



EMPLOYEE HANDBOOK

FOR PHYSICAL PLANT

UPDATED March 27, 2025

Introduction

Purpose

The purpose of this handbook is to assist all Physical Plant employees in becoming familiar with the University, departmental policies/guidelines and Physical Plant terminology. This handbook is intended to promote your successful employment at the University. Every employee should receive a copy of this handbook when they attend the Physical Plant New Employee Orientation.

Section I: General Information

1. Welcome

Welcome to the University of Louisville Physical Plant Department. The Physical Plant Department consists of approximately 340 employees that provide maintenance and custodial services on three campuses, Belknap Campus, Health Sciences Center (HSC) and Shelby Campus.

2. Mission Statements

The Department of Physical Plant is a service organization whose function is to maintain the physical facilities of the University of Louisville adhering to the University of Louisville and Physical Plant Mission Statement.

A. University of Louisville Mission Statement

“The University of Louisville shall be a premier, nationally recognized metropolitan research university with a commitment to the liberal arts and sciences and to the intellectual, cultural, and economic development of our diverse communities and citizens through the pursuit of excellence in five interrelated strategic areas: (1) Educational Experience, (2) Research, Creative, and Scholarly Activity, (3) Accessibility, Diversity, Equity, and Communication, (4) Partnerships and Collaborations, and (5) Institutional Effectiveness of Programs and Services.” <http://louisville.edu/about/mission.html>

B. Operations Mission Statement

“Excellence through Innovation”

C. Physical Plant Mission Statement

The Physical Plant Mission Statement, “Physical Plant provides efficient and timely service to support the University’s goals in the areas of teaching, research, and externally related activities.

Operational Responsibilities

Facilities Management – Physical Plant is responsible for the basic operations and continuous maintenance and cleaning of most facilities on Belknap, HSC, and Shelby Campus of the University of Louisville. Campus Facilities include over 170 buildings and over 600 acres. Physical Plant operates and maintains a central steam and chilled water plant on Belknap Campus and a 13,800-volt distribution system at Health Sciences Center and Belknap Campus.

Leadership

Dr. Gerry Bradley
President

C. Aaron LeMay
Executive Vice President for Finance and Administration/CFO

Jerry Johnson
Vice President for Operations/Chief of Staff

Sajid Mian
Assistant Vice President for Facilities Management

Professional Image and Conduct

Core Value

We do the right thing
We take pride in our work, ourselves, and our university.
We learn everyday
We empower ourselves and others
We respect all

Uniform & Dress Code

If an employee's position in the Department of Physical Plant requires a uniform (provided by the Department), the employee is expected to report for work in his/her uniform and wear it during the work shift. The employee is responsible for maintaining the uniform in a decent and wearable condition (i.e., laundering, small repairs, etc.). Shirts are to be kept tucked inside trousers. You must wear clothing that is appropriate for the work you are performing.

Though the Department currently has no general policy related to footwear, employees are encouraged to wear good quality shoes or work boots while on the job. The wearing of open-toed shoes or similarly styled is prohibited for all maintenance and custodial services employee. While operating lawn-mowing equipment, the wearing of sneakers, tennis or canvass shoes, open-toed shoes or similarly styled is prohibited.

Violations of the procedures regarding uniforms will be dealt with according to the progressive university's discipline policy: oral warning, written warning, final written warning/three-day suspension, and termination.

Friday is considered a business casual dress day; however, the employee must have his or her ID visible at all times if they chose not to wear their uniform on casual Friday. Safety comes first. Employees should always wear appropriate footwear and clothing to protect against injury. See Definition for Business casual.

Identification Badges

Physical Plant staff are expected to have their employee badge (ID CARD) with them at all times. If employees (casual Friday) are out of Uniform, their badge needs to be visible. In the event, an employee loses their card, the employee will be responsible for getting a replacement card through Campus Card Office and will be responsible for the cost to replace the card. If an employee card does not work or is damaged while on the job, Physical Plant will pay to replace their card.

See Policy Identification Card PER 1.07

Vehicles

Some jobs require operating a university vehicle. An employee must be insurable through the University Vehicle Insurance Plan to operate a vehicle. Vehicle use is restricted to University staff members in the performance of their job responsibilities. Transporting passengers who are not involved in a Physical Plant Job or project is not permitted. University vehicles are restricted from performing personal tasks or errands. Employees are expected to follow the laws when operating a vehicle including: wearing a seat belt, following traffic/parking laws: and no vehicle idling. Employees must use added caution when driving or parking on the sidewalk. Pedestrians have the right of way. Employees should never park in front of a main entrance door or in the main walk way of the building. Sidewalks should not be used for shortcuts when vehicular traffic patterns are available.

Employees responsible for a vehicle shall conduct a monthly safety check and schedule the vehicle for six month oil changes and annual safety check with the vendor.

Penalties for any violation of traffic laws (speeding, disregarding a stop sign, illegally parking, etc) will be the responsibility of the driver committing the offense and Physical Plant will not pay the fines.

Failure to observe the guidelines will result in progressive discipline according to the university's Disciplinary Policy PER 5.01.

Policies on conduct & harassment

Physical Plant expects all employees to follow the guidelines related to employee conduct:

- 1) Employees will respect the diversity of individuals in the workplace.
- 2) Employees will not use vulgar, intimidating, or abusive language, or otherwise engage in conduct that reflects poorly on Physical Plant or the University.
- 3) Employees are expected to report to their Supervisor or Management team of any misconduct observed.

Hostile Environment – Discourteous Treatment

Physical Plant employees are expected to conduct themselves in a courteous and professional manner at all times during their working shift. Therefore, the use of malicious or profane language towards other (including co-workers and any member of supervision) or any type of conduct or language that creates a hostile environment will NOT be tolerated.

Disciplinary action for these offenses may take the form of a written warning, final written warning/suspension without pay, demotion or termination. The specific action taken will depend on the nature of the conduct or language, the circumstances surrounding the offense and the employee's previous record.

Graffiti

If you see graffiti on University facilities or property the following protocol should be followed:

- Notify supervisor
- Report to Work Control 502-852-6241 Immediately for a Work Order
- Take a picture and send to Work Control Email Account (physplant@louisville.edu)

If anyone observes **someone in the** actual action, please notify campus police at once 502-852-6111.

Please refer to the following conduct and harassment policies:

<https://louisville.edu/hr/policies/policies/#general2>

PER 1.02 - Sexual Harassment-

PER 1.12 – Work outside the University

PER 1.10 - Discriminatory Harassment

PER 1.14 – Tobacco and Vaporizing Products

PER 1.15 - Drug Free Workplace

PER 1.20 - Driver's Alcohol and Controlled Substance Testing

PER 1.21 - Deadly Weapons/Destructive Devices

ATTENDANCE & Essential Personnel Policies, Work & Pay Schedules

Classified employees are also known as hourly employees and Monthly employees are known as P&A salary employees. Attendance and punctuality are important to the smooth and coordinated functioning of the university. The efficiency of an entire work group is impaired if every individual is not at his or her work station at the designated starting time.

- 1) Each classified employee is required to be present on the assigned job for the total number of hours for which compensation is being received unless absence from duty is authorized in accordance with these policies.
- 2) **Absence without authorized leave** - Any absence that is NOT covered by an appropriate type of paid leave AND which has not been approved by your immediate supervisor either before the absence or immediately upon your return to work will be considered as "absence without authorized leave." (Exceptions include absence resulting from hazardous conditions, disciplinary suspensions, or a leave of absence without pay which has been requested and approved in accordance with the procedures outlined in PER-4.13.)
 - a. **One full day or two occasions of unauthorized leave will result in progressive discipline pending previous employee record. See Discipline Policy PER 5.01**
- 3) **CALL IN** - If an employee is unable to report for work at their scheduled starting time, the employee **MUST** notify the Department of the absence or late arrival **BEFORE** the beginning of the employee's shift. Failure to do so will result in absence, whether all or part of a day, being counted as *unauthorized*. The employee's Foreman or Supervisor will inform the employee of the telephone extension to call to report an absence or late arrival. If employee is unable to call before the beginning of the shift, the employee is expected to call as soon as you possibly can and, in this situation, the employee **MUST** state the reason for not calling before the shift. That reason will be taken into account in determining if the absence is to be considered unauthorized.

Call In numbers:

Work Control Belknap: 502-852-6241 or 502-852-6245

Work Control HSC: 502-852-5695

Work Control HSC Custodians: 502-852-7174

Work Control Belknap Custodians: 502-852-8200

- 4) **Tardiness** – If a staff member is late for work at the beginning of his/her scheduled shift or after the lunch period, he/she will be considered TARDY. A tardy will be determined from the staff member's time clock entry or supervisor observation. (Any occasion of tardiness of 60 minutes or more is considered "absence without authorized leave). After 4 minutes of tardiness, the employee's pay will be docked according to Policy PER4.01 Time and Attendance Records.
 - a. After four tardy occurrences, progressive discipline will occur based on the employee's previous record in accordance with the Discipline Policy PER 5.01. Further disciplinary actions will occur based at seven, 10 and 12 tardy occurrences within a rolling calendar.
- 5) Consecutive absences of three (3) work days with no call in or approved leave to cover absences will be considered an abandonment of the position and the assumption that the employee has resigned their position with the University. (See Separation Policy Per 4.14)

Critical Personnel

In general, all Physical Plant personnel are considered "**critical employees**". This means Physical Plant employees are required to report to work, if it is safe to do so, (See Definition unable to work due to inclement weather) during University Emergencies and/or closures. According to the circumstances some units within Physical Plant may be exempt from reporting depending on the nature of the event. Supervisor will keep employees informed of reporting expectations during University emergencies and/or closures.

Work Schedule

The Physical Plant Department is a seven day a week 24-hour, 365-day operation. The work schedule begins on Sunday morning 12:00AM and ends on Saturday at 11:59PM. The direct supervisor will provide details about the employee's anticipated schedule as well as information on how the employee will be notified of scheduled changes.

Every classified employee is required to be present on the assigned job for the total number of hours for which compensation is being received unless absence from duty is authorized in accordance with these policies.

Insubordination - Any employee who fails or refuses to perform a reasonable work assignment as instructed by supervision is considered insubordination. Disciplinary actions for insubordination will take the form of a final written warning/suspension without pay or termination of employment. The specific action taken will depend on the nature of the act or acts of insubordination, the circumstances surrounding the offense(s) and the employee's previous record. See Disciplinary Policy PER 5.01.

Work Stations - All employees are assigned to a work station or location in which they will clock in/out each day. Assignments will be made based on the need of the University in order for Physical Plant to meet the required services. In the event that an employee needs to be reassigned to a new workstation/location for clocking in/out the following procedures will be followed:

1. The employee will receive a written notice 72 hours prior to the change in work station; and
2. The reassignment will be for three continuous days or more.
3. If mutually agreed the 72 hour notice can be waived.
4. Work Stations assignments or reassignments are not grievable.
5. Physical Plant reserves the right to reassign employees to alternate work stations/locations.

