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Establishing a Staff Position

AFSCME(BL, IN, SB) 1.1 • CWA 9.1 • PA/SS 2.1 • Police(BL, IN, NW, SB, SE) • Temporary 1.3

Effective: January 1, 2010
Last Updated: July 1, 2013
Responsible University Office: University Human Resources
Responsible University Administrator: Senior Vice President and Chief Financial Officer
Policy Contact: University Human Resources

A. Scope
This policy applies to all Staff and Temporary positions.

B. Policy Statement

1. It is the policy of Indiana University that if a position is expected to require at least 1,508 hours or more of work in a calendar year, then the position is to be established as a Staff position following normal campus and university procedures. [Establishing a Staff Position Pol 1.]

2. It is the policy of Indiana University that if a position is expected to require less than 1,508 hours of work in a calendar year, then the position may be established as a Staff position if (1) the position is needed for at least ten months in a twelve month period, (2) is at least half-time, 50% FTE, and (3) funds are available before establishing it as a Staff position. [Establishing a Staff Position Pol 2.]

C. Reason for Policy
This policy provides the criteria and the procedures for establishing Staff positions. The 1,508 hour threshold is based on the Board of Trustees directive for establishing Staff positions. [Establishing a Staff Position Reason for Policy in spirit]

D. Procedures

1. The steps for establishing a Staff position are: [Establishing a Staff Position Pro 1.]
   a. A current Position Description must be on file with the campus human resources office before listing the job internally or externally. [Establishing a Staff Position Pro 1.a. in spirit]
b. Obtain approval for establishing the new position using procedures specific for the campus. [Establishing a Staff Position Pro 1.b.]

c. Options include establishment on a 12-month or 10-month basis and from 50% to 100% FTE. [Establishing a Staff Position Pro 1.c.]

d. If the position is going to be established as a 10-month position, follow the procedures at hr.iu.edu/salary/10month.htm. [Establishing a Staff Position Pro 1.d.]

e. Follow the position classification procedure described in the appropriate policy, as it applies to the campus: [Establishing a Staff Position Pro 1.e.]

   i. Position Classification/Reclassification for Support and Service Staff Positions [Establishing a Staff Position Pro 1.e.i.]
   ii. Principles and Guidelines for Professional Staff Positions [Establishing a Staff Position Pro 1.e.ii.]

f. Contact the campus human resources office to begin recruitment for the position. Provide an alternate format of the position announcement if an individual with a disability requests one. [Establishing a Staff Position Pro 1.f. in part] [Posting a Position Steps prior to posting 7.]

E. Definitions
Staff positions are defined as budgeted line positions and are eligible for such benefits as health care, life insurance, the IU tuition benefit, vacation, and other paid time off benefits, depending on the FTE status of the position. [Establishing a Staff Position Definitions]

F. Sanctions
Managers, supervisors, and employees who violate this policy are subject to disciplinary action, up to and including termination.

G. Web Address for this Policy
hr.iu.edu/policies/uwide/establishing.html

H. Related Information
Temporary Positions hr.iu.edu/policies/temporary/positions.html

I. History
This policy replaces the existing policy titled “Establishing a Position” last revised on January 14, 2008. The principle changes are the addition of the procedures for establishing ten month positions and the removal of the sections containing the guidelines for employing persons on an temporary basis and when to establish an appointed position from a Temporary position. These last two sections are now covered in the new University personnel policy titled “Temporary Positions.”

J. Additional Contacts
Position Descriptions and Classification/Reclassification
UHRS
812-855-7321
salaryiu@indiana.edu
Recruitment/Filling Positions
UHRS
812-855-2173
iupers@indiana.edu
Position Classification/Reclassification for Support Staff

PA/SS 2.2
Revised September 1, 2009
Changes indicated in red font.

Employees covered by this policy
This policy applies to Support Staff not covered by a union.

A. Introduction
Positions are classified into the most appropriate job and are identified with that job’s distinguishable characteristics, including the job evaluation results and assignment to a grade level. The university reserves the right to eliminate, change, and establish classifications and levels of salary grades within classifications. [Position Class/Reclass Pol 2.]

B. Availability of position descriptions
Supervisors should make a bona fide effort to have an up-to-date position description for each position they supervise. Supervisors should ensure that all incumbents have a copy of their position description. [Position Description Pol 1.]

C. All-campus procedure on how to process a position reclassification request
1. Document the position using the Position Description. [Position Description Pro 1.]
2. Obtain required approvals of the position documentation. [Position Class/Reclass Position Reclass 4.]
3. Submit the approved position documentation to the campus human resources office for review. [Position Class/Reclass Position Reclass 4.]
4. When the review is complete, the campus human resources office will notify the department of the results. [Position Class/Reclass Position Class 3.]
5. The department is to notify the incumbent of the review results. [Position Class/Reclass Position Class 4.]
6. Disagreements over classification and level assignments are not subject to the grievance procedure. [Position Class/Reclass Reconsideration 5.]

D. All-campus procedure on how to request reconsideration of a position classification decision for non-union Support and Service Staff
1. Incumbents, supervisors, deans, or administrative officers may request reconsideration of a position classification decision through the campus human resources office. Requests must be made within one month of the department receiving results of the review. [Position Class/Reclass Pro Reconsideration 1. in part] [Position Class/Reclass Pro Reconsideration 1.a. in part]
2. The request may be submitted on the form, Request for Reconsideration of Position Classification. [Position Class/Reclass Pro Reconsideration 2.]
3. The campus human resources office makes functional classification determinations. Requests for reconsideration may only address issues of levels within a functional classification. [Position Class.Reclass Pro Reconsideration 3. in spirit]
4. Reconsideration results are final. Departments cannot request an additional review for one year unless the duties and responsibilities of the position change significantly. [Position Class/Reclass Pro Reconsideration 4.]
5. Disagreements over classification and level assignments are not subject to the grievance procedure. [Position Class/Reclass Pro Reconsideration 5.]
Temporary Pay
PA/SS 2.3
Revised March 1, 2008
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Overview
1. Indiana University recognizes that department heads have the authority to assign additional or higher-level responsibilities to an employee on a temporary basis. [Temporary Pay Pro 1.]
2. In appropriate cases, a department head may provide additional pay to an employee who is performing additional or higher-level duties on a temporary basis. [Temporary Pay Pro 5.a.]
3. An assignment of additional and/or higher-level responsibilities with additional pay should not exceed one year. [Temporary Pay Pro 3.]
4. Nonexempt employees: The assignment of additional responsibilities to an overtime-eligible (i.e., nonexempt) employee may result in additional work hours and overtime pay. If, based on consideration of the criteria below, the department head determines that overtime pay is not sufficient to compensate for the additional responsibilities, the department head may consider a temporary pay adjustment. [Temporary Pay Pro 5.b.i.b]
5. Exempt employees: The assignment of additional responsibilities to an overtime-exempt employee may or may not significantly increase the employee’s overall workload. If, based on consideration of the criteria below, the department head determines that the additional responsibilities assigned exceeds the employee’s appointment status, the department head may consider a temporary pay adjustment. [Temporary Pay Pro 5.b.ii.b.]

B. General Guidelines
1. A temporary pay adjustment may be appropriate when:
   a. An employee temporarily
      i. assumes full or partial duties of another position, or [Temporary Pay Pro 5.a.i.]
      ii. is assigned new duties for a temporary period of time [Temporary Pay Pro 5.a.ii.]
b. The duration of the assignment of the new duties is no less than two weeks and not more than one year [Temporary Pay Pro 5.a.iv.]
c. The duties represent a significant change in scope of responsibilities or require different job competencies [Temporary Pay Pro 5.a.iii.]

2. Temporary pay may be appropriate even if the employee retains significant portions of his or her regular duties while performing the temporary duties. [Temporary Pay Pro 5.b.]

3. In determining whether a temporary pay adjustment is appropriate and, if so, the amount of such an adjustment, the department should consider the following: [Temporary Pay Pol 5.d.]
   a. Employee’s job-related qualifications and performance [Temporary Pay Pol 5.a.]
   b. Pay of other employees performing similar work in the RC [Temporary Pay Pol 5.b.]
   c. Percent of time that will be spent performing the temporary duties [Temporary Pay Pol 5.c.]
   d. Unit’s fiscal resources [Temporary Pay Pol 5.d.]

4. When the employee is no longer performing the additional or new duties, the employee's salary returns to his or her former base salary, plus any annual salary increase that may have occurred in accordance with Trustee policy. [Temporary Pay Pro 8.]

C. Procedures for Approving and Implementing Hourly Pay

1. Contact the campus Human Resources office to obtain consultative advice and assistance in determining whether the criteria for a temporary pay adjustment are met and, if so, the appropriate amount of temporary pay. [Temporary Pay Pro 5. In spirit]

2. File an Additional Pay E-Doc. It should include a brief explanation of the rationale for the temporary pay and, the position number and salary plan/grade of the position being temporarily filled (if any) in the comments section. [Temporary Pay Pro 6. In part]

3. If, in an exceptional situation, a temporary assignment exceeds one year, the chancellor, provost, or appropriate vice president must approve the extended assignment for a limited period of time and any special salary adjustment. Written approval should be obtained prior to submitting an E-Doc with the approval copied into the comments section of the E-Doc. [Temporary Pay Pro 9.]
Salary Decisions for Professional Staff

PA/SS 2.6
Effective July 13, 2009
Changes indicated in red font.

Employees covered by this policy
This policy applies to all Professional Staff employees.

A. Introduction

1. The university's salary administration program includes guidelines to assist management in determining individual salaries for a variety of personnel situations, such as: new hire, promotion, demotion, transfer, reclassification, in-range adjustment, and equity adjustment. Management should make decisions regarding employee pay based on objective job-related criteria, in a consistent, non-discriminatory manner. [Pay/Salary Setting Pol 1. In part in spirit] [Temporary Pay Pol 1. In spirit]

Terms such as RC, position, job, job family, job level, salary level, and salary range are defined in the policy Principles and Guidelines for the Professional Staff Salary Administration Program.

2. Principles applicable to all salary decisions:

a. Equal pay without regard to age, color, disability, ethnicity, gender, marital status, national origin, race, religion, sexual orientation, or veteran status [Pay/Salary Setting Pol 1] [Temporary Pay Pol 1 in spirit]

b. Emphasis on internal equity within an RC [Pay/Salary Setting Pro New Hires 3.a.]

c. Determinants of all salary decisions include:
   - The employee’s job-related qualifications and performance [Pay/Salary Setting Pol 5.b. in part]
   - Pay of other employees performing similar work in the RC [Pay/Salary Setting Pol 5.d.]
   - The RC’s fiscal status [Pay/Salary Setting Pol 5.e.]
   - External market considerations for similar work in the relevant labor market segment based on geographical considerations (local, state, regional, or national) and type of employer (public, private, or higher education) [Pay/Salary Setting Pol 5.f.]

d. Documentation required to substantiate primary determining factors may include:
• Verification of job-related credentials related to education, licenses, certificates, work experience, etc. [Pay/Salary Setting Pol 5.b.i. in sprit]
• Performance management documentation [Pay/Salary Setting Pol 5.b.i. in sprit]
• Internal equity comparisons [Pay/Salary Setting Pro New Hires 3.a.]
• External market data [Pay/Salary Setting Pol 5.b.iv. in sprit]
e. Availability of funds [Pay/Salary Setting Pol 5.e.]
f. Required approvals obtained prior to communicating salary offers or changes, including any required campus or university fiscal approvals [Pay/Salary Setting Pol 4.] [Temporary Pay Pol 4.]

B. New Hire Starting Salaries

1. Candidates who meet minimum job-related qualifications should receive at least the minimum of the associated salary range. [Pay/Salary Setting Pol 9.]

2. In determining starting salary, managers should consider all of the following: [Pay/Salary Setting Pro New Hires 3.]
   a. The candidate’s job-related qualifications [Pay/Salary Setting Pol 5.b.]
   b. The pay of other employees performing similar work in the RC [Pay/Salary Setting Pol 5.d.]
   c. The salary level and salary range of the position’s job level [Pay/Salary Setting Pol 5.a. in spirit]
   d. Any Department of Labor (DOL) minimum salary that would apply to certain visa holders [Pay/Salary Setting Pro New Hires 3.b.]
   e. The unit’s fiscal resources [Pay/Salary Setting Pol 5.e.]

3. A new hire salary that creates an internal inequity should be carefully considered, including a strategy for remedying the inequity with other employees. [Pay/Salary Setting Pro New Hires 3.a.]

4. Starting salaries above the Market Zone should be supported by exceptional skills and experience and may require approval of the RC head or designee based on internal RC protocols. Starting salaries above the Upper Level Reference Point require approval of the RC head. [Pay/Salary Setting Pro New Hires 6.a.]

5. The department head should approve the starting salary, before the offer is made. [Pay/Salary Setting Pro New Hires 6.b. In spirit]
6. The procedures for new hire starting salaries are described in Section J.

C. Salary Decisions as the Result of a Promotion

1. A promotion occurs when an employee is selected to fill another position that is assigned to a higher job level in the same or different job family. [Pay/Salary Setting Definition 6.]

2. A promotion may not necessarily result in a salary increase (example of dependencies include equity with other employees in the RC and the RC's fiscal affairs). [Pay/Salary Setting Pro Pay/Salary increases 6. And it’s subsections in spirit]

3. In determining the salary, departments should consider all of the following:
   a. The candidate’s job-related qualifications and performance [Pay/Salary Setting Pol 5.c.]
   b. The pay of other employees performing similar work in the RC [Pay/Salary Setting Pol 5.d.]
   c. The salary level and salary range of the new position [Pay/Salary Setting Pol 5.]
   d. The unit’s fiscal resources [Pay/Salary Setting Pol 5.e.]

4. A salary that creates an internal inequity should be carefully considered, including a strategy for remedying the inequity with other employees. [Pay/Salary Setting Pro Promotion Pay/Salary 5.a.]

5. The department head should approve the new salary, before the offer is made. [Pay/Salary Setting Pol 4.] [Temporary Pay Pol 4.]

6. Employees who meet the minimum job qualifications should receive at least the minimum of the salary range. [Pay/Salary Setting Pol 9.]

7. The procedures for salary increases related to promotions are described in Section J.

D. Salary Decisions as the Result of a Demotion

1. A demotion occurs when an employee moves from one position to another position that is assigned to a lower job level in the same or different job family or when a department restructures the duties and responsibilities of a position resulting in a classification to a lower job level. [Pay/Salary Setting Pro Demotions Pay/Salary impact 1.a. in part] [Pay/Salary Setting Pro Demotions Pay/Salary impact 1.b. in part]

2. A demotion may be due to personal or career development reasons, a reduction in force, unsatisfactory performance, or lack of job qualifications and may not necessarily result in a salary decrease.
3. In determining if any salary adjustment will be made, the department should consider all of the following: [Pay/Salary Setting Pro Demotions Pay/Salary impact 1.c. in part]
   a. The employee’s job-related qualifications and performance [Pay/Salary Setting Pol 5.c.]
   b. The pay of other employees performing similar work in the RC [Pay/Salary Setting Pol 5.d.]
   c. The salary level and salary range of the new job [Pay/Salary Setting Pol 5.]
   d. A salary decrease for demotions that are the result of poor performance [Pay/Salary Setting Pro Demotions Pay/Salary impact 5.a.i.]
   e. The unit’s fiscal resources [Pay/Salary Setting Pol 5.d.]

4. A salary significantly above other employees in the RC performing similar work should be documented as an "exception" and approved by the RC head and should not be used in future equity comparisons. [Pay/Salary Setting Pol 5.]

5. Employees who meet the minimum job qualifications should receive at least the minimum of the associated salary range. [Pay/Salary Setting Pro Demotions Pay/Salary impact 5. In spirit]

6. The procedures for salary increases related to demotions are described in Section J.

E. Salary Decisions as the Result of a Lateral Transfer

1. A lateral transfer occurs when an employee moves from one position to another within the same salary level within the same or different job family. The position may be in the same or a different RC. [Pay/Salary Setting Pro Lateral Transfer Pay/Salary impact 1.]

2. Employees who meet the minimum job qualifications should receive at least the minimum of the associated salary range. [Pay/Salary Setting Pro Lateral Transfer Pay/Salary impact 3.a. in spirit]

3. A salary adjustment may be made when a lateral transfer occurs. In determining if any salary adjustment will be made, the department should consider: [Pay/Salary Setting Pro Lateral Transfer Pay/Salary impact 3.]
a. The employee’s job-related qualifications and performance  
   [Pay/Salary Setting Pol 5.b.]
b. The pay of other employees performing similar work in the RC  
   [Pay/Salary Setting Pol 5.d.]
c. The unit’s fiscal resources [Pay/Salary Setting Pol 5.]

4. The procedures for salary increases related to lateral transfers across  
   RCs, or within the same department and different job family, are  
   described in Section J. For lateral transfers within the same department  
   and same job family, refer to Section K.

F. Salary Decisions as the Result of Job-Related Certification
1. Certain job related certifications needed to advance within a profession  
   may result in a salary increase adjustment but are not explicitly required  
   by policy. [Pay/Salary Setting Pro In-Range and Equity Adjustments  
   Salary Decisions 1.]
2. A formal certification salary adjustment program should be approved and  
   on file with the Campus Human Resources Office prior to the submission  
   of any related salary adjustments. [Pay/Salary Setting Pro In-Range and  
   Equity Adjustments Salary Decisions 2.]
3. In determining the salary, departments should consider all of the  
   following:
      5.c.]
   b. The pay of other employees performing similar work in the RC  
      [Pay/Salary Setting Pol 5.d.]
   c. The unit’s fiscal resources [Pay/Salary Setting Pol 5.e.]
4. The procedures for salary increases related to job-related certifications  
   are described in Section J.

G. Salary Decisions as the Result of a Reclassification
1. A reclassification occurs when the duties and responsibilities of a  
   position are significantly redefined to the point the Campus Human  
   Resources Office determines that the current job to which the position is  
   assigned no longer characterizes the nature of the work and the position  
   is assigned to a different job in the same or different job family.  
   [Pay/Salary Setting Definition 10.]
2. A reclassification does not automatically result in a salary adjustment.  
   [Pay/Salary Setting Pro Demotions Pay/Salary impact 2.]
3. Employees who meet minimum job qualifications should receive at least the minimum of the range. [Pay/Salary Setting Pol 9.]

4. In determining any salary adjustment, the department should consider:
   a. The employee’s job-related qualifications and performance
      [Pay/Salary Setting Pol 5.b. in part] [Pay/Salary Setting Pol 5.c. in part]
   b. The pay of other employees performing similar work in the RC
      [Pay/Salary Setting Pol 5.d.]
   c. The new salary level and salary range [Pay/Salary Setting Promotion Pro Pay/Salary increases as a result 4.b.iv.]
   d. The unit’s fiscal resources [Pay/Salary Setting Pol 5.e.]

5. The procedures for salary increases related to reclassifications are described in Section J.

H. In-Range Increases
1. An in-range increase may be appropriate when an employee has:
   [Pay/Salary Setting Pro In-Range and Equity Adjustments In-Range Increases 1.]
   a. Undertaken a significant change in responsibilities that resulted in a greater scope of responsibility within the current level [Pay/Salary Setting Pro In-Range and Equity Adjustments In-Range Increases 1.a. in spirit]
   b. Mastered new job competences resulting in significant additional responsibilities within the current level [Pay/Salary Setting Pro In-Range and Equity Adjustments In-Range Increases 1.b.]

2. Job changes must be measurable and well documented [Pay/Salary Setting Pro In-Range and Equity Adjustments In-Range Increases 2.]

3. In determining any in-range salary adjustment, the department should consider:
   a. The employee’s job-related qualifications and performance
      [Pay/Salary Setting Pol 5.b. in part] [Pay/Salary Setting Pol 5.c. in part]
   b. The pay of other employees performing similar work in the RC
      [Pay/Salary Setting Pol 5.d.]
   c. The unit’s fiscal resources [Pay/Salary Setting Pol 5.e.]

4. The rationale for an in-range increase requires written substantiation of the assignment of additional responsibilities and/or the new job
competences. [Pay/Salary Setting Pro In-Range and Equity Adjustments In-Range Increased 2.a.]

5. The procedures, including the written substantiation, for in-range increases are described in Section K.

6. Nothing in this policy provision is intended to prohibit an in-range reduction in salary. Such an action could be considered when there is a significant reduction in responsibilities that is measurable and well documented. [Pay/Salary Setting Pro In-Range and Equity Adjustments In-Range Increases 4.]

I. Equity Adjustments

1. An equity adjustment may be appropriate under exceptional circumstances in order to establish salary equity among individuals performing similar work or when there is a significant discrepancy with the external market. A type of equity consideration is to respond to an offer from an external entity for a position with comparable duties and responsibilities. [Pay/Salary Setting Pro In-Range and Equity Adjustments Equity Adjustments 5.]

2. In determining any salary adjustment, the department should consider:

a. The employee’s job-related qualifications and performance [Pay/Salary Setting Pol 5.b. in part] [Pay/Salary Setting Pol 5.c. in part]

b. The pay of other employees performing similar work in the RC [Pay/Salary Setting Pol 5.d.]

c. If applicable, external considerations with the relevant labor market [Pay/Salary Setting Pol 5.f.]

d. If applicable, written employment offer [Pay/Salary Setting Pro In-Range and Equity Adjustments Equity Adjustments 3.]

e. The unit’s fiscal resources [Pay/Salary Setting Pol 5.e.]

3. The rationale for an equity adjustment requires written substantiation and analysis of the pay discrepancy and the internal or external market conditions that led to the discrepancy; and if applicable, documentation of any relevant employment offer. [Pay/Salary Setting Pro In-Range and Equity Adjustments Equity Adjustments 3.]

4. Equity adjustments are generally an exception to the university’s salary policy set by the Trustees, and as such require specific analysis and
approval by the Vice President and CFO or designee. [Pay/Salary Setting Definitions 2.]

5. The procedures, including the written substantiation, for equity adjustments are described in Section K.

J. Procedures for Salary Decisions for New Hires, Promotions, Demotions, Lateral Transfers, Job-Related Certificates, and Reclassifications

1. Salary decisions for each of these actions shall be based on the criteria identified in the respective section above; managers should maintain supporting documentation in department files.

2. The Campus Human Resources Office can provide consultative advice and assistance at any point in the process. [Pay/Salary Setting Pro New Hires 1.] [Pay/Salary Setting Pro Promotion Intro 3.] [Pay/Salary Setting Pro Lateral Transfer Intro 1.] [Pay/Salary Setting Pro Demotions Into 1.]

