



|  |  |
|--|--|
| <b>Title: Classification Policy for University Employees</b> |  |
| <b>Effective Date: July 1, 2010</b>                          | <b>Responsible Office: Human Resources</b> |
| <b>Revision Date: December 1, 2011</b>                       | <b>Page: 1 of 7</b>                        |

## I. Scope

This policy applies to all employees of the College of William & Mary, including the Virginia Institute of Marine Science (the university) except for:

- Instructional and research faculty as defined and governed by the Faculty Handbook; and
- Classified staff who were employed by the university prior to July 1, 2006 and have elected not to participate in the University Human Resources System. Classified staff are offered the choice of participating in the System periodically, during open enrollment periods.

## II. Purpose

The purpose of this policy is to provide guidelines and consistent criteria for classifying and assigning positions to pay ranges in the University Human Resources System.

## III. Policy

It is the policy of the university to maintain a classification system that provides a fair and equitable method for classifying jobs, assigning jobs to pay ranges, and guiding compensation decisions. Positions for operational employees, professionals and professional faculty, and executive employees are classified to accurately reflect differences in scope and complexity of responsibility, expertise, accountability of performance, impact of performance upon the university's successful operation, and market competitiveness.

The classification system is a role- and contribution-based system that, applied together with the compensation plan (see university Compensation Policy):

1. Respects every employee's contribution
2. Recognizes individual performance
3. Promotes individual career growth and development
4. Bases salary on market ranges and
5. Is flexible.

Under the guidance of the Provost and the Vice President for Administration, the Associate Vice President for Human Resources assigns the category, role, contribution level and pay range for all positions other than instructional and research faculty, except as provided herein. This process is based on the University Classification System described in this policy. Each position is classified based on the job description developed for the position and the application of consistent and objective criteria. The Office of Human Resources will also



|  |  |
|--|--|
| <b>Title: Classification Policy for University Employees</b> |  |
| <b>Effective Date: July 1, 2010</b>                          | <b>Responsible Office: Human Resources</b> |
| <b>Revision Date: December 1, 2011</b>                       | <b>Page: 2 of 7</b>                        |

periodically review position classifications to ensure continuing adherence to the criteria and qualifications established in this policy.

The chart found in Appendix A illustrates the basic classification structure. The key elements of the classification system are described below.

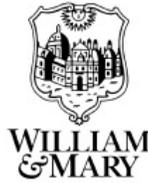
**A. Categories.** Categories define the level and type of responsibility. A position's category also determines which personnel policies and benefits apply to the position.

**1. Executive Employees.** This category comprises senior level positions with primary responsibility for executive management of the university: establishing its mission, vision and strategic direction. Executive employee designations are made by the President.

**2. Professionals and Professional Faculty.** This category consists of certain full- and part-time positions with primary responsibilities for implementing and managing the strategic direction of the university by establishing operational plans, processes and methods. This category also includes employees in recognized professional areas requiring advanced formal study and/or specialized experience. Most positions in this category are designated as professionals; however, certain positions in this category will have the designation "professional faculty."

In general, professional faculty will be individuals with research, advising, clinical or academic responsibilities who possess an advanced, often terminal, degree in their professional field. Position title – e.g., assistant dean or associate director – does not necessarily convey a professional faculty designation. A position may be designated as professional faculty if it has one or more of the following characteristics:

- The position directly supports instruction, research, curricular design, or evaluation of academic programs such that the employee serves substantively to enhance the practice and quality of teaching and learning.
- The position requires significant, direct interaction with students or faculty in such areas as counseling, support of research, clinical services, or academic services.
- There are significant expectations for research activity including participation in peer-reviewed publications, juried exhibitions or performances, or professional presentations; the preparation and oversight of externally funded grants and contracts; and training and oversight of students in laboratories, collections and archives, or studios.



|  |  |
|--|--|
| <b>Title: Classification Policy for University Employees</b> |  |
| <b>Effective Date: July 1, 2010</b>                          | <b>Responsible Office: Human Resources</b> |
| <b>Revision Date: December 1, 2011</b>                       | <b>Page: 3 of 7</b>                        |

A professional faculty designation is not an academic rank. It does not relate the position to an academic department or school of instruction and does not convey the privileges extended to instructional faculty.