Leaving the Worksite

Employee should not leave their assigned work location or worksite without authorization from the employee's immediate supervisor. If it is necessary for an employee to meet with Human Resources or another department within the University, the employee should work with their supervisor in scheduling these appointments to reduce disruption to the work schedule. Employees do not have to include the details for the meeting with their supervisor.

If an employee is a member of the Staff Senate or another university committee that meets during your scheduled work shift, the employee is considered on the job during these meetings. Employees will be paid up to but not exceeding their normal work schedule pay. We encourage participation but employees must work with their supervisor to ensure the services required are met.

Failure to notify the supervisor of leaving the worksite will result in a progressive disciplinary action according to Per 5.01 Disciplinary Policy.

RECORDING WORK/LEAVE TIME

Physical Plant uses an electronic time clock system to capture employee work hours and requested leave. The supervisor will instruct employees on how to clock in/out each day worked. (See attached Clock In/Out Document) Physical Plant follows the University Policy PER 4.01 Time and Attendance Records.

Leave Policies <https://louisville.edu/hr/policies>

Requests for annual leave (vacation), sick leave and other types of leaves away from work are requested using the electronic time clock system. Supervisors will provide instructions on how to make these requests and when to login to make the requests.

PER – 4.03 Holidays

The University observes the following holidays:

- New Year's Day,
- Martin Luther King Day,
- Memorial Day,
- Juneteenth
- Independence Day,
- Labor Day,
- Early Release Day (1/2 day of supervisor approved leave) Wednesday before Thanksgiving
- Thanksgiving Day and the following Friday,
- Christmas Day,
- Tuesday after the first Monday in November in Presidential election years.

PER – 4.04 Annual Leave – An employee must submit a request prior to the use annual leave using the TIMECLOCK REQUEST for Leave. Employee's supervisor should approve/deny request. If the request is denied, the supervisor will advise the employee of specific related reason for the denial. Annual Leave requests should be approved in the order in which the supervisor receives them. It is recommended to give your supervisor as much notice as possible in advance of any vacation request to assist in meeting expected services during your absence. **You may call in to request the use vacation time to cover an absence for emergencies two times within a three-month period.** Supervisors should record these call-in using the timekeeping system notes.

PER – 4.05 Sick Leave – An employee must submit a request for sick leave using the Time Clock Request prior to the leave or upon return.

In a rolling twelve (12) month calendar (see definition), an employee is eligible **for 40 hours of sick leave without a doctor's statement.** When an **employee uses 40 hours of sick leave without a doctor's statement, any additional usage of sick leave during the rolling twelve (12) month must be covered by a medical certification of illness** (doctor statement-see definition) to prevent the employee from being "absent without authorized leave."

An employee must give a healthcare provider's (doctor) statement (see definition) to their immediate supervisor on the first day they return to work to cover their absences with a doctor statement. It is the employee's responsibility to obtain this document.

If an employee is off for **two (2) or more consecutive days**, in order for each day to be counted as a sick day with a doctor statement, **the doctor statement will need to clearly indicate each day/date the statement is covering.** (For example if an employee calls in sick for Monday and Tuesday and the doctor statement only indicates Tuesday, Monday will count toward sick day without a doctor statement and Tuesday will count as a sick day with a doctor statement.) (NOTE: A healthcare provider's statement may be faxed on the employee's first day of return to work to the Department of Physical Plant at 502-852-8210.)

The Department of Physical Plant reserves the right to contact Human Resources to validate the information on the submitted healthcare provider's statement. All requests for validation of a doctor statement must be sent to the Director for Facilities Management Business Operations in the Department of Physical Plant to coordinate with Human Resources.

An employee who needs to be off for any type of sickness, and does not have sufficient leave hours (sick, annual or personal, in that order) to cover the absence, the absence will be considered as “absent without authorized leave”; unless the employee requests prior approval from his/her supervisor for leave without pay and provides a doctor’s statement. **This approval must be requested in writing or through the time clock request. For extended leave of absence (more than seven (7) days) for medical issues see Family Medical Leave Policy, Temporary Leave Policy and ADA guidelines.**

In case of an emergency illness, an employee must notify his/her supervisor as soon as they can.

Work Restrictions - A request to return to work with incidental (minor) duty limitations requires review and approval from the Director for Facilities Management, and/or designee prior to returning to work. It will be determined if there is work available for which the employee is qualified that can be performed safely. If duty limitations are material (are equal to or exceed 20% of employee’s essential functions or are equal to or exceed 30 days) the employee and their health care provider must complete the University of Louisville [ADA accommodation request form](#). This form must be sent to Human Resources, 1980 Arthur Street, Louisville, KY 40208. Applications for ADA accommodations may take up to two (2) weeks to process. The employee will be notified of their application status and ability to return to work upon completion. The University of Louisville will make every effort to reasonably accommodate employees.

PER – 4.12 Leaves of Absences with pay – See Policies PER 4.06 – PER 4.10

PER – 4.06 Personal Leave -During the calendar year, a classified employee may take up to two days of personal leave with pay. Personal leave may be authorized by the supervisor at times convenient to the department. Notice should be given three workdays. In emergencies, however, shorter notice may be given. Employees may request Personal Leave using the Time Clock System.

Personal leave days are not accrued beyond the calendar year. Personal leave will not be paid at termination nor in the event an employee transfers into a professional/administrative position.

Department Procedures – Employees may call in for Personal leave as needed, however an employee may not take Personal Leave in less than 30-minute increments unless previously requested and approved by the supervisor.

PER – 4.07 Bereavement Leave –An employee, upon request, shall be granted three days of administrative leave with pay upon the death of any member of the employee's immediate family. (See [Definitions](#) below immediate family). If more than three days' absence is necessary to arrange for the disposition of remains or to attend a funeral or memorial service, including reasonable travel time, employees may use accrued sick leave. Must provide copy of obituary.

If employees desire additional time off from work in conjunction with Bereavement Leave for other reasons (such as spending time with extended family members or probating an estate) employees may request time off using personal days, annual leave, and/or leave without pay consistent with appropriate leave policies. Supervisory approval shall not be unreasonably withheld.

PER – 4.08 Military Leave- See Policy

PER – 4.09 Court/Jury Duty - Any staff member who submits to the staff member's department head a copy of his or her subpoena to serve as a juror or as a witness shall be granted time off for actual time for such duty and reasonable travel time when such absence occurs during his or her regularly scheduled hours of work. A copy of the subpoena must be retained at the departmental/unit level. Staff members shall be required to return to their jobs at the end of the daily court duty if there are more than four hours remaining in the work schedule. Employees normally scheduled to work on

the second or third shift who are selected for court/jury duty will be expected to report for work in accordance with their assigned schedules if they are excused from such service before having served four hours or more. Appearance in court for traffic or other violations or as a party in a lawsuit must be charged to an appropriate leave balance or leave without pay.

PER – 4.10 Voting - In accordance with state statutes, any person who is entitled to vote on Election Day may be absent up to four hours if the voter applies for the time off prior to Election Day. Supervisors may grant up to two consecutive hours off from regular duties with pay to vote and may determine when such time is to be taken during the day. The employee may use annual leave or personal days, for the remaining two hours. (Presidential Election (every 4 years) is considered a University holiday.)

PER – 4.11 Rest Periods/Meal Periods Work Breaks

The responsibility for scheduling working hours of employees rests with each appropriate supervisor, director or department head. The immediate supervisor/foreman will provide employees with their specific work/rest/meal period schedule. Employees must be approved in advance by supervisor of any changes in the designated rest or meal period.

Employees are considered to be “on the job” while taking a paid rest period. Employees will not clock in/out for rest or meal breaks. Employees may NOT use the facilities of another department (lounge, office, store room, etc) for rest or meal periods without permission of the department controlling the facilities.

Failure to take extended/unscheduled breaks or to use another department’s area without permission will result in progressive disciplinary actions.

PER – 4.13 Temporary Medical Leave –

Staff employees who are unable to return to work after their FMLA has exhausted due to their own serious health condition, may request Temporary Medical Leave (TML) for a period of up to three months. Temporary Medical leave is continuous leave without pay for the employee unless the employee has accrued paid leave time. Staff employees must use all applicable accrued paid leave balances (including sick, vacation, and personal leave) while taking TML. An employee granted such leave shall be an employee of the university while on such leave and shall be returned to the original position or a comparable position within the same pay grade, salary, plus any general increases awarded during that period. When the employee is returned to active status, this leave shall not constitute a break in continuous or creditable service in considering eligibility for sick leave, annual leave, general pay adjustments, and other university benefits and privileges. The university's contribution toward an employee's health benefits will continue during the period of TML. A staff employee shall not earn annual or sick leave accruals for any period not in pay status.

PER – 4.17 Family and Medical Leave Policy

When an employee needs to be off for a serious health condition for more than seven (7) days, he/she will need to:

1. Complete and submit Section I of the Employee Request for Family Medical Leave form to immediate supervisor.
2. Have health care provide complete Section II of the Employee Request for Family Medical Leave form and submit it to Human Resources.

PER – 4.18 Parental Leave Policy

When an employee needs to be off for parental leave he/she will need to:

1. Complete and submit Section I of the Employee Request for Family Medical Leave – Birth, Adoption or Placement of a Child form to immediate supervisor. Must provide copy of birth certificate as proof of parenthood.

PER – 4.19 Catastrophic Shared Leave Policy

Employees are eligible to apply for up to 12 weeks of Catastrophic Shared Leave, after 12 months of continuous service, equivalent to Family Medical Leave eligibility. See Policy

PER – 4.20 Other Leaves with Pay

Community Service - Staff employees may request one day of Community Service Leave (CSL) during a calendar year, which is prorated for part-time employees. CSL is subject to completion of the CSL procedures outlined in this policy and the following guidelines:

- Staff employees must have satisfactory performance and not be on a performance improvement plan;
- Staff employees must receive prior approval from their supervisor; the supervisor may require leave be taken at an alternative time, based on operational needs of the department;
- Staff employees will be required to provide documented proof of volunteer service hours from the service organization;
- CSL does not contribute to time worked in determining overtime pay and will be offset by any additional time worked during a workweek;
- CSL that is not used in a calendar year does not carry forward to the next calendar year;
- If a staff employee transfers from one unit to another unit without a break in service, any unused CSL will be transferred to the new unit for use in that same calendar year;
- CSL is not paid out upon termination or retirement.

