

Rules and Regulations concerning HR competences (RCRH)

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Preamble

This document defines the competences of HR Managers (RRH)¹ and Faculty Deans (the Vice-Presidents and President of the Central Services respectively) with regards to the management of human resources at EPFL.

The HR Manager is responsible for ensuring respect of the general framework set out with regards to personnel by EPFL, the ETH Board and the Confederation. In particular, we note the significant importance of the *Loi sur le personnel de la Confédération (LPers)*, the *Ordonnance sur le personnel du domaine des EPF (OPers-EPF)* and the guiding principles with regards to personnel (1999), as well as the *Ordonnance sur le corps professoral des EPF* (status: 01.07.2008) and the Directive concerning the terms of employment of EPFL scientists (01.10.2005).

The HR department is set up in a matrix style in order to provide a client-oriented response within the Faculties themselves. The RRH is thus attributed to a Faculty and works in close collaboration with its Dean.

Given that the majority of Human Resources procedures have a direct influence on the management of the salary budget, a forward-looking management of the Faculty, Vice-Presidency or Presidency salary budgets will only be reliable if there exist a maximum of information exchanges between the Dean, the President or the Vice-President, with the RRH and the Faculty Finance Officer.

¹ The term « HR Business Partner » is equivalent to « HR Manager ».

In case of disagreement between the President, the Vice President or the Dean, along with the RRH, the Human Resources Direction will find a compromise in close collaboration with the School Direction in order to maintain a coherent Human Resources policy in accordance with legal principles.

1. Human Resources structure and financial resources

1.1 Funding structure

VPs / Facs.	Designation	Funds	Use
VPRHO	Salary budget (centrally-funded)	3029.012	Staff occupying centrally-funded positions
VPRHO	Rewards – admin.	3029.013	Bonuses and rewards for exceptional services
VPRHO	Salaries (auxiliary)	3029.011	Apprentices / Apprentice training support /
		3029.0112	Replacement during maternity leave, long-term absence and one-off support
		to	
		30290118	
VPRHO	Social costs (centrally-funded)	0058-98	Whole of the employer's social security contribution
VPE	Operating budget	6029.011	Student assistants / Construction assistants / Temporary assistants
VPE		6029.016	Visiting Faculty
VPE		miscellaneous	Course instructors, examiners and grants
Faculties		6029.040	PhD supplements (multi-centre budgetary funds)

1.2 Competences regarding budgetary allocation

Budgetary resources	Responsibility	Competent person / structure
Salaries	Budget preparation	VPRHO with DRH
	Allocation to Faculties / Central Services	President / VPRHO
	Distribution within Faculty / Central Services	Dean / Vice-President ² , RRH and Fin. Officer
	Respect of budget, provisional management	Dean / Vice-President ² , RRH and Fin. Officer
Rewards	Determining the budget	President upon proposal from VPRHO + DRH
	Allocation to Faculties / Central Services	President upon proposal from VPRHO + DRH
	Distribution within Faculty / Central Services	Dean / Vice-President ² + RRH
	Decision based on proposal	Dean / Vice-President ² + RRH
Auxiliary salaries	Determining the budget	VPRHO + DRH
	Allocation to Heads of staff	DRH
	Provision in Faculties / Central Services	RRH
	Respect	DRH + RRH
Third-party funds	Control of financing through third-party funds	RRH and Finance Officer (duo)

² For the VPRHO, the Vice-President is replaced by the DRH

2. Decision-making competences regarding staff

2.1 Rules for Faculties

Procedure	Proposal	Notification	Decision	Signature
Determining of a new position, requirement profile and operational level (EF)	ETH Board Institutes		ETH Board (catalogue of job positions)	ETH Board (except Direction for Directors)
Determining and allocation of the EF:				
EF 13 and 14	Direction	P1=PATT; P2= P. Associates; P3= P. Full; Directors	Direction	ETH Board
EF 11 and 12	Faculty	EF 11 = MER; EF 12 = P. Adjuncts	Direction	Direction
EF 1 to 10	RRH	RRH	Dean	RRH
Creation of a position (fixed-term or permanent)	Professor ³	RRH	Dean	Dean
Transition from fixed-term to permanent	Professor	RRH	Dean	RRH
Employment and salaries				
EF 11 and 12 EF 1 to 10	Professor Professor	RRH RRH	RRH + Dean RRH	RRH RRH
Contract prolongation / renewal (fixed-term)	Professor	RRH	RRH if permanent: RRH + Dean	RRH
Change of profile requirement, operation level (promotion)				
EF 11 and 12	Professor	RRH	RRH + Dean	RRH
EF 1 to 10	Professor	RRH	RRH + Dean	RRH
Prizes and rewards	Professor	RRH	RRH + Dean	RRH + Dean
Change in funding (transfer of third party funding control)	Professor (signature Manager resp. for the fund)	RRH, Finance Officer	RRH	Visa RRH
Change in occupation rate	Professor	RRH, Finance Officer	RRH	RRH
Paid leave, training leave ⁴	Professor	RRH	RRH + Dean	RRH
Non-paid leave	Professor	RRH	RRH + Professor	RRH
Resignation	Staff member	RRH + Professor	- - -	RRH
Dismissal	Professor	RRH	RRH + Dean	RRH + Dean
Loyalty bonus				Pensions group
Moving costs and other situations			RRH	RRH

³ With exceptions (Scientific assistant for Head of Unit)

⁴ Directive concerning EPFL scientists, Art. 7.

