



Operating Procedure

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Amended	Operating Level Department
Supersedes Operating Procedure 102.2 (170.1) (6/1/15)	
Authority COV §2.2-1201, §38.2-508, §53.1-10	
ACA/PREA Standards 4-4048, 4-4054, 4-4055, 4-4057, 4-4058; 4-ACRS-7B-04, 4-ACRS-7E-03, 4-ACRS-7E-06, 4-ACRS-7E-08; 4-APPFS-3D-19, 4-APPFS-3E-07, 4-APPFS-3E-08, 4-APPFS-3E-09; 2-CO-1C-01, 2-CO-1C-07, 2-CO-1C-09-1, 2-CO-1C-10, 2-CO-1C-13; 1-CTA-1C-01, 1-CTA-1C-04, 1-CTA-1C-05; §115.17, §115.217	
Office of Primary Responsibility Director of Human Resources	

Subject
RECRUITMENT, SELECTION, AND APPOINTMENT

Incarcerated Offender Access
Yes No

Public Access Yes No
Attachments Yes No

I. PURPOSE

This operating procedure establishes uniform guidance for the recruitment, selection, and appointment of Department of Corrections employees that ensures compliance with the Virginia Personnel Act, State and Federal mandates, and Department of Human Resources Management policies, while allowing flexibility to make decisions in selection that support the mission and vision of the Department. **(4-APPFS-3E-08)**

II. COMPLIANCE

This operating procedure applies to all units operated by the Department of Corrections (DOC). Practices and procedures shall comply with applicable State and Federal laws and regulations, Board of Corrections policies and regulations, ACA standards, PREA standards, and DOC directives and operating procedures.

III. DEFINITIONS

Ability - A demonstrated competence to perform observable behavior, or a behavior that results in an observable product; ability denotes current competence in doing specific job content actions; it does not denote a person's capability to acquire this competence, nor can it be inferred from years of experience. Those involved in the hiring process should take care not to confuse an ability, which is currently demonstrable, with an aptitude, which is the potential for acquiring an ability.

Administrative Non-Competitive Process - A non-competitive action reassigning a person to a different job role within the same agency and within the same pay band/sub-band

Appointing Authority - The Organizational Unit Head or the next level of supervision above the Organizational Unit Head, if the Organizational Unit Head position is vacant; this is the person who must give final approval for the selection. This authority may be delegated down the chain of command to the immediate supervisor.

Competitive Voluntary Transfer - Movement within the same role or to a different role in the same pay band as a result of a competitive process.

Demotion - Movement to a different role in a lower pay band

Department of Human Resource Management (DHRM) - The central human resource agency for Virginia state government

Director's Staff - Includes the Chief of Corrections Operations, the Deputy Director for Administration, and the Deputy Director of Programs, Education, and Reentry

Disability - An actual impairment that substantially limits one or more of the major activities of daily living (ADL) of an individual; a record of such impairment; or being regarded as having such an impairment

Domestic Violence Conviction - Conviction of an act as defined in COV §38.2-508; the term "domestic violence" means the occurrence of one or more of the following acts by a current or former family member,

household member as defined in COV §16.1-228, person against whom the victim obtained a protective order or caretaker:

- Attempting to cause or causing or threatening another person physical harm, severe emotional distress, psychological trauma, rape or sexual assault
- Engaging in a course of conduct or repeatedly committing acts toward another person, including following the person without proper authority, under circumstances that place the person in reasonable fear of bodily injury or physical harm
- Subjecting another person to false imprisonment
- Attempting to cause or causing damage to property so as to intimidate or attempt to control the behavior of another person

Eligible - Qualified to participate or to be chosen by having complied with or not violated specific requirements or precedent conditions, e.g., supplemental questions noted in the application process

Employee Work Profile (EWP) - The form used to complete the annual performance evaluation that includes a brief work description, performance plan, core responsibilities, performance measures, and employee development goals

Essential Functions - Activities or tasks that are qualified as integral to the position; performance of the function is the reason the job exists or is a primary component, the number of employees available to perform the function is limited, employees in the same role code perform the function, the function requires specialized skill or training, the function occupies a large percentage of time, and failure to perform the function may have serious consequences

Ex-Offender - For purposes of this operating procedure, a person who was convicted as an adult of a felony that was adjudicated in a Circuit Court (or equivalent in another state or federal jurisdiction)

Hiring Manager - The immediate supervisor/manager responsible for the hiring process in their unit or for their team; designation of Hiring Manager status is determined by the Organizational Unit Head.

Human Resources - Department of Corrections, Human Resources Office located at DOC Headquarters unless the context clearly indicates otherwise

Immediate Supervisor - The person who conducts the performance evaluation of the employee

Job Related Criteria - The knowledge, skills, and abilities (KSAs) needed to perform the duties of the position; an applicant's related education, related experience both in quality and quantity, interview performance, references, performance evaluations, active disciplinary actions, commendations, and other similar documentation are utilized to determine if the applicant has the required KSAs.

Knowledge - A body of information applied directly to the performance of a function; it usually is information of a factual or procedural nature that makes possible adequate performance of the work.