PER – 4.21 Personal Leave without pay

Personal leave without pay must be approved by the Supervisor, Director of Physical Plant and Associate Vice President for Human Resources. Employee should request in writing to their supervisor the time period they are requesting for leave and documentation to support the leave. The Supervisor will review with their Director and forward their approval to the Director, Facilities Management Business Operations to coordinate with Human Resources for their approval. All accrued leave must be expended prior to the beginning of the leave without pay. An employee shall not earn annual or sick leave accruals during a leave without pay.

Pay Schedule & Overtime

Classified employees are paid every two weeks (bi-weekly) and Salary employees are paid every month on the 30th. Employees can review the payroll calendar by clicking on this link.

<https://louisville.edu/finance/payroll/files/payrollcalendars>

Payroll checks are either direct deposited or an employee may request a debit card to have their payroll checks uploaded to each pay period. These options reviewed with employees during the University Orientation. **REMINDER: Employee must turn in all information by Wednesday noon in order to receive a check!**

A standard week is considered 40 hours for a 100% employee and 32 hours for an 80% employee.

PER-3.06 Overtime - Compensation for hours worked above an employee's standard hours, up to 40 hours in a workweek, will be provided using straight-time compensation.

Compensation for hours in excess of 40 hours in a workweek will be provided using overtime compensation.

PER-3.07 Call-In / Call-Back Policy - A classified employee called in to work when he or she has not been previously scheduled will be given a minimum of four hours' work or a minimum of four hours' pay.

A classified employee called in to work before his or her normal shift and who continues working into his or her regular shift will not be considered to be either called-in or called-back and will be paid only for all hours worked. If there is less than one hour between the time of completing the work for which he or she is called in early and his or her normal starting time, this time also will be considered as time worked.

The hours paid for call-in and call-back will be credited toward hours worked in the week for overtime purposes.

Phone/Pager Calls for Off-Shift University Work: According to the Federal Fair Labor Standards Act (FLSA) hourly-paid staff in receipt of phone calls or pages during off-shift hours (outside regularly-scheduled work time) will receive compensation for the duration of the call.

Hourly-paid employees must complete the Off-Shift University Work Form (See supervisor) to receive compensation.

Exemptions to this policy:

1. An employee who receives a call to report to work and does report to work based on the Call-In/Call-Back Pay Policy,(PER 3.07) will not receive additional pay for the time of the phone call.
2. An employee who receives a call to report to work during an "off-shift" time, but is unable to do so will not receive compensation for the time of the phone call.

PER 3.08 Stand-by Pay - A classified employee on designated non-restricted call will be paid one hour at his or her regular rate of pay for eight hours of standby and, if called in, the employee shall be paid a minimum of four hours pay or the actual hours worked, whichever is greater, in addition to the standby pay. The hours paid for standby will not be credited toward hours worked in the week for overtime purposes.

PER 3.09 Shift Differential - All classified employees working the second or third shift shall receive a shift differential. Shift differentials will be paid only to classified employees who are scheduled to work four or more hours after 6 p.m. and before 6 a.m.

Shift differentials will be assigned according to job classifications and must be included in determining pay for overtime compensation.

Shift differential of eight percent (8%) will be authorized unless an exception is approved by the Vice President for Human Resources.

Career at UL

PER 2.04 Employment Application

PER-2.05 Promotions

PER-2.06 Transfers

Per-2.07 Demotions

Performance Evaluations and Probationary Period –

All new hires will serve a six-month employee provisional period. The supervisor shall provide to the employee a copy of their job description and a copy of their job performance evaluation for review. The supervisor shall review with the new employee their progress every two months up to the six month of the hire date. The supervisor should be very clear on what is expected of the employee and help them achieve a successful review. After the provisional period, the employee is reviewed on an annual basis using the Performance Evaluation Form. The supervisor and employee should discuss the employee's job duties, expectations for the employee's performance and goals for the upcoming year. The supervisor and employee should both have an opportunity to express their opinions in a respectful manner and determine professional development activities for the employee to accomplish by the next review period. See the HR Guide on Performance Reviews. <http://louisville.edu/hr/employeerelations/management-guide>

Disciplinary Actions

The university promotes a culture where staff employees and supervisors may engage in constructive conversations regarding job performance or work-related conduct with a shared objective of improving unsatisfactory job performance or correcting unacceptable work-related behaviors. The goal of progressive discipline is to promote improved job performance or to correct unacceptable personal conduct.

Disciplinary Actions

- A. Disciplinary actions may take the form of (1) a written warning, (2) final written warning or suspension without pay, or (3) reduction in salary, demotion in grade, or termination.
- B. The specific action taken will depend on the nature of the offense, the circumstances surrounding the offense, and the employee's previous record. In all instances, both for job performance and personal conduct, the university reserves the right to take such action as it deems appropriate, as determined by the employee's disciplinary authority.
- C. Placing an employee on administrative leave with pay or requiring an employee to use his or her paid leave for any reason does not constitute a disciplinary action.
- D. Issuing a letter of instruction, a performance improvement plan, or attendance improvement plan (which serves to clarify performance expectations) does not constitute a disciplinary action, therefore is not grievable.

Oral and written warnings remain in employee's file for one (1) year and a final written warning or a suspension without pay remain in an employee's file for three (3) years provided no additional disciplinary action was issued for the employee for the same reason during the three-year period.

See Policies:

PER 5.01 Discipline – Attachment 2

PER 5.02 Unlawful Discrimination

PER 5.03 Grievances – Attachment 3

PER 5.04 Appeals – Attachment 4

Safety and Emergencies

Workplace Safety

The Department of Physical Plant is dedicated to providing a healthy and safe working environment for all of its employees. The Department of Physical Plant will:

- Provide continuous safety education and training;
- Perform safety inspections at University work sites;
- Provide employees an opportunity to report unsafe working conditions;
- Ensure support from administration and management

Please see the department's safety handbook on the Physical Plant Website:

<https://louisville.edu/physicalplant/files/safety-handbook>

We want employees to be safe while at work. Many work schedules require employees to be the first to enter a building or the last to leave a building. Employees should be aware of their surroundings and immediately report anything that is not normal to the Department of Public Safety 502-852-6111. UofL Motor Assist: 502-852-7275

We also expect employees to perform their respective job functions safely including wearing required personal protective equipment (PPE), report all injuries/incidents, and any unsafe equipment or conditions that exist.

Employees may be disciplined for careless, negligent or intentional acts or failures to act in the workplace or in the scope of employment that contribute to the harm of or the unacceptable risk of harm to individuals or property. Any violations of the above will result in a progressive discipline action and will require further safety training.

Reporting Accidents and Injuries

Any employee who is injured on the job or develops health problems that are work related must immediately report them to his/her supervisor. Prompt and accurate reporting of all accidents/incidents to the supervisor is necessary to insure proper processing of claims.

When an accident/incident is reported to the supervisor:

1. Supervisor must complete the Reporting an On-the-job injury form
<https://louisville.edu/physicalplant/forms/reporting-an-on-the-job-injury>
2. Submit the report as soon as he/she is notified.
3. Have the employee sign the fraud statement and turn into the Physical Plant Office.

Employee Responsibility:

1. Make sure the supervisor is informed of the accident
2. Make an appointment with the provider of your choice. Make sure they know it is a work related injury.
3. Contact Risk Management at 852-4654 for claim number. Also check your email.
4. It is the employee's responsibility to notify supervisor each time they are being treated and need to be off work for the accident. Employees must provide doctor statements and keep their supervisor informed of their schedule for their treatment.

Key Policy

Employees may be assigned keys to perform their job. It is the employee's responsibility to make sure the keys assigned to them are safely secure at all times. Keys should not be taken home. Employees may have Master Keys, Building Keys, Office Keys, and access cards assigned to them. Failure to follow the Key Policy will result in a progress disciplinary according to the policy.

Key Policy for the Physical Plant Department

I. PURPOSE

The purpose of the Key Control Policy for Physical Plant is to control/secure master key rings issued to the Physical Plant Employees.

II. RESPONSIBILITY

The Physical Plant Director or the Physical Plant Assistant Director only are authorized to determine which employees have master key rings and which keys will be on that ring. This will be done in conjunction with the Superintendents of individual areas.

The Superintendents will be responsible for overseeing and determining that their employees are adhering to the Key Control Policy for Physical Plant and the Key Control Policy for the University of Louisville. The basic responsibility for the security of a key ring lies with the employee who has been assigned that key ring.

III. PROCEDURE

1. All Physical Plant employees issued master key rings are required to secure their key ring on a chain with a retractable key keeper during their working shift. This key keeper will be attached to them so that their keys are with them at all times.
2. All master key rings will be welded. Removal of keys from the master key ring is prohibited.
3. All key rings will be secured in their respective shops at the end of their working shift. No master key rings should leave campus when an employee is not on the clock.
4. If an employee is called in for an emergency, there are two key rings in Public Safety for Belknap. HSC and Shelby will pick up their keys from the designated lock box.
5. Failure to follow these procedures will result in disciplinary action in accordance with the SCHEDULE OF DISCIPLINARY ACTIONS as it relates to "willful violation of established rules, regulations, policies, procedures or safety rules."
6. Master key rings lost or temporarily misplaced due to your failure to observe these procedures will result in a 3-day suspension/final written warning. A second offence could result in termination.

DEFINITIONS

Business Casual:

Casual Shirts – All shirts with collars, crewneck or V-neck shirts, blouses, golf/polo, sweatshirts, sweaters and t-shirts shirt. Any shirts with inappropriate or offensive slogans are prohibited. No tank tops, muscle shirts or crop tops are allowed.

Casual Pants – Slacks, trousers and jeans without holes, frays etc. Pants worn below the waist or hip line is inappropriate.

Clothing that is revealing in the workplace is unacceptable.

Doctor's Statement: A “medical certification of illness” (or “doctor’s statement”) means a written document, signed by a licensed medical practitioner (doctor, dentist, chiropractor, podiatrist, optometrist, or osteopath), or by his/her authorized agent.

This document must include the following information or it will not be accepted:

1. The date medical attention was sought.
2. The dates the medical certification covers the employee to be off from work.
3. The date the employee is able to return to work.
4. Any limitations on the employee’s ability to perform his/her normal job duties.
5. A signed statement from the Medical Practitioner indicating the employee was unable to be seen by the Medical Practitioner on the day of his/her illness because of unavailable appointments
6. If other than the employee, the relationship to the employee must also be noted.

Eligibility employee: Any employee who has been employed by the University for at least 12 months, and who has worked for the University at least 1250 hours during the last 12 months immediately preceding the leave. All regular full-time and part-time faculty and staff are presumed to be eligible for family and medical leave, in proportion to the employee's FTE (percent of regular working hours, based on employment status).

Essential Personnel –Staff who are required to report to their designated work location to ensure operation of essential functions or departments during an emergency, or when the University has suspended operations. Also known as critical personnel.

