

**CALIFORNIA INSTITUTE OF TECHNOLOGY  
STAFF PERSONNEL MEMORANDA**

<b>Subject:</b> <p style="text-align:center"><b>EMPLOYMENT</b></p>	<b>Memo No. 9</b> <b>Pages: 6</b> <b>Date: October 15, 2007</b>
<b>Approved by:</b> Julia McCallin, Associate Vice President for Human Resources	

**(This supersedes Memo No. 9, dated 6/10/1991)**

**1.0 POLICY**

Caltech is committed to equal opportunity for all persons without regard to sex, race, creed, color, religion, national origin, ancestry, age, marital status, pregnancy, gender identity, sexual orientation, status as a disabled veteran, a veteran of the Vietnam Era or other eligible veteran, and for otherwise qualified individuals with a disability.

Caltech is an equal employment and affirmative action employer and will, whenever possible, actively recruit and include for employment members of minority groups, females, disabled veterans, veterans of the Vietnam era, other eligible veterans, and otherwise qualified persons with disabilities. Caltech will hire, transfer and promote based on the qualifications of the individual to ensure equal consideration and fair treatment of all.

**2.0 JOB APPLICANTS**

A job applicant is an individual who meets all of the following criteria:

- 2.1 Applies for a specific position at Caltech and does not withdraw their application.
- 2.2 Completes the Caltech application process.
- 2.3 Meets the minimum requirements for the position, including education, scientific discipline, experience, and/or skills.

**3.0 EMPLOYMENT STATUS**

**3.1 Regular Employee**

A regular employee is hired for a continuous work schedule of indefinite duration in a defined assignment.

**3.2 Term Employee**

A term employee is hired for a specific assignment over a specified time period which the Institute may end at its discretion. Such appointments are not to be considered contracts, and should be so specified in offer letters to prospective term employees.

### 3.3 **Temporary Employee**

A temporary employee is hired for a specific assignment which the Institute may end at its discretion. A temporary assignment may have a specified or an unspecified time period.

Depending on the length of the assignment, a temporary employee may or may not be eligible for Institute benefits. (Please refer to the Benefits Handbook for specific requirements.)

### 3.4 **Occasional Employee**

An occasional employee keeps an irregular work schedule and works at intervals according to the demands of the job. An occasional employee is not eligible for Institute benefits or holiday pay.

## 4.0 **TIME STATUS**

### 4.1 **Full-Time**

A full-time employee works a 40-hour per week work schedule and may be eligible for Institute benefits and holiday pay. (Please refer to the Caltech Benefits Handbook for details.)

### 4.2 **Part-Time**

A part-time employee works a schedule of fewer than 40 hours per week. Part-time employees who work 20 hours or more per week are eligible for Institute benefits. (Please refer to the Caltech Benefits Handbook for details.)

## 5.0 **EMPLOYMENT PROBATION**

### 5.1 **Probation Period**

A probation period, an initial period of employment during which the new staff member and his/her supervisor may evaluate the employee's suitability for the position, is mandatory for the following employees:

5.1.1 New and transferred regular full and part-time employees

5.1.2 Promoted employees

5.1.3 Temporary employees when requested by the department/division.

The probation period is normally six months, but may be shorter or longer. Duration of the probationary period is determined by the employee's immediate supervisor in consultation with the Employment Services and Employee Relations offices. Probation is considered complete at the end of the probation period unless it is extended prior to the completion date. Communication with the employee regarding performance during the probation period must be documented.

## 5.2 **Supervisor's Responsibility**

During an employee's probationary period, it is the immediate supervisor's responsibility to:

- 5.2.1 Clarify probation requirements to the employee
- 5.2.2 Let the employee know the length of the probation
- 5.2.3 Monitor the employee's performance and behavior
- 5.2.4 Provide the employee with feedback on performance and behavior during probation

## 5.3 **Probation Completion**

Probation is considered to have been satisfied at the end of the probationary period. Managers should notify the employee upon successful completion of probation. If an employee successfully meets performance expectations prior to the end of the probation period, the supervisor may complete an employee's probation earlier than specified and inform the employee in writing. The supervisor must submit an Electronic Personnel Action Notice (E-PAN) to Records Services to end the employee's probationary period and update the employee's record accordingly.