Lateral Transfer - The transfer of an employee from one position to another position in the same pay band and sub-band; the work titles of the two positions do not have to be the same. (4-4058, 4-APPFS-3E-09, 1-CTA-1C-05)

Minimum Knowledge, Skills, and Abilities - The critical components of a position's qualification requirements that an applicant must have to perform the core responsibilities outlined in the Employee Work Profile

Non-Competitive Voluntary Transfer - Movement to another position in the same pay band and sub-band upon the employee's request and without posting the vacancy

Organizational Unit - A DOC unit, such as a correctional facility, regional office, probation and parole office, Virginia Correctional Enterprises (VCE), Academy for Staff Development, Corrections Construction Unit, Agribusiness Unit, and individual headquarters unit (i.e. Human Resources, Offender Management, Internal Audit)

Organizational Unit Head - The person occupying the highest position in a DOC organizational unit

Pay Band - Nine step-less pay ranges established by DHRM to set a minimum and maximum salary for all classified positions in each band

Pre-Employment Testing - Objective, standardized tests and selection procedures that help determine the most qualified candidates; examples including writing samples, written responses to questions, sample job tasks, computer exercises, etc.

Preferred Knowledge, Skills, and Abilities - The specific components of a position's qualification requirements that should positively affect the initial level of job performance if possessed by an applicant prior to coming into the position

Recruitment Management System (RMS) - The automated personnel system that identifies and publicizes positions for which the Commonwealth is actively recruiting

Selection Panel - A group of at least three but not more than five persons whom the appointing authority has requested to assist in the screening or interviewing of applicants for a position; selection panels are encouraged for all positions unless there is a limited number of applicants or due to the type of position

Skill - A present, observable competence to perform a learned psychomotor act; a skill embodies observable, quantifiable, and measurable rates of performance for a specific act.

Sub-band - A tool used to manage salaries within a pay band; reflects a portion of an existing pay band that has a defined minimum and maximum salary within that pay band

Transfer - The movement of an employee from one position to another position in the same pay band; the positions do not have to be the same

Vacancy List - The DOC listing of job vacancies under active recruitment.

IV. PROCEDURE

A. Recruitment, Selection, and Appointment

1. The DOC makes employment decisions based on an individual's merits, qualifications, eligibility, and suitability and specifically prohibits discrimination on the basis of race, sex (including sexual harassment, pregnancy, and marital status), color, national origin, religion, sexual orientation, gender identity, age, political affiliation, genetics, veteran status, or against otherwise qualified persons with disabilities except when age or sex is a bona fide occupational qualification (BFOQ). (4-4048, 4-4057, 4-ACRS-7B-04, 4-APPFS-3E-09; 2-CO-1C-01, 2-CO-1C-13; 1-CTA-1C-01, 1-CTA-1C-04)
2. The Department of Corrections complies with Executive Order One (2018), *Equal Opportunity*.
3. Organizational Unit Heads, Human Resource Officers (HROs), and all employees in a supervisory capacity are responsible for the consistent application of this operating procedure.
 - a. In order to ensure that the recruitment process is consistent, fair, and transparent, Human Resource Officers must review all requisitions, establishment of interview panels, interview questions, and other related recruitment and selection materials.
 - b. Human Resource Officers must maintain a recruitment file that contains but is not limited to the following information for a period of 3 years:
 - i. Employee Work Profile (EWP)
 - ii. Job Approval Email from DOC Recruitment
 - iii. Job Posting from Recruitment Management System (RMS)
 - iv. Completed Screening Sheet
 - v. List of Applicants to be Interviewed with Date & Time
 - vi. Signed and Dated Applications
 - vii. Panel Interview [Applicant Interview Notes and Evaluation](#) 102_F4
 - viii. Interview Panel Recommendations in Alphabetical Order
 - ix. Appointing Authority Interview [Applicant Interview Notes and Evaluation](#) 102_F4
 - x. Applicant Flow Sheet (AFS)
 - xi. Any additional Recruitment and Selection documentation
4. The Department of Corrections is a strong advocate for the employment of ex-offenders for their successful re-entry and reintegration into society.

- a. The DOC supports and encourages other private and public employers by hiring ex-offenders.
- b. The DOC recognizes its responsibility to set an example for other employers to hire ex-offenders.
- c. The DOC will take steps to employ ex-offenders in wage and salaried positions as well as to consider them for volunteer and internship opportunities.

B. Notification of Vacancies (NOV)

1. Executive management may establish procedures to review and approve requests to recruit or fill vacant positions for their area of responsibility prior to submission to Human Resources.
2. Organizational Unit Heads should request approval to recruit for a vacant position through their appropriate chain of command unless otherwise directed. The Organizational Unit Head should use the [Notification of Vacancy](#) 102_F3 or other approved form. The senior manager will submit or confirm submission of the approved NOV to Human Resources.
3. The Director of Human Resources or designee in consultation with the appropriate member of the Director's Staff will grant final approval for all vacant positions to be posted and filled.
4. The DOC may occasionally be required to comply with additional reviews to obtain approval before a vacancy is posted, before interviews are scheduled or before written employment offers are made.
 - a. These requirements may be imposed by the Director, the Secretary of Public Safety, or the Governor's Office.
 - b. The Director, Deputy Director for Administration, Chief of Corrections Operations, Deputy Director of Programs, Education, and Reentry or Director of Human Resources will issue written instructions to Organizational Unit Heads if additional approvals or reviews are required.