Hostile Environment – Discourteous Conduct (Formerly PPG-014)- Staff members of the Department of Physical Plant are expected to conduct themselves in a courteous and professional manner in their contacts with other members of the University community. Therefore, the use of malicious or profane language towards others (including co-workers and any member of supervision), or any type of conduct or language that tends to the development of a hostile environment will NOT be tolerated.

Immediate Family Member - Biological, foster or adoptive parent, a stepparent, spouse, qualifying adult (see definition), a biological, adoptive or foster child, a step child, a legal ward or a person whom the employee has (or had during the person's youth) daily responsibility and financial support, mother, father, brother, sister, son, daughter, husband, wife, mother-in-law, father-in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, grandparents, and grandchildren of both the employee and spouse or qualifying adult.

Insubordination - The Department of Physical Plant defines insubordination as the failure or refusal to perform a reasonable work assignment as instructed by supervision. (“Supervision” is defined as anyone whose job classification is that of Assistant Foreman, Foreman, Lead, Supervisor, or whose job duties include the supervision of staff, or who holds a Professional or Administrative appointment in the Department of Physical Plant. It also includes the Vice President for Finance and Administration, the University Provost, and the President of the University.)

Master Keys – Are any keys assigned to an employee which opens a building or a key box that contains keys to access exterior doors of the entire building.

Rolling Calendar - A rolling calendar means a supervisor will look back twelve months in the calendar from the current date to determine how many infractions an employee has on record.

(Example: If Sally is tardy on October 1, 2013 here supervisor will review her attendance record back to October 1, 2012 to see how many infractions she had. If she had a tardy on September 20, 2012, that tardy would drop off because it is outside the twelve month rolling calendar.)

Tardiness – When a staff member is 59 minutes or less in reporting to work at the beginning of his/her scheduled shift or after the lunch period, he/she will be considered TARDY.

Unable to work due to inclement weather - Guidelines for Faculty and Staff Unable to Work due to Inclement Weather – Employees may determine whether it is feasible to come to work because of hazardous conditions in their areas, even though the university is open. All faculty and staff must notify either their department chair/department head or supervisor in advance regarding any delay in reporting to work due to inclement weather conditions.

Staff who need to miss work due to weather conditions must work with their supervisor to account for their leave with appropriate leave options. Examples of such leave are as follows:

1. Take personal leave (classified staff); or
2. Take annual leave;
3. Take leave without pay; or
4. Combine two or more of the preceding.

Work Restrictions: Keeps the employee from performing one or more of the routine functions of his or her job, or from working the full workday that he or she would otherwise have been scheduled to work; **1904.7(b)(4)(i)(A) or** A physician or other licensed health care professional recommends that the employee not perform one or more of the routine functions of his or her job, or not work the full workday that he or she would otherwise have been scheduled to work.
1904.7(b)(4)(i)(B) <http://webapps.dol.gov/elaws/osha/recordkeeping/glossary.aspx>

Below is some terminology and information employees should expect to hear from their Supervisor.

Call-In – Employee’s supervisor should provide appropriate procedure and phone numbers to call in if there are reasons employees cannot report to work.
Clock In/Time Clock System – Employee’s supervisor should provide instructions for clocking in/out to determine employees hours of pay each week.
Maximo – Work Order System used in Physical Plant
Meal and Rest Periods – Employee’s supervisor should inform employee of scheduled lunch period and breaks.
Two-Way Radio – This is the form of communication the Physical Plant Department uses to communicate with one another,
White Card – Employee’s supervisor will provide a white card for employee to fill out either daily or weekly listing the work orders and the amount of time work performed. Employee should include the work order number, amount of time spent on job and a brief description of the work performed.
Work Control Center – This is the place that all of the maintenance requests are reported to so a work order can be initiated and distributed to the appropriate craft.
Work Week – Employee’s supervisor should provide work schedule and the location in which the employee will clock in and out each day. The Physical Plant Department is a seven day week. The work schedule begins on Friday morning 12:01 AM, and ends on Thursday at 12:00 midnight. The University is set up on a bi-weekly pay period and checks are distributed every other Friday.

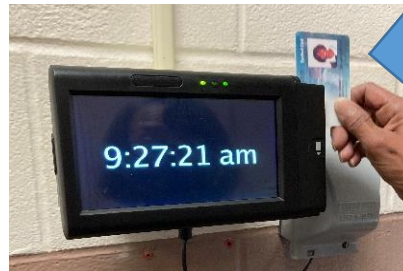
Attachment 1

INSTRUCTIONS TO CLOCK IN/OUT

STEP 1: Go to Time Clock

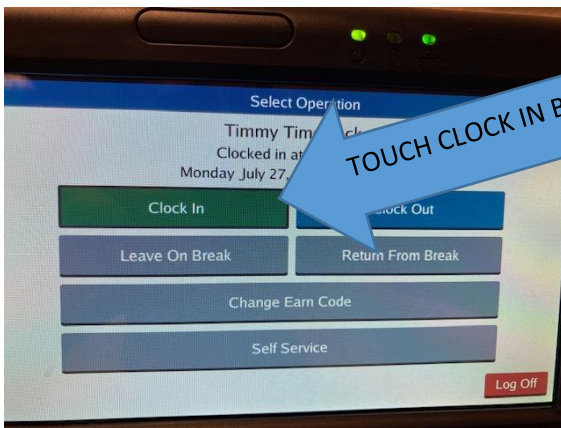


STEP 2: SWIPE CODE

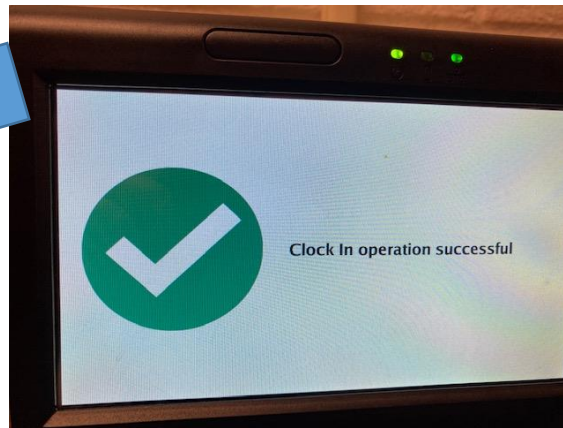


SWIPE YOUR CARD

STEP 3: TOUCH CLOCK IN BUTTON



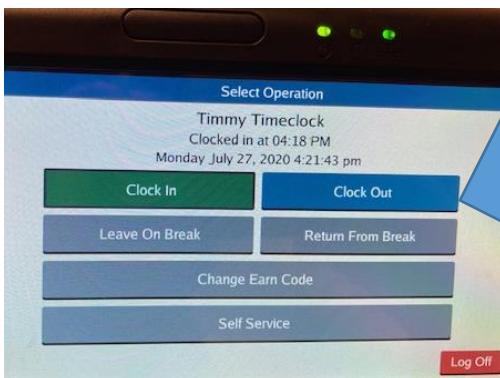
TOUCH CLOCK IN BUTTON



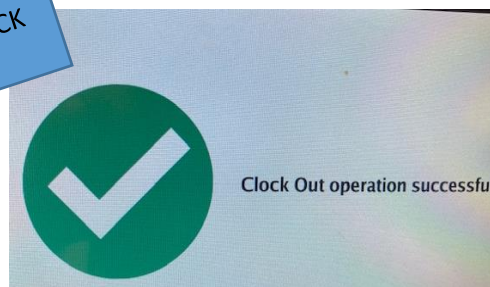
You have successfully clocked in

CLOCK OUT PROCEDURES

Follow STEP 1 and STEP 2 ABOVE - STEP 3:



TOUCH CLOCK OUT

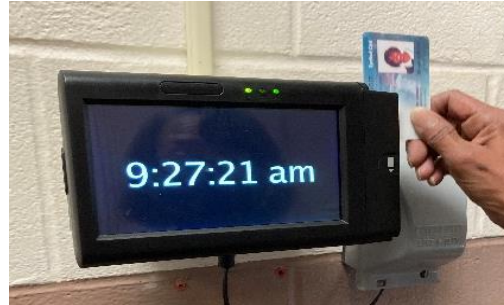


TO REQUEST TIME OFF:

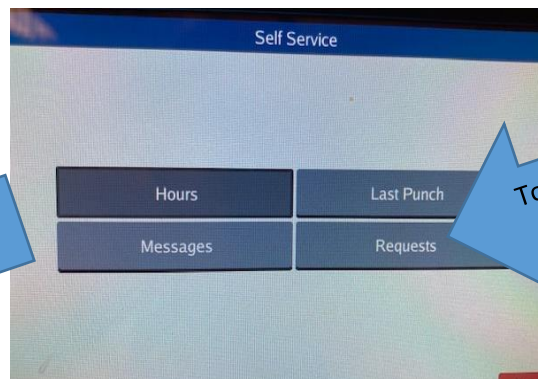
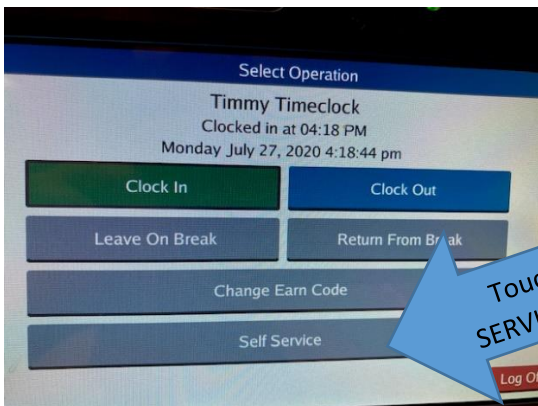
STEP 1:



STEP 2:

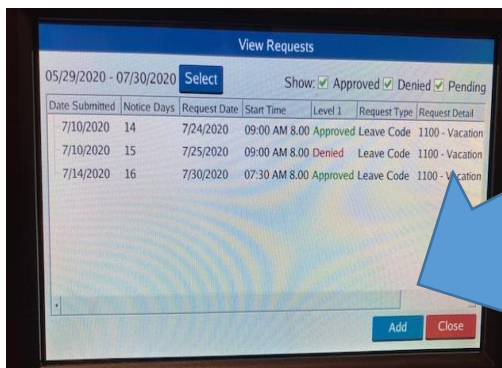


STEP 3: Select SELF SERVICE Button



STEP 4: Select REQUEST Button

This Box will show any previous request Approved are in Green and Denied are in Red



You will Select Each Edit Button to request leave

Add Employee Request

Templates

Name: Timmy Timeclock

Date requested: 07/27/2020 **Edit**

Start time: Not set **Edit**

Hours:

Days: 1 **Edit**

Leave Code:

Description:

Cancel Save

Touch Edit for Date

You can select month and day and year using the white arrows on the top next to Month and Year.