Designation of an employee as professional faculty will be made on recommendation of a dean, vice-president, or director to the Provost. The Provost will have final approval of all such designations. The Provost will also from time to time review the criteria for this designation.

**3. Operational Employees.** This category consists of positions with primary responsibility for executing operational plans using established processes and methods.

**4. Employees with Academic Appointments; Faculty Designation for Certain Purposes.** Certain employees may also have appointments as instructional or research faculty. These individuals are governed by the Faculty Handbook when performing the function of a faculty member. However, the policies for professionals and professional faculty or executive employees apply when such an individual is performing duties that fall within his or her administrative responsibilities.

The Management Agreement between the Commonwealth and the university considers professionals and professional faculty as “faculty” and operating, classified and hourly employees as “non-faculty” for purposes of eligibility for certain rights and benefits. For purposes of certain state laws, executive employees are the equivalent of administrative faculty, and professionals and professional faculty are the equivalent of professional faculty. These uses of the term “faculty” do not mean that these employees are faculty as defined under the Faculty Handbook.

**5. Implementation of New Categories.** The classification system described in this policy applies to all university positions, except for instructional and research faculty. Each university position has been aligned within a category. The former categories of administrative and professional faculty and classified staff, contained in the state human resources system, have been re-categorized in the University System. The majority of administrative and professional faculty positions have been placed in the executive and professionals and professional faculty categories. The majority of the classified positions have been placed in the operational category.

During the classification process, a few professional faculty positions were re-categorized as operational and vice-versa (classified positions becoming professional rather than operational). Incumbents in such positions may retain their personal designation as professionals or operational employees as long as they hold the position. They may also choose to accept the designation of the new category. Regardless, once vacated, these positions will be filled using the new classification.



|  |  |
|--|--|
| <b>Title: Classification Policy for University Employees</b> |  |
| <b>Effective Date: July 1, 2010</b>                          | <b>Responsible Office: Human Resources</b> |
| <b>Revision Date: December 1, 2011</b>                       | <b>Page: 4 of 7</b>                        |

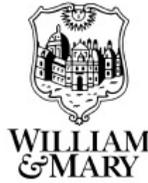
State employees known as classified employees who were employed at the university on June 30, 2006, were given the option to join the University System or remain in the state's human resources system. Those employees who elect to remain in the state system retain their personal designation as classified employees and may do so as long as they remain at the university, regardless of the position they hold. They may also elect to join the University System during any open enrollment period.

**B. Roles.** Roles define the type of work performed. The roles are:

- Academic / Clinical / Research – directly related to academic, clinical, or research programs.
- Administrative / Technical – directly related to administrative or technical functions.
- Administrative / Academic – directly related to administrative or academic functions. (Applicable to executive employees only).

**C. Contribution Levels.** Contribution level defines the level of contribution and responsibility of a position as it relates to the strategic vision, mission and objectives of the university. The contribution levels are:

- ◆ Level A: achieves operational objectives through performance of routine tasks and activities.
- ◆ Level B: achieves operational objectives and solves problems using and applying established processes, methods and systems.
- ◆ Level C: achieves operational objectives and solves problems using substantive experience and collaboration. Selects or recommends appropriate processes, methods or systems based on interpretation and analysis. Requires knowledge and skill gained through substantive work experience or specialized instruction, training or post-high school education.
- ◆ Level D: achieves operational objectives by establishing methods and procedures using advanced knowledge, skills and professional expertise. This level includes positions in recognized professional areas requiring advanced knowledge and professional expertise gained through formal study, typically requiring an advanced degree and/or specialized experience.
- ◆ Level E: implements strategic direction through operational planning within unit (sub-group within major department or school) using advanced knowledge, skills and professional expertise gained through formal study and/or specialized experience.
- ◆ Level F: sets strategic direction or goals and operational objectives within unit using advanced knowledge, skills and professional expertise gained through formal study or specialized experience. Frequently/typically operates with a high degree of autonomy.



|  |  |
|--|--|
| <b>Title: Classification Policy for University Employees</b> |  |
| <b>Effective Date: July 1, 2010</b>                          | <b>Responsible Office: Human Resources</b> |
| <b>Revision Date: December 1, 2011</b>                       | <b>Page: 5 of 7</b>                        |

◆ Executive Level: sets the mission, vision, strategic direction and goals of the university or of a department or school, and serves as either a member of the President's senior leadership team or as a key advisor to the President and a member(s) of the senior leadership team.