3. The department head will obtain approval for the starting salary and the salary adjustments for a new hire, promotion, demotion, lateral transfer, job-related certificate, or reclassification, including the following required approvals: [Pay/Salary Setting Pro New hires 6.c. and its subsections] [Pay/Salary Setting Lateral Transfers The required approval] [Pay/Salary Setting Demotions The required approval] [Pay/Salary Setting Pro In-Range and Equity Adjustments Procedures 1.]

   a. The immediate supervisor shall obtain approval from her or his manager
   b. Any salary that is at or above the Upper Reference Point shall have the RC head approval
   c. The unit’s fiscal officer shall indicate that base or alternate funds are available
   d. Any other RC or campus approval protocol shall be followed and approvals obtained
   e. For a lateral transfer within the same department and same job family, any salary increase should follow the procedures in Section K.

4. Once any required campus and RC approvals are obtained, the department head or designee will notify the E-Doc initiator to initiate and route the appropriate HRMS E-Doc. A brief explanation of the reason for the increase should be included in the comments section of the E-Doc. Increases above the Upper Level Reference Point should include
confirmation of the RC head’s approval and an explanation of any exceptional skills, education, experience, etc., as well as whether the increase creates a pay inequity with salaries of incumbents in comparable positions. [Pay/Salary Setting Pro New Hires 6.c in spirit] [Pay/Salary Setting Pro The required approval 4. In spirit]

5. The effective date should be based on when the specific action occurs. For example, the effective date of a salary increase for a promotion should be the date the employee fully assumes the new, higher-level duties. [Pay/Salary Setting Pro Promo Pay/Salary increases 6.]

6. Campus Human Resources is the final reviewer of the E-Doc that will update the employee’s HRMS record. [Pay/Salary Setting Pro New Hires 2.] [Pay/Salary Setting Pro Promotion The required approval 1.a.] [Pay/Salary Setting Pro Lateral Transfer The required approval 1.a.]

7. The applicant or employee shall not be notified of the salary action until the above RC and any required campus approvals have been obtained. [Pay/Salary Setting Pol 8.] [Pay/Salary Setting Pro Promotion The required approval 1.] [Pay/Salary Setting Pro Lateral Transfer The required approval 1.] [Temporary Pay Pol 8.]

K. Procedures for In-Range Increases (including lateral transfers within the same department and same job family) and Equity Salary Increases

Refer to the current fiscal policy to determine what actions are eligible for consideration for a salary increase and the process for requesting an increase and obtaining the necessary approvals. The Mid-Year Salary Adjustment form is not in use at this time.

1. The manager or supervisor should complete the Mid-Year Salary Adjustment form for a salary adjustment and submit to the department head.

2. The rationale (page 3 in the Mid-Year Salary Adjustment form) for the requested salary adjustment should include the following criteria:
   a. In-range increase or lateral transfer within the same department and same job family - Significant change in responsibilities that resulted in a greater scope of responsibility within the current job level. These duties are typically being performed for an extended period of time, such as six months or more, and the employee has demonstrated competency in the expanded responsibilities. [Pay/Salary Setting Definitions 5.]
Describe the change in the scope of responsibilities and the impact on this position [Pay/Salary Setting Pro In-Range and Equity Adjustments In-Range Increases 1.a.]

- Comparison of the proposed salary to Professional Staff with a similar scope of job responsibilities in the same job family and salary level within the RC [Pay/Salary Setting Pol 5.c.]
- Employee’s job related qualifications and performance [Pay/Salary Setting Pol 5.b. in part]

b. Equity adjustment – To remedy significant inequities with internal or external positions, based on substantiated comparisons that are documented; includes responding to an employment offer from an external entity for a position with comparable duties and responsibilities. Equity adjustments are for exceptional circumstances and require careful analysis to ensure compliance with Trustee approved salary policies. Considerations include:

- Comparison of the proposed salary to the salary of employees in jobs with comparable responsibilities in other organizations that the university would compete with for talent. HR may have salary survey data that provides benchmark data on external salaries [Pay/Salary Setting Pol 5.d.]

- Comparison of the proposed salary to the salary of other Professional Staff employees with a similar scope of job responsibilities in the same job family and level within the RC [Pay/Salary Setting Pol 5.d.]

- Placement of the proposed salary within the relevant job family, job level and associated salary range (below, within, or above the market zone) [Pay/Salary Setting Pol 5.a.]

- Employee’s job related qualifications and performance [Pay/Salary Setting Pol 5.b.i.]

  - For response to an external employment offer, it is necessary to have written confirmation of the external offer, along with an overview of role of the position being considered. The consideration of such an equity adjustment should include the impact on other employees performing similar work within the RC, including the strategy for
remedying any inequity. (Along with other types of equity adjustments, countering an external salary offer is only intended for exceptional circumstances. This policy provision is not intended to encourage employees to seek external offers for the purpose of receiving an adjustment in their University salary.)

3. The department head shall obtain approval for the salary adjustments, including the following required approvals: [Pay/Salary Setting Pro In-Range and Equity Adjustments Procedures for 1.b.]
   a. The immediate supervisor shall obtain approval from her or his manager [Pay/Salary Setting Pro In-Range and Equity Adjustments Procedures for 1.b.i.]
   b. Any salary that is at or above the Upper Reference Point shall have the RC head approval. [Pay/Salary Setting Pro In-Range and Equity Adjustments Procedures for 1.b.ii.]
   c. The unit’s fiscal officer shall indicate that base or alternate appropriate funds are available. [Pay/Salary Setting Pro In-Range and Equity Adjustments Procedures for 1.b.iii.]
   d. Any other RC or campus approval protocol shall be followed and approvals obtained. [Pay/Salary Setting Pro In-Range and Equity Adjustments Procedures for 1.b.iv.]

4. Once the RC head or Chancellor approves the request and Pages 1-3 of the Mid-Year Salary Adjustment form are completed, the Mid-Year Salary Adjustment form should be e-mailed to the Campus Human Resources Office for review. The Campus Human Resources Office is responsible for reviewing the rationale provided to ensure compliance with applicable laws and University policies as well as address all of the criteria noted above.

5. The Campus Human Resources Office will route the request and additional comments, if needed, to the Campus Budget Office for review. If approved, the Campus Budget Office will forward to the University Budget Office to review and approve for funding purposes.

6. If approved by the University Budget Office, the request will be routed to the Office of the Vice President and Chief Financial Officer or designate.
a. The Office of the Vice President and Chief Financial Officer is responsible for reviewing and ensuring compliance with general fiscal policies and Trustee approved policies.
   - In-range increases for the assignment of higher level responsibilities or new competencies will be considered based on compliance with the University’s general fiscal policy.
   - Equity increase will be carefully examined for current and long-range impact on fiscal affairs and specific compliance with Trustee approved policies. Requests for equity increases will typically involve more scrutiny.

b. Both the Department head and the Campus Human Resources Office will receive notification of the final decision of the Office of the Vice President and Chief Financial Officer.

7. If approved, the Department may proceed with initiating and routing the appropriate HRMS E-Doc; alternatively, the department head may notify the unit manager/supervisor that additional analysis is needed or the request is suspended or not approved.
   a. The effective date may be individually determined with the beginning of a month.
   b. The E-Doc initiator will copy the rationale for the increase and the applicable fiscal approval into the notes section of the maintain pay rate E-Doc and route it.
   c. Employees shall only be notified of the salary action after the above approvals have been obtained. [Pay/Salary Setting Pol 4.] [Temporary Pol 4.]

Principles applicable to all salary decisions
- Nondiscriminatory regarding age, color, disability, ethnicity, gender, marital status, national origin, race, religion, sexual orientation, or veteran status [Pay/Salary Setting Pol 1.]
- Emphasis on equity within an RC [Pay/Salary Setting Pol 5.a.]
- Based on job-related qualifications and performance [Pay/Salary Setting Pol 5.b. in part] [Pay/Salary Setting Pol 5.c. in part]
- Fully qualified employees paid at least the minimum of the salary range [Pay/Salary Setting Pol 9.]
- Based on RC’s fiscal status and Trustee approved salary policies [Pay/Salary Setting Pol 5.e.]
<table>
<thead>
<tr>
<th>Salary Decisions(1)</th>
<th>Examples of Determining factors (1)</th>
<th>Approvals Campus and RC Heads</th>
<th>Approval Chief Financial Officer (CFO)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New Hire Starting Salary</strong>&lt;br&gt;<strong>Promotion</strong>&lt;br&gt;<strong>Demotion</strong>&lt;br&gt;<strong>Lateral Transfer</strong>&lt;br&gt;(different job family, RC or distinguishable department) (3)&lt;br&gt;<strong>Job-Related Certification</strong>&lt;br&gt;<strong>Reclassification</strong></td>
<td>• Candidate’s / employee’s job-related qualifications [Pay/Salary Setting Pro New Hires 3.b.]&lt;br&gt;• Employee’s work performance&lt;br&gt;• Comparison with other employees performing similar level of work in the RC [Pay/Salary Setting Pro New Hires 3.c.]&lt;br&gt;• Unit’s fiscal resources Determining factors must be substantiated. A complete list of determining factors and considerations is in the relevant policy section.</td>
<td>• RC fiscal officer indicates availability of funds&lt;br&gt;• Department head approval, plus other RC and campus approvals, as established by each campus&lt;br&gt;• RC head approval for salary at or above the Upper Reference Point All approvals are required before salary commitment</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Lateral Transfer</strong>&lt;br&gt;(same department and same job family) (2)</td>
<td>Same as above, plus: In-range - description of the change in the scope of</td>
<td>Same as above, plus approval of CFO or designee</td>
<td>Complete the Mid-Year Salary Adjustment form and route to:&lt;br&gt;• All required RC approvers.</td>
</tr>
<tr>
<td><strong>In-Range Increase</strong> (3)</td>
<td><strong>Equity Increase</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Responsibilities and the impact on this position | Equity - comparison of the proposed salary to the salary of employees in jobs with comparable responsibilities in other units/organizations that the university would compete with for related talent | • RC forwards to Campus HR.  
• HR will forward to Campus and University Budget Office.  
• Office of CFO is final review for compliance with fiscal policies and Trustee salary policies – approval is required before salary commitment |

(1) Campus Human Resources is available for consultation.  
(2) For a lateral transfer within the same department and same job family, the approval process is the same as for an in-range salary increase.  
(3) Refer to the policy, [Guidelines for the Professional Staff Salary Administration Program](http://hr.iu.edu/policies/) for the definition of RC for purposes of applying the salary policies in a distinguishable department within a large RC.
Advertising a Position
PA/SS 3.1
Revised July 1, 2008.
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Introduction
It is the policy of the University that when it intends to fill a vacant Staff position, it will determine the level (campus-wide, the occupational unit, or the department) at which the position will be advertised and to then advertise the position in a manner that will allow qualified individuals within that level the opportunity to apply. [Posting a Position Pol 1. in spirit]

B. Steps prior to advertising a position vacancy
1. Ensure that the campus human resources office has classified the position. (See the policy, Position Classification/Reclassification.) [Posting a Position Pro Steps prior to posting 2.]
2. Ensure that the Position Description is on file with the campus human resources office before advertising the position. (See the policy, Establishing a Position). [Posting a Position Pro Steps prior to posting 3.]
3. Decide at what level the position will be advertised: campus-wide, only within the position’s occupational unit, or only within the position’s department. (See below.) [Posting a Position Pro Steps prior to posting 5.d. in spirit]
4. Coordinate all advertising with the campus human resources office before publication of any advertisements. [Posting a Position Pro Steps prior to posting 5.]
5. Prepare to provide and then provide an alternate format of the position advertisement if an individual with a disability requests one. [Posting a Position Pro Steps prior to posting 6.]

C. Levels at which a position vacancy may be advertised
1. Advertising campus-wide
   a. The campus human resources office is responsible for advertising positions in the following sources where applicable: campus employment bulletin, bulletin boards, World Wide Web, and other conspicuous locations. [Posting a Position Pro Steps prior to posting 5. in part]
b. The campus human resources office will determine how long a position must be advertised to ensure that all qualified Staff within the campus are given an opportunity to apply. On the Bloomington campus for campus-wide advertisements, Professional Staff positions are normally advertised for ten working days; Support and Service Staff positions for ten working days. [Posting a Position Pro Posting a Staff position campus 2.]

c. Advertising in newspapers:
   i. The campus human resources office must approve all newspaper ads before publication. [Posting a Position Pro Advertising A.]
   ii. Responsibility for the payment of advertising costs varies by campus. On the Bloomington campus, University Human Resource Services pays most local advertising expenses; departments pay state and national advertising expenses. [Posting a Position Pro Advertising B.][Posting a Position Pro Advertising 2.a.]
   iii. All advertising for positions must carry at least this information in the tag line: Indiana University is an Equal Employment Opportunity / Affirmative Action Employer. [Posting a Position Pro Advertising 3.]

d. Advertising through private employment agencies (only as necessary):
   i. No position will be advertised with a private employment agency or search firm without approval by the campus human resources office. [Posting a Position Pro Use of private employment 1.]
   ii. Fee arrangements with any outside agency must be set forth in a contract. The campus human resources office and University Counsel must approve this contract in advance. [Posting a Position Pro Use of private employment 3.]

2. Advertising only within an occupational unit
   a. Occupational units are listed at the end of this personnel policies manual. Each functional classification for Staff positions (Professional, Support, Service, Clerical, Technical, etc.) is defined as being in a separate occupational unit. [Posting a Position Pro Posting a Staff positions Internal 1.a. in spirit]
b. If a department or campus anticipates that there may be a qualified candidate within the same occupational unit as the vacant Staff position who might be promoted or transferred to that position, it may advertise the position within that occupational unit only. [Posting a Position Pro Posting a Staff positions Internal 1.f.i.]

c. The campus human resources office must be consulted before advertising the position and the campus affirmative action requirements reviewed before promoting or transferring an employee within the occupational unit. [Posting a Position Pro Steps prior to posting 5.b. in part]

d. The campus human resources office will determine how long a position must be advertised to ensure that all qualified Staff within the occupational unit are given an opportunity to apply. On the Bloomington campus, such advertisements must be for five working days. [Posting a Position Pro Steps prior to posting 5.d. in part] [Posting a Position Pro Posting a staff position 2.b. in part]

3. Advertising only within a department for Professional Staff positions:
   a. If a department or campus anticipates that there may be a qualified candidate among the Support or Service Staff in the same department as the vacant Professional Staff position who might be promoted to the Professional Staff position, it may advertise the position within the department only. [Posting a Position Pro Posting a Staff positions Internal 1.]
   b. The campus human resources office must be consulted before advertising the position and the campus affirmative action requirements reviewed before promoting an employee within the department. [Posting a Position Pro Steps prior to posting 5.a.]
   c. The campus human resources office will determine how long a position must be advertised to ensure that all qualified Staff within the department are given an opportunity to apply. On the Bloomington campus, such advertisements must be for five working days. [Posting a Position Pro Steps prior to posting 5. in spirit]

4. Requests to waive advertisement of a position must be approved by the campus human resources office. [Posting a Position Pol 2. in spirit]

D. Advertising full-time temporary jobs
1. If after consideration of the principles identified in the policy Establishing a Position, a department expects that a full-time temporary job (40 hours per week) will become established as a Staff position, the department must advertise the position through a campus-wide advertisement. The position must be advertised before departments make a commitment to employ. [Posting a Position Pro Posting a Temporary 3.]

2. During the advertising period, departments may fill the job with temporary help. [Posting a Position Pro Steps prior to posting 6.]
Filling Positions
PA/SS 3.2
Revised October 17, 2011
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Equal opportunity
1. All persons who apply for a position(s) are given equal consideration regardless of their age, color, disability, ethnicity, gender, marital status, national origin, race, religion, sexual orientation, or veteran status. [Selection & Filling Pol 1.]
2. An alternate format of a position announcement (e.g., Braille, large print, audiocassette, computer disk) must be provided if requested by an individual with a disability. [Posting a Position Pro Steps prior to posting 7.]

B. How to fill a position
1. General provisions
   a. Before filling any vacant position, the department must follow the provisions of the personnel policy “Advertising a Position” and obtain the campus-required approvals. [Posting a Position Pro Steps prior to posting 1.]
   b. All individuals seeking employment with Indiana University must complete a university-approved application form before they can be offered any position. This requirement also applies to existing employees who are seeking a position in another occupational unit. An approved application may be a paper or electronic form. [Selection & Filing Pro General procedures 3. in part] [Selection & Filing Pro General procedures 3.a. in part] [Selection & Filing Pro General procedures 3.b. in part]
   c. Check with the campus human resources office for specific application instructions and recruitment and selection guidelines. Several campuses print and distribute booklets containing these guidelines. [Selection & Filling Pro General procedures 1. And its subparts]
2. From within the occupational unit
a. If there are any employees from the occupational unit who are on layoff status, determine whether any are qualified to perform the available work. [Posting a Position Pro Steps prior to posting 5.b.] [Selection & Filling Pro General Pro 2. in spirit]

b. If a layoff list exists, see the Reduction in Force policy for further requirements and the order in which position vacancies must be filled. [Posting a Position Pro Steps prior to posting 5.b.i.] [Selection & Filling Pro General Pro 2. in spirit]

c. If there is no layoff list or an employee on the layoff list does not fill the position, then the department is to communicate the vacancy to all employees within the occupational unit and be able to demonstrate that this has been done. See the policy, Advertising a Position. [Posting a Position Pro Posting a staff position 2.]

3. From Outside the Occupational Unit

a. The campus human resources office must first review the campus layoff list if one exists and refer qualified employees who appear on the list. [Posting a Position Pro Steps prior to posting 5. in spirit] [Posting a Position Pro Steps prior to posting 5.i.]

b. See the Reduction in Force policy for further requirements and the order in which position vacancies must be filled if a layoff list exists.

c. No employment commitment can be made to fill a position with a candidate outside of the occupational unit until the department has (1) obtained the necessary approvals to fill the position and (2) presented the qualifications and credentials of all candidates to the campus human resources office. [Posting a Position Steps prior to posting 1. in part] [Selection & Filling Pol 2. In part]

d. The campus human resources office will screen applicants on file, recruit qualified applicants, and consider suggestions from the department of any known candidates for the position. See the policy, Advertising a Position. [Selection & Filling Pro General Pro 1. in part in spirit]

e. Unless otherwise agreed to by the employee’s department or for openings occurring in jobs of a unique nature requiring unusual skills and abilities—an employee must work in a position for at least six months before requesting a change to another position. [Selection & Filling Pro General Pro 6.]
f. The campus human resources office may conduct preliminary interviews with and administer required exams to applicants to determine their qualifications. It will then refer the best-qualified candidates to the department. [Selection & Filling Pro Making the selection 1.]

4. Making the selection
   a. The department will conduct final interviews, evaluations, and reference checks to determine the suitability of the applicants. Departments should instruct the applicant about the position and its conditions of employment. [Selection & Filling Pro Making the selection 2.]
   b. In determining an applicant's qualifications, factors to consider include, but are not limited to the following: [Selection & Filling Pro Making the selection 3.]
      i. Experience [Selection & Filling Pro Making the selection 3.b.]
      ii. Past work performance [Selection & Filling Pro Making the selection 3.c.]
      iii. Ability to perform the essential functions of the job with or without reasonable accommodation [Selection & Filling Pro Making the selection 3.d.]
      iv. Educational background [Selection & Filling Pro Making the selection 3.a. in spirit]
      v. Ability and qualifications to perform the work competently, with or without reasonable accommodation [repeat of iii. Above]
      vi. Attendance record over the last 12 months (not including extended periods of sick leave due to serious illness or injury or approved leave of absence) [Selection & Filling Pro Making the selection 3.e.]
      vii. Reference checks [Selection & Filling Pro Making the selection 3.f.]
      viii. Criminal background history (if any) [Selection & Filling Pro Other New Hire 2.]
   c. All relevant factors are to be considered fully. When such factors are found to be relatively equal between two or more candidates, and when at least one candidate is an appointed IU employee, the decision to hire is to be based on occupational unit seniority date
first and university seniority date second. [Selection & Filling Pro Making the selection 4.]

d. IU Temporary and temporary agency employees in the available position have no seniority. [Selection & Filling Pro Making the selection 4.b.]

e. The department makes the final selection, provided that (1) affirmative action requirements are met; (2) the campus human resources office has been informed of the selection; and (3) where appropriate, the selected candidate passes any required physical exam. [Selection & Filling Pro Making the Selection 2. in spirit] [Selection & Filling Pro Post Offer 1. in part in spirit]

i. At IUPUI, the satisfactory completion of a pre-employment health evaluation, which may include a drug screening, is required prior to reporting for work for individuals hired for work in the dental school, laboratory, hospital, or clinical areas. Candidates cannot work until the satisfactory results of the health evaluation have been released by IUPUI Health Services. [Selection & Filling Pro Post Offer 1.] [Selection & Filling Pro Post Offer 1.c. in spirit]

f. Newly promoted employees serve an evaluation period. See the Evaluation Period for New or Promoted Employees policy for details.

5. After the selection is made

a. A standard written offer of employment is not necessary. No supervisor or administrator may make an offer contrary to the university policies related to employment, compensation or benefits, nor imply nor state that a contract has been created between the university and the future employee. Only the president or vice presidents may offer actual contracts. [Pay/Salary Setting Pol 4. In part] [Selection & Filling Pro Making an Offer 1. in part] [Selection & Filling Pol 2.]

b. The hiring department notifies the candidate who is selected for the position. (The campus human resources office may agree to do this.) [Selection & Filling Pro Making an Offer 2.]

c. Notify the campus human resources office when the applicant has accepted the position. [Selection & Filling Pro Making an Offer 3.]
d. When the applicant has accepted the position, see the Backgrounds Checks policy for the background checks required for Staff and Temporary positions. [Selection & Filling Pro Other New Hire 2.]

e. If the selected applicant is a current IU employee, a two-week notice period for the start date is recommended. However, a shorter or longer period is acceptable if agreed upon between the employee, the hiring department, and the employee’s current department. The campus Human Resources office will aid in coordinating the start date, if requested. [Selection & Filling Pro Post Offer 2.a. in part] [Selection & Filling Pro Post Offer 2.b. in part]

f. The hiring department must initiate the HRMS E-Doc to obtain the required approvals. (The campus human resources office may agree to do this.) [Selection & Filling Pro General Pro 6.c.]

g. All new employees must complete Form I-9 and the authorization form for direct bank deposit. [Selection & Filling Pro Other New Hire 1.]

h. Final approval of all filled positions by new employees is contingent upon the individual hired completing Form I-9 using the online procedures established by the University. This form verifies that the individual is entitled to work in this country. Federal law requires that the employee be stopped from working if either Section 1 or 2 is not completed within the time limits specified for the section. [Selection & Filling Pro Other New Hire 1. in spirit] [Employment Eligibility Verification]

i. The employee must complete online Section 1 of the Form I-9 on or before the first day of employment and present evidence of identity and employment eligibility within three business days of the date employment begins. [Selection & Filling Pro Other New Hire 1. in spirit] [Employment Eligibility Verification]

ii. The hiring department must examine the evidence of identity and employment eligibility; record online the title, number and expiration date (if any) of the documents; enter the date employment began in the Certification statement of Section 2; and electronically submit the Form I-9 within three business
days of the date employment begins. [Selection & Filling Pro Other New Hire 1. in spirit] [Employment Eligibility Verification]

iii. Copies of documents that the online system specifically identifies are to be scanned into the online system for record keeping. All paper copies used in the verification or scanning process are to be shredded. [Selection & Filling Pro Other New Hire 1. in spirit] [Employment Eligibility Verification]

iv. The online Form I-9 will automatically be submitted to the U.S. Department of Homeland Security's E-Verify system. Follow the instructions in the university's I-9 E-Verify Procedures. [Selection & Filling Pro Other New Hire 1. in spirit] [Employment Eligibility Verification]

i. The department will then inform all applicants for the position that the position has been filled. (The campus human resources office may agree to do this.) [Selection & Filling Pro F.1. in part] [Selection & Filling Pro Other New Hire 1. in spirit] [Employment Eligibility Verification]

C. Minimum increases for promotions of Support and Service Staff

1. The minimum increase for Support and Service Staff who are promoted to a support and service position in a higher salary grade is five percent or the minimum rate of the new salary grade, whichever is greater. The increase cannot exceed the maximum of the new salary grade. [Pay/Salary Setting Pol 9. in part] [Pay/Salary Pro Promotion Pay/Salary increases 5.b.]