Date/Time Entry

7/27/2020

July 2020

Sun	Mon	Tue	Wed	Thu	Fri	Sat
28	29	30	1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	1
2	3	4	5	6	7	8

Ok Cancel Cancel Save

Date/Time Entry

8/5/2020

August 2020

Sun	Mon	Tue	Wed	Thu	Fri	Sat
26	27	28	29	30	31	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5

Ok Cancel Cancel Save

TOUCH OK

Once you select the right month and day touch the screen on that day and click OK.

Add Employee Request

Templates

Name: Timmy Timeclock

Date requested: 08/05/2020 Edit

Start time: 8:00 am Edit

Hours:

Days: 1 Edit

Leave Code:

Description:

Cancel Save

Touch Edit for Start Time

Select the time you want to begin your leave: **NOTE THIS IS THE START TIME OF THE LEAVE**

Add Employee Request

Templates

Date/Time Entry

8:00 am

1 2 3 AM

4 5 6

7 8 9

C 0

Ok Cancel

Cancel

TOUCH OK

Type in how many Days of your Leave (If less than 8 hours type in 1 day.) IF you leave starts on Friday you should only select 1 day and Enter Monday separately for 4 days. Saturday and Sunday count as day of the week.

Add Employee Request

Templates

Name: Timmy Timeclock

Date requested: 08/05/2020 Edit

Start time: 8:00 am Edit

Hours:

Days: 1 Edit

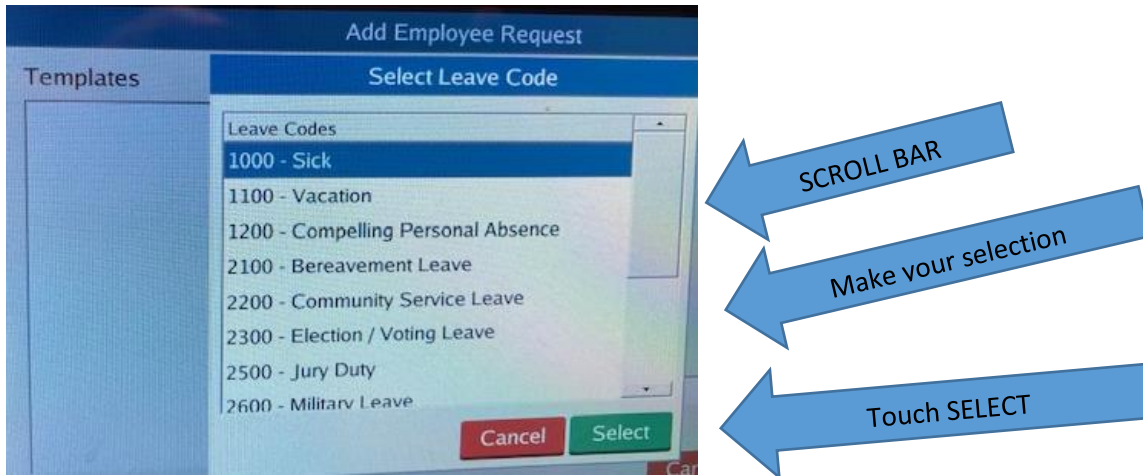
Leave Code:

Description:

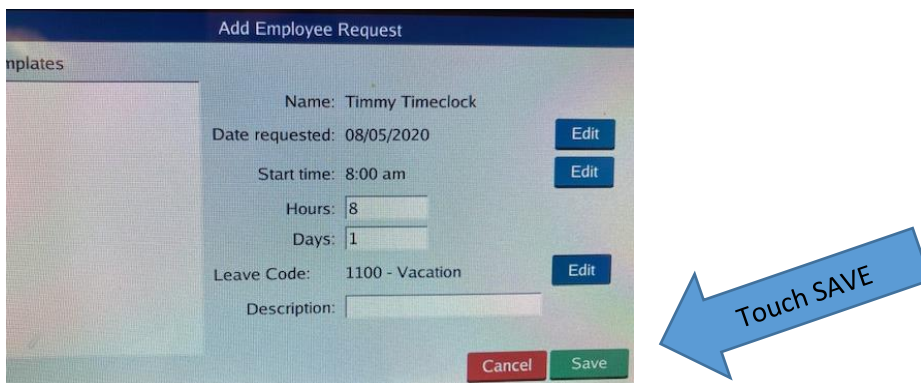
Cancel Save

TOUCH Edit for Leave Code

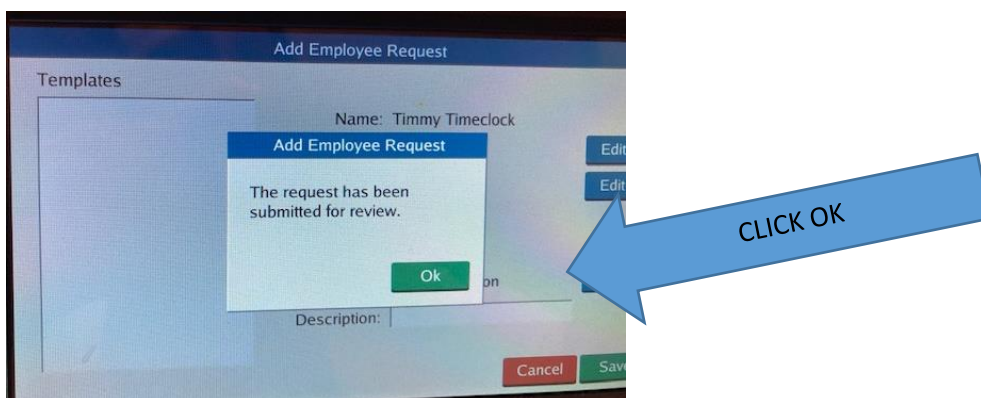
A Select Leave Code box will pop up for you to select the type of leave you will be using. There is also an option for FMLA-Sick. This Code should be selected if the employee called in or is using FMLA.



Your screen should show you the date, time, hours and days and type of leave code you selected. If something is not correct, follow the previous steps and edit the field to correct. When you request is correct.

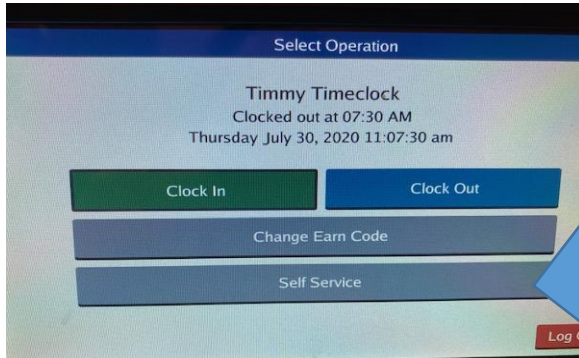


You will receive a message that YOUR REQUEST HAS BEEN SUBMITTED FOR REVIEW:

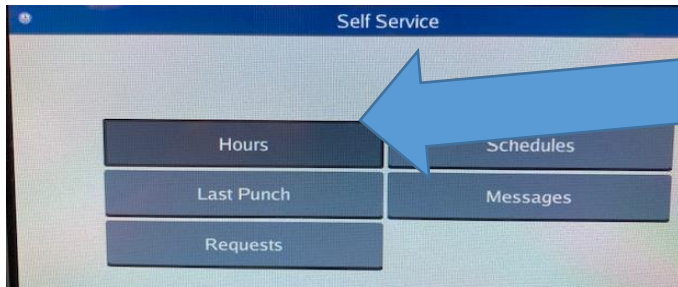


EMPLOYEE APPROVAL OF TIMECARD

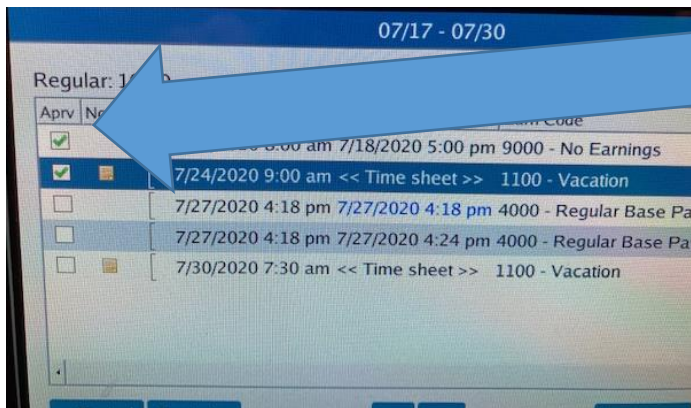
SLIDE ID CARD



SELECT SELF SERVICE



SELECT HOURS



-Review your time for the week

-If in agreement – use your finger to touch the boxes under APRV to get the check mark.

Attachment 2 – Staff Disciplinary Policy



Vice President for
Human Resources
Staff Disciplinary Policy

Policy:	PER-5.01
Title:	Staff Disciplinary Policy
Approval Authority:	Executive Vice President & University Provost
Administrative Authority:	Vice President for Human Resources
Responsible Office:	Staff Development & Employee Relations
Last Revised:	Feb 3, 1993
Effective:	November 1, 2011

[Transition Note: This policy applies to disciplinary actions initiated on or after November 1, 2011. Staff disciplinary actions currently in progress will continue to be administered in accordance with the Staff Disciplinary Policy of Feb 3, 1993, until the presenting disciplinary action is fully resolved.]

POLICY

It is the policy of the University of Louisville to promote a culture where staff employees and supervisors may engage in constructive conversations regarding job performance or work-related conduct with a shared objective of improving unsatisfactory job performance or correcting unacceptable work-related behaviors.

Grounds for Discipline. Effective performance consists of meeting job performance expectations, while maintaining appropriate work-related behaviors. Consequently, discipline may be imposed whenever job performance or personal conduct issues need improvement.

Job performance is generally understood to include issues related to the quantity or quality of work produced.

Personal conduct is generally understood to include work-related behaviors that are disruptive to the work environment or adverse to the University's interests.

Progressive Discipline. The University is committed to providing progressive discipline, when a reasonable person would expect progressive discipline and an opportunity to demonstrate improvement.

The goal of progressive discipline is to promote improved job performance or to correct unacceptable personal conduct. Progressive discipline consists of a clarification of performance or personal conduct expectations by management; followed by three distinct opportunities for an employee to demonstrate improvement, prior to termination for cause.

However, the University reserves the discretion to impose immediate (non-progressive) discipline, as it deems appropriate, for job performance that has a material adverse impact on the department or for unacceptable personal conduct that is disruptive to the work environment or adverse to the University's interests.

[See examples of progressive and non-progressive discipline at Section II.F.]

1. Clarification of Expectations, followed by 1st opportunity to improve.

Oral clarification of expectations.

Letter of instruction.

Performance improvement plan.

Attendance improvement plan.

Written Warning, followed by 2nd opportunity to improve.

Final Written Warning or Suspension without Pay, followed by 3rd opportunity to improve.

