Day)

The University has a reduced service schedule for the period between Christmas and New Year's. This permits the Campus to operate at the reduced service level in nonessential service units, thereby reducing energy and operating costs. The University is not officially closed, and essential service units, including security, are provided. General administrative offices are closed and academic buildings will have entrance doors locked. Clinical operations will provide service on an as-needed basis.

Reduced service days are not holidays. Employees are asked to use accrued vacation or floating holidays to cover these two days. Hourly (non-exempt Civil Service) employees, choosing to not use vacation or floating holidays to cover this period, may take time without pay. Employees may not use sick leave time during reduced service days.

Academic or support staff members who wish to work during the reduced service days should notify the Department supervisor in writing by November 1st, so that proper arrangements can be made. Faculty and staff may be required to work the reduced service days due to operational needs. Staff will receive regular hourly rate of pay when working a reduced service day.

Health Insurance

Health insurance is available to all employees with an appointment of 50% time or more. Health insurance is effective for the employee upon the first day of employment. Spouse and dependents may elect coverage beginning that day, or the first day of the following month.

Employees may select from the following plans: a traditional indemnity plan (Quality Care Health Plan), or a Managed Care (a Health Maintenance Organization Plan – HMO, a Point of Service Plan – POS, and a Open Access Plan –OAP). Spouse and eligible dependent coverage is also available. Full-time employees are required to enroll in one of the health care plans within ten days of the first day of employment.

Part-time employees must waive the health and dental insurance, if choosing not to participate in the plan. If part-time employees elect insurance, the additional cost of health and dental is shared by the employee and the University in the amount proportionate to the employee's FTE.

Dental Insurance

Dental Insurance is optional, but the employee must be enrolled in Quality Care Health Plan. The effective date for the employee is the first day of employment. Spouse and dependents may elect coverage beginning that day, or the first day of the following month. Enrollment for a spouse and eligible dependents is required if covered on the health insurance. Employees may not enroll in dental insurance if not enrolled in health insurance.

Vision Insurance

The Vision Care Plan is designed to encourage maintenance of vision through regular eye examinations and to help with vision care expenses when glasses or contact lenses are required. Vision Care is effective the first day of employment. Coverage is automatically provided to all employees and dependents, who are enrolled in one of the health insurance plans.

Flexible Spending Account - Medical Care Assistance Plan (MCAP)

Employees eligible to receive benefits may participate in Flexible Spending Accounts. MCAP allows employees to use pre-tax dollars to pay for eligible medical expenses. Participation is voluntary and must occur at the beginning of employment, during the annual open enrollment benefit choice period, or when experiencing a Qualifying Event. Employees may use this plan to pay medical expenses that are not paid by the health, dental or vision insurance such as deductibles, co-payments and non-covered expenses. Contributions can be made only through payroll deduction and cannot be changed during the plan year unless experiencing a Qualifying Event or Benefit Choice open enrollment period.

Life Insurance

Full time employees automatically receive a basic term life insurance plan in an amount equal to the employee's annual salary. Life insurance is effective the first day of employment. Part-time employees also qualify for Basic Term life insurance but must share in a percentage of the cost proportionate to their appointment.

Optional life insurance is available for the employee, employee's spouse and children. Employees may apply for optional life insurance in an amount up to four times the employee's annual salary. Spouse life insurance may be applied for in the amount of \$5,000 and child life insurance in the amount of \$5,000 for each child. Enrollment for employee, spouse or child optional life insurance is guaranteed during the ten day new employee enrollment period. After this initial enrollment period, evidence of good health is required to increase employee life insurance or add coverage for a spouse or child.

Accidental Death and Dismemberment Insurance - State of Illinois Plan

The State of Illinois Accidental Death and Dismemberment (ADD) insurance is available to all employees who are eligible to receive benefits. It may be applied for at any time. ADD insurance is effective the first day of the pay period following the effective date of coverage, unless the elective date falls on the first day of a pay period.

The State of Illinois ADD insurance protects the employee if in an accident and the employee suffers the loss of life, eyesight, or a limb. The percentage of amount paid depends on the type of loss. Employees may apply for coverage in any amount up to five times the annual salary, but may not exceed the employee's combined basic and optional life insurance coverage. Spouse and child coverage is not available.

Accidental Death and Dismemberment Insurance - University Plan

The University Accident Death and Dismemberment (ADD) insurance is available to all employees who are eligible to receive benefits. It may be applied for at any time. It is effective the first day of the month following the first payroll deduction.

The University ADD Insurance protects the employee if in an accident and suffers the loss of life, eyesight, hearing, or a limb. The percentage of amount paid depends on the type of loss. Employees may apply for coverage in any amount between \$25,000 and \$300,000. Spouse insurance may be applied for equaling 40% of the employee amount, or 50% of the employee's amount if no children. Child insurance may be applied for equaling 10% of the employee amount, or 15% if no spouse. Dependent children must be unmarried and between the ages of 1 and 18, or 22 if a full-time student. When participating in the University ADD insurance, employees are automatically enrolled in Worldwide Assistance (WA), which provides services while traveling outside the United States.