C. Review of Duties, Qualifications, and Essential Functions of Vacant Positions (4-4048; 4-ACRS-7E-08; 1-CTA-1C-01)

1. Duties - When a vacancy occurs, the Organizational Unit Head or designee should determine whether a generic *Employee Work Profile* (EWP) template exists for the vacant position. A EWP template must be utilized if one exists.
 - a. If no generic EWP template exists for the vacant position, the Organizational Unit Head or designee should review the duties of the position as indicated on the most recent (EWP) to ensure that the duties are correct and current.
 - b. If an EWP does not exist, or is not current, the Organization Unit Head or designee should work with the HRO to develop or revise the EWP prior to the position being posted. If assistance is needed with this process, the Compensation Unit at Headquarters should be contacted.
 - c. If the duties of the position have changed or are intended to change, new core responsibilities and measures will be developed. The position should be reviewed to confirm the correct assignment of the role title and working title; this review should be coordinated with the Compensation Unit at Headquarters.
 - d. If the EWP reflects the current duties of the position, the recruiting process may be initiated.
2. Qualifications - The Organizational Unit Head or designee should determine the minimum Knowledge, Skills, and Abilities (KSAs) necessary to perform the duties of the vacant position. Qualification requirements identified for recruiting or selection purposes must be job-related and based on the EWP for the vacant position. These qualifications should be reviewed by Human Resources prior to the posting of the vacancy. At this time:
 - a. Minimum KSAs should be identified that are required for the employee to satisfactorily perform the job duties. Minimum KSAs must not include those that can be routinely learned during a reasonable period on the job.
 - b. Preferred KSAs should also be identified that are clearly related to the duties of the position. Preferred KSAs must not include those that can routinely be learned during a reasonable period on the job.

- c. Experience - Both quality, as well as length of experience should be key factors in qualifications and employment decisions. Specific years of experience, such as two years or four years, will not be used for purposes of job posting or selection. Applicable or related experience may be required or, in some instances, preferred. (2-CO-1C-07)
 - d. Education - Requirements should not be so absolutely stated or used as to preclude consideration of applicants who possess equivalent or sufficient applicable experience or training that would reasonably predict an applicant's ability to perform the job satisfactorily. (4-4057, 4-ACRS-7B-04; 2-CO-1C-07; 1-CTA-1C-04) Education may be reflected as a minimum requirement only if it is required by a specific certifying body, regulation, or law.
 - e. Qualifications listed in the job posting must be written and consistent with those in the EWP.
3. Essential Functions - Prior to posting or recruiting for a vacancy, the Organizational Unit Head or designee should confirm or identify the essential functions of the position.
 4. Position Review - The recruitment process may commence as soon as current core responsibilities and measures have been identified, the role title and working title confirmed, the minimum and if appropriate preferred qualifications are identified, and the essential functions are identified.
 5. Human Resources or the HRO must identify the screening criteria prior to the position being posted.
 6. Supplemental Questions
 - a. Prior to recruiting for a vacancy, the Organizational Unit Head in consultation with Human Resources or HRO should establish questions that may screen an individual for the position and can be utilized in the Recruitment Management System (RMS).
 - b. These questions should be based on essential functions and KSAs as established in the EWP.
 - c. Additional questions may be added as necessary by law, statute, or regulation to further determine applicants' eligibility for hiring or promotion. (e.g., PREA)
 7. Postings will be made using standard "job or role" templates.
 - a. Changes to these templates to indicate unique aspects of a position can be made by Recruitment Staff at Headquarters.
 - b. Additional information may be added to the template by the HRO only if another duty or KSA is needed to perform that specific job.
 - c. The HRO should notify Recruitment Staff at Headquarters if any aspect of the template should be modified.
 8. Eligibility
 - a. The DOC shall not hire or promote anyone for a position that may have offender contact who has been: (§115.17[a], §115.217[a])
 - i. Engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997);
 - ii. Convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or
 - iii. Civilly or administratively adjudicated to have engaged in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse
 - b. The DOC shall consider any incidents of sexual harassment in determining whether to hire or promote anyone who may have contact with incarcerated offenders (§115.17[b], §115.217[b])
 - c. The DOC must ask all applicants and employees who may have contact with offenders directly about previous misconduct described in paragraph a., of this section in written applications or interviews for hiring or promotions. (§115.17[f], §115.217[f])
- D. Filling Vacancies through Administrative or Non-Competitive Processes - Positions may be filled on a non-competitive basis through an administrative process, management initiated process, or an employee

initiated process.