Termination for Cause, if progressive discipline has not brought about satisfactory job performance or acceptable work-related behavior, subject to a pre-termination conference (as provided at Section II.D.).

Disciplinary Standard. The standard for management decision making with respect to imposing discipline or corrective action shall be that such decisions are reasonable – that management engaged in an appropriate fact-finding process (relevant to the circumstances) prior to making a disciplinary decision and that the decision to impose discipline is reasonable (given the facts known to the manager at the time the decision is rendered).

Disciplinary Authority. The authority to impose discipline is exercised by the employee's department head or director, provided such individual serves at least two levels removed from the employee, else the next higher level in the chain of command above the level of department head or director; else the employee's Executive Vice President (regardless whether the EVP is two levels removed from the employee).

PROCEDURES

Disciplinary Actions.

Disciplinary actions may take the form of (1) a written warning, (2) final written warning or suspension without pay, or (3) reduction in salary, demotion in grade, or termination.

The specific action taken will depend on the nature of the offense, the circumstances surrounding the offense, and the employee's previous record. In all instances, both for job performance and personal conduct, the University reserves the right to take such action as it deems appropriate, as determined by the employee's disciplinary authority.

Placing an employee on administrative leave with pay or requiring an employee to use his or her paid leave for any reason does not constitute a disciplinary action.

Issuing a letter of instruction, a performance improvement plan, or attendance improvement plan (which serves to clarify performance expectations) does not constitute a disciplinary action.

Note Regarding Grievances & Appeals. Oral clarification of expectations, letters of instruction, performance improvement plans, and attendance improvement plans are not disciplinary actions and are not subject to grievance or appeal. Written warnings and suspensions without pay are subject to internal review in accordance with the Staff Grievance Policy (PER 5.03). Reductions in salary, demotions in grade, and terminations are subject to external review in accordance with the Staff Appeal Policy (PER 5.04).

Delegation of Authority & Approval Required.

An employee's 1st line supervisor exercises delegated authority to issue written warnings or place an employee on administrative leave with pay (pending an investigation of alleged wrong doing), without prior approval.

Prior approval of the employee's 2nd line supervisor shall be required to suspend an employee without pay or to recommend a reduction in salary, demotion in grade, or termination for cause.

Prior approval of the employee's disciplinary authority (as defined in Section I.D.), with the concurrence of the Director of Staff Development and Employee Relations as to policy compliance, shall be required for a reduction in salary, demotion in grade, or termination for cause.

Issuance and Effective Duration of Disciplinary Actions.

Disciplinary action shall customarily be taken within 15 workdays following the date on which the last alleged infraction that led to the disciplinary action was discovered by the university, unless the university determines that further investigation or review is required to determine an appropriate course of action, provided notice of such investigation or review is conveyed to the employee within the initial 15 workdays. If the university determines that such an investigation or review is necessary, disciplinary action shall customarily be taken within 15 workdays following the completion of the investigation or review. Initiating a disciplinary action beyond the customary 15 workdays requires the prior approval of the Director of Staff Development & Employee Relations.

A written warning shall be of no further effect 12 months after the date of the warning, provided that no additional written warning or other disciplinary action was issued for the employee for any reason during that 12-month period.

A suspension without pay shall be of no further effect after three years, provided that no additional disciplinary action was issued for the employee for the same reason during the three year period.

A reduction in salary or demotion in grade is a permanent change in the employee's status, as of its effective date.

Copies of all written disciplinary actions shall be conveyed to Human Resources and made a part of the employee's official personnel record.

Pre-Disciplinary Conference for Suspension without Pay, Demotion, or Reduction in Salary.

Prior to imposing a suspension without pay, a demotion, or a reduction in salary as a disciplinary action, the supervisor recommending such discipline will conduct a pre-disciplinary conference with the employee.

The supervisor or manager will summarize the reasons he or she is recommending discipline.

The employee will be afforded an opportunity to offer a statement in mitigation or extenuation or requesting reconsideration.

The pre-disciplinary conference will be documented in the written disciplinary recommendation conveyed to the disciplinary authority, prior to a final disciplinary decision being made and will be incorporated in the notice of disciplinary action forwarded to Human Resources.

Pre-Termination Conference.

Prior to termination of a regular status staff employee, an Employee Relations staff member in Human Resources will conduct a pre-termination conference. Prior notice of a pre-termination conference must be conveyed to the employee at least one work day in advance. The pre-termination conference shall include the following elements:

Supervisory or management statement summarizing reasons for termination.

Employee statement in mitigation or extenuation or requesting reconsideration.

Reconsideration or affirmation of termination decision by disciplinary authority.

Return to work or termination instructions, as applicable.

An employee may be advised by the Staff Grievance Officer preparatory to a pre-termination conference. The employee may be accompanied by the Staff Grievance Officer or another person of the employee's choosing to serve as a personal advisor during the pre-termination conference. The role of a personal advisor shall be to advise the employee and not to participate in the conference or to advocate on the employee's behalf.

No Re-hire List.

Employees who are terminated for cause under the provisions of this policy may be determined to be ineligible for rehire; provided that the employee receives notice of being determined ineligible for rehire at the time of termination and has the opportunity to respond.

Examples of terminations that could result in a terminated employee being determined to be ineligible for rehire include, but are not limited to: (1) multiple terminations for unsatisfactory job performance or unacceptable personal conduct (including resignations in lieu of termination) or (2) any termination for personal conduct that includes personal dishonesty, falsification, misappropriation of funds, theft, possession or sale of a controlled substance on university premises, violent conduct, harassment, or any other act or omission that in the university's judgment would reasonably preclude re-employment. Employee Relations staff in Human Resources maintain No Rehire lists.

Application of Progressive and Immediate Discipline.

Progressive and immediate discipline for both job performance and personal conduct include (but are not limited to) the examples outlined in the charts which follow and are offered for illustrative purposes only. As noted in Section II.A., the specific action taken will depend on the nature of the offense, the circumstances surrounding the offense, and the employee's previous record. In all instances, both for job performance and personal conduct, the University reserves the right to take such action as it deems appropriate, as determined by the employee's disciplinary authority.

Examples where Progressive Discipline Is Appropriate for Job Performance	Examples where Immediate Discipline May be Imposed for Job Performance
I. Job Performance (Progressive)	II. Job Performance (Immediate)
I.A. Unsatisfactory job performance (related either to quality or quantity of work).	II.A. Refusal to perform reasonably assigned work task (insubordination).
I.B. Negligence resulting in incidental loss of productivity or property, but no injury to other persons.	II.B. Gross negligence resulting in material loss of productivity or property or injury to other persons.
I.C. Failure to follow university policies & procedures, including college, school, division, or departmental guidelines or work rules.	II.C. Willful disregard of university policies & procedures, including college, school, division, or departmental guidelines or work rules.

Examples where Progressive Discipline Is Appropriate for Personal Conduct	Examples where Immediate Discipline May be Imposed for Personal Conduct
III. Personal Conduct (Progressive)	IV. Personal Conduct (Immediate)
III.A. Time and attendance problems; excessive absences or tardiness.	IV.A. Walking off the job during an assigned shift.
III.B. Failure to safeguard university property or funds, including failure to make timely disposition or report of loss, with limited adverse impact to the University.	IV.B. Failure to safeguard university property or funds, including failure to make timely disposition or report of loss, with significant adverse impact to the University.
III.C. Inappropriate or unauthorized use of university property or resources.	IV.C. Use of university property or resources for personal gain or political advocacy.
III.D. Misuse of information technology resources, including excessive personal use (even if during own time).	IV.D. Intentional disruption of university computer systems, unauthorized alteration, disclosure, or destruction of university computer systems or material, improper access to university computer files and systems. Any pornographic use.
III.E. Presence at work under the influence of drugs or alcohol, with no loss of property or threat to the safety of others. Valid for first offense only.	IV.E. Presence at work under the influence of drugs or alcohol that results in loss of property or threat to the safety of others. Any multiple offense under the influence at work. Any possession, sale, or use of controlled substances at work.
III.F. Discourteous treatment of other employees, students, or the public	IV.F. Hostile, offensive, or intimidating behavior of any kind. Harassment of any kind.
III.G. Negligence in filing complete and accurate records of hours worked and leave taken.	IV.G. Personal dishonesty of any kind, including knowingly furnishing false, misleading, or incomplete information or reports to the university.
III.H. Unauthorized (but unintentional) release of confidential information. Failure to safeguard confidential information.	IV.H. Intentional release or any personal use of confidential information in an employee's custody because of his/her job.
	IV.I. Theft of university property, embezzlement, or intentional misuse of procurement cards, regardless of amount.
	IV.J. Personal conduct of any kind that is disruptive to the work environment or which is adverse to the interests of the University.
	IV.K. Violation of local, state, or federal law.
	IV.L. Intentional acts or failures to act in the workplace or in the scope of employment that contribute to the harm of or the unacceptable risk of harm to individuals or property.
	IV.M. Any other act or omission that in the university's judgment threatens the well-being of the university or any of its employees, its students, or the public.

Proposed Revision to Appeal Policy

Objectives:

1. Move suspension without pay from Appeal Policy to Grievance Policy
2. Clarify the role of personal advisors in appeal process.
3. Codify delegation of responsibility from President to VPHR to review appeals.

Policy: Appeals

Policy Nbr: PER-5.04

Approval Authority: Executive Vice President & University Provost

Admin Authority: Vice President for Human Resources

Last Revised: May 1, 1992

Effective: [Target Effective Date: August 1, 2011]

I. POLICY STATEMENT

A regular status employee may appeal a permanent reduction in salary, demotion in grade, or termination.

II. STAFF GRIEVANCE OFFICER

The Staff Grievance Officer is available to consult with staff members in each step of the appeal process, including the initial formulation of the written notice of appeal. The Staff Grievance Officer may work closely with staff members, departments, and the Human Resources Department to seek equitable resolutions of all appeals. The Staff Grievance Officer may serve as a personal advisor for the employee during an appeal process (if requested by the employee), but may not serve as an advocate on behalf of the employee. [Consistent with proposed Grievance Policy and contingent on Red Book revision.]

III. STANDARD FOR REVIEW

An appealable action may be reversed on appeal for only two reasons: (1) there was no reasonable basis for the university action; or (2) there was a substantial departure from university procedures which prejudiced the employee against whom the action was taken.

IV. PROCEDURES

A. Notice of Appeal

1. The employee shall submit a written Notice of Appeal to the Vice President for Human Resources or his or her designee within ten workdays of the receipt of the notice of action taken if the notice was handed to the employee personally, or within ten workdays of the date on which the notice of action taken was mailed to the employee by certified mail -- return receipt requested. If the notice of action taken was both handed to the employee personally and mailed to the employee by certified mail -- return receipt requested, the time for submitting the Notice of Appeal shall be ten workdays from the date that the notice of action taken was handed to the employee personally.