State Retirement System (SURS)

SURS is the State retirement plan, which is mandatory for all eligible employees. Employees are eligible to participate in SURS if the employee's position requires working continuously for at least one academic term or 4 months, whichever is less, and employment is not temporary, intermittent, or irregular. The effective date is the first day of employment. Eight percent (8%) of employee's gross earnings is automatically deducted from each paycheck. The University also contributes a percent of the employee's salary into a retirement account. The contributions made to SURS are not subject to Federal or State income taxes, until the employee begins to withdraw funds following retirement. Employees vest after five years of service.

Employees may select from three different retirement plans through SURS: Traditional Benefit Package Plan, Portable Benefit Package Plan, and the Self Managed Plan. A decision must be made within the first six months of employment, or the employee is automatically defaulted into the Traditional Benefit Package Plan. Once enrolled in one of the plans, that decision is irrevocable. If employee selects the Self Managed Plan, the University matching contributions do not begin until the selection is made. Contact the University Benefits Center to attend seminars to learn more about the various retirement plans. The employee can contact SURS at 1-800-ASK-SURS or visit www.surs.com.

Certain employees are not eligible to be covered by SURS if the following applies:

- Students regularly attending classes at a College or University that participates in SURS and the student is employed on a part-time, temporary basis;
- Those employed under the Comprehensive Employment Training Act after 7/1/79
- Employees holding a J-1 or F-1 visa, without established residency status;
- Employees currently receiving a retirement annuity.

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Tax Deferred Retirement Programs (TDRP)

The Tax Deferred Retirement Program is available to faculty and staff being paid by the University. Participation is voluntary and supplemental to participation in SURS and can be done at any time. Employees can modify the TDRP deductions and allocations throughout the year. The two TDRP's that employees may participate in are: the University's Tax Deferred Retirement Plan under Section 403(b), which includes fixed and variable annuity accounts with three insurance companies and two mutual funds families; and, the State Deferred Compensation Plan permitted under Section 457, which includes a guaranteed interest account and several individual mutual funds. Employees may participate in either or both plans. Participation does not reduce any University benefits based on full salary, such as retirement, life insurance, disability or survivor benefits. Both Federal and State income taxes are deferred on the deposits and all interest/accumulation, until funds are withdrawn from the account.

Savings Bonds

Two types of Savings Bonds may be purchased at any time through the University. Series I Bonds are sold at full face value and offer a real rate of return above and beyond inflation. Series EE Bonds are sold at half the face value and earn rates based on five-year Treasury securities. Both bonds can be purchased for as little as \$50 through payroll deductions and earn interest for up to 30 years. The bonds can be redeemed any time after six months of the purchase date, however if redeemed before five years, there is a three month loss of interest.

Credit Union

Credit Union 1 is a member-owned and controlled financial institution dedicated to providing convenient and competitive services as a means of improving the ongoing economic well-being of members, while promoting growth and maintaining the credit union's long-term financial stability.

West Campus Location: 1737 W. Polk St., Lower Level (312) 413-2431

East Campus Location: 750 S. Halsted, Room 220C (312) 355-0590

Hours: Monday, Tuesday, Thursday, Friday 8:30 a.m. to 5:00 p.m. and Wednesdays from 7:30 a.m. to 5:00 p.m.

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Tuition Benefits

The following employees are eligible for tuition benefits:

- Civil Service employees in trainee, apprentice, learner, provisional, or status appointments of 50% time or more;
- Academic professionals, postdoctoral research associates or faculty with an appointment of 25% time or more;
- Retirees.

For children of current employees with at least seven years of service, a 50% tuition waiver may be available for up to four years at an Illinois State institute of higher education, depending on length of service and appointment status. The employee is fully responsible for all University and student fees.

Employee Assistance Programs

The University provides personal, professional, and confidential assistance to all faculty, staff, academic professionals, and their household members, who are experiencing problems that interfere with the ability to work or that person's well being. The assistance program is available to help clarify issues, identify resources, and offer follow-up assistance as needed.

The Employee Assistance Service (EAS) provides free, professional, confidential assessments, short-term counseling referrals, and follow-up for UIC employees and their families for:

- Individual, marital, or family problems
- Emotional stress or depression
- Financial difficulties
- Alcohol and other drug dependencies.

No information is shared with the Department unless specifically requested and approved by the employee. If an employee has any questions or wants to schedule an appointment, contact Employee Assistance Services at: 312-996-3588. Employee Assistance Services is located at the Psychiatric Institute, Room 511, 1601 W. Taylor Street.

Automated Employment Verification

Employees requiring verification of employment should refer the lender or other business to the University's automated verification system. The employee must establish a vendor PIN in NESSIE for each vendor, which authorizes the employee's release of the employment information. The Employment Verification application is found in the "Your File" section of NESSIE.

