Listed below, in **bold** type, are the infractions listed in *Personnel Policies and Procedures* for which all employees may receive disciplinary action. Under several of these statements are more specific infractions of these policies and procedures which affect employees in the Department of Physical Plant. Following these interpretations (and, in some cases, the policy statements themselves) are the levels of disciplinary action which may be imposed for infractions of these policies or departmental procedures in this manner:

1 = oral warning (with a note to the file)
2 = written reprimand
3 = suspension without pay (usually 3 work days)
4 = termination of employment

A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.

In implementing further action for the same offense, suspensions previously issued will be considered for up to three years.

---

**Violation of University bylaws, policies, or procedures, including unit, departmental, or office handbooks and rules**

*Not in proper uniform* (see PPG-009) (1, 2, 3, 4)

*Possession or use of deadly weapons/destructive devices on campus* (see DPS Policy) (3, 4)

*Call-in procedures* (see PPG-012) (1, 2, 3, 4)

*Rest and meal periods* (see PPG-006) (1, 2, 3, 4)

*Safety in the workplace* (see PPG-010) (1, 2, 3, 4)

*Key Control* (see policy memo) (3, 4)

**Violation of local, state, or federal law**

*Dishonesty of any kind, including theft of University property or the property of other employees, students, or anyone on University premises* (4)
The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the workplace (4)

Drug- or alcohol-induced intoxication in the workplace or during work hours (4)

Immoral conduct

Insubordination

Insubordination (see PPG-013) (3 or 4)

Neglect of or refusal to perform one’s duties

Loafing on the job (1, 2, 3, 4)

Sleeping on the job (2, 3, 4)

Leaving the work station without authorization (see PPG-004 (2, 3, 4)

Discourteous treatment of other employees, students, or the public

Hostile environment/discourteous conduct (see PPG-014) (2 or 3 or 4)

Excessive absences or lateness

Absence without authorized leave (see PPG-002) (1, 2, 3, 4)

Tardiness (see PPG-003) (1, 2, 3, 4)

Conduct which disrupts University activities (2, 3, 4)

Misuse or unauthorized use of University property (2, or 3 or 4)

*Use of University vehicles (see PPG-005) (2, or 3, or 4)

Unauthorized use of property/equipment of faculty/staff/students (2, or 3 or 4)
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, or violation of copyright or proprietary material restrictions connected with University computer systems, programs, or material. (4)

Unauthorized release of confidential information (2, 3, 4)

Sexual Harassment

Hostile environment/discourteous conduct (see PPG-014) (Policies and Procedures on Sexual Harassment) (2, or 3, or 4)

Racial, ethnic, cultural, or religious intolerance

Hostile environment/discourteous conduct (see PPG-014) (2, or 3, or 4)

Failure to safeguard University property or funds, including failure to make timely disposition or report of loss

Knowingly furnishing false, misleading, or incomplete information or reports to the University,

Falsification of time, leave or work records; registering the time clock card of another (3, 4)

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

Fighting on the job (3 or 4)

Safety in the workplace (see PPG-010) (1, 2, 3, 4)

Any other act or omission that in the University’s judgment threaten the well-being of the University or any of its employees, its students or the public
Additional procedures in effect in the Department of Physical Plant

*Use of sick leave* (see PPG-001)

*Use of annual leave* (see PPG-007)

*Use of personal leave* (see PPG-008)

*Assignment to work station* (see PPG-011)
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Use of Sick Leave
NUMBER: PPG-001F
EFFECTIVE DATE: FEBRUARY 1, 2013
POLICY REFERENCE: PER-4.05

POLICY STATEMENT:
After the use of five workdays of sick leave in the preceding 12 months, the department head may require a medical certification of illness before authorizing additional sick leave.

DEPARTMENTAL PROCEDURES:
In a rolling twelve (12) month calendar, 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) to prevent the employee from being “absent without authorized leave.”

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.)

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 request prior approval from his/her supervisor and provides a doctor’s statement. In case of an emergency illness, an employee must notify his/her supervisor as soon as they can.

NEW FMLA GUIDELINES:
When an employee needs to be off for a serious health condition and has paid leave to cover the period of time they are requesting to be on leave, he/she will need to complete a Staff Request for Leave and Notice for Eligibility and Rights & Responsibility form and process through his/her supervisor. We will NOT be forwarding this request to Human Resources if the staff has sufficient leave to cover the absence. The employee will only need to provide a doctor’s statement covering the leave of absence; they DO NOT need
to have a FMLA Medical Certification completed by the physician. However, this leave will be counted toward their FMLA entitlement.