1. Administrative Placement - This determination will be made by the Director of Human Resources or designee in consultation, if needed, with the appropriate senior manager.
 - a. Within the DOC for placement in lieu of layoff or for recall from layoff
 - b. By demotion or transfer for disciplinary or performance reasons
2. Management Initiated Placement - This determination will be made by the appropriate member of the Executive Team, in consultation with the Director of Human Resources or designee, based on DOC operational needs necessitated by a non-competitive transfer:
 - a. Employees going from one position to another where the job title is the same
 - b. Transferring employees to a position in the same band based on DOC operational needs
3. Employee Initiated Cases - This determination is made by the Organizational Unit Head in consultation with the appropriate Regional Operations Chief or Regional Administrator or Executive Team member when a position that otherwise would be filled on a competitive basis has been requested by a current employee.
 - a. Employees transferring to a position in the same or to a lower sub-band in the same pay band or to a lower pay band as a result of the employee's request
 - b. Employee initiated case request and review process:
 - i. An employee who desires to transfer within the same pay band in the same or lower sub-band or voluntarily demote to a position in the same or another organizational unit must make a written request to that Organizational Unit Head and should copy their own Organizational Unit Head. This may be done at any time but must have been submitted prior to the position being posted.
 - ii. The Organizational Unit Head may fill the vacant position by accepting the written request for transfer or voluntary demotion in consultation with the Human Resources Officer. The compensation must be approved in accordance with Operating Procedure 102.4, *Compensation*, prior to offering the position. If more than one lateral transfer/demotion request is received, the Organizational Unit Head or designee should interview the candidates interested in transferring to determine the employee best suited for the position.
 - iii. The Organizational Unit Head has discretion to accept or reject requests for transfer or voluntary demotion and may post a vacant position without regard to written requests for transfer. If the position is posted, those requesting transfer must submit an application through RMS by the deadline to be considered in the competitive process.
 - iv. The Organizational Unit Head from which the employee is transferring should not refuse to allow the employee to transfer to another organizational unit or delay the date for the transfer without concurrence from the receiving Organizational Unit Head. If a transfer delay is necessary, 45 days should normally be the time limit. Exceptions should be discussed with the appropriate Regional Administrator.
 - v. The appropriate Regional Administrator or senior manager may disapprove or delay an intra-divisional transfer or demotion based upon Agency need.
 - vi. Corrections Officers may not transfer, to include a transfer through the competitive process, during the first 2 years of employment unless an exception for hardship is approved by the Regional Administrator or both Regional Administrators if the transfer request is across regions.
 - vii. The Director of the Department of Corrections may disapprove any transfer or demotion.

E. Posting and Recruitment

1. Determining Recruitment Options - Organizational Unit Heads should consider the recruitment option that best fits their needs before posting a vacancy. The decision should be based on factors such as the diversity of the unit's workforce and the availability of qualified applicants. One of these three options must be used when conducting recruitment:

- a. Agency Internal Recruitment - Only current DOC employees (i.e., classified, restricted, wage, and excepted positions) may apply. These positions are initially posted for at least five business days.
 - b. State Employees Only - Only current employees of the Commonwealth of Virginia (i.e., classified, restricted, wage, and excepted state employees) may apply. These positions are posted initially for at least five business days.
 - c. General Public - All state employees and the general public may apply.
2. If initial recruitment does not result in an acceptable applicant pool, recruitment can be continued as necessary. Re-posting may proceed after consultation with the appropriate Human Resources designee.
 3. Vacancy postings cannot be changed once published unless approved by the Director of Human Resources or designee.
 4. Recruitment
 - a. HROs will key vacancies into the RMS for all positions except for positions in pay band 5/sub-band 14 and above. Headquarters' Recruitment Staff will key all other vacancies in to the RMS.
 - b. Vacant classified positions that are to be filled on a competitive basis will be listed in the Recruitment Management System (RMS) and will reflect the recruitment option chosen except as noted below: (4-APPFS-3D-19)
 - i. A position with the same role/work title, duties, and functions within the same organizational unit and geographical area/location becomes vacant or funded during the recruitment period or within ninety calendar days of the original position's closing date and needs to be filled as promptly as possible.
 - ii. An applicant pool for a Corrections Officer or Probation Officer within the same organizational unit and geographic area/location can be utilized for 180 days of the original position's closing date.
 - iii. Organizational Unit Heads have the option to post the new vacancy in RMS or use the applicant pool from the original recruitment.
 5. Time Requirements - Announcements for all positions must be listed in the RMS for a minimum of five consecutive business days, not counting Saturdays, Sundays, and holidays.
 6. Paid Advertising - Consideration to available labor pools should be given prior to deciding on paid advertising.
 - a. Executive Team members in consultation with the Director of Human Resources, or designee, will determine use of paid advertising.
 - b. Organizational units may place ads in consultation with Human Resources. The organizational unit will be responsible for the cost of ads and for placing their own advertisements in newspapers and electronic media consistent with the information listed in the RMS job posting for that position. Posting periods must be consistent with closing dates listed in the job posting. Human Resources must review and approve external advertisements prior to their placement.
 7. Re-posting
 - a. An organizational unit may re-post a vacant position if additional qualified applicants are desired.
 - b. A position must be re-posted or the closing date extended if the initial job posting did not produce three qualified applicants, unless an exception to re-post is approved by the Director of Human Resources or designee.
 - c. Re-posted positions must be listed for a minimum of five consecutive business days.
 8. "Open Until Filled" Postings
 - a. "Open until filled" postings are used for certain recruitment situations without the restriction of closing dates with the approval of the Director of Human Resources or designee. The posting period must last at least five business days.

- b. Organizational units with roles approved for “open until filled” status must ensure that equal employment opportunity efforts are maintained in the attempt to achieve agency EEO objectives.
- c. Human Resources staff must consider all applications received up to a determined date when filling a vacancy from an “open until filled” pool.