If an employee needs assistance with establishing a vendor PIN in NESSIE, contact the Information and Employment Center by phone at (312) 413-4848.

Parking

At any given time there are 11,000 to 12,000 automobiles parked on the UIC Campus. Campus Parking Services is responsible for providing safe, convenient, and affordable parking for these vehicles by:

- Issuing parking assignments for faculty, staff, and students
- Providing cash lots for occasional drivers and visitors
- Operating and maintaining UIC's 43 parking facilities
- Offering special services for special needs.

Offices

East Customer Service Office (MC 047) SSB Student Services Building 1200 West Harrison Street Room 2620 Chicago, IL 60607 Phone: (312) 413-9020 Fax: (312) 413-9019	West Customer Service Office (MC 579) SRH Student Residence Hall 818 South Wolcott Ave Basement Chicago, IL 60612 Phone: (312) 413-5850 Fax: (312) 413-5812
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Administration Office (MC 044) WSPS Wood Street Parking Structure 1100 South Wood Street Room 122 Chicago, IL 60612 Phone: (312) 413-5800 Fax: (312) 413-5840	24-Hour Enforcement Dispatch Office Phone: (312) 355-0555
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Office Hours

Monday - Friday	WSPS & SRH 8:00 AM - 5:00 PM SSB 8:00 AM - 6:00 PM
Saturday & Sunday	All Offices Closed

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Employee Reference Guide for NESSIE Transactions, Information and Updates

On an ongoing basis, employees can change the following information via NESSIE:

- Name and Address Information
- W4 Withholding Information
- Direct Deposit Information
- Employment History Information
- Education Background Information
- Emergency Contact Information

Employees can view the following information via NESSIE:

- Notification of Appointment
- Earnings Statements
- Benefits Statements
- Civil Service Statutes and Rules
- Benefit Announcements
- Benefits Frequently Asked Questions & Answers

**NESSIE allows employees to fill out the following forms on-line and send them to
Campus Human Resources electronically:**

- Tuition Waiver Form
- Benefits - Change in Family Status Form
- Shared Benefits - Donating to the Pool Form
- Change in 403 (b) Form Tax Deferred Retirement Program
- Civil Service Exam Request Form

The following are some of the forms that can be printed from NESSIE.

- Certification Statement for Enrollment of Dependent
- Dental Claim Notice Form
- Medical Claim Notice Form
- 403 (b) Tax Deferred Retirement Plans
- Family And Medical Leave Application
- Child of Employee attending Other State University
- Tuition Waiver Form
- Classification Specifications

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Chapter 9

Leave Types

Family Medical Leave - Eligibility

Employees with 12 months of service who have performed at least 1,250 hours of service during the previous 12-month period prior to the FML event, are eligible for 12 weeks of FML in a 12-month period when experiencing one of the following events. All FMLA applications should be completed by the employee and the employee's physician. **The completed paperwork should be forwarded directly to the College Human Resources Department for processing and approval.** The College Human Resources Department will consult with the Department before a leave is granted.

If an employee is planning to use sick leave for a minor medical problem, but does not return to the College after three work days, the College may invoke FMLA for the employee.

Birth or placement of a child for adoption or foster care

Family and Medical Leave (FML) is available for employees giving birth to a child or placement of the child for adoption or foster care with the employee. Leave for birth, adoption or foster care must be taken all at once. Leave for adoption or foster care may begin before actual placement or adoption of the child, if an absence from work is required for the placement to proceed.

Serious health condition of an employee

Family and Medical Leave (FML) is available for employees unable to work because of a serious health condition. Leave for a serious health condition of the employee may be taken intermittently or on a reduced schedule basis when medically necessary. Under such conditions, the employee may be required to transfer temporarily to an available alternative position with equivalent pay and benefits, if the transfer better accommodates recurring periods of leave.

Serious health condition of a spouse, child or parent

Family and Medical Leave (FML) is available for employees to care for a spouse, child or parent with a serious health condition.

- **Child** includes biological, adopted, foster, stepchild, legal ward, or a child of person standing *in loco parentis* - who is under 18 years of age, or over age 18, but incapable of self-care because of a mental or physical disability.
- **Parent** includes biological parent, stepparent, or an individual who stood *in loco parentis* to the employee. FML for a parent-in-law is specifically excluded.

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Leave for a serious health condition of a family member may be taken intermittently or on a reduced schedule basis when medically necessary. Under such conditions, the employee may be required to transfer temporarily to an available alternative position, with equivalent pay and benefits, if the transfer better accommodates recurring periods of leave.

Notice of FMLA Request

When leave is foreseeable, employees shall provide the College and Department with not less than 30 calendar days notice before the date the leave is to begin. If not foreseeable 30 days in advance, the employee shall provide verbal notice within two working days of learning of the need for leave, or as soon as possible.