If an employee DOES NOT have accrued leave to cover their absences for a serious health condition and/or needs intermittent leave, they will be required to complete a Staff Request for Leave and Notice for Eligibility and Rights & Responsibility form and give to their supervisor and have a FMLA Medical Certification completed by their physician and have it forwarded to Human Resources 852-5665.

**DEFINITION of 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.

An employee must give a healthcare provider’s statement to their immediate supervisor on the first day they return to work or it will not be accepted and the absence will be considered “unauthorized.” It is the employee’s responsibility to obtain this document. The Department of Physical Plant reserves the right to contact Human Resources to verify the information on the submitted healthcare provider’s 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 852-8210 for Belknap Campus and 852-1095 for the Health Sciences Center.) All requests for follow up should be turned in to the Assistant Director for Business Office in the Department of Physical Plant for coordination with Human Resource Department.

**WORK RESTRICTIONS:**

A request to return to work with incidental (minor) duty limitations requires review and approval from the Associate Vice President for Facilities, Department of Physical Plant,
or his 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.

NOTE: A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Absence without Authorized Leave

NUMBER: PPG-002

EFFECTIVE DATE: September 1, 2000

POLICY REFERENCE: PER-4.01

POLICY STATEMENT
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.

DEPARTMENTAL PROCEDURES
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.) If, in the preceding 12 months, you are absent without authorized leave in the amounts shown below, the corresponding disciplinary action will be applied:

1. One full workday or Two total occasions
   Oral Warning

2. Second full workday or Next two occasions
   Written Reprimand

3. Third full workday or Next two occasions
   Three-day suspension

4. Fourth full workday or Next two occasions
   Termination of employment

Any occasion of tardiness of 60 minutes or more is an occasion of absence without authorized leave. Tardiness of less than 60 minutes is described in PPG-003, “Tardiness.”

NOTE: A written reprimand will be removed from the employee's personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Tardiness
NUMBER: PPG-003
EFFECTIVE DATE: September 1, 2000
POLICY REFERENCE: PER-4.01

POLICY STATEMENT
The responsibility for scheduling and controlling working hours of employees rests with each appropriate supervisor, director or department head.

DEPARTMENTAL PROCEDURES
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. If, in the preceding 12 months, a staff member is tardy in the amounts shown below, the corresponding disciplinary action will be applied:

- 4 times Oral Warning (note to file)
- 7 times Written Reprimand
- 10 times 3-day Suspension
- 12 times Termination of Employment

Tardiness will be determined from the staff member’s time clock card, time sheet, or from a foreman’s or supervisor’s observation. Any occasion of tardiness is 60 minutes or more is “absence without authorized leave.” Absence without authorized leave is described in PPG-002.

NOTE: A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
PERSONNEL POLICY GUIDELINES
Department of Physical Plant

SUBJECT: Leaving the Worksite

NUMBER: PPG-004

EFFECTIVE DATE: September 1, 2000

POLICY REFERENCE: PER-4.01

POLICY STATEMENT
The responsibility for scheduling and controlling working hours of employees rests with each appropriate supervisor, director or department head.

DEPARTMENTAL PROCEDURES
You should not leave your assigned worksite without authorization from your immediate supervisor. If you find it necessary to visit Personnel Services (Employee Relations, Affirmative Action, Benefits, etc.), the Student Health Center, or the Staff Grievance Officer, you must have the permission of your supervisor or foreman before you leave the worksite. You do not have to give a reason for visiting one of these offices, but you should understand that the reason should apply to you alone. Furthermore, if appropriate, your immediate supervisor will call the office you want to visit and make an appointment for you to do so. Employees may not leave the worksite during working hours to go to the credit union – this type of business must be handled either at lunch or at other times outside working hours.

If you are a member of the University Staff Senate, you are considered to be “on the job” when attending meetings of the Senate or its committees of which you are a member. The Department of Physical Plant encourages your attendance. However, you must inform your supervisor or foreman before leaving the worksite to attend such meetings. Staff Senators attending such meetings will be paid up to but not exceeding their normal day’s pay.