F. Applications

1. Only electronic employment applications submitted using RMS by the deadline will be considered in the competitive process.
2. Organizational Units, HROs, or other designated HR staff will process employment applications for positions below band 5/ sub-band 14 (unless agreement to process has been made with Recruitment Staff at Headquarters)
 - a. Correctional field unit employment applications will be processed by their designated major institution.
 - b. It is the responsibility of the applicant to submit an employment application using RMS for each position posting.
3. For applicants with disabilities, appropriate accommodations will be made to allow them to participate in the application process (i.e. to complete application and to be interviewed, if referred). Such persons should be directed to receive assistance from the Human Resources Officer at the organizational unit where they are seeking employment or from Human Resources. (4-4054, 4-ACRS-7E-03; 2-CO-1C-09-1)
4. For screening purposes, the application is the sole instrument used to assess education and experience qualifications. Therefore, the applicant should present a full and complete employment application.
 - a. A fully completed application is one with all questions answered, previous positions and duties listed, with no gaps in employment or personal history.
 - b. The Director of Human Resources or designee may approve use of supplemental application documents, including resumes, for specific vacancies in addition to but not to replace the employment application. This approval should be made in advance of and stated in the job posting itself.
5. If a vacant position is re-posted prior to interviews, all applications for both posting periods will be considered so long as there is no change in the job duties or qualifications.
 - a. If such changes are made, applicants who responded to the original posting must be notified that they must re-apply to be considered.
 - b. If a position is re-posted following interviews, applicants from the previous posting may be considered or may be required to reapply.

G. Screening and Referral by Human Resources

1. Screening is based on duties, requirements, and minimum and preferred qualifications as stated in the vacancy posting.
 - a. Screening criteria is established prior to posting.
 - b. In addition to minimum qualifications, preferred qualifications may be considered.
 - c. No one should attempt to influence the screening of applicant pools.
2. Organizational Unit Heads or their designees may be involved in the screening process with Human Resources.
3. Documentation of applicant screening must clearly identify the screening process used and must be maintained for three years from the closing date.
4. Human Resources will be responsible for updating RMS to reflect the appropriate status of each applicant status throughout the Recruitment process.

5. Any questions regarding screening of pools should be directed to the HRO, Director of Human Resources, or designee.
6. All referred applicants must be interviewed unless an exception is approved by the Director of Human Resources or designee. With approval, applicants may be rejected based on the following:
 - a. Not attending multiple, scheduled interviews without advance notice
 - b. Documented derogatory information
 - c. Poor performance in previous interviews
 - d. In excessively large interview pools, interviews may be limited to a subset of the applicants referred where a clear distinction in the applicant pool is evident and documented.
7. Once employment applications are screened and referred, the Organizational Unit Head should make a timely hiring decision. In normal circumstances, the DOC is expected to fill vacant positions within 50 days of the position's closing date.

H. Organizational Unit Screening

1. Screening is based on duties, requirements, and minimum and preferred qualifications as stated in the vacancy posting.
 - a. In addition to minimum qualifications, preferred qualifications may be considered.
 - b. The HRO or designee will screen jobs for their organizational unit.
 - c. No one should attempt to influence the screening of applicant pools.
2. Organizational Unit Heads or their designees may be involved in the screening process with the Human Resources Officer.
3. Documentation of applicant screening must be maintained for three years from the closing date and must clearly identify the screening process used.
4. The HRO is be responsible for updating RMS to reflect the appropriate status of each applicant status throughout the Recruitment process.
5. Any questions regarding screening of pools should be directed to the HRO.

I. Veterans' Preference

1. During the initial screening, veteran status should be noted on the screening sheet.
2. Preference shall be given by treating veteran status as a preferred qualification.
3. Further preference shall be given if the veteran applicant also has a service-connected disability rating by treating the veteran's disabled status as a second preferred qualification.

J. Interviewing - All interviews should be focused on job and organization relevant knowledge, skills, abilities and competencies.

1. The appointing authority may delegate the interviewing responsibility to someone in the same or higher level as the position being filled.
2. Video or telephonic interviews may be used for initial interviews if approved by the appointing authority if arrangements are made with candidates in advance of their scheduled interviews.
3. No final offer of employment will be made without a face-to-face interview with the appointing authority or designee.
4. All interview questions, notes, and evaluation forms must be kept in the recruitment file for three years.
5. Hiring authorities are not required to interview applicants who are not available at the time of the scheduled interview.
6. At least three candidates must be interviewed for a vacant position unless the Director of Human Resources or designee approves an exception.