2. For further details, see the salary guidelines for the specific campus.

D. Additional information about lateral transfers of Support and Service Staff

1. A lateral transfer is the reassignment of an employee from one position to another position in the same salary grade within the same salary structure. [Pay/Salary Definitions 7. In part]
   a. Lateral transfers typically do not involve a major change in level of responsibility or job scope and, as such, do not result in a salary change. [Pay/Salary Setting Pro Lateral Transfers Pay/Salary impact 3. in part] [Pay/Salary Definitions 7. In part]

2. A transfer to the same or comparable position in a different salary structure (i.e., from one campus to another) may involve a salary

E. Additional information about voluntary demotions of Support and Service Staff

Employees may voluntarily transfer to a position in a salary grade lower than their current range due to personal or career development reasons or due to a reduction in force. Such a demotion will result in a classification change and a reduction in salary. For further details, see the salary guidelines for the specific campus. [Pay/Salary Setting Pro Demotions Pay/Salary impact 1.b.] [Pay/Salary Setting Pro Demotions Pay/Salary impact 1.c.] [Pay/Salary Setting Pro Demotions Pay/Salary impact 1.d.]

F. Salary Decisions for Professional Staff

See the policy, Salary Decisions for Professional Staff for guidelines about salary decisions regarding actions such as, promotions, transfers, and demotions for Professional Staff.

G. Accrued time off balances

a. Except for accrued compensatory time off, all accrued time off balances are transferred between departments and campuses for staff who remain in the same functional classification. [Overtime Pro Rules related to compensatory time 8.]

b. For Support and Service Staff and Professional Staff eligible for overtime, the current department is to grant the compensatory time off or pay for the time before the change to a new department or campus occurs. [Overtime Pro Rules related to compensatory time 8.]

c. For Professional Staff not eligible for overtime, see the policy, Work Hours for Professional Staff Not Eligible for Overtime, for the provisions on additional time off.

2. For staff who promote into or out of the professional classification, see the policy, Paid Time Off for Professional Staff in the PA Time Off Plan, for the provisions describing how time off balances are converted.

H. Time away from work for interviews

The university encourages staff to seek promotions and transfers. Therefore, departments may allow staff to take reasonable time away from the job for interviews in other university departments. Staff do not
have to make up the time or charge it to paid time off. Each supervisor must determine what is “reasonable” time off, keeping in mind the university’s favorable attitude toward promotion and transfer. If a supervisor believes that one’s absences are excessive, then he or she can require the employee to make up the time. Support and Service Staff and Professional Staff eligible for overtime may be required to charge excessive absences to accumulated time off. [Selection & Filling Pro General Pro 5. in spirit] [Selection & Filling Pro General Pro 5.a. in part] [Selection & Filling Pro General Pro 5.b. in part] [Selection & Filling Pro General Pro 5.c. in part] [Selection & Filling Pro General Pro 5.c.i. in part]

I. Occupying multiple positions

1. It is possible for an employee to be employed in more than one position at the same time. Examples include a person employed in two 50 percent FTE appointed positions, or an appointed employee working in a Temporary position. Following are the basic rules governing such circumstances: [Selection & Filling Pro Occupying multiple positions 1.]
   a. Appointed staff positions must be at least 50% FTE. [Selection & Filling Pro Occupying multiple positions 1.a.]
   b. The combined FTE for all appointed positions held by one person cannot exceed 100% FTE. [Selection & Filling Pro Occupying multiple positions 1.b.]
   c. An individual cannot hold an appointed PAE position (not eligible for overtime) and an appointed PAO or Support and Service Staff position (eligible for overtime) at the same time. See the campus human resources office for valid combinations involving a PAU job. [Selection & Filling Pro Occupying multiple positions 1.c.]
   d. An employee in a PAO or Support and Service Staff position (eligible for overtime) may also be employed in a Temporary position paid at a bona-fide hourly rate for the work performed in the temporary job. Biweekly paid employees may not be employed in a second job that is paid as a flat dollar amount for the work performed. Departments should consult with the campus human resources office in determining a bona-fide hourly rate for the work performed in the temporary job. [Selection & Filling Pro Occupying multiple positions 1.d.] [Selection & Filling Pro Occupying multiple positions 1.d.]
2. Contact the campus human resources office if there are any questions about a specific situation.
Evaluation Period for New or Promoted Employees

PA/SS 3.4
Revised July 1, 2006
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Purpose
The purpose of the new-employee evaluation period for new or promoted employees is to ensure that an employee can satisfactorily fulfill the demands of a position. It is not part of any disciplinary procedure. [Evaluation Periods for New, Promoted, and Transferred Employees Pol For New Employees 1.]

B. Evaluation time periods
1. Professional staff positions
   All staff in positions with this classification serve an evaluation period of six months at the time of appointment or promotion. [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Emp 1.c.]
   a. A department or campus may establish an evaluation period of one year for such positions if it feels that it is appropriate for the work performed. Depending on campus-specific procedures, this may require approval from the campus human resources office. The employee should be informed at the start of his or her employment or promotion. [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Employees 2.b. in part] [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Employees 2.a. in part]

2. Support and Service staff positions
   All Support and Service Staff (except police officers) serve an evaluation period of four months at the time of their appointment or promotion. [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Emp 2.] [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Employees 2.a. in part]
   a. A department or campus may establish an evaluation period of six months for such positions if it feels that it is appropriate for the work
performed. Depending on campus-specific procedures, this may require approval from the campus human resources office. The employee should be informed at the start of his or her employment or promotion. [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Emp 1.b.i. in part] [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Emp 1.c. & 1.c.i.-iii.]

b. Police officers serve a one-year evaluation period at the time of their initial appointment or promotion as a police officer. Thereafter, police officers who are promoted to a higher level police officer position will serve a six month evaluation period. [Evaluation Periods for New, Promoted, and Transferred Employees Pro For New Emp 1 in part] [Evaluation Periods for Pro For Promoted, Demoted, and/or Transferred Employees 2.]

3. All newly appointed or promoted staff should receive a performance progress report at least halfway through the evaluation period. [Evaluation Periods for New, Promoted, and Transferred Employees Pro During the Eval/Trial Period 2. in spirit]

C. Completion of the evaluation period

1. At any time, but no later than its scheduled end date, the evaluation period may be stopped and the employee informed whether or not it has been successfully completed. [Evaluation Periods for New, Promoted, and Transferred Employees Pro During the Eval/Trial Period 2. in spirit] [Evaluation Periods for New, Promoted, and Transferred Employees Pro Completing the Eval/Trial Period 1. in spirit]

2. When it is felt that a promoted employee may not successfully complete the evaluation period, the Corrective Action policy provisions on documentation (such as a completed progress report) and on the opportunity to receive and present information and ask questions prior to a final determination are to be applied. [Evaluation Periods for New, Promoted, and Transferred Employees Pro Failure to successfully complete the eval period 1.]

D. Termination of employment during the evaluation period

1. New or promoted employees can be terminated at any time during the evaluation period. If it is decided during the evaluation period to terminate employment, departments are to contact the campus human resources department. [Evaluation Periods for New, Promoted, and
Transferred Employees Pro Failure to successfully complete the eval period 1. In spirit

2. The campus human resources department will help determine if a basis for the termination exists, whether the documentation and due process steps of the Corrective Action policy have been taken in the case of a promoted employee, whether more time should be provided, and whether other job opportunities exist that better suit the individual. These determinations will be made before an employee is separated from employment. [Evaluation Periods for New, Promoted, and Transferred Employees Pro Failure to successfully complete the eval period 1. In spirit]

E. Extending the evaluation period

All staff
1. At any time during or at the end of the evaluation period departments may decide that an employee has not had sufficient time to satisfactorily complete the period. In these cases, departments may extend the period by informing the employee in writing. (Some campuses may require approval for an initial extension from the campus human resources office.) [Evaluation Periods for New, Promoted, and Transferred Employees Pro During the Eval/Trial Period 1. in spirit] [Evaluation Periods for New, Promoted, and Transferred Employees Pro Extending the Eval/Trial Period 2. in spirit]

Professional staff positions
2. If the evaluation period is extended, the extension should not exceed six additional months. Thus, the total evaluation period should be limited to a maximum of one year. Extensions beyond this limit should be rare and do require the approval of the campus human resources office before informing the employee. [Evaluation Periods for New, Promoted, and Transferred Employees Pro Extending the Eval/Trial Period 1.c.]

Support and Service staff positions
3. If the evaluation period is extended, the extension should not exceed two additional months. Thus, the total evaluation period should be limited to a maximum of six months. For police officers, the total evaluation period should be limited to a maximum of 14 months. For all Support and Service employees, extensions beyond this limit should be rare and do require the approval of the campus human resources office before informing the employee. [Evaluation Periods for New, Promoted, and
F. Limitations during the evaluation period

1. Grievance procedure
   a. New employees do not have access to the grievance procedure for issues concerning discipline, layoff, or termination. Other issues, however, may be grieved through Stage 3. [Evaluation Periods for New, Promoted, and Transferred Employees Pro New Employees C.]
   b. Promoted employees who are determined not to be successful and are removed from the position have access to all steps of the grievance procedure. [Evaluation Periods for New, Promoted, and Transferred Employees Pro Failure to successfully complete the eval period E.]

2. Seniority
   a. A new employee in evaluation status has no seniority until he or she completes the evaluation period. The university seniority date reverts back to the employee's appointment date. [Evaluation Periods for New, Promoted, and Transferred Employees Pro New Employees B.]
   b. A promoted employee retains and continues to accrue university and unit seniority during the evaluation period. [Evaluation Periods for New, Promoted, and Transferred Employees Pro For Promoted, Demoted, and/or Transferred Employees D.]

G. Placement opportunities for promoted employees

A promoted employee who fails to meet the standards of the new job and is terminated within the evaluation period will be given preference for up to one year for other positions provided qualifications are met. A promoted employee who voluntarily requests within the evaluation period not to continue in the new position will also be given preference for up to one year for other positions provided qualifications are met. If reemployed within one year of the date of the promotion, the employee’s University Service date will be restored. If reemployed in the previous occupational unit within one year of the date of promotion, the employee’s former seniority date in that unit will be reinstated. [Evaluation Periods for New, Promoted, and Transferred Employees Pro Failure to successfully complete the eval period C. in part]
[Evaluation Periods for New, Promoted, and Transferred Employees Pro Failure to successfully complete the eval period D. in part] [Evaluation Periods for New, Promoted, and Transferred Employees Pro Failure to successfully complete the eval period D.1. in part] [Evaluation Periods for New, Promoted, and Transferred Employees Pro Failure to successfully complete the eval period D.2. in part]

H. Transfers, demotions, reclassifications, or reorganizations
Staff who are transferred or demoted, whose positions are reclassified, or who are placed into another position as the result of a university reorganization are not required to serve another evaluation period.

I. Serving more than one evaluation period
Once an employee has satisfactorily completed the evaluation period, he or she may not be placed on another evaluation period again during a period of continuous appointed employment unless the employee accepts a promotion. However, if the employee has a break in service, the employee must serve an evaluation period again if rehired. [Evaluation Periods for New, Promoted, and Transferred Employees Pro Completing the Eval/Trial Period B.]
Attendance, Absences, and Personal Emergency

PA/SS 4.1
Revised October 1, 2003
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Attendance
   1. Regular attendance is a condition of employment. Attendance problems will be addressed through the corrective action process. [Attendance, Absences, and Personal Emergency Policy Attendance 1.] [Attendance, Absences, and Personal Emergency Policy Attendance 2. in part]
   2. Approved absences and any verification of the reason for the absence are subject to the provisions contained in the Time Away from Work section. [Attendance, Absences, and Personal Emergency Policy Attendance 3.]

B. Reporting absences
   1. All employees are personally responsible for reporting absences to their supervisor before they are scheduled to begin the workday. [Attendance, Absences, and Personal Emergency Policy Reporting 1. in part]
   2. If the absence is due to an emergency, the employee must notify the supervisor as soon as possible of the reason and expected time of return. [Attendance, Absences, and Personal Emergency Policy Reporting 2.]
      a. If the supervisor cannot be reached, the employee should follow the reporting procedure of the department. [Attendance, Absences, and Personal Emergency Policy Reporting 2.a.]

C. Unexcused absences cause for termination
   1. Unexcused absences, with or without pay or time off accrual, may be subject to disciplinary action through the corrective action process. [Attendance, Absences, and Personal Emergency Policy Unexcused 1.]
   2. Prior to terminating an employee, departments must consult with the campus human resources office. [Attendance, Absences, and Personal Emergency Policy Unexcused 3.]
   3. Consecutive absences without proper notification are subject to termination. [Attendance, Absences, and Personal Emergency Policy Unexcused 2.]
      a. Three consecutive working days absent without proper notification may be cause for termination. [Attendance, Absences, and Personal Emergency Policy Unexcused 2.a.]
      b. Five consecutive working days absent without proper notification is cause for termination. [Attendance, Absences, and Personal Emergency Policy Unexcused 2.b.]

D. Personal emergency
   1. Employees may choose to charge time off for personal emergency to any of these categories of unused time: vacation time, paid time off (PTO), income protection time, and/or compensatory time off. [Attendance, Absences, and Personal Emergency Policy Personal emergency 4.]
   2. The employee must notify the supervisor as soon as possible as to the reason and the expected time of return. [Attendance, Absences, and Personal Emergency Policy Personal emergency 2.]
3. The employee may be required to provide documentation on the nature and circumstances of the unexcused or emergency absence. [Attendance, Absences, and Personal Emergency Policy Personal emergency 3.]
Work Time and Record Keeping for Support and Service Staff and Professional Staff who are Eligible for Overtime

PA/SS 4.3
Revised May 31, 2012
Changes indicated in red font.

Employees covered by this policy
This policy applies to all Staff employees whose positions are covered by the Fair Labor Standards Act (FLSA) overtime provisions.

A. Purpose
The Fair Labor Standards Act (FLSA) establishes minimum wage, overtime pay, and record-keeping standards for the United States. Indiana University supplements the Act with policies on matters that are not covered in the FLSA, such as certain work hour rules, rest periods and lunch breaks. The purpose of this policy is to describe both the FLSA and University rules and regulations on these topics.

B. Introduction
1. This policy contains the university's personnel policies on (a) work hours, (b) record-keeping responsibilities, (c) lunch breaks, and (d) off-campus work which apply to Support and Service Staff and Professional Staff who are eligible for overtime (collectively referred to in this policy as Staff employees).

2. This policy also contains the university's personnel policies on (a) rest periods, (b) uniform change time, and (c) shift preference which apply only to Support and Service Staff.

C. Work hours
1. The workweek for all campuses and departments officially begins and ends at 12:00 midnight on Saturday. [Work Schedules and Hours Pol Work Schedules 1.]

2. A full-time work schedule normally consists of five, eight-hour days and 40 hours each workweek. Departments establish hours of operation and reporting and departing times and may allow alternate or flexible work schedules that support operational needs. Any change in a Staff employee’s work schedule requires advance approval of the supervisor.
a. If operational needs require, a department may establish on a regular, on-going basis, a full-time work schedule in which the hours of work are not the same for each workweek of the pay period. In such schedules, hours covered by the Overtime Pay policy are compensated at an overtime rate.

i. In the case of a Support and Service Staff employee, the scheduled hours may be less than 40 hours for one week of the two-week pay period and greater than 40 hours for the other week. However, the scheduled work hours must average 40 hours per week for each pay period. An example is a work schedule of 36 scheduled hours in one week and 44 scheduled hours in the other week of a pay period.

ii. In the case of a Professional Staff employee eligible for overtime, the scheduled hours may be different for different weeks of the monthly pay period but must average 40 hours per week for the pay period.

iii. Overtime compensation will be received for all hours covered by the Overtime Pay policy.

iv. With such an established work schedule, Absence With Benefits (AWB) will be applied in any week in which the scheduled hours are less than 40 hours to ensure that the employee receives full time-off accruals for each pay period. Time off accruals are not earned on hours worked over 40 in a week. AWB will not be applied to cover any unpaid absences during the scheduled work hours unless qualified under another personnel policy.

v. Such a schedule is to be reviewed with the campus Human Resources Office before it is implemented and on an on-going basis to ensure that it is a full-time, bona-fide schedule maintained over a period of time and that overtime is
appropriately compensated. [Alternative Work Schedules Pro Criteria 3.]

3. Departments should not schedule Staff employees to work more than six days of the week on a regular basis. [Alternative Work Schedules Pol 2.]

4. Departments have the authority to change a Staff employee’s scheduled day off. If the department notifies a Support and Service Staff employee of the change at least five calendar days in advance, the employee will be compensated for that day at his or her regular rate of pay. If less than five calendar days notice is given, the Support and Service Staff employee will be paid at time and one-half for hours worked that day. [Premium Pay Pro Support Staff Changes in Work Schedules]

D. Record-keeping responsibilities

1. Departments shall establish written weekly work schedules and maintain those schedules with other payroll-related records within the department. [Work Schedule and Hours Pol Recordkeeping 1.]

2. It is each employee’s responsibility to accurately record all hours worked on the university-provided timekeeping device or form and to submit the recorded time each pay period to his or her supervisor for approval. [Work Schedule and Hours Pol Recordkeeping 2.]
   a. This includes work conducted for the University remotely, whether at an offsite location or via electronic device-unless the work is de minimis. [Work Schedule and Hours Pol Recordkeeping 2.]

3. It is each department's responsibility to maintain a record of all hours worked, and the supervisor is responsible for verifying the accuracy of the time submitted. [Work Schedule and Hours Pol Recordkeeping 4.]

E. Lunch breaks

1. Staff employees receive one hour off for lunch each day, unless a department has established a different schedule. Staff employees should not be required to work more than six consecutive hours without a minimum of a one-half hour lunch period free from the job. [Work Schedule and Hours Pol Meal Breaks 2.b.]

2. By mutual agreement between the employee and the supervisor, an employee can work more than six consecutive hours without an unpaid lunch break of 30 minutes or more, either as an occasional adjustment to the work schedule or on a regular basis as an alternative or flexible work
schedule. In these situations every effort should be made to provide the Support and Service Staff employee the fifteen minute rest periods as provided below. [Work Schedule and Hours Pol Meal Breaks 3.]

a. It is recommended that any alternative work schedule that is adopted pursuant to this policy include a specific time-frame, such as a semester, such that the arrangement is periodically evaluated to ensure that the departmental needs are being met. [Alternative Work Schedules Pol 5. In part]

b. Supervisors should make efforts to honor an agreed-upon alternative work schedule, but may discontinue, suspend, or modify the arrangement if work needs change or if service is impaired. [Alternative Work Schedules Pol 5. In part]

c. Denial of a request for an alternative work schedule or revocation of a previously agreed-upon alternative work schedule is not subject to the grievance procedure. [Alternative Work Schedule Pol 6.a.]

F. Off-campus work

1. When departments require Staff employees to perform a work assignment, attend class, etc., at a location away from the campus of their normal work assignment, they are eligible for pay for the time spent on the activity. [Work Schedule and Hours Pol Off-campus 1.]

2. Lectures, Meetings and Training Programs. Attendance that has been approved in advance at lectures, meetings, training programs and similar activities is work time in any of the following circumstances: [Work Schedule and Hours Pol Off-campus 2.]

a. attendance is during normal work hours, [Work Schedule and Hours Pol Off-campus 2.a.]

b. attendance is required by the university, [Work Schedule and Hours Pol Off-campus 2.b.]

c. the event is work-related, or [Work Schedule and Hours Pol Off-campus 2.c.]

d. university work is performed. [Work Schedule and Hours Pol Off-campus 2.d.]

3. Conferences. When a Staff employee is attending a conference, work time consists only of the daily conference activities. Time spent on meal breaks, activities undertaken after the daily conference activities are completed (including attending voluntary social events presented as part
of the conference) and sleeping is not considered work time. [Work Schedule and Hours Pol Off-campus 1.h. in part]

4. **Travel Time.** Travel time may be work time, depending upon the kind of travel involved.

   a. **Home/Work Travel:** An employee who travels from home before the regular workday and returns to his/her home at the end of the workday is engaged in ordinary commuting, which is not work time. [Work Schedule and Hours Pol Off-campus 1.i.]

   b. Travel time during normal work hours is work time [Work Schedule and Hours Pol Off-campus 1.b.]

   c. **Home to Work on a Special One-day Assignment in another City:** When a Staff employee who regularly works in one city is given a special one-day assignment in another city and returns home the same day, the time spent traveling to and returning from the other city in excess of the time the employee would normally spend commuting to the regular work site is work time. [Work Schedule and Hours Pol Off-campus 1.f.ii.]

   d. **Overnight Travel Away from Home Community:** The following provisions apply to travel time that keeps an employee away from home overnight:

      i. Driving that the employee is required to perform is work time. [Work Schedule and Hours Pol Off-campus 1.d.]

      ii. Time when work is performed while traveling is work time. [Work Schedule and Hours Pol Off-campus 1.e.]

      iii. Travel time during normal work hours is work time. [Work Schedule and Hours Pol Off-campus 1.a.]

      iv. Travel time during hours that are normal work hours during the week but which occurs on a day normally scheduled off is work time. [Work Schedule and Hours Pol Off-campus 1.c.]

      v. Travel time not covered above is not work time. [Work Schedule and Hours Pol Off-campus 1. in spirit]

      vi. A break in travel for meals is not work time. [Work Schedule and Hours Pol Off-campus 1.g.]

      vii. Time at the destination when the employee is free to come and go as he or she wishes is not work time. [Work Schedule and Hours Pol Off-campus 1.h. in part]

**G. Rest periods** for Support and Service Staff
1. Departments and supervisors will make efforts to permit Support and Service Staff employees to take rest periods. Reasonable rest periods normally consist of a 15-minute break during each half-day of work. Supervisors can ensure the efficiency of a work unit by scheduling rest periods at staggered times. Supervisors may use discretion in scheduling additional breaks for Support and Service Staff who work in adverse conditions, for example, in extreme cold. [Work Schedule and Hours Pol Rest periods 1. in part] [Work Schedule and Hours Pol Rest periods 1.a. in part] [Work Schedule and Hours Pol Rest periods 2. in part] [Work Schedule and Hours Pol Rest periods 4. in part]

2. Support and Service Staff may not skip a rest period to: [Work Schedule and Hours Pol Rest periods 3. and its subparts]
   a. Compensate for a late arrival to work
   b. Compensate for an early departure from work
   c. Accumulate time to use later

**H. Uniform change time for Support and Service Staff**
Support and Service Staff who are required to wear uniforms, but are not permitted to wear the uniforms to and from work, are allowed ten minutes of compensable time at the beginning and end of each scheduled workday to change into and out of uniforms. [Work Schedule and Hours Pol Uniform change time1.]