## 5.4 **Probation Extension**

All probation extensions require the approval of the director of employee relations.

A probation extension may be granted under certain circumstances during probation, such as a change of supervisor or extended employee absences due to factors beyond the employee's control. A probation extension is generally not granted for the purpose of further evaluation of an employee's performance and/or behavior.

## 6.0 **OTHER EMPLOYMENT MATTERS**

### 6.1 **Student Employee**

A Caltech student who is employed by the Institute while enrolled as a full-time student at the Institute is not covered by unemployment insurance and state disability insurance.

### 6.2 **Minors**

Employment of minors younger than 18 years old is permitted under certain circumstances. Please refer to PM 9-1 for details and specific requirements.

### 6.3 **Nepotism**

Generally, it is acceptable for relatives or members of the same family or household to work at Caltech. However, the employment or assignment of relatives or individuals with whom an employee has personal relationships shall not create or result in a conflict of interest or circumvent any normal selection or hiring process. Such employment must not be the result of preferential treatment or improper influence. Relatives are defined as any family member and/or any individual who is a member of the employee's household. When a job applicant is considered for employment in a department where a relative is a supervisor, a Nepotism Evaluation form must be submitted and approved by the director of employee relations prior to an offer of employment. Candidates must list any relatives working at Caltech on the Applicant Information Form.

## 6.4 **Concurrent Employment**

Concurrent employment occurs when an employee works in two or more Institute organizations. The hiring supervisor must notify the director of employee relations before making an offer for concurrent employment.

## 6.5 **Outside Employment, Consulting and Business Activity**

An employee is permitted to engage in outside activity provided that no actual or potential conflict of interest or appearance of such conflict exists, and such activity does not adversely affect the employee's ability to perform his or her job. Please refer to PM 9-3 for details, specific requirements, and application form.

## 7.0 **EMPLOYMENT PROCESS**

This section describes the Institute's employment process.

### 7.1 **Job Description**

When the need to fill a position is identified, the hiring organization prepares a job description. The major components of a job description include:

- 7.1.1 A job summary
- 7.1.2 A list of job duties
- 7.1.3 Minimum educational requirements, licenses, certifications, and work experience an applicant must meet to qualify for the job
- 7.1.4 Knowledge, skills, and abilities needed to perform the job duties

The job description is then sent or e-mailed to the Human Resources Compensation Office for review and evaluation. The Compensation Office will determine the appropriate Job Family, Job Discipline, Career Level, and Job Class Code, and return the information to the hiring organization.

### 7.2 **Job Posting**

Human Resources Employment Services posts employment opportunities on the Caltech web site. In order to allow qualified candidates to view and apply for jobs at Caltech, jobs are normally posted for a minimum of five working days.

#### 7.2.1 **The following jobs are normally posted:**

- 7.2.1.1 Regular full-time positions
- 7.2.1.2 Regular part-time positions for 20 or more work hours per week
- 7.2.1.3 Term assignments for 20 or more work hours per week
- 7.2.1.4 Temporary assignments for 20 or more work hours per week with a projected duration of four months or longer.

#### 7.2.2 **The following jobs are not posted:**

- 7.2.2.1 Part-time positions for fewer than 20 work hours per week
- 7.2.2.2 Temporary positions for fewer than 20 work hours per week
- 7.2.2.3 Temporary positions with a projected duration of fewer than four months
- 7.2.2.4 Occasional assignments

### 7.3 **Job Submittal Form**

The hiring department creates and submits the job submittal form using the Employment Services on-line applicant tracking system. Designated individual(s) in the department/division, the Compensation Office, and Employment Services must approve each job. Employment Services processes the job submittal form, posts the open position on the Caltech job site and contacts the hiring manager or designee to schedule a meeting between the hiring manager and recruiter to discuss hiring strategy, i.e., advertisement options, interviewing responsibilities, and support required to fill the position. Employment Services will provide the hiring manager with on-line access to review the applications.