7. A standard set of interview questions must be developed for the interviews.
 - a. DOC Human Resources or a Human Resources Officer must review all interview questions prior to the interview.
 - b. All candidates will be asked the same questions.
 - i. Interview questions should seek information concerning the applicant's ability to perform the essential functions of the job as outlined in the posting on RMS.
 - ii. Interview questions should be phrased in a manner to determine the applicant's ability to perform the essential functions of the position and to demonstrate needed competencies or suitability for the position.
 - iii. Interview questions must be job-related as outlined in the posting on RMS and cannot violate EEO guidelines or state policy and procedure.
 - c. Additional job-related or follow-up questions of a single candidate may be asked in response to the applicant's answers, statements, and questions; or to clarify information on the application.
8. Pre-employment testing may be used as one factor (along with references, related experience, education, and specialized KSAs) to determine the candidate best suited for the position. If tests are administered, they must be approved in advance by the Director of Human Resources or designee prior to use and the following conditions apply:
 - a. A standard format must be used for all applicants. Work exercises (i.e. demonstrating skills in PC functions, appropriate techniques for lifting objects, etc.) are also acceptable.
 - b. All applicants referred for a final interview for a position must be administered the same test or work exercise(s) if one is used.
 - c. The test location environment must be the same for all applicants.
 - d. Test administrators may be required to complete special training in order to consistently and fairly administer certain tests.
9. The DOC [*Applicant Evaluation*](#) 102_F4 must be used for all interviews. The form should document the reason for the assessment. The *Evaluation* will be used as a guide and not as the final assessment device to select the recommended or final candidate(s).
10. The Hiring Manager must report required information concerning applicants interviewed to the facility Human Resource Office or Recruitment Staff at Headquarters in order to capture the necessary information that the DOC is required to enter into RMS.
11. Interviews will normally be conducted for most positions by a selection panel chosen by the appointing authority. If a selection panel is not utilized, prior written approval by the Director of Human Resources, or designee, must be received.
12. The following positions are exempt from the selection panel requirement:
 - a. Any wage position
 - b. Commissary Clerk
 - c. Corrections Officer
 - d. Dental Assistant
 - e. Dental Hygienist
 - f. Food Production Worker
 - g. Food Production Worker Senior
 - h. Grounds Lead Worker
 - i. Institutional Chauffeur
 - j. Nursing Assistant
 - k. Office Services Assistant
 - l. Physician
 - m. Physician Assistant
 - n. Postal Aide
 - o. Postal Assistant
 - p. Psychiatrist
 - q. Registered Nurse
 - r. Surveillance Officer
 - s. Corrections Nurse Technician
 - t. Psychologist Associate
 - u. Dentist
 - v. Carpenter
 - w. Driver
 - x. Electrician

- y. Equipment Repair Technician
- z. Farm Supervisor
- aa. Corrections Food Service Supervisor
- bb. Housekeeping Worker
- cc. Laboratory Technician Services
- dd. Laundry Manager
- ee. Locksmith Senior
- ff. Payroll Technician
- gg. Storekeeper Senior
- hh. Tractor Trailer Driver
- ii. Treatment Plant Operator
- jj. Welder Senior

13. Selection Panel Interviews

- a. Panels should be composed generally of at least three, but not more than five, members selected by the appointing authority or designee.
- b. All members must have knowledge of at least one important aspect of the responsibilities of the position being filled.
- c. Employees who are members of the panel must be of the same or higher level as the vacancy. The Director of Human Resources or designee may grant an exception for positions of a technical nature. Panel members may not be subordinates of the position being filled.
- d. The chairperson, if an employee of the DOC, must be in the same or higher level as the position being filled.
- e. The appointing authority, immediate supervisor, or anyone in the direct line of supervision will not be members of the panel.
- f. Concerted efforts should be made to have members of protected classes on selection panels and efforts should be made to include panel members from other units or divisions.
- g. An employee serving on a selection panel must have completed Lawful Interviewing Training (and/or refresher) or equivalent approved by Human Resources or receives written approval from the Director of Human Resources.
- h. It is the responsibility of the selection panel to interview the applicants referred.
- i. A standard set of questions to ask each candidate must be developed by the appointing authority, Human Resources Officer, or the panel.
 - i. These questions may come from the interview question bank established by Human Resources.
 - ii. The appointing authority and Human Resources Officer should review the questions in advance.
- j. After the interview process, the panel should provide a written recommendation in alphabetical order of three applicants or less to the appointing authority. There may be exceptional cases when it is appropriate to recommend a fourth applicant due to the competitiveness of the process (e.g., large applicant pool and/or difficulty in selecting among highly qualified candidates).
- k. If the panel cannot recommend any applicants, then the position must be re-posted or filled through another option that is approved by the Director of Human Resources or designee.
- l. The chairperson of the selection panel will be responsible for returning all records and material of the selection panel to the appointing authority or HRO. This includes all applications, resumes, supporting documents, interview notes, *Evaluation* forms, and other materials used by any panel member during the interview or deliberation.
- m. The appointing authority or designee, upon receiving the recommended names, will interview all of the recommended candidates and make a decision either to select one of the recommended candidates or not to proceed with that applicant pool. The appointing authority may wish to utilize a second panel for the finalist interview and accept their recommendation.
- n. Human Resources Officers must update RMS indicating the applicants interviewed and the person selected for the position.

14. Appointing Authority or Designee Interview

- a. Appointing Authority or Designee interviews may be appropriate based on the number of

applicants or the type of position and may be utilized after receipt of written approval from the Director of Human Resources or designee.

- b. The appointing authority or designee may include other supervisors of the position or other knowledgeable staff when conducting the interview. Note: In cases where the panel interview has been waived, the appointing authority interview should be comprised of a diverse panel of three to five members.
- c. It is the responsibility of the appointing authority or designee to interview the applicants referred.
- d. A standard set of questions to ask each candidate must be developed by the appointing authority or the Human Resources Officer. The Human Resources Officer should review the interview questions to be used prior to the interviews being conducted.
- e. The Human Resources office must update RMS indicating the applicants interviewed and the person selected for the position.