Length of leave

Employees are entitled up to 12 workweeks of paid and/or unpaid family and medical leave during each consecutive twelve-month period for which eligibility criteria have been met. The initial 12-month period is measured forward from the date the employee first takes FMLA leave. The next 12-month period begins the first time FMLA leave is taken after completion of any previous 12-month period. Entitlement for birth of a child expires at the end of the 12-month period beginning on the date of birth. Entitlement for adoption or foster care expires at the end of the 12-month period beginning on the date of placement. If such leave began before the actual placement because absence from work was required for the placement or adoption to proceed, entitlement expires at the end of the 12-month period beginning on the last day worked. Employees on FMLA leave for the birth or adoption of a child may begin the leave any time during the following 12 months, but leave must commence by the end of the 12 month period.

Benefits Continuation

State and University Benefits

State benefits continue at the same level of coverage while employees are on an eligible family and medical leave (FML) had the employees remained in continuous employment. Employees on a paid FML will continue to have their premium portion deducted from their paycheck. Employees on unpaid FML will be billed for their premium portion. If required payments are not made by the employee during the leave period, insurance coverage may be discontinued and the employee will be offered continuation of coverage through COBRA.

Benefits Continuation

The University may recover any premiums paid for maintaining coverage for employees if they fail to return from FML for a reason other than continuous, recurrence, onset of a serious health condition (employee or family), or other circumstances beyond their control. The University may require certification of such conditions.

University employees may continue insurance coverage in excess of the University's contribution by contacting the Benefits Center within thirty (30) days following the last day of paid employment to make arrangements for premium payments.

State Universities Retirement System

To determine the effect of leave on the accumulation of service time for retirement and to assure continuation of contributions, contact SURS.

Compensation

Employees have the option to take family and medical leave with or without pay. To continue in pay status, employees must use accrued sick or vacation leave in accordance with University leave provisions. Eligible employees may receive compensation through Parental Leave for the birth, adoption or foster placement of a child. Accrued leave used will be counted toward the 12-week FMLA entitlement. Any portion of the 12-week period for which accrued leave is not charged, shall be without pay.

Returning from Leave

Employees returning from FML are entitled restoration to the position held when the leave commenced, or to an equivalent position with equal pay, benefits, and other conditions of employment. For Civil Service employees, restoral to the same or equivalent position shall be contingent on the expected continuation of the appointment and shall be in accordance with the State Universities Civil Service System Statute and Rules 250.120.

Employees on leave may be required to report periodically to the College and Department on the status of the situation and intention to return to work. The employee must obtain a statement from a health care provider when able to resume work. Employees are expected to contact the employing unit at least 30 calendar days in advance of the anticipated date of return from FML.

Extended Leave

Employees seeking approval of an extension of leave beyond the 12-week FMLA entitlement should present a written request to College Human Resources Department. Extended leave will be granted pursuant to College procedures and in accordance with University policies related to leaves of absence. Benefits under the FMLA policy expire after the initial 12-week period.

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Military Leave

Eligibility for Military Leave

Civil Service employees in status, trainee, learner, or apprentice appointments and all academic employees and graduate assistants, who are members of any reserve component of the United States Armed Forces or of any other reserve component of the Illinois State Militia for any period actively spent in military service, in accordance with State and Federal law, are eligible for military leave.

Approval and Length of Military Leave

Employees should receive approval from the Department supervisor. Such leave will be granted whether or not within the State and whether or not voluntary. There are no restrictions on the length of leave granted for military leave.

Benefits Continuation While on Military Leave

Benefits shall be continued by the University as mandated by State and Federal legislation. Employees should contact the Campus Benefits Office for complete information about continuation of insurance coverage and any premium payments.

Compensation While on Military Leave

Compensation provisions vary based on the reason for leave.

Annual, Special, Advanced, and Basic Training

- Compensation is in accordance with the Illinois Military Leave of Absence Act.
- If the leave is with pay, compensation is at the employee's regular hourly rate for non-overtime scheduled hours.

Annual Training

- Employee receives regular compensation as a University employee.

Special or Advanced Training

- For leaves up to 60 days during a University appointment year, if the employee's compensation for military activities is less than the University compensation, the employee shall receive regular University compensation minus the amount of base pay for military activities for normally scheduled work days. The 60 days do not have to be consecutive.

Compensation While on Military Leave

Basic Training

- If the employee's compensation for military activities is less than the University compensation, the employee shall receive regular University compensation minus the amount of base pay for military activities.

Call-Up for Active Duty

- Employees shall receive leave with pay for normally scheduled work days for up to 30 calendar days.
- If call-up is extended beyond 30 calendar days, the employee will be granted leave without pay for such additional days or will be granted leave and compensated as mandated by Federal or State of Illinois legislation.
- Compensation will be at the employee's regularly hourly rate for non-overtime scheduled hours.