### 7.4 **Employment Applications**

All candidates are required to apply for a specific position. When a candidate has access to the internet they should apply on-line. Human Resources has computer terminals available for candidates who do not have computer access. Paper applications will, however, be accepted and will be entered manually into the on-line system on behalf of the candidate.

#### 7.4.1 **Internal Applications (Caltech & JPL)**

It is recognized that an employee may wish to be transferred to another position at Caltech or JPL. Employees seeking new opportunities to further their careers should be given consideration to do so by their supervisor. However, the timing of any transfer action should be planned so that ongoing commitments will not be jeopardized by such actions. If the application is to remain confidential, the employee will be asked to make that request on the first line of his or her resume. The employee may wish to advise his or her current supervisor of a desire to seek a transfer; however, this is not a requirement at the beginning of the process. If the applicant becomes a finalist in the interview process, they must notify their supervisor before an offer can be extended.

Employee Relations is contacted to determine if the employee is on progressive discipline. If they are, a note is entered in the candidate profile of the applicant tracking system where it can be viewed by the hiring manager.

An employee on probation will not be considered for a transfer without prior approval from employee relations and his or her current supervisor.

Caltech and JPL employees are urged to specify in the applicant tracking system that they are current employees.

#### 7.4.2 **Employment Interview**

If requested by the hiring manager, Employment Services will conduct telephone and/or in-person interviews, as well as schedule in-person interviews with the hiring manager. External candidates interviewed in person must complete the Applicant Information Form.

#### 7.4.3 **Pre-Employment Background Investigation**

Background investigations will be processed and conducted for specified jobs. Candidates for such positions must complete background investigation consent forms. When the applicant's background is cleared by the Security Office, an offer of employment can be made. A pre-employment background investigation will not be processed on minors.

#### **7.4.4 Education Verification**

Education will be verified on candidates selected for positions that require a baccalaureate or higher degree.

#### **7.4.5 Professional Reference(s)**

Employment Services or the hiring supervisor may contact the applicant's references, including the applicant's current and/or former employers. An applicant's current employer should not be contacted without the applicant's prior consent.

#### **7.4.6 Employment Offer**

Employment Services, in consultation with the hiring manager, will make a verbal employment offer to the successful job applicant. A verbal job offer specifies the job title, employment status, start date, pay rate, and probation requirement. Arrangements may be made with Employment Services if the hiring supervisor wishes to extend the offer of employment to the candidate or prepare and sign an actual offer letter. Before signing and transmitting a formal offer letter, a hiring manager must either secure an offer letter from Employment Services or secure approval from Employment Services for transmittal of an offer letter he or she has prepared. For positions requiring a physical examination, offers of employment are contingent on passing the physical.

#### **7.4.7 Post-Offer Medical Examination**

Post-offer physical examinations will be processed and conducted for specified jobs. Employment Services will schedule the exam at a contracted facility. Employment may begin when the physical is cleared.

#### **7.4.8 Social Security Number Verification**

After the candidate accepts an offer, information will be obtained from the new employee to verify their social security number. If the candidate is a foreign national new to the United States, they must provide a receipt from the Social Security Administration that they have applied for a social security card.

#### **7.4.9 Offer Letter**

Upon acceptance of a verbal offer, Employment Services will send the new employee an offer letter confirming the job title, employment status, start date, pay rate and probation requirements. New hire paperwork will be enclosed with the offer letter.

Caltech employees, to whom the Institute extends an offer of employment in another position, will also receive a letter confirming the offer.

### **8.0 EXCEPTIONS**

Any exception to this procedure must be approved by the Chief Human Resources Officer or designee.