**I. Shift preference for Support and Service Staff**
Except in units where the practice is to rotate shift assignments on a regular basis, shift preference for Support and Service Staff job openings having identical duties and responsibilities is given in order of occupational unit seniority. [Work Schedule and Hours Pol Shift Preference 1.]
Overtime Pay for Staff and Temporary Employees

AFSCME(BL, IN, SB) 6.2 • CWA 5.3 • PA/SS 4.4 • Police(BL, IN, NW, SB, SE) • Temporary 4.2

Effective: May 16, 2010
Last Updated: December 7, 2012
Responsible University Office: University Human Resources
Responsible University Administrator: Senior Vice President and Chief Financial Officer
Policy Contact: University Human Resources

A. Scope
This policy applies to Staff and Temporary employees who are covered by federal Fair Labor Standards Act (FLSA) overtime pay provisions, including Support, Service, and Professional Overtime Staff and all Temporary employees.

B. Policy Statement

1. The Fair Labor Standards Act (FLSA) requires that covered employees receive overtime pay for work over 40 hours in a workweek. All Support, Service, and Professional Overtime (PAO and PAU) Staff and all Temporary employees are covered by the FLSA overtime pay provisions. Professional Exempt (PAE) Staff are not covered by FLSA overtime provisions and are not eligible for overtime pay under University policy. [Overtime Pol 1. in part] [Overtime Pol 1.a. in part]

2. For Support, Service, and PAO Staff employees, overtime pay must be compensated at a time and one-half rate in the form of extra pay or compensatory time-off. It is management’s choice as to which form of overtime pay is used and the decision should be announced to the employee before the overtime is worked. For covered PAU Staff, overtime pay must be compensated at an additional half time rate in the form of extra pay. Compensatory time-off does not apply to PAU Staff. [Overtime Pol 1.b.] [Overtime Pol 1.b.i.]

3. For Temporary employees, overtime pay must be compensated at a time and one-half rate in the form of extra pay. Compensatory time-off does not apply to Temporary employees. [Overtime Pol 1.b.iii.]
4. Except for the paid time-off categories below, paid time off, such as vacation, PTO, sick time, Income Protection, and compensatory time off, does not count as part of the 40 hours in a week to determine if overtime pay is applicable and the amount of overtime pay that is due. [Overtime Pol 2.]

5. The following five categories of paid-time-off do count as part of the 40 hours in a week to determine if overtime pay is applicable and the amount of overtime pay that is due. [Overtime Pro Paid time-off that counts 1 and its subparts]
   a. Adverse Weather (WTH)
   b. Adverse Working Conditions (ADW)
   c. Emergency Rest Time (ERT)
   d. Holiday (including HOL and HTK)
   e. Injury with pay (INJ)

6. It is the responsibility of supervisors to plan and schedule work of employees covered by FLSA provisions so that it can be performed within the regularly scheduled hours and that overtime will occur only when absolutely necessary. Employees must have supervisory permission to work overtime. [Overtime Pol 3. in part] [Overtime Pol 5. in part]

7. Although mandatory overtime is discouraged, it is expected that employees will accept reasonable assignments to work overtime except where cases of personal emergency exist. It is the employee’s responsibility to bring to the supervisor’s attention the nature of a personal emergency so that the supervisor can make a decision to require the overtime work or not. [Overtime Pol 4.]

C. Reason for Policy
The Fair Labor Standards Act is complex with a long history of federal regulations and rulings written to explain and aid in the application of the act. This policy provides University managers and supervisors with directions necessary to comply with overtime pay provisions of FLSA. [Overtime Reason for Policy]
D. Procedures

1. Assigning overtime work for Support, Service, and Professional Overtime (PAO and PAU) Staff and Temporary employees

   a. When overtime work is scheduled in advance, departments should:

      i. Schedule qualified Staff employees so that they rotate turns having the opportunity to work the hours; and [Overtime Pro Assigning Overtime Work 1.a.]

      ii. Schedule qualified Staff employees according to their seniority within an occupational unit. [Overtime Pro Assigning Overtime Work 1.b.]

      iii. This provision does not apply when the assignment is for time immediately before or after the Staff employee’s regular hours and the work is the continuation of the employee’s regular work assignment. [Overtime Pro Assigning Overtime Work 1.b.i.]

      iv. As a general rule, employees in the CTC program on the Bloomington campus will not be assigned to work scheduled overtime until all qualified appointed SM employees in the unit have been asked to work. This provision shall not apply to continuation overtime i.e., overtime that occurs before or after an employee's regular scheduled shift.

      v. Departments may have other overtime assignment arrangements for which there are long-standing practices and mutual, written agreements between management and a union which are recognized by the parties. [Overtime Pro Assigning Overtime Work 1.c.]

   b. All qualified Staff employees in an occupational unit will be provided the opportunity to work the overtime before the assignment is offered to a Temporary employee for whom the assignment would be overtime. [Overtime Pro Assigning Overtime Work 2.]

   c. When selecting a Staff or Temporary employee to work the assignment, it is the department's prerogative to determine whether
an employee is qualified and can satisfactorily perform the required work. [Overtime Pro Assigning Overtime Work 3.]

2. Paid time-off that counts toward overtime pay for Staff employees

a. The following five categories of paid-time-off count as part of the 40 hours in a week to determine if overtime pay is applicable and the amount of overtime pay that is due. [Overtime Pro Overtime Paid time-off that counts toward overtime 1.]

i. Adverse Weather – Used only when the administration closes a campus due to adverse weather. [Overtime Pro Overtime Paid time-off that counts toward overtime 1.a.]

ii. Adverse Working Conditions – Used only when a Chancellor, Provost, or Vice President closes all or part of a campus due to adverse working conditions. [Overtime Pro Overtime Paid time-off that counts toward overtime 1.b.]

iii. Emergency Rest Time – Used only for Service Maintenance Staff employees at Bloomington who have worked for more that 16 continuous hours and who are required to take time off from work immediately after the emergency has ended to insure an adequate break from work for safety purposes. [Overtime Pro Overtime Paid time-off that counts toward overtime 1.c.]

iv. Holiday – Used whenever any holiday time is taken, including on the day observed (HOL) and at a later time (HTK). Campus Holiday is included. [Overtime Pro Overtime Paid time-off that counts toward overtime 1.d.]

v. Injury with pay-1st 7 days – Used to cover the time when the University is paying the employee’s full salary during the first seven calendar days of the injury. This benefit is limited to a total of 40 hours of INJ time per year. The other injury related time off codes will not count towards overtime. [Overtime Pro Overtime Paid time-off that counts toward overtime 1.e.]

b. All other categories of paid time off do not count as part of the 40 hours in a week to determine if overtime pay is applicable. [Overtime Pro Overtime Paid time-off that counts toward overtime 2.]
c. When an employee uses paid time off applied to any of these other categories (vacation, sick, PTO, etc.), there may be hours worked outside of the employee’s regular schedule that do not qualify to be paid as overtime. These hours worked will be compensated at a straight time rate either in the form of pay or compensatory time off at the department’s choice. Two new payroll codes have been developed to use for these hours: [Overtime Pro Overtime Paid time-off that counts toward overtime 3.]

- NEP  Non-overtime eligible pay [Overtime Pro Overtime Paid time-off that counts toward overtime 3.a.]
- NEC  Non-overtime eligible comp time (no pay) [Overtime Pro Overtime Paid time-off that counts toward overtime 3.b.]

d. In units that permit flexible or alternate work schedules, adjustments may occur in the number of hours applied to time off. If a department has given the employee a flexible scheduling option or an arrangement is made prior to taking the time off the amount of time applied to vacation, sick, PTO or absent without pay time may be reduced so that the total of time off and time worked equals 40 hours with no NEP or NEC time. [Overtime Pro Overtime Paid time-off that counts toward overtime 4.]

3. Compensation for overtime work for Support, Service, and PAO Staff

a. Support, Service, and PAO Staff must receive overtime compensation for hours worked in excess of 40 hours in a week. The overtime compensation shall be at a time and one half rate either in the form of pay or compensatory time off. Compensatory time off is subject to the rules contained in paragraph D.6. below. [Overtime Pro Overtime Compensation for overtime SS, Temp and PAO 1.]

b. The rate used to determine the time and one half rate will be calculated to include any temporary pay, bonus pay, or other pay that the employee received during the week in which the hours over 40 were worked. [Overtime Pro Overtime Compensation for overtime SS, Temp and PAO 2.]

4. Compensation for overtime work for PAU Staff
a. Staff classified as Professional Salaried-Overtime-Eligible (PAU) must receive compensation for hours worked over 40 in a week at a rate equal to half time the rate for the work performed. This compensation must be in the form of additional pay. Compensatory time off does not apply to PAU Staff. [Overtime Pro Overtime Compensation for overtime PAU 1.a.] [Overtime Pro Overtime Compensation for overtime PAU 1.b. in spirit]

b. The rate used to determine the half time rate will be adjusted upward to include any temporary pay, bonus pay, or other pay that the employee received during the week in which the hours over 40 were worked. [Overtime Pro Overtime Compensation for overtime PAU 2.]

5. **Compensation for overtime work for Temporary employees**
   Temporary employees receive overtime pay at the rate of time and one half for the overtime work performed for hours worked in excess of 40 hours per workweek. Compensatory time off does not apply to Temporary employees. [Overtime Pro Overtime Compensation for overtime SS, Temp and PAO 1.a.]

6. **Rules related to compensatory time off for Support, Service, and PAO Staff (Compensatory time off does not apply to PAU and Temporary employees)**

   a. Support and Service Staff employees should not accumulate more than 80 hours of compensatory time. [Overtime Pro Overtime Rules related to SS, and PAO 2.]

   b. Staff classified as Professional Overtime Eligible (PAO) should not accumulate more than 160 hours of compensatory time. [Overtime Pro Overtime Rules related to SS, and PAO 3.]

   c. The campus human resources office may approve higher accumulations for unusual circumstances that are in the University's best interest, up to the FLSA mandated limit of 240 hours. [Overtime Pro Overtime Rules related to SS, and PAO 5.]

   d. Unless a campus has established a different procedure, when the maximum accumulation has been reached, payment at a rate of pay
equal to one and one-half the regular rate for the work performed is the only option until the accumulated compensatory time drops below the limit, and a department may also convert accumulated compensatory time to pay at any time. [Overtime Pro Overtime Rules related to SS, and PAO 7.]

i. For Support Staff at Bloomington and Northwest, all compensatory time off accumulated by an employee in excess of 80 hours on November 1st will be paid in the first pay period following November 1st. At this time, employees may choose to be paid for any accumulated compensatory time between 40 and 80 hours. [Overtime Pro Overtime Rules related to SS, and PAO 6.a.]

ii. For Service Maintenance Staff at Bloomington, any compensatory time off accumulations in excess of 80 hours at the start of the first pay period after January 1st shall be paid or scheduled off at the discretion of the department. [Overtime Pro Overtime Rules related to SS, and PAO 6.b.]

e. Accumulated compensatory time off may be taken whenever it is mutually agreeable with the employee and the supervisor. See the Family and Medical Leave Act (FMLA) Rights policy for the provisions related to the use of compensatory time during an FMLA covered absence. [Overtime Rules related to SS, and PAO 7.]

f. When an employee promotes, demotes or transfers to another department or to a position in the same department not eligible for overtime compensation, any accumulated compensatory time must be granted as time off or pay before the move. [Overtime Pro Overtime Rules related to SS, and PAO 8.]

7. **Finishing up time at the end of a workday for Support, Service, Professional Overtime Staff and Temporary employees**

a. At the end of a workday, employees occasionally need less than 15 minutes to complete their duties. Employees may be compensated for this time by allowing them to arrive to work late or leave work early, on another day of the same workweek. The late arrival or early departure time must not exceed the finishing up time. [Overtime Pro Overtime Finishing up time at the end of a workday 1.]
b. When finishing up time results in more than 40 hours being worked in the workweek, the excess is recorded as overtime at the end of the workweek. [Overtime Pro Overtime Finishing up time at the end of a workday 2.]

8. Secondary employment for Support, Service, and PAO/PAU Staff and Temporary employees

a. A full or part-time Support, Service, and PAO/PAU Staff employee may be employed as a Temporary employee in another department and a Temporary employee may have multiple temporary jobs. [Overtime Pro Overtime Secondary employment 1.]

b. The compensation for overtime when an employee has more than one job will be based on a weighted average calculation for each week of work. This calculation uses the rates of all jobs for which work time was recorded during the week. [Overtime Pro Overtime Secondary employment 2.]

c. For Staff employees with temporary jobs, the overtime will be applied to the time worked in the Temporary job first. Overtime will only be applied to the Staff job when time worked in the Staff job exceeds 40 hours in the week. [Overtime Pro Overtime Secondary employment 3.]

d. For Temporary employees with multiple temporary jobs, the overtime will be applied to the job or jobs worked after exceeding 40 hours of work in the week. [Overtime Pro Overtime Secondary employment 4.]

9. Overtime for supervisory staff

Employees whose responsibility is primarily supervisory should not work overtime-nor assign themselves to work overtime unless the supervisory function is required for the overtime work. If sufficient Support or Service Staff are not available, a GS Staff member may be scheduled to perform the required work. [Overtime Pro Overtime for supervisory staff 1.]

10. Departmental and employee responsibilities

a. Departments are responsible for: [Overtime Pro Overtime Dept and emp responsibilities 1.]
i. Maintaining records of overtime worked and compensatory time earned and used. [Overtime Pro Overtime Dept and emp responsibilities 1.a.]

ii. Reporting overtime worked and compensatory time earned and used on the university provided records. [Overtime Pro Overtime Dept and emp responsibilities 1.b.]

b. Employees are responsible for: [Overtime Pro Overtime Dept and emp responsibilities 2.]

i. Obtaining supervisory authorization before working any overtime. [Overtime Pro Overtime Dept and emp responsibilities 2.a.]

ii. Keeping an accurate record of actual time worked. Time is to be recorded daily or weekly as provided for on the university provided records. [Overtime Pro Overtime Dept and emp responsibilities 2.b.]

E. Definitions

1. The University's workweek is defined as beginning and ending at 12:00 midnight on Saturday.

2. Overtime is defined as hours worked in excess of 40 hours in a workweek.

F. Sanctions

Managers, supervisors, and employees who violate this policy are subject to disciplinary action, up to and including termination.

G. Web Address for this Policy

hr.iu.edu/policies/uwide/overtime.html

H. Related Information

Work Time and Record Keeping for Support and Service Staff and Professional Staff who are Eligible for Overtime hr.iu.edu/policies/nonunion/4.0/4.3.html

Alternative Work Schedules hr.iu.edu/policies/nonunion/4.0/4.5.html

Examples of Overtime Calculations hr.iu.edu/policies/OT_Examples.pdf
I. History
The Fair Labor Standards Act (FLSA) was originally passed in 1938 and has been amended numerous times since then. In addition to regulations on overtime pay, the FLSA establishes minimum wage, recordkeeping, and child labor standards affecting full-time and part-time workers in the private sector and in Federal, State, and local governments.

J. Additional Contacts
Compensation
UHRS
812-855-7321
salaryiu@indiana.edu
Policy Interpretation
UHRS
812-856-6047
policy@indiana.edu
Policy Interpretation
Campus HR office
Various
Alternative Work Schedules

PA/SS 4.5
Revised January 7, 2010
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Policy

1. Indiana University encourages operating units to accommodate the childcare, family care, and other personal needs of employees by establishing alternative work schedules to the extent possible and consistent with the requirements of the operating unit. [Alternative Work Schedules Pol 1.]
   a. "Operating unit" means any university administrative unit including departments, divisions of departments, or work locations that report to a supervisor. [Alternative Work Schedules Definitions c.]
   b. "Alternative work schedules" refers to all university-approved practices that depart from the regularly scheduled workweek of the operating unit. [Alternative Work Schedules Definitions a.]
   c. The "workweek" for all campuses and departments begins at and ends at 12:00 midnight on Saturday. [Alternative Work Schedules Pol 2.]

2. The decision to establish an alternative work schedule is the sole discretion of the university. It is not required that alternative work schedules be uniformly available to all positions in a department or operating unit. Not every function is conducive to such alternative scheduling because of the requirements of operating units. This should not deter supervisors from approving alternative work schedules for positions where such scheduling can be accommodated. [Alternative Work Schedules Pol 4.]

3. Alternative work schedules do not alter the responsibility and authority of department heads to establish and change work schedules. An operating unit that has established an alternative work schedule may discontinue, temporarily suspend, or alter the arrangement if work needs change or if service is impaired. [Alternative Work Schedules Pol 5.]
4. An alternative work schedule is a special arrangement and a privilege and is not subject to the grievance procedure. [Alternative Work Schedules Pol 6.a.]

B. Types of alternative work schedules
For purposes of this policy the following types of alternative work schedules include but are not limited to the following:
1. "Flexible schedule" (often referred to as "flextime") means any supervisory-approved practice of permitting eligible employees to alter the standard hours on a daily basis. In such cases, operating units establish core hours when the employee must be present unless he or she is on an approved leave. Employees approved for a flexible schedule may change their start and end times on a daily basis provided they work the established core hours. [Alternative Work Schedules Pol 7.a.i.]
2. "Variable schedule" refers to a fixed work schedule that deviates from the standard work schedule and is mutually agreeable to the employee and the supervisor. This may include an agreement to alter the lunch break from the standard one-hour lunch. Unlike the flexible schedule (described above), this does not include the employee option to change the agreed-upon daily start and end work time. [Alternative Work Schedules Pol 7.a.ii.]
3. "Alternate workweek schedule" refers to a supervisory-approved practice that enables eligible employees to complete the basic work requirement of forty (40) hours per week in fewer or more than five (5) full workdays. The work schedule is standardized by mutual agreement of the employee and the supervisor. [Alternative Work Schedules Pol 7.a.iii.]

C. Requests for alternative work schedules
1. Any employee may request to work an alternative work schedule unless the employee's position is excluded either by the operating unit due to operating needs or by university policy. [Alternative Work Schedules Pro Requesting 1.]
2. When an employee desires a change in working hours, the employee will submit the request in writing to the supervisor. [Alternative Work Schedules Pro Requesting 2.]
3. The supervisor will make a reasonable effort to accommodate the request considering the criteria listed below. [Alternative Work Schedules Pro Requesting 3.]
4. At least annually—and after having worked the alternate schedule for a reasonable period of time—employees who work an alternative schedule will have an opportunity to request a change in their schedule. This includes an employee's request to return to the standard schedule. [Alternative Work Schedules Pro Requesting 3.a.]

5. Instead of receiving individual employee requests for alternative work schedules, departments may establish plans for alternative work schedules for their units and notify employees of the options and procedures for working such schedules. [Alternative Work Schedules Pro Requesting 2.a.]

D. Criteria for approving alternative work schedules

1. When considering requests for changes in work schedules, supervisors must comply with Federal and State wage and labor laws, as well as the following conditions: [Alternative Work Schedules Pro Criteria 1.]
   a. No alternative work schedule will be implemented that results in an employee working less than the position's budgeted FTE. [Alternative Work Schedules Pro Criteria 1.a.]
   b. An employee should not be required to work more than six consecutive hours without a minimum of a one-half hour lunch period free from the job. By mutual agreement between the employee and the supervisor, an employee can work more than six consecutive hours without an unpaid lunch break of 30 minutes or more, either as an occasional adjustment to the work schedule or on a regular basis as an alternative or flexible work schedule. In these situations every effort should be made to provide the employee the fifteen minute rest periods as provided in the Work Schedules or Work Time policies. [Alternative Work Schedules Pro Criteria 1.b.]
   c. Alternative work schedules must not interfere with the efficient operation of the university nor adversely affect the services that are provided to students, other operating units, or the public. [Alternative Work Schedules Pro Criteria 1.c.]
   d. The quantity, quality, and timeliness of employee work must be maintained. [Alternative Work Schedules Pro Criteria 1.d.]
   e. Adequate supervision and employee accountability must be maintained. [Alternative Work Schedules Pro Criteria 1.e.]
f. Alternative work schedules must not cause or contribute to the need for additional staff or overtime work. [Alternative Work Schedules Pro Criteria 1.f.]

g. Rest periods are a normal part of the work schedule. Time allowed for rest periods is not cumulative, and cannot be a basis for an alternative work schedule. [Alternative Work Schedules Pro Criteria 1.g.]
Premium Pay
PA/SS 4.6
Revised April 6, 2010

Employees covered by this policy
This policy applies to Support and Service Staff not covered by a union.

A. Purpose
Indiana University recognizes that certain work related circumstances call for additional compensation in the form of premium pay in addition to an individual's base salary. The purpose of this policy is to identify those circumstances, the criteria to qualify for the premium pay, the amount of the premium pay, and the general guidelines for administering the premium pay.

B. Introduction
This policy establishes the university's personnel policies on the following premium pay benefits for Support and Service Staff: call back pay, on-call or standby pay, shift differential, and Sunday premium.

C. Call-back pay
1. A Support and Service Staff Employee may sometimes be called back to work at his or her regular position outside the scheduled workday requiring an additional trip to and from work.
2. A Support and Service Staff employee who is called back pursuant to this policy will be compensated as follows:
   a. At all campuses, except for IUPUI, if the call-back work takes two hours or less, the employee will be compensated for two hours at time and one-half, even if the employee is called back more than once during that two-hour period.
   b. At IUPUI, if the call-back work takes three hours or less, the employee will be compensated for three hours at time and one-half, even if the employee is called back more than once during that three-hour period.
   c. In all cases, if the call-back work takes more time, the employee will be compensated for all hours worked at time and one-half.
3. Even if an employee receives the two or three hour minimum payment under paragraph 2 above, the actual time worked will count towards determining if overtime has been worked for the week.