NOTE: A written reprimand will be removed from the employee's personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT  
Personnel Policy Guidelines

SUBJECT: Use of University Vehicles

NUMBER: PPG-005

EFFECTIVE DATE September 1, 2000

POLICY REFERENCE PER -5.01

POLICY STATEMENT
These procedures are based upon obvious safety concerns and provisions of PER-5.01 (regarding disciplinary action). If a University-wide vehicle policy is adopted, then its provisions will apply as well.

DEPARTMENT PROCEDURE (USAGE)
The use of University vehicles 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. Neither are University vehicles to be used for performing personal tasks or errands.

Violations of this procedure will be addressed as follows:

First occurrence Written Reprimand

Second occurrence Three-day suspension

Third occurrence Termination of employment

DEPARTMENTAL PROCEDURES (SAFETY)
The use of seatbelts in University vehicles is required

If you operate a University vehicle, you must used added caution when driving on University sidewalks. The use of sidewalks for vehicles is permitted only when such use is necessary for the performance of a specific task. Sidewalks are not to be used for shortcuts when other routes, designated for vehicular traffic, are available. Pedestrian safety must have priority over convenience at all times.

Violations of this procedure will be addressed as outlined in PPG-010, Workplace Safety.

The penalty for any violation of traffic laws (speeding, disregarding a stop sign, etc.) will be the responsibility of the driver committing the offense.

NOTE: A written reprimand will be removed from the employee's personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Rest and Meal Periods

NUMBER: PPG-006

EFFECTIVE DATE: September 1, 2000

POLICY REFERENCE: PER-4.01; PER-4.11

POLICY STATEMENT

See PER-4.11 of Personnel Policies for information concerning specifically to rest and lunch periods.

The responsibility for scheduling and controlling working hours of employees rests with each appropriate supervisor, director, or department head.

DEPARTMENTAL PROCEDURE

There are a variety of work schedules within the Department of Physical Plant. You should check with your immediate supervisor/foreman to determine what your specific work/break/lunch break is.

You are considered to be “on the job” while taking a paid rest period; thus, you will take the rest period at the worksite and you should not return to the shop areas or go “off campus.” You may not use the facilities of another department (lounge, office, store room, etc.) for rest or meal periods without the permission of the department controlling such facilities.

NOTE: A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT  
Personnel Policy Guidelines

SUBJECT: Use of Annual Leave

NUMBER: PPG-007

EFFECTIVE DATE: September 1, 2000

POLICY REFERENCE: PER-4.04

POLICY STATEMENT
Annual leave may be authorized at times convenient to the efficient operation of the department as determined by the department head, but shall not be authorized for use during the provisional employment period.

DEPARTMENTAL PROCEDURES
Requests for use of annual leave (vacation) are made to your immediate supervisor on a “Request for Leave” form, as follows:

- Requesting one day or less 1 workdays’ notice
- Requesting two days 2 workdays’ notice
- Requesting three or more days 3 workdays’ notice

If approved, a copy of the request form will be returned to you. If denied, the form will be returned and you will be advised by your immediate supervisor as to the reason. In cases where several employees request annual leave (vacation) for the same day or days, the requests will be considered in the order of the time and date on which they are received.

NOTE: A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Use of Personal Leave

NUMBER: PPG-008

EFFECTIVE DATE: September 1, 2000

POLICY REFERENCE: PER-4.06

POLICY STATEMENT
During the calendar year, a Classified employee with regular status 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 advance.
In emergencies, however, shorter notice may be given.

DEPARTMENTAL PROCEDURE
Requests for use of personal leave are made to your immediate supervisor on a “request
for leave” form. When approved, a copy of the form will be returned to you. Personal
leave may NOT be used in units of less than one hour.

NOTE: A written reprimand will be removed from the employee's personnel record 12 months
after the effective date of the reprimand, provided that no additional written reprimand or
disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Departmental Uniforms

NUMBER: PPG-009

EFFECTIVE DATE September 1, 2000

POLICY REFERENCE Departmental Rule

DEPARTMENTAL STATEMENT
If an employee’s position in the Department of Physical Plant requires that a uniform (provided by the Department) be worn, the employee is expected to report for work in that 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 the trousers.

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 sneakers, tennis shoes, open-toed shoes or the like is NOT recommended. If the employee is assigned to Groundskeeping, the wearing of sneakers, tennis or canvass shoes, open-toed shoes or the like while operating lawn-mowing equipment is prohibited.

Violations of the procedures regarding uniforms will be dealt with according to the progressive discipline policy of oral warning, written reprimand, three-day suspension, and termination.