Returning from Military Leave

In accordance with provisions of the Service Men's Employment Tenure Act, the Military Selective Service Act and the Employment and Reemployment Rights of Members of the Uniformed Services Act, an employee returning from leave for military service will be restored to the position of employment which the employee left, with the same increases in status, seniority, and wages that were earned during the term of military service by employees in like positions, or to a position of like seniority, status, and pay, unless the University's circumstances have so changed as to make it impossible or unreasonable to do so, or if the employee's position was temporary. Reemployment of Civil Service employees in provisional appointments will be also be subject to Section 250.70(b) of the State Universities Civil Service Statute and Rules concerning conditions for provisional appointments.

Employees returning from leave must have received a certificate or other evidence of honorable discharge or satisfactory completion of military service, and must make application for reemployment within 90 days after being relieved from military service, or from hospitalization continuing after discharge for a period of not more than one year. Employees must be still qualified to perform the duties of the position of employment from which leave was taken. If, as a result of military service, the employee is not physically or mentally qualified to perform the duties of the former position, the employee will be restored to a position for which he or she is qualified and able to perform the duties and which will provide the similar seniority, status, and pay, or the nearest approximation thereof, consistent with the circumstances of the case. Restoral to such a position is not required if it would cause undue hardship to the University.

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Parental Leave

Up to two weeks per academic year, given immediately following the birth, adoption, or foster placement of a child. This is in addition to any sick or vacation leave available to the employee. The employee must have worked a minimum of six months and have an active appointment at the time the parental leave is taken. Parental leave will be counted as part of the twelve-week entitlement accorded by the Family & Medical Leave Act (FMLA) for FMLA-eligible individuals and may be used in conjunction with other paid or unpaid leaves for which the individual is eligible.

Bereavement Leave

Civil Service employees in a trainee, apprentice, provisional, or status appointment and all academic staff members and graduate assistants are eligible for funeral leave. Upon request, eligible employees are granted funeral leave when informing the supervisor of the need.

Length of Bereavement Leave

Employees are granted up to three days of paid leave to attend the funeral, for travel and bereavement time upon the death of an employee's immediate family, same-sex domestic partner or household member, in-laws, grandchildren and/or grandparents. One day of paid leave is granted for a relative other than the above, who is not a member of the employee's household.

A designated supervisor may grant a leave to an employee who cannot, because of special circumstances, return to work at the completion of the allowable funeral leave days. Such leave will be taken without pay or accrued vacation time may be used.

Compensation during Funeral Leave

Paid funeral leave may be used only on days an employee is scheduled to work. Academic staff members receive their regular salary while on paid funeral leave. Civil Service employees receive 1/5 of the full-time weekly work schedule of the employee classification times the employee's percent time of appointment. These hours multiplied by the regular straight-time hourly rate (or benefit hourly rate) equals the amount of funeral leave to be paid. Graduate assistants will be paid based on the normal work schedule.

Chapter 10

Separations

Resignation letter

Employees who voluntarily resign from the College are required to provide the supervisor with a signed resignation letter and the effective date of the resignation. An employee can also resign by e-mail, which is sometimes helpful with part-time employees. Once received, it is imperative that the Department immediately forward the resignation letter or e-mail to the College Human Resources Department for processing.

Exit Interview

It is very important that employees who resign be scheduled for an exit interview with the College Human Resources. It is the Department's responsibility to schedule the exit interview in the final week of work.

DART Separation Form

The Department must complete the DART Separation form to ensure that the employee is correctly separated from the University. This should be done as soon as a resignation letter is received. The DART Separation notifies the Campus Benefits Department that an employee is leaving and needs to be offered COBRA benefits (if eligible). Failure to complete the DART Separation process may also result in the employee continuing to receive a paycheck and being overpaid. If an overpayment occurs, contact College Human Resources immediately. The Department and College Human Resources will actively pursue the repayment of the funds from the former employee. The DART website can be accessed at: <https://hrnet.uihr.uillinois.edu/dart-cf/admin/separation/SeparationMain.cfm> . The completed DART Separation form is submitted by the Department electronically and forwarded to the College Human Resources Department for additional processing.

Processing a Termination PITR

In order to terminate an employee from the Human Resources Banner System and Payroll, a PITR must be processed and forwarded to the College Human Resources Department. Failure to do so in a timely manner could result in overpayment. The Department and College Human Resources will actively pursue the repayment of the funds from the former employee.

The PITR can be processed immediately upon receipt of the resignation letter. There is no need to wait until the final date of work for the employee.

Employees Paid on Grants

A grant-funded employee is required to regularly use vacation time during the academic year, in which it is earned. A grant-funded employee should use the full vacation time prior to the end of the year earned. Supervisors of grant-funded employees should meet with the employee and determine the best way to handle vacation usage throughout the academic year.