2. In order for a written Notice of Appeal to be considered submitted to the Vice President for Human Resources or his or her designee, the Notice of Appeal must be delivered, either by mail or in person, to the Office of the Vice President for Human Resources.

3. The Notice of Appeal shall include a full statement indicating the basis for the appeal, the facts on which the appeal is based, and the remedy that the employee is seeking.

4. The Vice President for Human Resources or his or her designee shall forward a copy of the Notice of Appeal to the employee's supervisor and to other appropriate individuals.

B. Determination of Eligibility

1. Upon receipt of the Notice of Appeal, the Vice President for Human Resources or his or her designee shall, within five workdays, issue a written determination to the employee and to the employee's supervisor stating whether the employee is eligible to file an appeal.

2. If the employee is found not to be eligible to file an appeal, the employee's Notice of Appeal shall be dismissed by the Vice President for Human Resources or his or her designee. The written determination shall state the reason for the ineligibility.

C. Hearing Officers

1. The Vice President for Human Resources or his or her designee shall give written notification to the employee, the employee's supervisor, and other appropriate individuals of the name of the hearing officer who is assigned to hear the employee's appeal.

2. The hearing officer shall conduct all pre-hearing conferences and hearings.

D. Pre-Hearing Conferences and Hearings

1. There shall be an initial pre-hearing conference at which the parties to the appeal and the hearing officer in consultation with the Vice President for Human Resources or his or her designee shall decide the issues to be addressed in the appeal, the advisors to be present at the hearings, the extent of the advisors' participation at the hearings, and any other relevant procedures. The final decision on these and all other procedural matters rests with the Vice President for Human Resources or his or her designee.

2. There shall be a hearing at which the employee and the university shall have the opportunity to present evidence regarding the action taken, including testimony of witnesses. The hearing shall be informal; strict rules of evidence shall not apply.

3. The Vice President for Human Resources or his or her designee shall be present at all hearings and pre-hearing conferences. The Staff Grievance Officer shall be informed in writing of all hearings and pre-hearing conferences and may attend all such meetings at his or her discretion.

4. The employee may be represented by an attorney or have a personal advisor of his or her choice present at all pre-hearing conferences and hearings. If an employee wishes to be assisted by an advisor but is unable to locate an advisor, the employee may contact either the Staff Grievance Officer or the Vice President for Human Resources or his or her designee, who will help the employee locate a university faculty or staff member to act as the employee's advisor. Employee advisors are not assigned in this process, but remain the sole choice of the employee.

[Note: Employees should be aware that personal advisors may not participate in the examination of witnesses or the presentation of evidence to the hearing officer. If the employee anticipates needing assistance in these functions, the employee will need to be represented by an attorney.]

5. Supervisors shall be represented by an attorney from the Office University Counsel or outside counsel, as determined by the Office of University Counsel.

E. Hearing Officer's Report

1. After the hearing has been completed, the hearing officer shall issue a written report which shall:

- a. summarize the evidence presented at the hearing;
- b. state the hearing officer's Findings of Fact and the basis for those findings; and
- c. state the hearing officer's Recommendations for Action.

2. This written report shall be submitted to the Vice President for Human Resources or his or her designee within ten workdays of the completion of the hearing, unless the Vice President for Human Resources extends that time period.

3. The Vice President for Human Resources or his or her designee shall submit the Hearing Officer's Report to the President or his or her designee within three workdays of the receipt of the report.

F. Appeal Decision

1. The Vice President for Human Resources exercises authority on behalf of the President to review the Hearing Officer's Report and render an appeal decision on behalf of the University. Note: In the instance of an appeal being directed against the VPHR, the Executive Vice President and Provost shall act in such manner.

2. The Hearing Officer's Report shall become the Appeal Decision seven workdays after the Report has been submitted to the Vice President for Human Resources unless the Vice President for Human Resources determines that the Report, or any part of it is not in the best interest of the university.

3. If the Vice President for Human Resources determines that the Hearing Officer's Report, or any part of it, is not in the best interest of the university, the Vice President for Human Resources shall issue an Appeal Decision within seven workdays of receipt of the Hearing Officer's Report.

4. The Vice President for Human Resources or his or her designee shall forward the Hearing Officer's Report or Appeal Decision, if any, to the employee, the employee's supervisors, and any other appropriate individuals.

5. The Vice President for Human Resources or his or her designee shall be in charge of implementing the Appeal Decision and may take whatever action is necessary to do so.

6. The Appeal Decision shall be final.

Attachment 4 – Staff Grievance Policy



Staff Grievance Policy

Policy:	PER-5.03
Title:	Staff Grievance Policy
Approval Authority:	Executive Vice President & University Provost
Admin Authority:	Vice President for Human Resources
Responsible Office:	Staff Development & Employee Relations
Last Revised:	May, 2004
Effective:	November 1, 2011

I. POLICY

It is the policy of the University of Louisville to promote a culture where staff employees and supervisors may engage in constructive conversations regarding working conditions that convey institutional value to employees and afford employees an opportunity to seek redress for concerns regarding working conditions in the lowest and least formal means possible.

Any employee who believes that a condition of employment is unjust, inequitable or a hindrance to effective operations or performance may initiate a grievance in accordance with the provisions of this policy. In like manner, first line supervisors, managers, and department heads are obligated to respond to grievances in a timely and material manner in accordance with the provisions of this policy.

Examples of Grievable Actions:

Working Conditions
Written Warnings
Suspension without Pay (in lieu of appeal)
Unsatisfactory Performance Evaluation
Incorrect application of University policy

Examples of Non-Grievable Actions:

Organization and definition of work (e.g., job descriptions, assignment of supervisor or unit, working hours).
Performance Expectations (unless alleged to be arbitrary, capricious, or not reasonably attainable).
Clarification of expectations or non-disciplinary letters of instruction.
Position Classification, Salary Grade, or Salary within Grade.
Allegations of EEO-related Discrimination or Harassment (See PER 1.11).

Informal / Alternative Dispute Resolution Processes, Mediation Services. Employee Relations staff in Human Resources, staff in the Ombuds Office, or the Staff Grievance Officer shall be available to assist either employees or managers by providing information related to grievance processes and to assist employees and supervisors or managers in achieving a mutually agreeable resolution to a presenting grievance in the most informal manner possible. HR staff, Ombuds staff, and the Staff Grievance Officer shall serve as "honest brokers" with no vested interest in the specific outcome of a grievance other than to promote the mutually agreeable resolution of a grievance between the parties. Neither HR staff, Ombuds staff, nor the Staff Grievance Officer shall serve as an advocate on behalf of either the employee grievant or management respondent to a grievance. [See additional information on alternative dispute resolution, mediation, and the Ombuds Office at Section III.

Grievance Authority. The authority to make a final administrative decisions with respect to an employee grievance is exercised by the employee's department head or director, provided such individual serves at least three levels removed from the employee, else the next higher level in the chain of command above the level of department head or director; else the employee's Vice President or Dean (provided such individual serves at least two levels removed from the employee). The grievance authority for employees who report directly to a vice president, dean, or executive vice president will be the Executive Vice President (although this will reduce the number of steps in the grievance process).

Prohibition Regarding Retaliation. To ensure open and professional communications between employees and supervisors, no employee shall be subject to retaliation for exercising his or her grievance rights, participating as a witness in another employee's grievance, or serving as a personal advisor during another employee's grievance.

II. PROCEDURES

Step 1 Grievance:

A Step 1 Grievance is submitted to the employee's 1st line supervisor. The employee shall first attempt to resolve his or her grievance by submitting a statement in writing to his or her immediate supervisor outlining the basis of the grievance or requesting re-consideration of a previous adverse employment action.

A grievance or request for re-consideration must be submitted within 15 work days of the event (or awareness of the event or working condition) which gives rise to the grievance; else these grievance procedures shall not apply and the employee shall have no other recourse.

Note: A request for mediation may be submitted at any time before a grievance is filed and temporarily suspends grievance deadlines, as long as both parties agree to participate in mediation. If mediation is not successful, the grievant may proceed with a grievance within five (5) additional work days of the suspension or termination of mediation efforts. See Section III.

The employee shall convey a copy of his or her grievance or request for reconsideration to the Employee Relations unit in Human Resources, concurrent with submitting a copy to his or her immediate supervisor.

The grievance or request for reconsideration shall include the following:

Statement of the working condition that the employee believes is unfair, inequitable, or which constitutes a hindrance to the effective operations or performance of the department or the employee or request for consideration of an adverse employment action. Employees may use a letter format or the Staff Grievance Form available at <http://louisville.edu/hr/grievanceform>.

Statement of response or remediation requested.

With five work days of receiving the grievance or request for re-consideration, the employee's 1st line supervisor shall respond in writing, outlining what actions, if any, the supervisor is willing to undertake in response to the grievance. The supervisor shall provide a copy of his or her response to the employee and to the Employee Relations unit in Human Resources.

If the employee's first line supervisor does not respond to the employee's grievance or request for re-consideration within five work days or if the employee is not satisfied with the 1st line supervisor's response, the employee may file a Step 2 Grievance (as provided below) within five work days of the non-response or dissatisfaction with the response to the Step 1 Grievance.

The failure of the 1st line supervisor to respond to the grievance within the specified time frame shall constitute a presumption going forward that the employee's grievance is reasonable and that the employee's request for remediation is an appropriate response to the grievance, subject to the ratification or revision of the proposed remedy by the employee's 2nd line supervisor.

B. Step 2 Grievance:

A Step 2 Grievance is submitted to the Employee Relations unit within Human Resources. If the 1st line supervisor responded to the employee's grievance but the employee is not satisfied with the response, the employee must submit a written statement describing what he or she is not satisfied with in the response from the 1st line supervisor.

The Employee Relations unit shall forward the employee's grievance to the employee's second line supervisor, together with a copy of the employee's original grievance, the response, if any, from the employee's 1st line supervisor, and the employee's Step 2 written statement, if any.

Within five work days of receiving a Step 2 Grievance, the employee's 2nd line supervisor shall respond in writing, outlining what actions, if any, the 2nd line supervisor is willing to undertake in response to the grievance. The 2nd line supervisor shall provide a copy of his or her response to the employee and to the Employee Relations unit in Human Resources.

If the employee's 2nd line supervisor does not respond to the employee's grievance or request for re-consideration within five work days or if the employee is not satisfied with the 2nd line supervisor's response, the employee may file a Step 3 Grievance (as provided below) within five work days of the non-response or dissatisfaction with the response to the Step 2 Grievance.

The failure of the 2nd line supervisor to respond to the grievance within the specified time frame shall constitute a presumption going forward that the employee's grievance is reasonable and that the employee's request for remediation is an appropriate response to the grievance, subject to the ratification or revision of the proposed remedy by the employee's department head or director.