Procedure	Proposal	Notification	Decision	Signature
Grants				

2.1.1. Special rules applicable to Professors, competences for “Faculty Affairs” (APR)

Procedure	Proposal	Notification	Decision	Signature
Employment / Renewal	Faculty	EPFL	ETH Board	ETH Board
Promotion	Faculty	EPFL	ETH Board	ETH Board
Sabbatical leave	Professor	Dean + Section Director	EPFL Direction upon proposal from APR (no negative funds)	President
Resignation	Professor	EPFL	ETH Board	ETH Board
Dismissal	Divers	EPFL	ETH Board	ETH Board

2.2 Rules for Central Services

Procedure	Proposal	Notification	Decision	Signature
Determining of a new position, requirement profile and operational level (EF)	ETH Board Institutes		ETH Board (catalogue of job positions)	ETH Board (except Direction for Directors)
Determining and allocation of the EF:				
EF 13 and 14	Vice-President	Vice-President	Direction	President or Vice- President
EF 11 and 12	<i>line</i>	RRH	Vice-President	Vice-President
EF 1 and 10	RRH	RRH	Vice-President	RRH
Creation of a position (fixed-term or permanent)	<i>line</i>	RRH	Vice-President	Vice-President
Transition from fixed-term to permanent	<i>line</i>	RRH	Vice-President or DRH	RRH
Employment and salaries				
EF 11 and 12	<i>line</i>	RRH	Vice-President or DRH	RRH
EF 1 to 10	<i>line</i>	RRH	RRH	RRH
Contract prolongation / renewal (fixed-term)	<i>line</i>	RRH	RRH if permanent: Vice-President or DRH	RRH
Change of profile requirement, operation level (promotion)				
EF 11 and 12	<i>line</i>	RRH	Vice-President or DRH	RRH
EF 1 to 10	<i>line</i>	RRH	RRH	RRH
Prizes and rewards	<i>line</i>	RRH	Vice-President or DRH	Vice-President and/or RRH
Change in funding (transfer of third party funding control, reversal of salary entries)	<i>line</i>	RRH	RRH	RRH
Change in occupation rate	<i>line</i>	RRH, Finance Officer	Vice-President or DRH	RRH
Paid leave, training leave	<i>line</i>	RRH	Vice-President or DRH	RRH
Non-paid leave	<i>line</i>	RRH	Vice-President or DRH	RRH
Resignation	<i>line</i>	RRH (exit interview & certificate)	- - -	RRH and <i>line</i>
Dismissal	<i>line</i>	RRH and DRH	Vice-President and DRH	Vice-President and DRH
Loyalty bonus	RH, Salary Office			RRH

2.3 Staff-related disputes

Procedure	Notification	Decision	Signature
<p>ETH Appeals Commission</p> <ul style="list-style-type: none"> - Procedures in the context of appeals lodged by the employee against the termination of the employment relationship (Art. 14, para. 1 LPers) - Application for a ruling regarding the validity of the termination of the employment relationship (Art. 14, para. 2 LPers) - All other procedures regarding staff for which the ETH Appeals Commission is competent: <ul style="list-style-type: none"> ▪ Disciplinary actions ▪ Decision of ruling ▪ Abolishment of position ▪ Reorganisation ▪ Severance pay ▪ Early retirement ▪ Mobbing ▪ Provisional measures ▪ Allocation and spending request ▪ Suspensive effect ▪ Review application. 	<p>Direction RRH</p>	<p>Legal counsel RRH</p>	<p>Legal counsel alone</p>
<p>FAC</p> <ul style="list-style-type: none"> - Appeal regarding staff members - Dispute regarding data protection - Procedural documents - All other appeal procedure against a decision from the ETH Appeals Commission - Disputes under the Federal Law on the Responsibility of the Federation 	<p>Direction RRH</p>	<p>Legal counsel RRH</p>	<p>Legal counsel (info General Counsel + DRH)</p>
<p>TF see FAC</p>	<p>Direction RRH</p>	<p>Legal counsel RRH</p>	<p>double signature: Legal counsel and General Counsel</p>
<p>Common courts</p> <ul style="list-style-type: none"> - TA - Justice de Paix - TC - Cantonal investigating judge 	<p>RRH, DRH and General Counsel</p>	<p>Legal counsel RRH DRH et General Counsel</p>	<p>double signature: Legal counsel and General Counsel</p>
<p>Disciplinary measures</p> <p>Await revision of LPers / OPers-EPF</p>			
<p>Procurator</p> <p>Signature of a procurator to undertake that any qualified lawyer may legitimately represent EPFL in all of the aforementioned procedures.</p>	<p>Legal counsel</p>	<p>Legal counsel</p>	<p>DRH</p>

3. Internal Control Systems SCI

3.1 SCI – Key controls

Procedure	Supervision	Control	Signature
Salary control	DRH 1	Salaries Manager 2	1 = Susanna Swann 2 = Albert Meyer
Third party funding control	DRH 1	RRH and Finance Officer for Faculty 2	1 = Susanna Swann 2 = <i>according to list</i>
Staff solvability control (Office des poursuites)	CRM 1	Salaries Manager 2	1 = Susan Killias/ Marc Chambaz/ Susanna Swann 2 = Albert Meyer

Note: For staff members linked to the Presidency, the same rules as stated above apply, with the replacement of Vice-President by President.

Annex 1 “Signature Register”: available from Human Resources