Final Vacation/Sick Leave Sheet

Full-time faculty, academic professionals and postdoctoral research associates (50% FTE and over) are eligible for sick and vacation time, depending on the type of appointment. Employees are required to complete a vacation/sick leave form on a monthly basis, which is signed by the employee's supervisor. An updated final vacation/sick leave sheet must be completed on the employee's last day of work. The supervisor should not sign the final vacation/sick leave sheet until the employee's last day of work.

The signed vacation/sick leave sheet should be forwarded to the College Human Resources Department for processing after the termination date of the employee. College Human Resources will update the College records of vacation/sick leave usage, Banner records and process a benefit payout. Benefit payouts for vacation and compensable sick leave are processed within thirty days of the employee's termination date. Any outstanding issues related to keys, Campus ID's, equipment returns, overpayments, etc. could delay the processing of the benefit payout.

Exit Checklist

The Exit Checklist covers the various components of the employee's separation process required to be handled by the Department, College Human Resources and the College Business & Finance Department. The goal is to facilitate a smooth departure for the employee with a minimal disruption to Departmental operations. Delays in completing steps on a timely basis could result in delays in processing the employee's benefit payout or getting the State Retirement System (SURS) the termination information processed by Campus Human Resources. A copy of the Exit Checklist is included in the Appendix.

OIS Departure Verification Forms

Departments are required to complete a Departure Verification Form for all international faculty, staff and scholars that are terminated, resign or complete the stay at the University. This form should be promptly sent to OIS when a termination date is known. OIS will notify the appropriate agencies in compliance with government regulations.

Failure by Departments to notify OIS of an employee's departure, in a timely fashion, may result in the Department being responsible for continuation of the salary paid to a terminated employee. The international employee or visitor should sign the Departure Verification Form before leaving the Department. However, if this was not done, the Department should send the Departure Form to OIS without the signature.

All international students are also required to submit the International Student Departure Verification Form, if any of the following conditions apply:

- Completion of the program
- Completion of Optional Practical Training
- Change in immigration status.

The student is required to provide a new permanent address for contact purposes.

Both Departure Verification Forms can be downloaded from OIS' website and can either be faxed or mailed to OIS (<http://www.ois.uic.edu/index.php?section=ifa&page=news.pi>). If the Department has any questions regarding the forms, the Department should contact the OIS at (312) 996-3121.

Unemployment Insurance

When an employee is laid off for a period of seven days or more, or is terminated from the payroll for any reason, other than voluntary resignation, the College Human Resources Department provide the employee with a publication about unemployment insurance. This information explains who qualifies for unemployment insurance and is presented at the Exit Interview.

Summary of Payroll Termination Processing Controls

Department Responsibility:

- Notifies the College Human Resources Department immediately when employee resigns from a position.
- Submits a signed resignation or retirement letter to College Human Resources.
- Requests and completes a PITR form for the termination.
- Completes the DART Separation Form, places it in “unit approved status” and forwards DART Separation to College Human Resources.
- Reviews P-card usage and records. Notifies Associate Director of Business to cancel P-card.
- Returns employee’s ID to College Human Resources.
- Collects keys and any equipment from employee by last work day.
- Completes the Exit Checklist by the last work day of the employee.
- Reviews the monthly payroll distribution reports to ensure that the terminated employee is no longer being paid.
- Provides the final vacation and sick leave report to the College Human Resources Department for calculation of the benefit leave payout.

College Human Resources Department Responsibility:

- Approves the termination PITR and forwards it to Campus for Banner processing.
- Approves the DART Separation Form, places it in “College approved status” and forwards DART Separation to Campus Human Resources.
- Oversees completion of the Exit Checklist by the various administrative parties.
- Cancels Banner system access.
- Cancels building access.
- Employee ID card returned to Campus ID office and Dentistry security badge destroyed.
- Monitors the progress and completion of all termination PITR’s, to ensure they are input in Banner before the next payroll calculation (to eliminate possible overpayments).
- Processes all benefit payouts for vacation and compensable sick leave.

Business & Finance Department Responsibility:

- Cancels P-card and ensures final reconciliation is complete.

A copy of the Exit Checklist is contained in the Appendix.

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Chapter 11

Employment Opportunities, Promotions and Union Activities

College Vacant Position Listing

The College encourages the promotion and development of employees. The College will post a listing of vacant positions. This listing will be available for view on the College Human Resources Bulletin Board (outside Room 502-A). The job posting are also posted on the College of Dentistry website. Questions regarding specific positions should be directed to the College Human Resources Department.

Civil Service Exams & Hiring Process

Civil Service employees may take any Civil Service exams, for which the employee meets the qualifications. The Campus has recently expanded the number of testing slots to make this testing more readily available to staff. If staff is having difficulty being scheduled for an examination, please contact the College Human Resources Department. An employee must schedule any test dates with the employee's supervisor in advance (to minimize the impact on operations) and employees need to use approved personal leave/vacation leave for the exam time.