C. Step 3 Grievance:

A Step 3 Grievance is submitted to the Employee Relations unit in Human Resources. If the 2st line supervisor responded to the employee's grievance but the employee is not satisfied with the response, the employee must submit a written statement describing what he or she is not satisfied with in the response from the 2st line supervisor. A Step 3 Grievance is ultimately decided by the employee's Grievance Authority (as defined in Section I.D.) When filing a Step 3 Grievance, the employee must specify to the Employee Relations unit whether he or she desires to submit his or her grievance directly to employee's Grievance Authority or to the Staff Grievance Committee.

The Employee Relations unit shall forward the employee's grievance to the employee's Grievance Authority or the Staff Grievance Committee (as specified by the employee, above) together with a copy of the employee's original grievance and the response, if any, from the employee's 1st and 2nd line supervisors and the employee's Step 3 written statement.

3. If a grievance is submitted to the Staff Grievance Committee, the committee will conduct a grievance hearing as provided in Section II.D., and forward the grievance together with the committee's findings and recommendations to the employee's Grievance Authority.

The employee's Grievance Authority shall render a decision in writing within 10 work days following receipt of the grievance from the employee or from the Staff Grievance Committee. The grievance authority's decision, together with a copy of the Staff Grievance Committee Report, if any, shall be conveyed to the employee, subordinate managers, and the Employee Relations unit in Human Resources

D. Role & Procedure of the Staff Grievance Committee

If the employee requests that his or her grievance be submitted to the Staff Grievance Committee preparatory to submission to the final administrative authority (as specified in Section C above), the guidelines in this section shall apply.

Purpose. The committee's purpose shall be to assist the grievance authority in fact finding and recommending a course of action. The committee chair shall file a report with the grievance authority. The report shall either recommend upholding the original grievance response at Step 2 or reversing the Step 2 response and recommending an alternative course of action. The committee will also recommend to the grievance authority whether or not the grievant's proposed remedy should be approved.

Committee Composition. The composition of the Grievance Committee is within the discretion of the Staff Senate. Generally, the review committee will consist of three members, including at least one supervisory member and one non-supervisory member.

Grievance File & Related Documents. The Employee Relations unit shall provide the Grievance Committee with copies of the original grievance and supervisory and management responses at Step 1 & Step 2, if applicable, in advance of the hearing. If the grievance pertains to job performance, the Office of Human Resources will also provide copies of the employee's position description, and the employee or department must provide copies of the three most recent performance evaluations on file. The grievant and respondent shall each receive a complete copy of all documentation.

Hearing Agenda. The grievance committee shall be convened upon receiving a grievance from the Employee Relations Unit of the Office of Human Resources. The Staff Grievance Review Committee shall submit the grievance materials, its summary of the grievance, and its recommendations to the department head or director within 15 workdays of its receipt of the request. The committee will adopt its own guidelines regarding the hearing agenda, subject to each individual grievance case. All parties requested to participate in the hearing are expected to attend.

Witness Statements.

Either the grievant or respondent may propose that the Committee interview witnesses by providing a list of proposed witnesses in advance to the committee together with a brief statement as to what evidence the witness is expected to present. The Committee may also call its own witnesses. The decision as to the relevance of witness testimony, if any, and whether or not the witness shall be called shall be within the sole discretion of the chair, in consultation with the committee.

Witness testimony shall be limited to matters that have a direct bearing on the grievance. Character interviews are not permitted.

Supervisors shall provide regular work time for the purpose of participating in the grievance committee hearing for all parties involved.

Participation of Committee Members.

Upon proper recognition by the chair, any committee member may ask questions of either party or witness at any time during the hearing.

Role of University & Employee Representatives.

HR Representative: To assist in resolving an employee's grievance, the resources and consultation available from the Office of Human Resources must be made available to all parties, on request, including the Staff Grievance Committee. In all instances, the role of an HR representative is to provide advice and counsel regarding University policy, permissible and advisable courses of action, and process questions. HR representatives may not serve as an advocate or personal advisor of either party during grievance processes, but must be neutral and non-deliberative with respect to grievance issues. If policies are in question, the HR representative shall be the sole authority to advise the Committee on staff personnel policies.

Staff Grievance Officer: As provided in The Redbook (at Section 5.8.2), the Staff Grievance Officer is available to advise staff employees on grievance and disciplinary processes, to include helping an employee prepare for a grievance committee hearing. While the Redbook prohibits the Staff Grievance Officer from serving as a personal representative or advocate for the employee in a grievance process, if requested by the employee, the Staff Grievance Officer may serve as the employee's "personal advisor" as noted in this section, upon the employee's request.

Personal Advisors. At any time during the grievance process, an employee or supervisor may be accompanied by a personal advisor. . The role of a personal advisor shall be to provide private advice to the employee or supervisor during proceedings. The personal advisor may not take an active part in the proceeding or speak to the committee on the employee's or supervisor's behalf. [Note: If the personal advisor is a staff employee of the University, management shall provide regular work time for the purpose of participating in the grievance committee hearing. Preparation time, if any, shall occur on the employee's and the personal advisor's own time.]

8. Committee Deliberations.

The committee's deliberations shall be in closed session. The committee may undertake deliberations immediately following the hearing or may adjourn to a future time to conduct deliberations, provided the committee concludes its final report within 15 work days of being notified of the grievance.

Given that the committee's findings and recommendations are advisory in nature, the grievance authority is best served if the committee makes decisions by consensus, rather than voting, and that the decision making process is documented in the final report.

9. Findings & Recommendations.

Findings of Fact. Where facts are in dispute, the committee must make findings of fact. The standard for fact finding in the grievance process is a reasonable person's determination that one account is "more likely than not" to be true, based on an evaluation of the whole record (including both documentary and testimonial evidence).

Recommendations regarding Grievance. The standard for management decision making is that a manager's decision must be both reasonable and rational, given the facts available to the decision maker. In similar fashion, the recommendations of the grievance committee must be predicated on a reasonable and rational basis. It is not the role of the grievance committee to simply supplant the Step 2 manager's judgment for its own. A recommendation to overturn or modify the Step 2 manager's decision must be supported by a specific finding that the Step 2 manager's decision failed to reflect a reasonable and rational decision, given the facts available to the Step 2 decision maker at the time the Step 2 decision was made.

Recommendations regarding Requested Remedy. In addition to submitting findings of fact and recommendations regarding the Step 2 grievance, the grievance committee must submit recommendations to the grievance authority as to whether the grievant's requested remedy should be approved or not.

Collateral Recommendations. Part of the role of the staff grievance process is to ensure that terms and conditions of employment, including working conditions, reflect the University's mission, goals, and values. Consequently, it is permissible and entirely appropriate for the grievance committee to submit such collateral recommendations to the grievance authority regarding terms and conditions of employment or working conditions as the Committee deems appropriate.

10. Grievance Committee Report.

The chair of the Grievance Committee is responsible for submitting the committee's report to the grievance authority within 15 days of receiving the grievance. The committee's report shall be accompanied by all relevant documentation, including Step 1 & 2 grievance documents.

The committee report should reflect the decision-making process of the committee and indicate whether decisions were adopted by consensus or voting. If the committee does not achieve consensus in its deliberations, the report may reflect a minority view or a minority report may accompany the committee chair's report.

11. Confidentiality.

The staff employee grievance process is confidential. All parties – including grievant, respondent, witnesses (if any), and committee members – shall be cautioned at the outset of the hearing by the chair that the grievance should not be discussed outside of the grievance process.

E. Final Administrative Decision.

The committee's findings and recommendations are advisory in nature and do not bind the grievance authority or limit the discretion of the grievance authority to manage the operations of the college, school, or division as the grievance authority sees fit.

The grievance authority exercises discretion to affirm or rescind any disciplinary action, revise the overall performance evaluation rating, or otherwise amend any action taken by a subordinate manager or supervisor. The grievance authority's decision is the final administrative decision for the University and is not subject to further appeal.

III. Alternative Dispute Resolution / Mediation Services.

To facilitate informal resolution of disputes among employees and supervisors, the University maintains an Ombuds Office. This office provides facilitated discussions, alternative dispute resolution services, and mediation services to employees and supervisors who mutually agree to participate in alternative dispute resolution processes. At no time during the grievance process or during facilitated discussions, alternative dispute resolution, or mediation processes will a representative of the Ombuds Office assume an advocacy role or serve as a personal advisor of the grievant or respondent. Additional information regarding the Ombuds Office and its services is available at <http://louisville.edu/ombuds>. Additional information regarding the University Mediation Procedure is available at <http://louisville.edu/provost/faculty-personnel/Mediation040301.pdf>,

Any party to a grievance may request the services of the Ombuds Office or request mediation by submitting a request, in writing, to the Ombuds Office, with a copy to the opposing party and to the Employee Relations unit in Human Resources. If both parties agree to participate in alternative dispute resolution or mediation services, the time frames cited in this policy shall be suspended pending a final resolution of the grievance through alternative dispute resolution or mediation services or until either party elects to opt out of such procedures.

If either party declines to participate in alternative dispute resolution processes or withdraws from the alternative dispute resolution process, once undertaken, the employee shall have five additional work days to proceed with the next step in the grievance process.

[Transition Note: The deadline specified above supersedes any longer deadline specified in the University's general mediation procedures, provided the employee receives appropriate notice of the shorter deadline (pending revision or clarification to medication procedures.)]

IV. Grievances Outside Normal Reporting Lines

If an employee believes he or she has a grievance regarding the application of a university-wide policy or regarding a matter that is outside the employee's normal reporting line, the employee shall attempt to resolve the grievance through informal discussion with the Vice President for Human Resources or his or her designee. As an alternative, the employee may approach his or her immediate supervisor regarding the matter; the immediate supervisor may then approach the Vice President for Human Resources or his or her designee on behalf of the employee if the supervisor chooses to do so. If the matter is not resolved through informal discussions, the following procedure shall be followed in pursuing the grievance.

The employee shall file a written grievance with the Vice President for Human Resources within 15 workdays of the incident causing the grievance. The written grievance shall include a full statement indicating the basis for the grievance and the solution that the employee seeks.

The Vice President for Human Resources shall respond to the grievance in writing within 15 workdays of receiving the grievance materials and shall provide a copy of his or her determination to the Director of Staff Development & Employee Relations for record keeping and future policy guidance.

The response of the Vice President for Human Resources shall be final.

V. Extensions of Time.

After a grievance has been filed, any person involved in the grievance procedure may contact the Director of Staff Development and Employee Relations or his or her designee to request in writing an extension of time in which to respond and providing the reasons for the requested extension.

The Director of Staff Development & Employee Relations or his or her designee may grant such an extension at his or her sole discretion and will notify all persons involved.