K. Appointment to Positions

1. Selecting Finalist

- a. The appointing authority or designee must select the applicant recommended for hire (finalist) based on the eligibility, interviews, related education and experience, related KSAs, panel recommendation (if applicable), references, and, if available for DOC employees, performance evaluations, active disciplinary actions, and recommendations.
 - b. For any position physically located at a facility that have two reporting lines - to the Facility Unit Head and other units and divisions, including Health Services, Agribusiness, Environmental Services, and Correctional Education - the Facility Unit Head must approve finalists before a verbal or written offer can be extended.
2. Background investigations must be completed for all applicants recommended for hire (finalists) in accordance with Operating Procedure 102.3, *Background Investigation Program*.
- a. The Organizational Unit Head should review the [Background Investigation Questionnaire \(BIQ\)](#) 102_F2 and VCIN report for information that would require further inquiry including but not limited to the following: gang affiliation, criminal convictions, offender visitation, driving convictions, tattoos etc. This information and potential impact of selection should be evaluated on a case by case basis in consultation with Human Resources and appropriate Regional Operations Chief.
 - b. Once the Organizational Unit Head reviews and approves the information from the BIQ and VCIN, a conditional offer of employment may be made.
 - c. Employees who are selected for transfer, promotion or for advancement to a higher position in a pay band will be subject to a criminal records check. Transfer or promotion may be denied based on information obtained during this records check.
 - d. A conditional offer of employment may be extended prior to receiving the results of the full and complete background investigation. The conditional offer is a bona fide offer of employment, contingent upon approval of the full and complete background.
3. Drug tests are required on all potential new hires or rehires. A conditional offer of employment may be extended prior to receiving the drug test results. The conditional offer is a bona fide offer of employment, contingent upon the employee's negative drug test.
4. Employment physicals, for those positions requiring physicals as part of the selection process, must be given to all potential employees and may only be done after a conditional offer of employment is extended. The conditional offer is a bona fide offer of employment, contingent upon the employee's ability to perform the essential functions of the job.
5. Human Resources Officers must update RMS indicating the applicants interviewed and the person selected for the position.
6. Appropriate communications should be made to those interviewed but not selected. Internal

candidates should be notified verbally. All other candidates can be notified utilizing RMS or written communication.

7. Approvals

- a. The appropriate member of the Director's staff will approve the appointment of all Organizational Unit Heads, Regional Managers, and Regional Administrators.
 - b. The appropriate Regional Operations Chief or other member of the DOC senior management must approve all appointments to the following positions: Corrections Major, Chief of Housing and Programs, Assistant Warden, Institutional Program Manager, Operations Manager, and Deputy Chief Probation and Parole Officer.
 - c. The appropriate Regional Administrator or other member of the DOC senior management must approve the appointment of an applicant who was previously employed by the DOC. For educational professional staff, the Superintendent for Education will be consulted by the appropriate regional staff.
 - d. The Facility Unit Head must conduct a face to face interview with Corrections Officer applicants who are under 21 years old before an employment offer can be made.
 - e. Additional approvals for appointment to other positions include:
 - i. Chief Financial Officer must approve Business Managers
 - ii. Director of Human Resources must approve Human Resources Officers
 - iii. Chief of Mental Health Services must approve Psychologists Seniors
 - iv. Chief Dentist must approve Dentists
 - v. Health Services Director must approve Doctors
 - vi. Superintendent of Education must approve Teachers
8. Retired employees, reemployed as wage employees, must be off the Commonwealth's payroll for at least 13 weeks after separation.
- a. There can be no pre-determined agreement or date for a retired employee to return to part-time employment, nor can an employee have the exact duties or work hours assigned before retirement.
 - b. The exact duties restriction can be alleviated by reducing the number of hours the employee works by 20%. This means that if the employee is working in a wage position and works 1500 hours or less over a one year period, even performing the same duties, the employee is not doing the same duties because the number of hours has been reduced.

L. Employment of Ex-Offenders

1. It is the policy of the DOC to support and encourage all other employers to hire eligible, qualified ex-offenders, and to set an example by hiring ex-offenders for any non-sensitive positions for which they are among the best suited applicants. (4-4055, 4-ACRS-7E-06, 4-APPFS-3E-07; 2-CO-1C-10) (Title VII of the Civil Rights Act, 1964, prohibits discrimination or elimination of applicants by reason of past criminal behavior alone, and requires each employer to evaluate each applicant and the applicant's past record against the job to be performed.)
 - a. Ex-offenders will have to go through the normal employment process to be considered for salaried positions.
 - b. Employment can be denied to any person whose past conviction is either recent or related to the type of position for which the person is applying.
 - c. See the *Eligibility* section of this operating procedure for limitations relating to employees who may have contact with incarcerated offenders.
2. DOC strategies for hiring ex-offenders:
 - a. Each Unit Head will evaluate salaried, wage, volunteer, and internship opportunities that may exist within that unit. The list of positions that may be offered to ex-offenders will be forwarded to the Regional Operations Chief for field positions or the appropriate Deputy Director for

Headquarters positions.