D. Stand-by or on-call pay
1. Stand by hours are those periods of time when Support and Service Staff are required to be available on call to work at a time that is outside their normal scheduled hours of work.
2. Each campus will determine if it will provide on-call pay, what jobs are covered, what hours are covered, and the amount of the compensation for on-call time for the campus and will make that information available to Support and Service Staff employees in the affected
departments and the campus human resources office. In all cases: [Premium Pay Pro Support Staff On-Call Pay 2.]

a. During the designated on-call hours, employees assigned to on-call status are unrestricted in movements and location, but must remain accessible by phone or pager, in a fit condition to work. [Premium Pay Pro Support Staff On-Call Pay 3.a.i. in part] [Premium Pay Pro Support Staff On-Call Pay 3.a.ii. in part]
b. Employees assigned on-call status must be available and respond within a reasonable time period established by the department. [Premium Pay Pro Support Staff On-Call Pay 3.a.iii. in part]
c. Employees assigned to on-call status who cannot be located, who do not respond in a timely manner, or who fail to report to work when called in will forfeit on-call pay for that day. [Premium Pay Pro Support Staff On-Call Pay 3.b.]

E. Shift Differential Pay

1. Each campus will determine if it will provide any shift differential and, if so, what jobs are covered, what hours are covered, and the amount of the compensation for shift differential for that campus and will make that information available to Support and Service Staff employees in the affected departments and the campus human resources office. In all cases: [Premium Pay Pro Support Staff Shift Diff 1. in part] [Premium Pay Pro Support Staff Shift Diff 2. in part]

a. Shift differentials are separate from the base wage for the covered positions. [Premium Pay Pro Police Shift Diff 2.c.] [Premium Pay Pro Support Staff Shift Diff 2.c.]
b. The shift differential is to be combined with the base hourly rate before the calculation of any overtime rate for hours worked that are covered by a shift differential. [Premium Pay Pro Police Shift Diff 1.d.] [Premium Pay Pro Support Staff Shift Diff 2.d.]
c. An employee who is absent and charges time to accumulated vacation or income protection time benefits, will be paid shift differential if it would have been paid if the time had been worked. [Premium Pay Pro Police Pro Shift Diff 2.b.] [Premium Pay Pro Support Staff Shift Diff 2.b.]
d. Shift differential is not paid on paid-time-off benefits received as separation pay. [Premium Pay Pro Police Shift Diff 2.c.]

2. IUPUI has determined that it will provide the following shift differential:

a. Shift differential is paid for hours worked between 3:00 p.m. and 8:00 a.m. provided that a minimum of six consecutive hours is worked during the designated shift differential period. [Premium Pay Pro Police Shift Diff 2.a.] [Premium Pay Pro Support Staff Shift Diff 2.g.i. first dot]
b. Except as provided below, shift differential is not paid if the scheduled shift is less than six hours. [Premium Pay for Police Shift Diff 2.a. in part]
c. A staff member who is scheduled, called back, or called in to work outside the normal daily work schedule and requires an additional trip to and from work outside the normal workday is eligible for shift differential for time worked between 3:00 p.m. and 8:00 a.m. regardless of the length of time worked. [Premium Pay Pro Support Staff Shift Diff 2.g.i. first dot]
d. Covered jobs and shift differential rates are published annually in the IUPUI Staff Salary Schedules. [Premium Pay Pro Support Staff Shift Diff 2.g.i. second dot]
F. Sunday premium pay
1. Each campus will determine whether it will pay a premium for time worked on a Sunday and, if so, what the amount will be and what jobs will receive the premium payment. In all cases: [Premium Pay Pro Support Staff Sunday Premium 1.]
   a. Sunday premiums are separate from the base wage for the covered positions. [Premium Pay Pro Support Staff Sunday Premium 1.a.]
   b. The Sunday premium is to be combined with the base hourly rate before the calculation of any overtime rate for hours worked that are covered by a Sunday premium. [Premium Pay Pro Support Staff Sunday Premium 1.b.]
   c. An employee who is absent and charges time to accumulated vacation or income protection time benefits will be paid the Sunday premium if it would have been paid if the time had been worked. [Premium Pay Pro Support Staff Sunday Premium 1.c.]
   d. Sunday premium is not paid on paid-time-off benefits received as separation pay. [Premium Pay Pro Support Staff Sunday Premium 1.d.]
2. IUPUI has determined that it will provide Sunday premium as follows:
   a. Time worked between 12:00 a.m. and 12:00 midnight on Sunday is paid at a rate of pay equal to one and one-quarter the employee’s normal hourly rate. [Premium Pay Pro Support Staff Sunday Premium 2.a.]
Performance Improvement Plan
PA/SS 6.3
Revised October 1, 2003
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Definition
1. A Performance Improvement Plan is a written tool available to supervisors for the purpose of:
   a. Improving the performance or behavior of the employee
   b. Addressing performance discrepancies identified in a performance management process
2. Cooperation and continuing communication between the employee and supervisor is essential to the success of the Performance Improvement Plan. It is a tool to use only if the supervisor and the employee have mutual agreement on the contents of the plan.

B. Procedure for implementing the Performance Improvement Plan
1. Define the problem
   a. Each needed improvement should be identified in separate statement(s).
   b. Each statement(s) should be supported by appropriate documentation using specific examples to identify areas of improvement.
2. Define the task, skills and/or behaviors where improvement is required.
3. Establish the priorities of the areas requiring improvement. Consider frequency of occurrence, relationship to all aspects of the position, and consequence of error.
4. Identify the standards upon which performance will be measured for each area requiring improvement.
   a. Are they reasonable?
   b. Are they attainable?
5. Develop a mutually agreeable (supervisor/employee) action plan specifying how the standards will be met. This should include specific
training and any other special support that will assist the employee to meet the standards. [Performance Improvement Pro 5. in part]

6. Establish short and long-range goals and timetables for accomplishing change in performance/behavior with the employee. [Performance Improvement Pro 6.]
   a. Are they reasonable? [Performance Improvement Pro 6.a.]
   b. Are they attainable? [Performance Improvement Pro 6.b.]
   c. Are they flexible? [Performance Improvement Pro 6.c.]

7. Put the Performance Improvement Plan in writing and include signatures of both the employee and supervisor to indicate agreement with the plan and its contents. [Performance Improvement Pro 7.]

8. Establish periodic review dates. [Performance Improvement Pro 8.]
   a. Both the supervisor and the employee must participate in monitoring goals. [Performance Improvement Pro 8.a.]
   b. Measure actual performance against the standards. [Performance Improvement Pro 8.b.]
   c. Results of each meeting should be made available in writing. [Performance Improvement Pro 8.c.]

9. Establish a Performance Improvement Plan file for the employee. [Performance Improvement Pro 9.]
   a. Include documentation that identifies both improvements and/or continued deficiencies. [Performance Improvement Pro 9.a.]
   b. Encourage the employee to review this file periodically. [Performance Improvement Pro 9.b.]

10. At the end of the Performance Improvement Plan time period, a final evaluation should be conducted. Was the plan successful? [Performance Improvement Pro 10.]
    a. If so, the employee should be notified and removed from the plan. [Performance Improvement Pro 10.a.]
    b. If not, consider the following options: [Performance Improvement Pro 10.b.]
       i. Continue the plan if there is mutual agreement to do so [Performance Improvement Pro 10.b.i.]
       ii. Amend or extend parts of the plan using the steps above and with mutual agreement to do so. [Performance Improvement Pro 10.b.ii.]
iii. Apply corrective action following the procedures of the Corrective Action policy. [Performance Improvement Pro 10.b.iii.]
Separation from the University

PA/SS 7.2
Revised October 14, 2008
Changes indicated in red font.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Guidelines for voluntary separation
1. Employees are expected to give advance notice of at least two weeks when leaving the university. [Vol & Invol Separation Pol 2.a.]
2. During the notice period, Support and Service Staff may be required to take accrued vacation; Professional Staff may be required to take accrued PTO. [Vol & Invol Separation Pol 2.b.]
3. See the Separation Pay policy for a description of terminal pay benefits for an employee who separates from university employment. [Vol & Invol Separation Forms 1.]

B. Guidelines for involuntary separation
1. Prior to deciding whether or not to separate an employee, the administrative authority considering the action will apply the steps contained in the Corrective Action policy. [Vol & Invol Separation Pro Invol separation corrective action 1.]
2. Departments must clear the final written notice of all involuntary separations with the campus human resources department before distributing the notice to the employee. [Vol & Invol Separation Pol 5.]
3. When the university separates an employee from employment for just cause, a notice period is not required. An employee separated under the Reduction in Force policy is to receive a notice period as stipulated in that policy. [Vol & Invol Separation Pol 4.a.iv. in spirit] [Vol & Invol Separation Pro Invol separation corrective action 2. in part]
4. If a notice period is given, Support and Service Staff may be required to take accrued vacation and Professional Staff may be required to take accrued PTO during the specified notice period. This provision also applies to a separation under the Reduction in Force policy. [Vol & Invol Separation Pol 3.b.]
5. See the Separation Pay policy for a description of terminal pay benefits for an employee who separates from university employment. [Vol & Invol Separation Forms 1.]
C. Continuation of health care coverage
Under certain circumstances, staff who separate may continue health care coverage and should contact the campus human resources office for details. [Vol & Invol Separation Forms 2.]

PROCEDURE

D. How to process separations

1. When the separation date is determined, a department head must initiate the appropriate HRMS document. The action reason must be indicated on the E-Doc with an explanation of the reason for the separation added to the "Notes" section of the E-Doc. [Vol & Invol Separation Pro How to process 1. in part]
   a. For assistance in determining the action reason, see the document, Termination/Separation Reasons. [Vol & Invol Separation Pro How to process 1. in part]

2. The effective date of separation is the day after the last day on the job except in the following circumstances. In such cases, if the employee is separated, the day after the end of these events is the effective date of separation. [Vol & Invol Separation Pro How to process 3. and its subparts]
   a. On an unpaid leave of absence for any reason
   b. On a Family and Medical Leave of Absence with or without pay
   c. On an absence caused by an injury on the job
   d. Using income protection time
   e. Removed from work with or without pay, pending a decision to separate for just cause
   f. Required to use vacation time or PTO during the notice period

3. If an employee dies, the effective date of separation is the day after the death, whether the employee was working, using paid-time-off benefits, on leave, or absent without pay on the day of death. [Vol & Invol Separation Pro How to process 4.]

4. Payroll determines the terminal payment for accrued time off for which an employee is eligible. All terminal payout for accruals should be processed with the last regular payroll cycle. (See the exception below.) [Vol & Invol Separation Pro How to process 7.]
   a. Upon request, staff who have been involuntarily separated or separated because of a RIF may receive unpaid wages within three
workdays of the request to a supervisor. Departments should contact the campus payroll office to arrange payment. [Vol & Invol Separation Pro How to process 7.a. in part]

5. Departments are to obtain a permanent forwarding address. [Vol & Invol Separation Pro How to process 6.]

6. Departments are to instruct the employee to contact the campus human resources department concerning the status of benefit programs. [Vol & Invol Separation Forms 2.]

7. The supervisor should ensure that (1) the employee returns all university property (keys, uniforms, tools, information, etc.) and (2) the employee's e-mail account, long distance authorization, university credit cards, and other similar items are cancelled as appropriate. [Vol & Invol Separation Pro How to process 9.]
Separation Pay
AFSCME(BL, IN, SB) 9.2 • CWA 13.4 • PA/SS 7.3 • Police(BL, IN, NW, SB, SE)

Effective:
Last Updated: October 1, 2009
Responsible University Office: University Human Resources
Responsible University Administrator: Senior Vice President and Chief Financial Officer
Policy Contact: University Human Resources

A. Scope
This policy applies to all Staff employees.

B. Policy Statement
Staff employees are eligible for separation pay at their regular rate of pay for certain accrued benefits when separating from university employment. The conditions for determining separation pay are listed below.

C. Procedures

1. Professional Staff: voluntary or involuntary separation
   a. All employees on the PA time off plan receive the accrued benefits described below, whether or not the employee gives or receives notice of separation. [PTO PA Pro Payment for Unused Accruals 3. In part]
      i. Holidays that are still eligible for use within the specific time allowed. [Holidays Pro 13] [PTO PA Pro Payment for Unused Accruals 3.a.]
      ii. Paid Time Off (PTO) balance. [PTO PA Payment of Unused Accruals 3.b.]
      iii. Compensatory time off for PAO and PAU Staff. [Overtime Rules related to compensatory time off 8] [PTO PA Pro Payment for Unused Accruals 3.c.]
      iv. Honorary vacation balance, up to a maximum of 60 days (480 hours) for 100% FTE staff. (Professional staff employed prior to 1985—or promoted from a Support and Service position to a PA position prior to May 2002)—may have previously accrued
honorary vacation.) [PTO PA Effect of Classification Change 2.c. in part] [PTO PA Pro Payment for Unused Accruals 3.d.]

v. Except as provided below for separations with IU Retiree status or at time of death, employees do not receive separation pay for sick bank accruals. [PTO PA Payment of Unused Accruals 3.e.]

b. All employees on the **PB** time off plan receive the accrued benefits described below, whether or not they give or receive notice of separation.

i. Bonus holidays. An employee who separates from employment on the last working day of March, June, or September (or the last workday before December 15 if that is not a workday) will receive the quarter's bonus holiday. [PTO PB Pro Separation Pay 1.a. in part]

ii. Holidays that are still available for use within the specific time allowed. [PTO PB Pro Separation Pay 2.]

iii. Vacation time up to a maximum (excluding honorary vacation) of 200 hours, *plus* the number of vacation hours that the employee earns in a full year. (This is called the employee's annual allowance.) [PTO PB Pro Separation Pay 3.]

iv. Compensatory time off for PAO and PAU Staff. [PTO PB Pro Separation Pay 4.]

v. Honorary vacation up to a maximum of 480 hours. [PTO PB Pro Separation Pay 5.]

vi. Except as provided below for separations with IU Retiree status or at time of death, employees do not receive separation pay for sick bank accruals. [PTO PB Pro Separation Pay 6.]

2. Professional Staff: IU Retiree status or death

a. Professional staff on the **PA** time off plan

i. Refer to the Web page, *Retiree Status and Benefits*, for information about qualifying for IU Retiree status.

ii. In addition to the items listed in the above section, “Voluntary or involuntary separation,” some Professional Staff receive
separation pay for accrued sick bank time. To be eligible, the employee must be enrolled in PERF or the IU Retirement 11.25% Plan and have more than 152.0 sick bank hours. Eligible staff receive pay at the rates listed below. [PTO PA Payment of Unused Accruals 2. In part]

- 25% of pay for 152.0 through 312.0 hours [PTO PA Payment of Unused Accruals 2.a. In part]
- 50% of pay for hours more than 312 hours. [PTO PA Payment of Unused Accruals 2.b. In part]
- Staff enrolled in the IU Retirement 10%, 12%, or 15% Plans do not receive separation pay for sick bank accruals with the exception in paragraph 3.a. below. [PTO PA Payment of Unused Accruals 3.]

b. Professional staff on the PB time off plan

i. Refer to the Web page, Retiree Status and Benefits, for information about qualifying for IU Retiree status.

ii. Bonus holidays including the bonus holiday for the last quarter worked provided that the employee worked one month of the quarter. [PTO PB Separation pay 1.]

iii. Holidays, vacation, compensatory time, and honorary vacation are the same as Section B. 2. above.

iv. Income protection time. Employees enrolled in PERF or IU Retirement 11.25% Plan with more than 152.0 income protection hours accrued receive pay at the rates listed below. [PTO PA Payment of Unused Accruals upon Termination 2.] [PTO PB Separation pay 7.]

- 25% of pay for 152.0 through 312.0 hours [PTO PA Payment of Unused Accruals upon Termination 2.a.] [PTO PB Separation pay 7.a.]
- 50% of pay for hours more than 312.0 hours. [PTO PA Payment of Unused Accruals upon Termination 2.b.] [PTO PB Separation pay 7.b.]
v. Staff enrolled in the IU Retirement 10%, 12%, or 15% Plans do not receive separation pay for income protection (sick hours) with the exception noted below. [PTO PA Payment of Unused Accruals upon Termination 4.] [PTO PB Separation pay 8.]

c. Professional Staff with vested rights in both PERF and the IU Retirement 12% Plan [PTO PB Separation pay 9.]

i. It is possible for employees to be covered under university service for vested rights in both PERF and the IU Retirement 12% Plan. In such cases, separation payment for accrued sick leave time is applicable if the years of employment under PERF equal 50% or more of the total service. However, the benefit is a multiple of the percentage of total employment under PERF. [PTO PA Payment of Unused Accruals upon Termination 4.] [PTO PB Separation pay 9.a.]

ii. This exception does not apply to staff enrolled in the IU Retirement 10% or 15% Plans. [PTO PA Payment of Unused Accruals upon Termination 3. In spirit] [PTO PB Separation pay 9.b.]

iii. Persons who are vested in both PERF and the IU Retirement 11.25% Plan will, for purposes of this policy, be treated as though they had continued PERF enrollment. [PTO PA Payment for Unused 2.] [PTO PB Separation pay 9.c.]

d. Professional Staff in the IU Retirement 15% Plan [PTO PB Separation pay 10.]

i. Professional Staff in the IU Retirement 15% Plan will have vacation or PTO deducted from the interim benefit payment. Contact the campus human resources office for details. [PTO PA ] [PTO PB Separation pay 10.a.]

3. Support and Service Staff: voluntary or involuntary separation [Vacation Pro 7 and its subparts]

a. Support and Service Staff receive the accrued benefits listed below whether or not the employee gives or receives notice of separation.
i. Holidays that are still available for use within the specific time allowed. [Holidays Pro 13.]

ii. Compensatory time off. [Overtime Rules related to compensatory time 9.]

iii. Vacation time. To be eligible to receive separation pay for vacation time, an employee must have six months of service. The following table shows the maximum amount for which an employee receives separation pay for vacation time. [Vacations Pro 7.a.]

<table>
<thead>
<tr>
<th>Years of university service credit [Vacation Pro 7.a.]</th>
<th>Maximum Separation Pay (hours)</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 Months through 6 years</td>
<td>312</td>
</tr>
<tr>
<td>start of 7 through 13 years</td>
<td>352</td>
</tr>
<tr>
<td>start of 14 years</td>
<td>392</td>
</tr>
<tr>
<td>start of 15 years</td>
<td>432</td>
</tr>
<tr>
<td>start of 16 years</td>
<td>472</td>
</tr>
<tr>
<td>start of 17 years</td>
<td>512</td>
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<td>592</td>
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<tr>
<td>start of 23 years</td>
<td>752</td>
</tr>
<tr>
<td>start of 24 years</td>
<td>792</td>
</tr>
<tr>
<td>start of 25 years to end of 29 years</td>
<td>832</td>
</tr>
<tr>
<td>start of 30 years and beyond</td>
<td>872</td>
</tr>
</tbody>
</table>

4. Support and Service Staff: IU Retiree status or death

   a. Refer to the Web page, Retiree Status and Benefits, for information about qualifying for IU Retiree status.
b. In addition to the items in Section D above, Support and Service Staff enrolled in PERF who separate with IU Retiree status regardless of the reason for the separation or who die are entitled to receive separation pay for accrued income protection time in excess of 152 hours. The death of an employee at any age and with any years of service entitles the beneficiary to receive this benefit. [PTO PA Payment of Unused Accruals upon Termination 2.]

i. The benefit is 25 percent of pay for hours in excess of 152.0 through 312.0 and 50 percent of pay for hours in excess of 312.0. [PTO PA Payment of Unused Accruals upon Termination 2.a.]

ii. It is possible for employees to be covered under university service for both vested rights in PERF and the IU Retirement 12.0 Plan. In such cases the benefit is applicable if the years of employment under PERF equal 50 percent or more of the total service, but the benefit will be a multiple of the percentage of total employment under PERF. [PTO PA Payment of Unused Accruals upon Termination 3.]

D. Sanctions
Managers, supervisors, and employees who violate this policy are subject to disciplinary action, up to and including termination.

E. Web Address for this Policy
hr.iu.edu/policies/appointed/separation_pay.html
Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. How to report on-the-job injuries
1. Employees must report all on-the-job injuries to their supervisor immediately. [Injury on the Job Pol 1. in part]

   Failure to report the injury the same day of occurrence may result in denial of a claim by Worker's Compensation. [Injury on the Job Pol 1. in part]

2. Supervisors must report an injury on the Occupational Injury-Illness Report form within 24 hours, regardless of whether the injury required professional medical attention or resulted in lost time. The form can be obtained from Worker's Compensation. [Injury on the Job Pro Reporting 1. in part]
   a. Except at Bloomington and IUPUI, supervisors are to send the form to the campus human resources office. The campus human resources office must submit all reports to Worker's Compensation in Bloomington. [Injury on the Job Pro Reporting 1. included with contact information]
   b. Supervisors on the Bloomington campus are to send the form directly to Worker's Compensation. If treatment is sought, the supervisor must also complete the Employer Authorization for Treatment form prior to or at the time treatment is sought. [Injury on the Job Pro Reporting 1. included with contact information]
   c. Supervisors on the IUPUI campus are to send the Employer Authorization for Treatment form to Occupational Health Services. [Injury on the Job Pro Reporting 1. included with contact information]

3. The university chooses the attending physician for treatment of on-the-job injuries. [Injury on the Job Pro Reporting 3.]
   a. Except at Bloomington and IUPUI, staff should contact the campus human resources department regarding the procedure for medical
treatment. [Injury on the Job Pro Reporting 3. included as “campus specific treatment”].

b. Bloomington staff must go to the IU Health Occupational Health Services (East), formerly Promptcare, located at 326 Woodcrest Drive (the corner of East 3rd Street and Woodcrest Drive). If the center is closed or the injury is an emergency, staff should go to the IU Health Bloomington Hospital Emergency Room. [Injury on the Job Pro Reporting 3. included as “campus specific treatment”].

c. IUPUI staff must go to Occupational Health Services, Coleman Hall, for treatment of on-the-job injuries. If the health center is closed or if the injury is an emergency, staff should go to the University Hospital Emergency Room. [Injury on the Job Pro Reporting 3. included as “campus specific treatment”].

d. Contact Worker's Compensation for answers to questions concerning these procedures. [Injury on the Job Pro Reporting 3.a.]

4. Before leaving the treatment location, employees must obtain and provide to their supervisor a physician’s statement regarding the employee’s return-to-work status. [Injury on the Job Pro Return 1.]