When a Civil Service employee passes an exam for a new title, the employee is placed on the Civil Service register for that title based on the employee's score. The Civil Service system requires that the "top three" candidates be interviewed for new positions. If an employee's score does not place in the "top three" scores, the employee can request to re-take the exam the following month. Once an employee is in the "top three", the employee will be contacted by mail by Campus to schedule an interview, when a new position is available. Often, this position will be outside the College of Dentistry and involve a transfer to another unit.

Lateral Transfers between College Departments for Operational Needs

All Department employees are considered employees of the College of Dentistry. The College is the primary hiring unit. The College has the right to transfer qualified employees among Departments and give new assignments based on operational needs. An employee's pay, title and salary grade will not be reduced by this internal transfer. An employee should ideally receive two weeks notice of a permanent lateral transfer within the College, except in emergency operational circumstances. If an employee has a concern about a lateral transfer, the employee should meet with the College Human Resources Department for more information and support during the transition.

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Lateral Transfers between College Departments for Operational Needs (continued)

Employee transfers can often be traumatic to employees and require substantial re-training. Therefore, the Dean and the College Human Resources Department review each situation individually. The College only initiates lateral transfers as operational needs dictate and after all other avenues have been explored. In the past, lateral transfers have been made to save jobs of permanent employees (jobs lost to new computer technology, reorganizations, budgetary or program cutbacks in the College and University, etc.). Before eliminating permanent staff positions, the College first reviews temporary help positions and then considers lateral transfers of qualified employees among Departments.

Transfer Approval Process

Departments and employees cannot initiate lateral transfers without prior discussion and approval by the Associate Dean for Administration and Executive Director of Human Resources & Administration. Given the large number of Departments, Labs, Clinics and Offices operational at the College of Dentistry, lateral transfers could have a cascading impact on operations and be very disruptive.

If a vacant position is available, which would be a promotion for an employee, the employee is free to apply for that position. However, if the vacant position would be a lateral transfer, the College does not generally support lateral transfers within Departments.

Promotion Process and Budgetary Constraints

When a Department is considering promotion of a current employee, the new position needs to be funded in the annual budget process. If an employee has taken a test for a new title and scored in the “top three”, the employee should not expect an immediate promotion in the current Department. The employee is free to discuss the promotional opportunity with the employee’s supervisor. However, the promotion process is evaluated as part of the staffing structure of the College.

The use of certain titles and pay will be reviewed and compared with other College employees to ensure equity, possible union contract implications and the potential impact on all Departments. The Department Head will need to access the budgetary implications of any promotions. The Department will consult with the College Human Resources Department to help identify the timing and logistics of a possible promotion. This process often takes several months, as there are numerous steps to be completed and approvals required both within the College and the Campus.

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Employee Job Counseling

If an employee is dissatisfied with the employee's current position, the employee can contact the College Human Resources Department for counseling. College Human Resources will work with the employee to identify the problems and potential solutions. The employee can also contact Campus Human Resources to identify additional titles which are available, for which the individual is qualified.

Campus Human Resources lists the current available faculty and academic professional positions on campus in the *UIC News*. In addition, faculty, academic professionals and civil service positions are available for review via the NESSIE website under the Career Section, in the sub-section of Apply for Jobs. The direct link is: https://nessie.uihr.uillinois.edu/cf/career/index.cfm?Item_id=505 .

Meetings with Union Representatives during Work Hours

Union employees are free to contact the union representatives during employee's personal time. However, Union representatives may not meet with employees during work hours, unless the College Human Resources Department is present. Union meetings need to be scheduled in advance with the College Human Resources Department. Supervisors should contact the College Human Resources Department prior to meeting or having discussions with union representatives.

Employee Meetings with College Human Resources

If an employee would like to talk with the College Human Resources Department about a personnel matter, unless it is an emergency situation, the employee needs the approval of the supervisor. Supervisors will allow employees to use work time for necessary meetings with the College Human Resources Department. However, such meetings do not have priority over the Department's operational needs and may need to be delayed during busy work periods. The employee should schedule such an appointment in advance with College Human Resources Department.

Chapter 12

Payroll Overview and Visa Processing

Time Reporting

All exempt and non-exempt civil service employees at the University are paid on a bi-weekly basis. The University pays bi-weekly employees every other Wednesday, which is approximately 1.5 weeks after the pay period end date. Departments are responsible for the accurate and timely reporting of hours worked and benefit time used by civil service employees. The payroll hours should be submitted according to published schedules and deadlines. The system used to record time reports and benefit usage is the Banner WEB Time for Employees.

Employees should submit time sheets no earlier than Friday afternoon (at the end of the payroll period). Employees are not permitted to report work hours in advance. The employee should print a paper copy of the current period's time sheet, which is manually signed by the employee's direct supervisor. The signed timesheets are forwarded by the Department to the College Human Resources Department on the following Monday morning.