- b. Each Unit Head and Region will evaluate potential candidates who are ex-offenders and may encourage employees to suggest ex-offenders who they have supervised for consideration.
3. Employment offers to any persons with misdemeanor convictions for any field position require prior approval from the appropriate Regional Administrator and notification to the Regional Operations Chief. Employment offers to an ex-offender for any field position or Headquarters position require the prior approval of the Director, the Chief of Corrections Operations, or a Deputy Director. This management authority must make each hiring decision on a case-by-case basis, taking into consideration the following factors:
 - a. Nature of the offense in relation to the duties of the position including eligibility for employment based on criminal convictions or adjudications while incarcerated
 - b. Length of time since conviction, and indicators of stability and reliability
 - c. Relationship of position to the security of persons committed to DOC care
 - d. Relationship of the ex-offender to other offenders with whom the ex-offender might have contact during work
 - e. Relationship of the ex-offender to employees by whom the ex-offender may have been supervised while in the care of the DOC
 - f. Behavior of the ex-offender toward the DOC during any period of incarceration
 - g. Confidential and sensitive records and information to which the ex-offender may have access if employed
 - h. Potential results if an ex-offender commits another crime or takes advantage of their position, while employed by the DOC
 - i. Restrictions or conditions imposed on the ex-offender that would interfere with proper performance of duty (e.g., restrictions on carrying firearms)
 - j. Is the offender currently on supervision? The Chief of Corrections Operations and the Deputy Director for Administration must approve employment of offenders currently on supervision.
4. After receiving approval from the appropriate management authority, the Unit Head and HRO must conduct a face to face interview with applicants who are ex-offenders before an employment offer can be made.

M. Notification of Applicants

1. The Hiring Manager must report required information concerning applicants interviewed to the facility's Human Resources Officer or Human Resources to be entered into RMS.
 - a. This includes consideration of final candidates and the candidate selected to fill the position.
 - b. The final RMS entry concerning the status of all applicants represents written notification to the applicants.
 - c. Applicants who are not selected should be informed verbally (if internal) or through RMS (if external) before the announcement is made as to who was selected.
2. Offer-of-Employment Letters
 - a. Employment offers should be made in writing and follow the guidelines outlined by DOC and DHRM policies and procedures.
 - b. Classified state employees are not employed by contracts either expressed or implied but employed pursuant to the Code of Virginia and applicable personnel policies and regulations.
 - i. Letters offering employment should therefore avoid implying a contract or guarantee of employment for a particular period of time.
 - ii. Salary must be listed as a pay period amount figure which may then be converted to an annual salary.
 - iii. Employees hired into restricted positions must be informed of the status of the position.

- c. A statement explaining the probationary period must be included in all offer letters for individuals entering the classified system.
- d. For those persons in positions exempted from the DHRM policies and procedures under [COV §2.2-2905](#), units must include in offer letters a statement reiterating the statutory provision that such persons shall serve at the will and pleasure of the Director of the Agency.
- e. No employment offer or salary offer should be made orally or in writing until written approval has been received from the Human Resources Compensation Unit. This may include authority to fill a vacant position as required in the *Notification of Vacancies* Section of this operating procedure and determination of starting pay level if the salary requested is above the minimum of the salary range stated in the RMS vacancy posting. (see Operating Procedure 102.4, *Compensation*)
- f. If the offer of employment is conditional, the offer letter must identify the condition(s) to be met by the employee.
- g. If candidates accept the position and agree to the terms of employment they must sign and date a letter of offer that is a binding agreement.

N. The Human Resource Director may grant waivers to the provisions of this operating procedure as necessary for agency business needs.

O. Voiding the Selection Process

1. Prior to the position being offered, the incumbent or former incumbent may request to withdraw their resignation, provided it is within thirty days of the separation.
2. The Organizational Unit Head may either deny the request for withdrawal or grant the request for withdrawal.
3. If the request for withdrawal is granted, the selection process shall be voided at its current stage and all candidates will be informed.

P. Record Keeping and Documentation

1. It is the responsibility of the HRO or appointing authority to maintain all selection process records for the organizational unit for a period of three years from the closing date of the posting in RMS.
2. Records involved with any lawsuit or discrimination complaint shall be maintained until final disposition is received, including the exhaustion of all appeals. This includes: a copy of the EWP, copies of the posting and any advertisement for the position, a list of applicants, all employment applications, minimum and preferred qualifications, screening criteria and results, list of applicants interviewed including EEO data listing sex and race data for each applicant or a notation of "unknown" if the information is not available, questions asked in interview, interview *Applicant Evaluations* and notes, all background material considered, and all other material which influenced the selection decision.

Q. Recruitment and selection records may be purged in accordance with written guidelines established by the Library of Virginia.

V. REFERENCES

[Americans with Disabilities Act of 1990](#)

Department of Human Resource Management (DHRM), Policy 2.10, [Hiring](#)

[Equal Employment Opportunity Act of 1972](#)

Executive Order Number One (2018) [Equal Opportunity](#)

Operating Procedure 102.3, *Background Investigation Program*

Operating Procedure 102.4, *Compensation*

Rehabilitation Act of 1973 (Sections [503](#) and [504](#))

[Title VII of the Civil Rights Act of 1964](#)

VI. FORM CITATIONS

[Background Investigation Questionnaire \(BIO\) 102_F2](#)

[Notification of Vacancy 102_F3](#)

[Applicant Evaluation 102_F4](#)

VII. REVIEW DATE

The office of primary responsibility shall review this operating procedure annually and re-write it no later than three years after the effective date.

Signature Copy on File

7/10/18

N. H. Scott, Deputy Director for Administration

Date