B. For accidents involving exposure to human tissue, blood, or fluid

Bloomington campus

1. For accidents involving exposure to human tissue, blood, or fluid, staff must go to IU Health Occupational Health Services (East) within two hours of exposure. [Injury on the Job Pro For accidents 1.]

   a. If the center is closed, staff must report to the IU Health Bloomington Hospital Emergency Room within two hours of exposure. [Injury on the Job Pro For accidents 1.a. included as “campus specific treatment”].

   b. If a sample of the source of contamination can be obtained, it should be taken to the center or hospital for testing. [Injury on the Job Pro For accidents 1.d.]

   c. The employee's supervisor must complete the Employer Authorization for Treatment form and submit it online to the center. [Injury on the Job Pro For accidents 1.]

   d. The supervisor must obtain a copy of the Occupational Injury-Illness Report form from Worker's Compensation, complete it and submit it to Worker's Compensation. [Injury on the Job Pro For accidents 1.]

IUPUI campus
2. For accidents involving exposure to human tissue, blood or fluid, call 274-OUCH immediately. You will be provided information on what steps to follow. [Injury on the Job Pro For accidents 1.a. included as “campus specific treatment”.

3. Regardless of the medical treatment, an Occupational Injury/Illness Report must be completed and forwarded to Occupational Health Services. [Injury on the Job Pro For accidents 1.]

All other campuses

4. Staff must contact the campus Human Resources office and the risk officer of Biosafety regarding procedures for accidents involving exposure to human tissue, blood or fluid. [Injury on the Job Pro For accidents 1.c.]

C. Return to work

1. The following are three possible outcomes for an injured employee following initial treatment: [Injury on the Job Pro Return 2.]
   a. The employee is released to return to work with no restrictions. [Injury on the Job Pro Return 2.a.]
   b. The employee is released to work with temporary restrictions, sometimes referred to as "light duty." If the university can provide work for the employee, the employee is brought back to work within the restrictions; if the university cannot provide such work, the employee remains off from work. [Injury on the Job Pro Return 2.b.]
   c. The employee is not released to return to work and remains off from work. [Injury on the Job Pro Return 2.c.]

2. If the attending physician gives the employee work restrictions – and the university can provide work for the employee within the restrictions – then the employee is not entitled to receive temporary total disability benefits. [Injury on the Job Pro Return 3.]

3. If an FMLA-eligible employee declines a modified position assignment offered under Worker’s Compensation, FMLA leave should start immediately. See the policy, “Family Medical Leave Act (FMLA) Rights,” for details on how to initiate this process. [Injury on the Job Pro Return 4.]

D. Eyewear and Chiropractic services

1. Worker's Compensation will pay the cost of replacing or repairing eyeglasses or contact lenses damaged or broken as a result of an on-the-
job injury or accident. If replacement is required, eyeglasses or lenses of an equivalent cost will be provided. [Injury on the Job Pro Eyewear 1.]

2. If the attending physician of an on-the-job injury case recommends chiropractic services, the university will pay for the recommended services. This policy applies to specific circumstances only. Contact Worker's Compensation for guidelines before seeking chiropractic care. [Injury on the Job Pro Eyewear 2.]

E. Supplemental payments
1. When nonunion-represented, full-time appointed employees incur injury or occupational disease while performing their duties, they receive a supplemental benefit in addition to those provided by state law provided they follow the procedures for reporting an injury. [Injury on the Job Pro Supplemental 1.]

2. For the first seven calendar days of a disability due to an on the job injury, the following provisions apply:
   a. For the first 40 regularly scheduled work hours in a payroll calendar year in which an employee is unable to work as the result of on the job injuries, the university will provide the employee’s full salary at the regular pay rate. [Injury on the Job Pro Supplemental 1.a.]
   b. After the first 40 hours missed in a payroll calendar year are paid, any other time missed from work during the first seven days following any injury in that year will either be without pay or charged to the employee’s accumulated time off benefits at the employee’s choice. [Injury on the Job Pro Supplemental 1.b.]
   c. Department heads may require a physician’s statement before approving payment for absences during the seven-day period. [Injury on the Job Pro Supplemental 2.]

3. Union-represented employees should go to the personnel policy manual applicable to their classification for the terms of the supplemental payments covering them. [Injury on the Job Pol 2.]

F. State Worker’s Compensation Benefit
1. If Worker's Compensation determines that the employee is eligible, the employee will receive the lost wages benefit of the state Worker’s Compensation beginning on the eighth calendar day of disability. Such Compensation pays a portion of the employee’s salary. State legislation (which changes from time to time) determines the exact amount paid by Worker’s Compensation. [Injury on the Job Pro State of Indiana 1.]
a. For information about payment amounts and claims procedures, contact Worker's Compensation in Bloomington. [Injury on the Job Pro State of Indiana 1.a.]

2. Employees may choose to supplement the state benefit through the use of accrued paid time off benefits in order to receive their full salary. [Injury on the Job Pro Payroll 1.]
a. Employees may charge a maximum of four hours per day to accrued paid time off benefits and compensatory time. [Injury on the Job Pro Payroll 1.a.]
b. Charges to vacation earnings do not count against the amount of vacation time employees can use in a calendar year. [Injury on the Job Pro Payroll 1.c.]
c. Employees who choose this option will continued to accrue paid time off earnings at the full time rate. [Injury on the Job Pro Payroll 1.d.]

3. Employees may choose not to use accrued time off benefits or may deplete their accrued time off benefits. In such cases, the employee is recorded as absent without pay and without time off benefit accrual. [Injury on the Job Pro Payroll 2.]

4. If the employee does not return to work by the 30th calendar day of absence without pay and is still receiving the lost wages benefit of Worker’s Compensation, he or she is placed on a leave of absence and will continue to receive university service credit. Worker’s Compensation payments will continue as long as eligible under provisions of the law. [Injury on the Job Pro Payroll 2.a.]
Adverse or Unsafe Working Conditions
AFSCME(B, IN, SB) 10.1 • CWA 7.4 • PA/SS 8.2 • Police(BL, IN, NW, SB, SE)

Effective: April 1, 2008
Last Updated: July 1, 2010
Responsible University Office: University Human Resources
Responsible University Administrator: Senior Vice President and Chief Financial Officer
Policy Contact: University Human Resources

A. Scope
This policy applies to all Staff employees.

B. Policy Statement

1. There may be times when the physical conditions of a workplace make it impossible or impractical for employees to work in their usual work location. Adverse or unsafe conditions could affect a specific building, part of a building, an area of campus, or an entire campus [Working Through Adverse Working Conditions Pol 1.]

2. In such circumstances and with the proper approvals, affected employees can be reassigned or released from work subject to the procedures described below. [Working Through Adverse Working Conditions Pol 2.]

C. Procedures

1. Reassignment or release from work due to adverse or unsafe working conditions [Working Through Adverse Working Conditions Pro 1.]

   a. Based on an assessment of adverse or unsafe working conditions, the chancellor, provost, or appropriate vice president may direct employees to work in another location or may close the workplace by directing employees not to report to work and/or by releasing those affected employees who are already at work. To the extent that unsafe or adverse working conditions can be anticipated, employees will be given advance notice not to report to work. Pay and leave issues will be addressed in all cases in accordance with this policy. [Working Through Adverse Working Conditions Pro 1.a. in part]
b. The chancellor, provost, or appropriate vice president has the authority to close a specific building or part of a building, an area of a campus, or an entire campus. Management will use its best efforts to designate and communicate the closing and reopening times.

c. During the period that a workplace is closed, the university will attempt to resolve the adverse or unsafe working condition or identify alternative work locations and arrangements so that employees are able to return to work as soon as possible. The university retains the right to assign a person to a different work location at its discretion.

d. If the adverse or unsafe working condition is limited to a specific building, part of a building, or to a specific area of a campus, and other portions of the campus remain open, employees who do work during such periods will receive their regular rate of pay. This includes employees assigned to rectify, repair, or otherwise perform work related to the situation.

e. If the situation is widespread and severe such that the entire campus is closed, emergency Support and Service Staff who are required to work will receive their regular rate of pay plus time and one-half additional time or pay, as determined by the department head. Professional Staff will receive their regular rate of pay.

i. It is the responsibility of the department head to designate which jobs, if any, are subject to emergency work requirements.
2. Closing of a workplace for up to five working days [Working Through Adverse Working Conditions Pro 2.]
   a. If a workplace is closed pursuant to this policy, the affected employees who were scheduled to work and were not at work solely because of the adverse working conditions will incur no loss of pay and will not be required to cover any absences due to the closing for up to five working days. The absence is to be coded as Adverse Working Conditions (ADW). Employees who were not scheduled to work or were not at work because of such reasons as vacation, holiday, sick time, funeral, or leave of any type whether paid or unpaid, will continue in that status and their absence will be coded according to the particular reason for the absence. [Working Through Adverse Working Conditions Pro 2.a in part] [Working Through Adverse Working Conditions Pro 2.a.i in part]
   b. Any portion of an employee's regular workday counts as one day for the purposes of this policy. [Working Through Adverse Working Conditions Pro 2.b.]

3. Closings that extend beyond five working days [Working Through Adverse Working Conditions Pro 3.]
   a. Whenever a workplace is closed pursuant to this policy for more than five working days, Support and Service Staff must cover any additional time away from work using one or more of the following: [Working Through Adverse Working Conditions Pro 3.a.]
      i. Accrued vacation, holiday, or income protection time [Working Through Adverse Working Conditions Pro 3.a.i.]
      ii. Accrued compensatory time [Working Through Adverse Working Conditions Pro 3.a.ii.]
      iii. Absence without pay and with benefit accrual (AWB) [Working Through Adverse Working Conditions Pro 3.a.iii.]
      iv. With department head approval, work at a different location on or off campus [Working Through Adverse Working Conditions Pro 3.a.iv.]
v. With department head approval, make up the time on an hour-for-hour basis within the same workweek of the absence. Hours made up in addition to 40 hours in pay status in a workweek are subject to overtime compensation. [Working Through Adverse Working Conditions Pro 3.a.v.]

b. Whenever a workplace is closed pursuant to this policy for more than five working days, Professional Staff must cover any additional time away from work using one or more of the following: [Working Through Adverse Working Conditions Pro 3. And its subparts]

i. Accrued paid time off or sick leave account time (in full days for PAE Staff and hour-for-hour for PAO and PAU Staff).

ii. Accrued compensatory time for PAO Staff.

iii. Absence without pay and with benefit accrual (AWB).

iv. With department head approval, work at a different location on or off campus.

v. With department head approval, PAO and PAU Staff may make up time on an hour-for-hour basis in the same work week of the absence. Hours made up in addition to 40 hours in pay status in a workweek are subject to overtime compensation.

c. The use of any type of paid time off to cover time away due to adverse or unsafe working conditions does not count against the maximum amount that can be used in a calendar year. [Working Through Adverse Working Conditions Pro 3.b.]

D. Definitions

1. *Adverse or unsafe working conditions* covered by this policy are physical conditions of a workplace that make it impossible or impractical for employees to work in their usual work location. Examples of adverse or unsafe conditions are loss of heat or electricity, damaged buildings, restricted access to an area of campus due to flooding or tornado damage, or situations that implicate personal safety.

2. Adverse or unsafe conditions could affect a specific building or part of a building, an area of a campus, or an entire campus.
E. Sanctions
Managers, supervisors, and employees who violate this policy are subject to disciplinary action, up to and including termination.

F. Web Address for this Policy
hr.iu.edu/policies/appointed/adverse_working.html
Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Absences with pay and time off accruals [Time Off Accruals During Absences Pol A. in part]
All Staff
1. All Staff accrue time off and receive pay for absences that are allowed under the following personnel policies: Holidays, Leaves for Military Duty, Voting and Court Duty, and Adverse Weather. [Time Off Accruals During Absences Pol Absences with pay and time off accrual in part]

Support and Service Staff
2. Support and Service Staff accrue time off and receive pay for absences that are allowed under the following policies: Overtime (specifically, compensatory time off for overtime worked), Income Protection, Vacation, and Funeral Leave. [Time Off Accruals During Absences Pol Absences with pay and time off accrual in part]

Professional Staff
3. All Professional Staff accrue time off and receive pay for absences allowed under the following personnel policies: Paid Time Off for Professional Staff or Time Off for PB Staff. Professional Staff in the Overtime Eligible (PAO) salary plan also accrue time off and receive pay for absences allowed under the Overtime policy. [Time Off Accruals During Absences Pol Absences with pay and time off accrual in part]

B. Absences without pay and without time off accrual [Time Off Accruals During Absences Pol Absences without pay and without time off accrual]
1. All Staff do not receive pay nor accrue time off during the following situations: a reduction in force, a layoff of 30 days or more, a leave of absence, an FMLA leave that is not covered by any type of paid time off, or time away from work not covered by a policy listed in Sections A or C. [Time Off Accruals During Absences Pol Absences without pay and without time off accrual 1.a.-d.]
2. If an employee does not return to the job after 30 calendar days without pay, the department must initiate a leave of absence or termination. (The amount of work hours is prorated by FTE for part-time Staff.) [Time Off Accruals During Absences Pol Absences without pay and without time off accrual 2.]

C. Absences without pay and with time off accrual [Time Off Accruals During Absences Pol Absences without pay and with time off accrual]
1. Staff who are absent without pay accrue time off under the following conditions: [Time Off Accruals During Absences Pol B.1.]
   a. An employee cannot work due to a layoff of 30 calendar days or less, or at the request of a supervisor or department head. [Time Off Accruals During Absences Pol Absences without pay and with time off accrual 1.a.]
   b. An employee cannot travel to work due to adverse weather (even though the campus is open) or cannot work due to adverse working conditions or facilities. [Time Off Accruals During Absences Pol Absences without pay and with time off accrual 1.b.]
c. An employee is receiving Worker’s Compensation payment supplemented by paid time off benefits. [Time Off Accruals During Absences Pol Absences without pay and with time off accrual 1.d.]

d. An employee is serving military duty. This additional accrual is limited to vacation or PTO and is equal to the amount that the person would have earned had the military leave of absence not occurred, up to a maximum of one year's additional accrual. The rules on the maximum usage of vacation or PTO in a year will continue to apply. [Time Off Accruals During Absences Pol Absences without pay and with time off accrual 1.e.]
Holidays
PA/SS 10.2
Revised April 6, 2010
Click here for current year's list of holidays.

Employees covered by this policy
This policy applies to Professional Staff and Support and Service Staff not covered by a union.

A. Observed university holidays
1. The university observes the following nine holidays and closes all offices except where continuous service is essential. [Holidays Pol 1. and its subparts]
   - New Year’s Day
   - Martin Luther King Day
   - Campus Holiday
   - Memorial Day
   - Independence Day
   - Labor Day
   - Thanksgiving Day
   - Friday after Thanksgiving
   - Christmas Day
2. The Campus Holiday accrues on March 1 of each year. [Holidays Pol 2.]
3. Only the Board of Trustees or the president of the university may grant special holidays other than the nine listed above. [Holidays Pol 3.]

B. Campus Holiday
Campus Holiday is either a “floating” holiday or a day designated by the president at the Bloomington campus and the chancellors at the other campuses. On campuses that treat the holiday as a “floating” holiday, Campus Holiday is available to use on or after March 1. [Holidays Pol 1.c.] [Holidays Pol 2. In part]

C. Religious holidays
1. Departments should consider making reasonable accommodations in the work schedules of staff who want time off to observe a bona fide religious holiday that is not in the above list. Supervisors may allow staff to take time off without pay or rearrange their schedule to make up for missed work time. [Holidays Pol 4. in part] [Holidays Pol 4.a. in part] [Holidays Pol 4.b. in part]
   a. Professional staff can use accumulated paid time off (PTO) to cover the absence from work. Professional staff eligible for overtime may also use compensatory time. [Holidays Pol 4.a.ii.]
   b. Support and Service staff can use accrued vacation, compensatory time, or income protection time. [Holidays Pol 4.a.i.]

D. When IU observes holidays
1. If a legal holiday falls on a Sunday, IU observes the holiday on the Monday immediately following. [Holidays Pro 1.a.]
2. If a legal holiday falls on a Saturday, IU observes the holiday on the Friday immediately preceding the holiday. [Holidays Pro 1.b.]
3. Staff who work in a seven-day operation observe the holiday on the nationally recognized day. [Addressed in Holidays Pol 8-10. But not directly quoted]

E. Eligibility for paid holidays
1. To receive holiday pay, employees must meet both of the following criteria: [Holidays Pro 2.a.]
   a. Be on appointment (50% FTE or greater) on or prior to a holiday (on or prior to March 1 for the Campus Holiday) [Holidays Pro 2.a.i.]
b. Be in Active Status (Employee Status “A” in HRMS) or on a Partial Leave of Absence with a reduced FTE (Employee Status “P” in HRMS) on the day on which the University observes the holiday (March 1 for the Campus Holiday). [Holidays Pro 2.a.i.]

2. Staff in the following Employee Status categories in HRMS on the day that the University observes the holiday do not receive pay for the holiday: [Holidays Pro 3.]
   a. Leave of Absence (L); a 30 day or more absence without pay under the LOA policy [Holidays Pro 3.a.]
   b. Temporary Reduction in Force (W); called a Short Work Break in HRMS [Holidays Pro 3.b.]
   c. Terminated (T), Retired (R), or Deceased (D) [Holidays 3.c.]

3. Staff who are appointed on a day following a holiday do not receive pay for the holiday. [Holidays Pro 4.]

4. Staff who return from a leave of absence on a day following a holiday do not receive pay for the holiday. [Holidays Pro 5.]

5. All holidays are defined as 8 hours in length. The amount of holiday time an employee will receive depends on their FTE (full-time receives 8 hours and part-time receives a prorated number of hours). [Holidays Pol 5.]
   a. Employees who work alternative work schedules, such as four ten-hour days, will receive 8 hours of pay for a holiday. In this example, Support and Service Staff and PAO or PAU employees are required to cover the other 2 hours missed with time off benefits, make up the time within the same work week with supervisory approval, or take the time off without pay. PAE employees are required to cover the other 2 hours missed with time off benefits or adjust the work schedule such as working a regular schedule during the week of the holiday with supervisory approval. [Holidays Pro 6.]

6. If an employee does not work on the holiday, the current holiday must be used for that day. A previously accrued holiday or other paid time off can not be used in lieu of the current holiday. [Holidays Pol 6.]

F. Pay when Professional Staff work on observed holidays

1. When Professional Staff work on a holiday, they receive equivalent time off. [Holidays Pol 11.a.]
   a. Professional Staff employees who are not eligible for overtime (PAE) receive time off at a later point on a day-for-day basis, regardless of the number of hours worked on the holiday. [Holidays Pol 11.a.i.]
   b. Professional Staff employees who are eligible for overtime (PAO and PAU) receive time off at a later point equal to the actual time worked on the holiday, up to 8 hours. If the employee works a partial holiday, the portion not worked is considered time off and is charged to Holiday hours. [Holidays Pol 11.a.ii.]

2. Time off accrued for working on a holiday should be taken at the convenience of the department. Departments should consider the employee’s preference. [Holidays Pro 12.]

3. Departments cannot give time off for a holiday in advance of the date on which the holiday falls. [Holidays Pol 6.]

4. PAO and PAU Professional Staff must take the time off by the end of the last full pay period in December of the next year or they lose it. PAE Professional Staff must take the time off by the end of December of the next calendar year or they lose it. [Holidays Pro 12.a.][Holidays Pro 12.b.]
G. Pay when Support and Service Staff work on observed holidays

1. Support and Service Staff who work on the Friday after Thanksgiving, or Martin Luther King, Jr. Day, receive regular pay plus equivalent time off up to 8 hours. [Holidays Pol 7.b. in spirit] [Holidays Pol 7.b. in spirit]

2. Support and Service Staff who work on any of the other university-observed holidays, including the Campus Holiday if it has been designated as a specific date on the campus, receive a total of 20 hours of compensation, either as: [Holidays Pol 7.a.]
   a. Payment at the regular pay up to 8 hours plus pay or time off at time and one-half, or [Holidays Pol 7.a.i.first dot.]
   b. Payment at time and one-half the regular pay plus up to 8 hours of time off at the regular pay. [Holidays Pol 7.a.i.second dot.]
   c. It is management's decision as to which method is used. The chief executive officer of the campus may determine if the decision will be made at a campus, Responsibility Center, or departmental level. [Holidays Pol 7.a.i.]

3. Time off accrued for working on a holiday should be taken at the convenience of the department. Departments should consider the employee’s preference. [Holidays Pol 12.]

4. Departments cannot give time off for a holiday in advance of the date on which the holiday falls. [Holidays Pol 7.]

5. Support and Service Staff must take the time off by the end of the last full pay period in December of the next year or they lose it. [Holidays Pol 9.b.] [Holidays Pol 12.a.] [Holidays Pol 12.b.]
Income Protection (Sick Time) for Support and Service Staff

PA/SS 10.3
Revised October 14, 2008
Changes indicated in red font.

Employees covered by this policy
This policy applies to Support and Service Staff not covered by a union and at 75% FTE or greater.

A. Introduction
1. Regular attendance is a condition of employment. Income protection is provided to prevent loss of pay during personal illness or injury, family illness or injury, or for personal emergencies that are not health related. [Income Protection Pol 1. In part]
2. Income protection earnings accumulate from year to year without limit. [Income Protection Pol 7.]

B. Schedule of accruals for Staff
Full-time Staff
1. Full-time Staff accrue 3.7 hours per eligible 80-hour period. This results in a maximum earning of 96.2 hours in a calendar year. [Income Protection Pol 3.]

Part-time Staff
2. Part-time Staff accrue a prorated amount of hours based on their specific FTE. [Income Protection Pol 4.]

Transfers from academic appointments
3. Transfers from academic appointments receive, at the time of transfer, four hours for each month of academic appointment. [Income Protection Pro 8.]

When staff do not earn hours
4. Staff do not earn hours under the following circumstances: [Income Protection Pro 3.a. and its subparts]
   a. Leave of absence
   b. Absence without pay
   c. Reduction in force
   d. FTE appointment of less than 75%

C. Use of income protection earnings
1. Employees may use accumulated Income Protection Time after receipt of their first paycheck. [Income Protection Pro 1.a.]
2. Income Protection Time may be used to prevent loss of pay during personal illness or injury or medical/dental appointments. [Income Protection Pol 2. In part]
3. Income Protection Time may be used to prevent loss of pay during a family members’ illness or injury or medical/dental appointments. [Income Protection Pol 2. In part]
4. Members of the family include the following: [Income Protection Pro 2.b. in part in spirit]
   a. A spouse as defined by Indiana law or same sex domestic partner as qualified by the university’s Affidavit of Domestic Partnership [Income Protection Pro 2.b. in part in spirit]
   b. An unmarried child at home including the child of the same sex domestic partner [Income Protection Pro 2.b. in part in spirit]
c. Relatives of the employee, spouse or the same sex domestic partner who are living with the employee [Income Protection Pro 2.b. in part in spirit]
d. Parents, children, grandparents, grandchildren, brothers, sisters and relatives of the spouse or the same sex domestic partner of the same degree who are solely dependent on the employee for emergency care. [Income Protection Pro 2.b. in part in spirit]

5. The amount of Income Protection Time that may be used for any period of personal or family illness or injury is limited only by the amount of time accrued and the medical need to be away from work. [Income Protection Pol 5.]