NOTE: A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Workplace Safety

NUMBER: PPG-010

EFFECTIVE DATE: January 1, 1996

POLICY REFERENCE PER-5.01

POLICY STATEMENT
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 …

DEPARTMENTAL PROCEDURES
The Physical Plant Department expects its staff members to perform their respective job functions safely, as outlined in the Physical Plant Safety Manual.

All allegations of safety violations which cannot be resolved by normal means shall be submitted in writing to the Chairman of the Safety Review Committee. He/She, in turn, will notify the members of the Committee and the employee/s against whom the allegation has been made within two workdays of receiving the allegation. The Safety Review Committee shall investigate each allegation it receives to determine the scope of the violation. Disciplinary actions involving suspension or termination shall be reviewed by the Safety Coordinator, the appropriate Superintendent, and the Director of Physical Plant and, if found to be warranted, shall be handled according to usual University procedures.

The use of progressive discipline (using the preceding 12-month period) shall be standard practice, as outlined below, unless, in the opinion of the Safety Review Committee, the severity of the violation is such that would warrant more stringent disciplinary action.

- First violation of Safety Rules: Oral Warning with Retraining
- Second violation of Safety Rules: Written Warning with Retraining
- Third violation of Safety Rules: Three-day suspension
- Fourth violation of Safety Rules: Termination of Employment

NOTE: A written reprimand will be removed from the employee's personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Work Stations

NUMBER: PPG-011

EFFECTIVE DATE September 1, 2000

POLICY REFERENCE: PER-4.01

POLICY STATEMENTS
The responsibility for scheduling and controlling working hours of employees rests with each appropriate supervisor, director, or department head.

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.

DEPARTMENTAL PROCEDURES
At the time of hire, each Physical Plant employee is assigned to a work station (“work station” as used here denotes the location to which an employee reports at the beginning/end of the work day and where he/she clocks in and out of the time clock) at one of the University’s main three campuses (Belknap Campus, the Health Sciences Center, or Shelby Campus. However, there may be occasions when, for valid work-related reasons, an employee will be assigned to some other work station, or in some cases, the work station assignment may be changed by the employee if he/she requests and is granted a transfer or attains a promotion/demotion to a position with a different work station. In such cases, the following conditions will apply.

A. The Department, through the appropriate Foreman, Supervisor, or Superintendent, will give the affected employee(s) at least 72 hours written notice of the change in work station.
B. The work to be performed by the affected employee(s) will last at least three continuous working days.
C. Mutual agreement between an employee and the Supervisor for a change of work station on less than 72 hours notice or on a task of fewer than three workdays duration is acceptable and is encouraged.
D. Nothing in the foregoing should be construed in such a way as to imply that the Department of Physical Plant has given up its responsibility to utilize its personnel in the most efficient and cost-effective manner possible.
E. Supervisory personnel may also be required to report to the worksite if the project is large enough or important enough to require them to be there on a full-time basis.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Call-In Procedure

NUMBER: PPG-012

EFFECTIVE DATE: SEPTEMBER 1, 2001

POLICY REFERENCE: PER-4.01

POLICY STATEMENT
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.

DEPARTMENTAL PROCEDURES
If you are unable to report for work at your scheduled starting time, you MUST notify the Department of your absence or late arrival BEFORE the beginning of your shift. Failure to do so will result in your absence, whether all or part of a day, being counted as unauthorized. Your Foreman or Supervisor will inform you of the telephone extension you are to call to report an absence or late arrival. If you are unable to call before the beginning of your shift, you are expected to call as soon as you possibly can and, in this situation, you MUST state the reason for not calling before your shift. That reason will be taken into account in determining if your absence is to be considered unauthorized.

NOTE: A written reprimand will be removed from the employee's personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
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.)

Disciplinary action for insubordination may take the form of a five (5)-day 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.

NOTE: A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.
DEPARTMENT OF PHYSICAL PLANT
Personnel Policy Guidelines

SUBJECT: Hostile Environment – Discourteous Conduct

NUMBER: PPG-014

EFFECTIVE DATE: September 1, 2000

POLICY REFERENCE: PER-5.01

DEPARTMENTAL PROCEDURE
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.

Disciplinary action for these offenses by take the form of a 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 offence(s), and the staff member’s previous record.

NOTE: A written reprimand will be removed from the employee’s personnel record 12 months after the effective date of the reprimand, provided that no additional written reprimand or disciplinary action was issued for the employee during that 12-month period.