Departmental Review and Approval Process of Bi-weekly Payroll

Banner Web Time for Employees allows employees to submit timesheet information electronically to the Department approver. The Department approver reviews the timesheet information and electronically approves the timesheet for payment in the Banner payroll module.

In the Web Time module, the employees report regular and overtime hours worked, approved vacation time used, approved sick leave used, approved funeral leave and other types of leave. It is essential that Departments carefully check the hours reported. Tardiness should result in the employee being docked for the time and not paid the full 7.5 hours. Data submitted and approved via the WEB Time for Employees is used to calculate and prepare payroll checks and direct deposits for bi-weekly employees.

Payroll Adjustments

Any payroll related problems should be reported to the employee's immediate supervisor. The supervisor or Department will alert the College Human Resources Department of any payroll problems or issues. The College Human Resources Department can access the various Banner systems and send a pay adjustment to the Campus Payroll Department.

Hourly rate changes, additional hours worked, additional pay that was not reported or submission errors are the types of pay adjustments that must be submitted for processing. An adjustment is also required for any overpayments, underpayments and vacation benefit payouts for terminated employees. Pay adjustments are prepared and submitted by the College Human Resources Department for both bi-weekly and monthly paid employees to correct the amount originally paid to the employee or adjust for a missing paycheck.

When the pay adjustment has been processed, reviewed and approved, the employee will receive a direct deposit into the employee's bank account. In instances when the employee does not have an account for direct deposit, a paper check will be issued. Campus Payroll has a strict schedule, which is followed for processing pay adjustments. The College can submit pay adjustments on Tuesday and the employee will generally be paid on Friday of the same week. The College Human Resources Department will make every effort to expedite all pay adjustments for employees.

Bi-Weekly Payroll Processing Controls and Monthly Reviews of Payroll Reports

Department Responsibility:

- Employees submit time electronically via Banner web software every two weeks.
- Employees are not to submit the timesheets for approval until the last work day of the pay period, unless the employee is on vacation. Employees on vacation or extended sick leave need to contact their department to make appropriate arrangements.
- Employee prints a paper copy of the timesheet and has it reviewed and signed by their direct supervisor.
- Department Assistant to the Head/Business Manager electronically reviews and approves the hours worked and benefit time used by each employee.
- The College Human Resources Department “superusers” will serve as back-up for the Department approvers in case of absences.

College Human Resources Department Responsibility:

- Reviews the list of all employees that did not extract their hours. Any employees on leave or whose paperwork is in process are zeroed out by the Assistant Director of Human Resources or payroll clerk.
- College H/R Department superuser approves the hours for all Administration and Dental Clinics employees based on signed timesheets approved by the supervisors.
- If an employee or supervisor is absent, the payroll clerk will approve standard hours and follow-up for the approved timesheet the following week. Any adjustments needed are made by the Assistant Director of Human Resources via the ANA payroll software.
- The College Human Resource Department superusers will serve as back-up for the Department approvers in case of absences and approve time.
- The Assistant Director of Human Resources will manually enter work hours for any new employees in the ANA payroll software, who have been input in Banner, but do not appear for payroll extraction for their first pay periods.
- Assistant Director of Human Resources reviews all overtime hours worked by employees each pay period. Supervisors are asked to specifically initial overtime hours worked.

Department Responsibility (after pay period for all employees):

- Each month, the Department Assistant to the Head/Business Manager reviews the bi-weekly and monthly payroll distribution reports for the names of employees paid, wages/salaries paid and FOAP's.
- Any unusual items are immediately reported to the Associate Director of Business and/or the Associate Director of Human Resources (depending on the concern) for follow-up and correction. It is important that all salaries and related costs are properly reported in the correct Department, Fund and Program.

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Visa Clearances for Employees

Department Responsibility:

- Employees are responsible for keeping their visa and work status current. However, departments must monitor these visa clearance dates also.
- Departments electronically input all employee visa clearances and submit them to the Office of International Services (OIS) for processing.
- All visa applications of current or future employees, extensions or changes are sent to the College Human Resources Department for review and budget approval.
- Departments send employees to OIS with their original documents for visa status changes.
- Any employee without current work clearance from OIS may not continue to work in the department, until a new employee clearance is issued by OIS.
- Employees will not be paid retroactively for any missed work time caused by a lapse in the employee's work clearance.

College Human Resources Department:

- Associate Director of Human Resources runs a bi-monthly visa report, which lists all expiring appointments. This information is shared with the Department Assistant to the Heads/Business Managers on a monthly basis.
- Associate Director of Human Resources notifies departments of any appointments expiring in the next two months.
- Associate Director of Human Resources follows up with Departments for resolution of each employee with a work clearance that is expiring in the current month.

Review of Visa Applications

College Human Resources Department reviews and signs all visa applications of current or future employees, as well as any extensions or other visa changes. This approval is done before the visa paperwork is forwarded to OIS for processing