6. Department heads and supervisors may ask for a physician’s statement as proof of illness or injury. [Income Protection Pol 8. In spirit]

7. Staff cannot “borrow” against future income protection earnings. [Income Protection Pol 6. in spirit]

8. The exact number of hours, including tenths of hours, are reported and subtracted from the accrued balance. [Income Protection Pol 6.]

D. Other uses of accruals
Staff may also use accruals to cover the following:

1. Personal emergencies that are not health related such as adverse weather or working conditions. Employees must notify the supervisor as soon as possible as to the reason and the expected time of return. [Income Protection Pol 2. in part]

2. Special situations that cannot be handled during the normal hours away from the job. Examples are: religious holidays not provided for in the university’s holiday plan, funeral arrangements, marriage arrangements, legal matters, real estate transactions, university class attendance, etc. [Income Protection Pro 3.b.]

   a. Requests must be made and approved in advance of usage. [Income Protection Pro 3.b.i.]

   b. Departments are authorized to deny employees’ requests when there is evidence of the following: [Income Protection Pro 3.b.ii. in part]

      i. The absence would cause an undue hardship upon the university in relation to the employees’ convenience or needs. [Income Protection Pro 3.b.ii. in part]

      ii. The reason for the request is inconsistent with the purposes of this time as described above. [Income Protection Pro 3.b.ii. in part]

   c. Department heads will not deny the request on the basis of undue hardship if an employee requests it at least 48 hours in advance, except when multiple employees request use of the allowance for the same day. [Income Protection Pro 3.b.iii.]

   d. Denials must be made within two hours following the request, or 48 hours before the requested absence, whichever comes later. [Income Protection Pro 3.b.iv.]

3. The employee may be asked for explanation of the request so that the supervisor can make a decision consistent with the policy. [Income Protection Pro 3.b.v.]

4. In conjunction with Workers’ Compensation. [Income Protection Pro 3.c. in part]

   a. Contact the UHR Workers’ Compensation Office, 812-855-4847, for information about using income protection in conjunction with Workers’ Compensation. Also, see the policy, On-The-Job Injury. [Income Protection Pro 3.c. in part]

   b. A Selective Service physical (staff may use a maximum of eight hours when orders require a physical exam). [Income Protection Pro 3.d.]

E. Separation pay for unused accruals for employees who separate with IU Retiree status regardless of the reason for the separation or who die
Employees enrolled in PERF

1. Employees enrolled in PERF who separate from employment with IU Retiree status regardless of the reason for separation or who die may be eligible to receive separation pay for unused income protection accumulations. [Income Protection Pro 5. In spirit]

2. To be eligible, one must be able to answer “Yes” to both of the following questions. [Income Protection Pro 5.a.]
   a. Has the employee accumulated more than 152.0 hours? [Income Protection Pro 5.a.i.]
   b. Did the employee:
      i. Separate on or following the 55th birthday with the years of service required for terminal life insurance, or [Income Protection Pro 5. in spirit]
      ii. Die at any age and with any years of service? [Income Protection Pro 5. in spirit]

3. For 152.0 through 312.0 hours, the benefit is 25% of pay. For hours more than 312.0, the benefit is 50%. [Income Protection Pro 5.a.i. & 5.a.ii]

Staff with vested rights in PERF and an IU Retirement Plan

4. It is possible for employees to be vested in PERF and to be in a position covered under an IU Retirement Plan. In such cases the employee should refer to the Separation Pay policy to determine eligibility for accumulated income protection time. [Retirement Procedures]

F. Converting accumulated protection time to vacation

Eligible employees may convert a portion of their accumulated income protection time to vacation. See the conditions and limitations that apply in the policy, Vacation for Support and Service Staff. [Income Protection Pro 10.]

G. When Support and Service Staff employees transfer to professional positions

Staff transferring from support and service positions to professional positions will begin to accrue time off in accordance with the Paid Time Off (PTO) plan. See the Paid Time Off policy for the provisions related to the transfer of time off accumulations. [Income Protection Pro 9.]
Vacation for Support and Service Staff

PA/SS 10.4
Revised October 14, 2008
Changes indicated in red font.

Employees covered by this policy
This policy applies to Support and Service Staff not covered by a union.

A. Introduction
1. Full-time Staff earn vacation hours as outlined in the schedule of earnings below. Staff earn these hours when they are in pay status or absent with benefits accrual. (See Time Off Accruals During Absences, for details.) [Vacation Pol 2. In part]
2. Part-time Staff earn a prorated amount, according to their FTE, of the hours indicated below. [Vacation Pol 2. In part]
3. Employees do not earn vacation time while on leave of absence, absent without pay, or when on a temporary reduction in force. [Vacation Pol 3.]
4. As used in the schedule of earnings below, credit is defined as in the Seniority Date/Service Credit policy.

B. Schedule of earnings for Full-time Staff [Vacation Pol Chart following 4.]

<table>
<thead>
<tr>
<th>Staff with this amount of university service credit</th>
<th>Earn this amount of vacation for every 80 hrs. in pay status</th>
<th>For a total of this amount each year</th>
</tr>
</thead>
<tbody>
<tr>
<td>From 0 to end of 6th year</td>
<td>4.31 hours</td>
<td>112 hours (14 days)</td>
</tr>
<tr>
<td>Start of 7th year to end of 13th year</td>
<td>5.85 hours</td>
<td>152 hours (19 days)</td>
</tr>
<tr>
<td>Start of 14th year to end of 29th year</td>
<td>7.39 hours</td>
<td>192 hours (24 days)</td>
</tr>
<tr>
<td>Start of 30th year and beyond</td>
<td>8.92 hours</td>
<td>232 hours (29 days)</td>
</tr>
</tbody>
</table>

C. Guidelines for using vacation

Approving requests
1. All vacations must be approved in advance by the supervisor before it can be used. Requests for vacation time off must be approved or disapproved within three working days of receiving the request. When requested in advance, the employee is not required to provide a reason for the absence. [Vacation Pro 2.a.]
2. Vacation cannot be used before it has been earned with one exception: if a new employee has not earned enough vacation to cover a department’s closing between Christmas and New Year holidays. [Vacation Pro 1.d.]
3. If multiple staff within a department make requests for the same vacation period, preference will be given according to occupational unit seniority. However, if prior permission for use of vacation time has been given to a less senior employee for the same period, the less senior employee’s request is granted. [Vacation Pro 2.e. in part]

Recording vacation taken
4. When vacation time is taken, the exact number of hours, including tenths of hours, are reported and subtracted from accumulated earnings. [Vacation Pro 1.b.]

Maximum vacation allowed
5. The maximum vacation hours that may be used annually during the 26 consecutive pay periods beginning with the pay period in which January 1 falls and continuing through the last full pay period in December, are as follows: [Vacation Pro 4.a.]
a. 304 hours in years of service 0 through 13 [Vacation Pro in table following 4.]
b. 784 hours in years of service 14 and beyond [Vacation Pro in table following 4.]

6. This limit does not apply to use of vacation during a family and medical leave of absence. [Vacation Pro 4.a.i.]

7. Part time Staff use a prorated amount according to their FTE. [Vacation Pro 2.]

Eligibility requirements
8. New appointed employees may use accumulated vacation time after receipt of their first paycheck. [Vacation Pro 1.a.]

Lengthy absence from work
9. Employees who wish to use accumulated vacation when it causes a lengthy absence from work should inform their supervisor of their plans six months before the vacation period. Supervisors are obligated to honor these requests unless (1) the request is for time off in the unit’s established and known peak work period in which non-emergency time off is routinely restricted, or (2) more than one employee requests the same time. If this occurs, occupational unit seniority prevails in determining which employee's request will be honored. In addition, supervisors may refuse a request if the absence poses an undue hardship on the department’s operations. [Vacation Pro 3.a. in part] [Vacation Pro 3.b.i. & ii. In part]

Unused hours
10. Staff accumulate unused hours from year to year. They can receive pay for unused vacation up to a specified maximum when they terminate. See the Separation Pay for Support and Service Staff policy for details. [Vacation Pol 4.]

11. No employee may expect extra pay in lieu of vacation. [Vacation Pro 1.d.]

Emergencies
12. Employees who encounter a personal emergency who have unused vacation time, income protection time, and/or compensatory time off may elect to charge time off for the personal emergency to any of these three categories of time. [Vacation Pro 6.]

13. The employee must notify the supervisor as soon as possible as to the reason and the expected time of return. [Attendance, Absences, and Personal Emergency Pol Personal Emergency 2.]

14. The employee may be required to provide documentation on the nature and circumstances of the absence. [Attendance, Absences, and Personal Emergency Pol Personal Emergency 3.]

D. Guidelines for transfers

Transfer to a Professional Staff position
1. When an employee transfers from a support to a professional position, the employee will begin to accrue time off in accordance with the professional Paid Time Off (PTO) plan. See the Paid Time Off policy for the provisions related to the transfer of time off accumulations. [Vacation Pro 9. In spirit] [Vacation Pro 10. In spirit]

Transfer to an academic position
2. When an employee transfers to an academic position, he or she receives terminal pay for accumulated paid-time-off benefits. (See the Separation Pay policy.) [Vacation Pro 11.]

E. Converting income protection time to vacation
1. Eligible employees may, if they choose, convert 80 hours of their accrued income protection time to 40 vacation hours subject to the following limitations and conditions. [Vacation Pro 5.a.]
Eligibility
2. Eligibility is limited to employees who meet all of the following criteria:
   a. Have 560 or more hours of accumulated income protection (sick) time as of the first full pay period in either March or September of any qualifying year. [Vacation Pro 5.a.i.]
   b. Have at least ten consecutive years in an appointed position [Vacation Pro 5.a.ii.]
   c. Work in an appointed position and be in pay status when they submit the application for conversion and when it is implemented. [Vacation Pro 5.a.iii.]
   d. Have not converted any income protection time to vacation time during the previous four years under this policy. [Vacation Pro 5.a.iv.]

Requirements
3. During a specified period in either March or September, eligible employees have the option of converting 80 hours of income protection time to 40 hours of vacation time. [Vacation Pro 5.a.]

4. Staff must submit conversion requests according to the procedures and deadline established by Financial Management Services (FMS). Requests that are submitted are irrevocable. [Vacation Pro 5.b.]

5. This section does not modify the following: [Vacation Pro 5.c.]
   a. The maximum amount of vacation hours staff can use in a year as provided in this policy. [Vacation Pro 5.c.i.]
   b. The limitations of terminal pay as provided in the Separation Pay policy. [Vacation 5.c.ii.]
Time Off for Funerals/Bereavement for Support and Service Staff

PA/SS 10.5
Revised July 1, 2009
Changes indicated in red font.

Employees covered by this policy
This policy applies to Support and Service Staff not covered by a union. (Funeral time for Professional Staff is covered under the Paid Time Off policy.)

A. Provision
1. Support and Service Staff employees will be granted up to three working days (24 hours for full-time Staff and prorated for part-time Staff), with pay within one week from the date of death of the following relatives; however, if the funeral is held outside of the one week period, the employee may use any of the unused 24 hours of Funeral and Bereavement time to attend the funeral service [Time Off for Funeral and Bereavement Pol 1. and its subparts in spirit]
   a. Spouse as defined by Indiana law, same sex domestic partner as qualified by the university’s Affidavit of Domestic Partnership, child, grandchild
   b. Parent, sibling, grandparent, or in-law relative, step relatives, and same sex domestic partner relatives of the same degree
   c. Other relative of whom the employee is the sole survivor
2. The number of hours absent and charged to Funeral and Bereavement time should be reported on the payroll voucher. [Time Off for Funeral and Bereavement Pol 2.]
3. When an employee is on an FMLA leave to care for a family member and the leave is terminated by the death of the family member, the employee will be granted the normal time off for funerals/bereavement as described above. [Time Off for Funeral and Bereavement Pol 3.]

B. Additional time off
1. Additional time beyond the three days may be granted and charged to accrued vacation time, income protection time, compensatory time off, or taken without pay. [Time Off for Funeral and Bereavement Pro 1.]
2. It is acceptable to use income protection time if an employee's health prevents him or her from working following the death of an immediate family member. [Time Off for Funeral and Bereavement Pro 3. Subparts included]
   a. Such use is subject to the provision of the Income Protection Time policy.
   b. The supervisor has authority to require a doctor’s notice in this situation.

C. Other relatives or close friends
1. Time off with pay to attend the funeral service of other relatives or close friends may be granted at the discretion of the department head. [Time Off for Funeral and Bereavement Pro 4.]
2. Employees must cover this time off by using vacation time, income protection time, or compensatory time off. [Time Off for Funeral and Bereavement Pro 4.a.]
   a. The employee must request this time off—and the supervisor must approve or disapprove such time off—as soon as practical under the circumstances. [Time Off for Funeral and Bereavement Pro 4.b.]
Paid Time Off (PTO) Policy for Professional (PA) Staff

PA/SS 10.6
Effective August 23, 2009
Last updated June 26, 2013

Employees covered by this policy
This policy applies to Professional Staff employees.

A. Purpose:
1. This policy provides Professional Staff employees with a structured benefit plan for pay during certain periods of leave as a component of total compensation. [PTO PA Pol 2.]
2. Indiana University believes that full-time Professional Staff employees should be afforded certain amounts of paid leave to conduct personal affairs and to have a break from the demands of work. Managers are encouraged to support this purpose by anticipating paid time-off in formulating organizational structures and work schedules. [PTO PA Pol 1. In part]
3. In addition to PTO, Professional Staff are provided other paid time-off benefits: holidays, voting and court duty, and military duty. See related time off policies for details. [PTO PA Pol 3.]
4. Professional Staff classified as PAO or PAU are covered by the federal Fair Labor Standards Act's (FLSA) recordkeeping and overtime provisions. Positions in this classification are paid an hourly rate, with total pay based on the number of hours worked and hours covered by a paid leave plan. Employees and managers are expected to maintain accurate records of specific hours worked, overtime and compensatory time, hours covered by a paid leave plan, and any absence or leave without pay. Hours in pay status in excess of 40 hours in the University's work week, which starts and stops on Saturday at midnight, are covered as overtime or compensatory time. See the Overtime policy for details. [PTO PA Pol 4 in part] [PTO PA Pol 4.a. in part] [PTO PA Pol 4.b. in part]
5. Professional Staff classified as PAE are exempt from FLSA overtime provisions and are not eligible for overtime pay. Positions in this classification are paid a monthly salary based on the position's FTE (full time equivalency) status and the accomplishment of goals or objectives. PAE classified employees and their managers are not expected to maintain records of specific hours worked. It is expected that PAE employees and their managers are ensuring that the average weekly work effort in each month is consistent with the position's FTE status. (For example, a 100% FTE position is expected to work an average of at least 40 hours a week during a month; a 50% FTE position is expected to work an average of at least 20 hours per week.) [PTO PA Pol 5. In part] [PTO PA Pol 5.a. in part]
6. Managers and Professional Staff may set up alternative work schedules, either on an ongoing or ad-hoc basis. [PTO PA Pol 6.]

B. Introduction
1. Several types of personal leave are covered by this single benefit plan, including vacation time, personal or family sickness, attendance at a funeral, and other personal affairs. [PTO PA Pol 2. In part] [PTO PA Pro General Paid Time Off 1. In part]
2. PAO and PAU Professional Staff are paid bi-weekly and accrue a certain number of PTO hours at the end of each bi-weekly pay period, which can be used in following pay periods, based on the below policy provisions. [PTO PA Pro General Paid Time Off 2.] [PTO PA Pro PAO Paid Time Off 1.] [PTO PA Pro PAU Paid Time Off 1.]
a. General guidelines for managers: [PTO PA Pro PAO Paid Time Off 1.a.]
   i. Actual hours worked and time-off are to be recorded in the University's payroll system, with employee's pay based on hours worked, any overtime, compensatory time used, and paid time-off used. [PTO PA Pro PAO Paid Time Off 1.a.i.] [PTO PA Pro PAU Paid Time Off 1.a.i.]
   ii. All time in pay status in excess of 40 hours in the University's work week are to be paid as overtime or accrued as compensatory time, in accordance with federal regulations and the associated University policy, without exception. [PTO PA Pro PAO Paid Time Off 1.a.ii.] [PTO PA Pro PAU Paid Time Off 1.a.ii.]
   iii. All time not worked based on the position's FTE status (i.e. actual work less than 40 hours a week) should be counted as PTO, another paid leave, or absence without pay. [PTO PA Pro PAO Paid Time Off 1.a.iii.] [PTO PA Pro PAU Paid Time Off 1.a.iii.]

3. PAE Professional Staff are paid monthly and accrue a certain number PTO hours at the end of each month, which can be used in following months, based on the below policy provisions. [PTO PA Pro PTO for PAE Staff 1.]
   i. Employees are paid a monthly salary based on FTE status and the accomplishment of goals and objectives, and work effort may exceed the position's FTE status (i.e. more than 40 hours a week) without overtime or compensatory time. (PAE Staff are not eligible for overtime or compensatory time.) [PTO PA Pro PTO for PAE Staff 1.a.]
   ii. On a periodic basis for many PAE Staff and on a regular basis for higher level PAE Staff, work effort may substantially exceed the position's FTE status. [PTO PA Pro PTO for PAE Staff 1.a.ii.]
   iii. A PAE employee off from work on PTO, who engages in incidental work activities from home or elsewhere through email, telephone, or other communication devices, is still to charge the day to PTO. [PTO PA Pro PTO for PAE Staff 1.a.iii.]

4. All Professional Staff employees and their managers are responsible for accurately recording PTO and other paid time-off usage (e.g., holidays, jury duty, etc.), and any absence without pay. [PTO PA Pro General Paid Time Off 4.]

C. PTO Accruals

1. PTO accruals are based on the following tables, subject to the below provisions: [PTO PA Pro PAE PTO Accruals 1.] [PTO PA Pro PAO PTO Accruals 1.]

<table>
<thead>
<tr>
<th>Full-time PAO and PAU Staff Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Service</td>
</tr>
<tr>
<td>Up to the first 60 months</td>
</tr>
<tr>
<td>On and After 60 months</td>
</tr>
</tbody>
</table>

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<td></td>
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<td>Time Period</td>
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<tr>
<td>--------------------------------</td>
</tr>
<tr>
<td>Up to the first 60 months</td>
</tr>
<tr>
<td>On and After 60 months</td>
</tr>
</tbody>
</table>

2. When PTO is accrued:
   a. For PAO and PAU Staff, PTO is accrued at the end of the bi-weekly pay period and is available to use on the first workday of the next bi-weekly pay period. [PTO PA Pro PAO PTO Accruals 2.]
   b. For PAE Staff, PTO is accrued at the end of the last work day of the month and is available to use on the first workday of the next monthly pay period. [PTO PA Pro PAE PTO Accruals 7.]

3. Accruals at the beginning and end of employment:
   a. For PAO and PAU Staff, in the first and last bi-weekly pay period, the amount of PTO accrued is prorated based on the number of hours in pay status in that pay period. [PTO PA Pro PAO PTO Accruals 3.] [PTO PA Pro PAU PTO Accruals 3.]
   b. For PAE Staff, in the first and last month of employment, the amount of PTO accrued is prorated based on the number of work days in pay status in that month. [PTO PA Pro PAE PTO Accruals 2.]

4. Part-time employees accrue a prorated amount of PTO according to their position's FTE status. [PTO PA Pro General Paid Time Off 8.]

5. There is no accrual of PTO during the following time periods: [PTO PA Pro General Paid Time Off 3.]
   a. A formal leave of absence [PTO PA Pro General Paid Time Off 3.a.]
   b. A temporary or permanent reduction in force [PTO PA Pro General Paid Time Off 3.b.]
   c. An absence without pay as defined in Policy 10.1 Time Off Accruals During Absences [PTO PA Pro General Paid Time Off 3.c.]

6. Accrual of PTO is based on amount of time in pay status.
   a. For PAO and PAU Staff, the amount of PTO accrued in a bi-weekly pay period is prorated based upon the amount of time in pay status in the pay period. [PTO PA Pro PAO PTO Accruals 4.] [PTO PA Pro PAU PTO Accruals 6.a.]
   b. For PAE Staff, the amount of PTO accrued in a monthly pay period is prorated based upon the amount of time in pay status in the month. [PTO PA Pro PAE PTO Accruals 3.]

7. Increase in PTO accrual rate at 60 months of University service:
   a. PAO and PAU Staff begin to accrue 11.08 hours per bi-weekly pay period at the end of the pay period in which the 60th month of University service is completed. [PTO PA Pro PAO PTO Accruals 5.] [PTO PA Pro PAU PTO Accruals 5.]
   b. PAE Staff begin to accrue 24 hours per monthly pay period at the end of the month in which the 60th month of University service is completed. [PTO PA Pro PAE PTO Accruals 4.]

8. “University service” includes service as Temporary with Retirement employee and any other Staff or Academic position eligible for benefits. [PTO PA Pro General Paid Time Off 1.a.]

D. PTO Usage
1. When PTO may be used:
a. For PAO and PAU Staff, PTO may only be used after the end of the bi-weekly pay period in which it is accrued. PTO accrued in a bi-weekly pay period cannot be used in the pay period in which it is accrued. [PTO PA Pro PAO Paid Time Off 2.][PTO PA Pro PAU Paid Time Off 2.]
b. For PAE Staff, PTO may only be used after the end of month it is accrued. PTO accrued in a month can not be used in the month in which it is accrued. [PTO PA Pro PTO for PAE Staff 2.]

2. Employees cannot "borrow" future accruals of PTO with one exception. A new employee hired on October 1 or later may borrow PTO needed to cover a department's closing between Christmas and New Year holidays if the employee has not accrued enough PTO to cover the closing. [PTO PA Pro General Paid Time Off 5.]

3. Maximum usage of PTO in a year.
   a. For PAO and PAU Staff, the maximum usage of PTO in the 26 consecutive bi-weekly pay periods beginning with the pay period in which January 1st falls and continuing through the last full pay period in December is equal to 240 hours or 288 hours prorated by their position's FTE status. [PTO PA Pro PAO PTO Accruals 6.][PTO PA Pro PAU PTO Accruals 6.]
   b. For PAE Staff, the maximum usage of PTO in a calendar year is equal to 240 hours or 288 hours prorated by their position's FTE status. [PTO PA Pro PAE PTO Accruals 5.]
   c. If an employee’s FTE changes during the year, the maximum usage of PTO in that year is based on the higher FTE. Employees may use 288 hours in the year in which the 60th month of University service is completed. [PTO PA Pro Calendar Year-End Unused PTO 5.]
   d. The following leaves do not count toward this annual PTO usage limit: [PTO PA Pro Calendar Year-End Unused PTO 5.a.]
      i. PTO taken as part of a FMLA leave of absence. See the FMLA policy for details. [PTO PA Pro Calendar Year-End Unused PTO 5.a.i.]
      ii. PTO taken to cover military training. [PTO PA Pro Calendar Year-End Unused PTO 5.a.ii.]
      iii. PTO taken to supplement Workers' Compensation. [PTO PA Pro Calendar Year-End Unused PTO 5.a.iii.]
      iv. PTO taken under the University’s Adverse Working Conditions policy or the Pandemic Emergency policy. [PTO PA Pro Calendar Year-End Unused PTO 5.a.iv.]