**D. Market and Pay Range.** Once a position has been classified, it is assigned a pay range based on two factors. The first is peer group. The university has established three peer groups that provide benchmark data for its pay ranges: national, regional and local. Each position is assigned to a peer group based on the recruitment pattern for that position. The second factor used to assign a position to a pay range is the type of position. Using peer group data, each position is assigned to the pay range with the mid-point closest to the market median for that type of position. The university will review the pay ranges every three years and adjust them as necessary.

#### **IV. Establishing New Positions**

Prior to creating a new position or beginning a search, departments and offices must forward a proposal to establish a new position to the appropriate senior university administrator for endorsement. The administrator, in turn, must forward the approved proposal to the Office of Human Resources for review and classification prior to the position being recruited or filled.

#### **V. Reclassification of Existing Positions**

Offices must request a classification review by the Office of Human Resources when the duties and responsibilities of a position significantly change. The classification review may result in a reclassification to a higher or lower pay range and/or contribution level. Salary decisions will be made in accordance with the Compensation Policy.

If the qualifications, duties or responsibilities of a vacant position have changed significantly, a classification review must be conducted by Human Resources before the position may be recruited or filled.

#### **VI. Authority, Implementation and Amendment**

This policy is approved by the President in accordance with the Restructured Higher Education Financial and Administrative Operations Act, Chapter 4.10, Title 23 of the *Code of Virginia* and the Management Agreement effective July 1, 2006, and the authority delegated by the Board of Visitors.

The Office of Human Resources is responsible for the administration and implementation of this policy.



|  |  |
|--|--|
| <b>Title: Classification Policy for University Employees</b> |  |
| <b>Effective Date: July 1, 2010</b>                          | <b>Responsible Office: Human Resources</b> |
| <b>Revision Date: December 1, 2011</b>                       | <b>Page: 6 of 7</b>                        |

The President will provide managers and employees with a thirty (30) day comment period for any substantial revision not necessitated by a change in law. The Professional and Professional Faculty Assembly and the Staff Assembly will be notified of the proposed changes.

**APPENDIX A**

| <b>Operational Employee</b>   |   |  | <b>Professional Employee</b>   |  |  | <b>Executive Employee</b>   |
|---|---|--|--|--|--|---|
| <b>Administrative/ Technical Operational<br/>Academic/Clinical/ Research Operational</b>                    |   |  | <b>Administrative/ Technical Professional<br/>Academic/Clinical/ Research Professional</b>   |  |  | <b>Administrative/Academic</b>  |
| <b>Level A</b>  | <b>Level B</b>  | <b>Level C</b>   | <b>Level D</b>   | <b>Level E</b>   | <b>Level F</b>   |   |
| <p>Contributes by achieving operational objectives through performance of routine tasks and activities.</p> | <p>Contributes by achieving operational objectives and solving problems using and applying established processes, methods, and systems.</p> | <p>Contributes by achieving operational objectives and solving problems using substantive experience and collaboration. Selects or recommends appropriate processes, methods or systems based on interpretation and analysis. Requires knowledge and skill gained through substantive work experience or specialized instruction, training, or post-high school education.</p> | <p>Contributes by achieving operational objectives by establishing methods and procedures using advanced knowledge, skills and professional expertise. This level includes positions in recognized professional areas requiring advanced knowledge and professional expertise gained through formal study, typically requiring an advanced degree and/or specialized experience.</p> | <p>Contributes by implementing strategic direction through operational planning within unit (sub-group within major department or school) using advanced knowledge, skills and professional expertise gained through formal study and/or specialized experience.</p> | <p>Contributes by setting strategic direction or goals and operational objectives within unit using advanced knowledge, skills and professional expertise gained through formal study or specialized experience. Frequently/typically operates with a high degree of autonomy.</p> | <p>Contributes either by serving as a member of the president's senior leadership team, setting the mission, vision, and strategic direction for the university and overseeing the implementation across organizational units; or by serving as a key advisor to the President and members of the senior leadership team, setting strategic direction or goals and operational objectives for a major department or school.</p> |