4. PTO can be used to cover military training not covered by the provisions of the Leaves for Military Duty policy. [PTO PA Pro General Paid Time Off 6.]

5. PTO can be used for bereavement time, funeral attendance, and activities related to the funeral. (Professional Staff do not have a separate benefit for bereavement leave.) [PTO PA Pro General Paid Time Off 7.]

6. PTO usage for PAO and PAU Staff: PTO accruals must be taken and recorded in exact number of hours, including tenths of hours. [PTO PA Pro PAO Paid Time Off 3.][PTO PA Pro PAU Paid Time Off 3.]

7. PTO usage for PAE Staff: PTO accruals must be taken in full day increments of 8 hours per day. [PTO PA Pro PTO for PAE Staff 3.]

E. Approvals for Usage
1. Employees must have supervisory approval to use PTO, except as noted below. [PTO PA Pro Approvals for Usage 1.]

2. Employees who encounter a personal or family illness or an emergency may charge the time off to PTO. The employee must notify the supervisor as soon as possible as to the reason for the time off and the expected date/time of return. The employee may be required to provide documentation regarding the nature and circumstances of the absence. [PTO PA Pro Approvals for Usage 1.a.]

3. A department head may approve a request for time off without pay even if the employee has PTO available to cover all or part of the absence. This provision only applies to full day absences, and must be approved in advance by the employee’s department head. There are two cases in which there are restrictions affecting this department head option: [PTO PA Pro Approvals for Usage 2.]
   a. Employees are not permitted to take FMLA covered absences off without pay if they have paid time off available. See the FMLA policy for details. [PTO PA Pro Approvals for Usage 2.a.]
   b. Employees have the choice to use or not use PTO for absences under the Leaves for Military Duty policy. See the Military Leave policy for details. [PTO PA Pro Approvals for Usage 2.b.]

4. If two or more employees request time off for the same time period, and the department's staffing needs do not allow both employees to be off, the person with unit seniority is generally given preference. However, if a supervisor has previously given permission to a less senior employee for the same time period, that employee's request is honored. [PTO PA Pro Approvals for Usage 3.]

5. It is management’s responsibility to monitor attendance and the accurate recording of time-off, including partial day absences, and to address unacceptable patterns of attendance through the Corrective Action policy. [PTO PA Pro General Paid Time Off 4.a.]

**F. Recording PTO Usage**

1. The process for recording PTO must contain the following provisions at a minimum. [PTO PA Pro PAE Recording PTO Usage 1.] [PTO PA Pro PAO Recording PTO Usage 1.]
   a. PAO and PAU Staff are to record PTO usage at least weekly and PAE Staff are to record PTO usage at least monthly. [PTO PA Pro PAE Recording PTO Usage 1.a.] [PTO PA Pro PAO Recording PTO Usage 1.a.]
   b. The use of PTO is to be maintained on a University-provided record. (PAO and PAU employees use the University's TIME system and PAE employees use the University’s ePTO system.) [PTO PA Pro PAE Recording PTO Usage 1.b.] [PTO PA Pro PAO Recording PTO Usage 1.b.]
   c. After the end of each bi-weekly pay period for PAO and PAU employees and the end of each month for PAE employees, supervisors are to review employees’ records to confirm accuracy and make any necessary corrections. [PTO PA Pro PAE Recording PTO Usage 1.c.] [PTO PA Pro PAO Recording PTO Usage 1.c.]

**G. Calendar Year–End Unused PTO Accrual Balances**

1. Up to the annual equivalent accrual amount of PTO may be carried over into the following calendar year: [PTO PA Pro Calendar Year-End Unused PTO 2.]
   a. Employees with fewer than 60 months of University service may carry over 240 hours. [PTO PA Pro Calendar Year-End Unused PTO 2.a.]
b. Employees with 60 months or more of University service may carry over 288 hours. [PTO PA Pro Calendar Year-End Unused PTO 2.b.]
c. Employees may carry over 288 hours at the end of the year in which the monthly accrual rate increases to 24 hours for PAE Staff and the bi-weekly accrual rate increases to 11.08 hours for PAO and PAU Staff. [PTO PA Pro Calendar Year-End Unused PTO 2.c.]

2. Carryover amounts are recorded as beginning PTO balances for the new calendar year. Such balances do not increase the annual allowance for the new calendar year, but do allow Staff to use the time earlier in the year. [PTO PA Pro Calendar Year-End Unused PTO 3.]

3. Employees may allocate up to 96 hours of unused PTO to her or his PTO Sick Leave account. Employees with PTO hours in excess of the carry-over maximums will have the excess hours up to a limit of 96 hours allocated to their PTO Sick Leave account. [PTO PA Pro Calendar Year-End Unused PTO 4.d.i.]

4. Unused year-end PTO accruals that can not be carried over into the next calendar year or allocated to the PTO Sick Leave account are forfeited. [PTO PA Pro Calendar Year-End Unused PTO 4.d.ii.]

H. PTO Sick Leave Account

1. At the end of each calendar year, full-time (100% FTE) employees with PTO hours that cannot be carried over will have up to 96 of those hours allocated to a PTO Sick Leave account. For part-time employees, this amount is prorated by their position's FTE percent. There is no limit on the total amount of time an employee may have in her or his PTO Sick Leave account. [PTO PA Pro Calendar Year-End Unused PTO 4.a.]

2. Employees may use time from their PTO Sick Leave account to cover personal or family illness or Worker's Compensation supplemental pay. Managers may require confirmation of illness or injury through a licensed physician's statement. Persons qualifying as family include the following: [PTO PA Pro Calendar Year-End Unused PTO 4.b.]
   a. A spouse as defined by Indiana law, or same sex domestic partner as qualified by the University's Affidavit of Domestic Partnership [PTO PA Pro Calendar Year-End Unused PTO 4.b.i.]
   b. An unmarried child at home including the child of the same sex domestic partner [PTO PA Pro Calendar Year-End Unused PTO 4.b.ii.]
   c. Relatives of the employee, spouse, or same sex domestic partner who are living with the employee [PTO PA Pro Calendar Year-End Unused PTO 4.b.iii.]
   d. Parents, children, grandparents, grandchildren, brothers, sisters and relatives of the spouse or same sex domestic partner of the same degree who are solely dependent on the employee for emergency care. [PTO PA Pro Calendar Year-End Unused PTO 4.b.iv.]

3. Employees may use time from their PTO Sick Leave account to cover funeral attendance. [PTO PA Pro Calendar Year-End Unused PTO 4.c.]

4. PTO Sick Leave usage for PAO and PAU Staff: PTO Sick Leave accruals must be taken and recorded in exact number of hours, including tenths of hours. [PTO PA Pro PAO Recording PTO Usage 1.d.] [PTO PA Pro PAU Recording PTO Usage 1.d.]

5. PTO Sick Leave usage for PAE Staff: PTO accruals must be taken in full day increments of 8 hours per day. [PTO PA Pro PTO for PAE Staff 3.]

I. Reductions in Pay for PAE Staff
1. With the exception of FMLA and Worker’s Comp covered absences, under FLSA regulations, any reductions in salary for a PAE Staff employee can only be made in full day increments. If any portion of a day is worked and/or covered by PTO, PTO Sick Leave, or other paid time-off benefits, then the employee must receive full pay for the day. See the [FMLA policy](#) or the [On-the-Job Injury policy](#) for more information. [PTO PA Pro PAE Recording PTO Usage 2.]

**J. Effect of Classification Changes (promotion, demotion, transfer, or reclassification)**

1. Within the PA Classifications (PAE, PAO, PAU)
   a. Existing PTO and PTO Sick Leave account balances carry forward. The provisions of the time off plan identified with the new classification will then be applied for usage. [PTO PA Pro PAE PTO Accruals 7.]

2. From the PB time off plan to the PTO plan for PA Staff [PTO PA Pro Effect of Classification Changes 5.]
   a. The balance of sick leave time is transferred into a PTO Sick Leave account. [PTO PA Pro Effect of Classification Changes 5.a.]
   b. The balance of vacation time and bonus holidays -- up to the maximum amount allowed in the new plan -- is transferred into a PTO account. This amount serves as the beginning balance. [PTO PA Pro Effect of Classification Changes 5.b.]
   c. The balance of any Honorary vacation is transferred to an Honorary vacation account. No additional Honorary vacation is earned. With supervisory approval, 100% FTE Staff may use up to a maximum of 60 of the Honorary vacation days per year. Part-time employees may use a portion of this amount, prorated by their FTE percent. This limit does not apply to use of Honorary vacation for a FMLA leave of absence. [PTO PA Pro Effect of Classification Changes 5.c.]
   d. The provisions of the time off plan associated with the specified classification will then be applied for accruals and usage. [PTO PA Pro Effect of Classification Changes 5.d.]

3. From a Support and Service Staff position to a Professional Staff position [PTO PA Pro Effect of Classification Changes 1.]
   a. The balance of Income Protection time is transferred into PTO Sick Leave account. [PTO PA Pro Effect of Classification Changes 1.a.]
   b. The balance of Vacation time is transferred into a PTO account. This amount serves as the beginning balance. [PTO PA Pro Effect of Classification Changes 1.b.]
   c. If the balance exceeds the maximum usage amount allowed, the excess time is carried over as PTO, but it must be used or transferred to the PTO Sick Leave account by the end of the following year or it is forfeited. The limit on the maximum usage of PTO in a year is waived during this period subject to scheduling with management. The 96 hour maximum amount of PTO that can be transferred to the PTO Sick Leave account is waived at the end of the first year and the end of the following year. [PTO PA Pro Effect of Classification Changes 1.b.i. in part] [PTO PA Pro Effect of Classification Changes 1.b.ii. in part] [PTO PA Pro Effect of Classification Changes 1.b.iii. in part] [Vacation Pro 8.a.i.] [Vacation Pro 8.a.]
   d. Holiday time not yet used is transferred. [PTO PA Pro Effect of Classification Changes 1.c.]
4. From a Professional Staff position to a Support and Service Staff position [PTO PA Pro Effect of Classification Changes 2.]
   a. The PTO balance is transferred to a Vacation time account. [PTO PA Pro Effect of Classification Changes 2.a.]
   b. The PTO Sick Leave account balance is transferred to an Income Protection time account. [PTO PA Pro Effect of Classification Changes 2.b.]
   c. Any previously accrued Honorary vacation is transferred to the vacation time account. [PTO PA Pro Effect of Classification Changes 2.c.]

5. From an Academic, full-time, 10 or 12 month, appointment to a Professional Staff position [PTO PA Pro Effect of Classification Changes 3.]
   a. The balance of vacation (up to a maximum of 22 days, 176 hours) is transferred into a PTO account. The employee’s academic unit is to certify to Payroll the amount of vacation time to transfer. This amount serves as the beginning balance. [PTO PA Pro Effect of Classification Changes 3.a.]
   b. A beginning balance in the PTO Sick Leave account is established based on one-half day of sick leave for each month of University service credit. [PTO PA Pro Effect of Classification Changes 3.b.]

6. From a Professional Staff position to an Academic appointment [PTO PA Pro Effect of Classification Changes 4.]
   a. PTO and PTO Sick Leave account balances do not transfer to an Academic appointment. Accumulated time off is paid in accordance with the below provisions. [PTO PA Pro Effect of Classification Changes 4.]

K. Payment of Unused Accruals Upon Termination
   1. All PTO accrued and unused at the end of the last day of employment is paid. [PTO PA Pro Payment of Unused Accruals 1.]
   2. Some Professional Staff on the PA time off plan receive separation pay for accrued PTO Sick Leave account hours. To be eligible, the employee must separate with IU Retiree status, be covered by PERF or the IU Retirement Plan 11.25% contribution level, and have more than 152.0 PTO Sick Leave account hours. Eligible Staff receive pay at the rates listed below [PTO PA Pro Payment of Unused Accruals 2.]
      a. 25% of pay for 152.0 through 312.0 hours [PTO PA Pro Payment of Unused Accruals 2.a.]
      b. 50% of pay for hours more than 312 hours. [PTO PA Pro Payment of Unused Accruals 2.b.]
   3. Staff covered by the IU Retirement Plan 10%, 12%, or 15% contribution levels do not receive separation pay for PTO Sick Leave account accruals with one exception. Employees in the 12% contribution level who have more than 50% of their years of IU employment in a PERF covered position will receive a prorated amount of the PTO Sick Leave account payment based on the percentage of total IU employment under PERF. [PTO PA Pro Payment of Unused Accruals 4.]
   4. The payment for unused PTO accruals and any PTO Sick Leave accruals is treated as taxable income, subject to federal and state income taxes and employment taxes. [PTO PA Pro Payment of Unused Accruals 5.]
Paid Time Off for Staff in the PB Time Off Plan

PA/SS 10.7
Revised March 18, 2005
Changes indicated in red font.

Employees covered by this policy
This policy applies to full-time and part-time Professional Staff who chose to stay in the PB Time Off Plan in 1985. [PTO PB Scope]

A. History and background of PA, PB and PC time off plans
1. Indiana University approved the merging of administrative (AD), professional (PR), other academic (OA), and counseling (CN) positions into one functional classification called professional. At the same time, a new paid time off benefits plan was authorized for this group of employees. Both actions were effective January 1, 1985. [PTO PA History 1.] [PTO PB History 1.]
   a. Enrollment in the new paid time off plan was optional for persons already employed by IU. Those who enrolled in the plan are identified as being in the PA Paid Time Off Plan. [PTO PA History 1.a.] [PTO PB History 1.a.]
   b. Enrollment in the PA Paid Time Off plan is required for persons appointed as of January 1, 1985. [PTO PA History 1.b.] [PTO PB History 1.b.]
2. Employees who were previously called administrative (AD) or professional (PR) and who elected to remain in the previous time off benefit plan are identified as being in the PB Time Off Plan. The specific policies on time off benefits of the PB Time Off Plan are contained in this policy. [PTO PA History 2.] [PTO PB History 2.]
3. Employees previously called other academic (OA) or counseling (CN) and who elected to remain in their previous fringe benefits plan should contact the Dean of the Faculties Office for related policies and procedures. These positions are identified as being in the PC Time Off Plan. [PTO PA History 3.] [PTO PB History 3.]

B. Introduction to vacation and honorary vacation earnings in the PB Time Off Plan
1. University service credit is used to calculate the amount of vacation staff earn in the PB Time Off Plan. [PTO PA Pro General Paid Time Off 1.] [PTO PB General Paid Time Off 1.]
2. Staff earn vacation hours while in pay status or absent with pay. They do not earn vacation time while on a leave of absence, while absent without pay, or during a temporary reduction in force. [PTO PA Pro General Paid Time Off 2.] [PTO PB General Paid Time Off 2.]
3. Each employee and the employing department records time off accruals and usage. These records are subject to audit throughout the year. At the end of each calendar year, time off balances are sent to the campus payroll department. [PTO PA Pro Calendar Year-End Unused 1.] [PTO PB General Paid Time Off 3.]

C. Schedule of vacation earnings for levels 9-15
The following table shows the amount of vacation and honorary vacation earned by full-time Staff in the PB Time Off Plan with rank levels of 9 through 15. Part-time Staff earn a prorated amount of vacation, according to their FTE of the amounts indicated.

<table>
<thead>
<tr>
<th>Staff who have this amount of university service credit</th>
<th>Earn this amount of vacation days per year</th>
<th>Plus this amount of honorary vacation days per year</th>
<th>For a total of this amount of vacation days each year</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-3 years</td>
<td>10</td>
<td>0</td>
<td>10</td>
</tr>
</tbody>
</table>
### D. Schedule of vacation earnings for levels 16-24

The following table shows the amount of vacation and honorary vacation earned by full-time Staff in the PB Time Off Plan with rank levels of 16 through 24. **Part-time Staff earn a prorated amount of vacation, according to their FTE of the amounts indicated.**

<table>
<thead>
<tr>
<th>Staff who have this amount of university service credit</th>
<th>Earn this amount of vacation days per year</th>
<th>Plus this amount of honorary vacation days per year</th>
<th>For a total of this amount of vacation days each year</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-15 years</td>
<td>20</td>
<td>0</td>
<td>20</td>
</tr>
<tr>
<td>15-20 years*</td>
<td>15</td>
<td>5</td>
<td>20</td>
</tr>
<tr>
<td>20 or more years</td>
<td>20</td>
<td>5</td>
<td>25</td>
</tr>
</tbody>
</table>

* In the last pay period of the 19th year of service, staff receive a one-time earning of 5 days in addition to regular and honorary vacation earnings.

**Note:** Staff with interrupted university service start earning honorary vacation at the 25th year. Each day in the above table equals 8 hours. [PTO PB Schedule of vacation earnings for levels 16-24]

### E. Rules for using vacation

1. Staff not eligible for overtime must take vacation time in full-day increments. Staff eligible for overtime must report the actual number of hours used, including tenths of hours. [PTO PB Rule for using vacation 1.]
2. Staff must have supervisory approval to take vacation time. [PTO PA Pro Approvals for Usage 1.] [PTO PB Rules for using vacation 2.]
3. Multiple requests within a department for the same vacation period are granted according to unit seniority. [PTO PB Rules for using vacation 3.]
4. Staff may use a maximum of 25 vacation days between January 1 and December 31 of each year. **This amount is prorated for part-time staff according to their FTE. This limit does not apply to vacation time utilized during a family or medical leave of absence.** [PTO PB Rule for using vacation 4.]
5. Staff may accumulate unused vacation time from year to year. Upon separation from the university, staff will receive pay for a portion of unused vacation. [PTO PB Rule for using vacation 5.]

### F. Rules for using honorary vacation

1. Staff who accrue but do not use honorary vacation may accumulate it from year to year. [PTO PB Rules for using honorary vacation 1.]
2. Staff not eligible for overtime must take honorary vacation in full-day increments. Staff eligible for overtime must report the actual number of hours used, including tenths of hours. [PTO PB Rules for using honorary vacation 2.]
3. Staff may use a maximum of 60 honorary vacation days between January 1 and December 31 of each year. This amount is prorated for part-time staff according to their FTE. This limit does not apply to vacation time utilized during a family or medical leave of absence. [PTO PB Rules for using honorary vacation 3.]

4. Staff who want to use honorary vacation earnings for a lengthy absence from work should have supervisory approval six months in advance. Supervisors are obligated to honor these requests unless more than one employee requests the same time period. If this occurs, preference is given according to unit seniority. [PTO PB Rules for using honorary vacation 4.]

G. Transferring to an academic appointment
1. When staff in the PB Time Off Plan transfer to academic appointments, they receive pay for accumulated time as provided in the provisions of the Separation Pay policy. [PTO PB Transferring to an academic appointment 1.]

H. Bonus holidays for staff in the PB Time Off Plan
1. Bonus holidays are days off with pay, generally thought of as Christmas bonus days. (Many employees accumulate bonus holidays and use them to cover the closing of their department between Christmas and New Year holidays.) [PTO PB Bonus holidays for staff 1.]

2. Full-time Staff in the PB Time Off Plan earn one bonus holiday each quarter. Part-time Staff earn a prorated amount of time each quarter. The bonus holidays are received on April 1, July 1, October 1 and December 15. Each Bonus Holiday is equal to 8 hours. [PTO PB Bonus holidays for staff 2.]

3. With supervisory approval, staff may take a bonus holiday as soon as they receive it. Staff must use accumulated bonus holidays by the end of December of the following year or they lose them. Staff not eligible for overtime must take the time in full-day increments. Staff eligible for overtime must report the actual number of hours used, including tenths of hours. [PTO PB Bonus holidays for staff 3.]

I. Separation pay for bonus holidays for staff in the PB Time Off Plan
1. Some individuals may receive bonus holidays when they terminate from the university. The benefit is one bonus holiday (eight hours for 100% FTE and prorated for part-time FTE) for each quarter of the final calendar year of service. To be eligible, the employee must meet these three criteria: [PTO PB Separation pay for bonus holiday for staff 1.]
   a. Be age 55 or older [PTO PB Separation pay for bonus holiday for staff 1.a.]
   b. Be eligible for terminal life insurance coverage [PTO PB Separation pay for bonus holiday for staff 1.b.]
   c. Have worked at least one month of each quarter [PTO PB Separation pay for bonus holiday for staff 1.c.]

2. Staff who terminate but do not retire receive pay for a bonus holiday that falls on the next workday following the last day worked. [PTO PB Separation pay for bonus holiday for staff 2.]

J. Income protection plan earnings
1. The university provides income protection time to prevent staff from losing pay, i.e., to protect their income, during personal or family illness, injury, and approved personal affairs. In other words, income protection time is a type of insurance. Income protection earnings accumulate year to year. [PTO PB Income protection plan earnings 1.]
a. Full-time Staff earn one day per month. This results in a maximum earning of 12 days in a calendar year. Each day is equal to 8 hours. [PTO PB Income protection plan earnings 1.a.]
b. Part-time Staff earn a prorated amount based on their specific FTE.
c. Staff whose appointment is less than 75% do not earn income protection time [PTO PB Income protection plan earnings 1.c.]

2. Staff do not earn income protection time while on a leave of absence, while absent without pay, or during a temporary reduction in force. [PTO PB Income protection plan earnings 2.]

K. Use of income protection earnings

The following table explains how many hours staff can use for certain situations.

<table>
<thead>
<tr>
<th>Use of Income Protection Earnings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff who cannot work because of this reason…</td>
</tr>
<tr>
<td>Personal illness or injury (includes medical and dental appointments and disabilities resulting from pregnancy)</td>
</tr>
<tr>
<td>Family illness or injury</td>
</tr>
<tr>
<td>Personal affairs *</td>
</tr>
</tbody>
</table>

* Staff may also charge personal affairs to vacation hours and carry over up to 24 hours of unused time for later use. [PTO PB Use of income protection earnings]

1. Department heads and supervisors may ask for a physician’s statement as proof of illness or injury. [PTO PB Use of income protection earnings 1.]

2. Staff cannot “borrow” against future income protection earnings. [PTO PB Use of income protection earnings 2.]

3. When caring for family, staff should use the allowable 5-day period to arrange for further care, if necessary. Members of the immediate family or household include the following: [PTO PB Use of income protection earnings 3.]

   a. spouse as defined by Indiana law, or same sex domestic partner as qualified by the university’s Affidavit of Domestic Partnership [PTO PB Use of income protection earnings 3.a.]
   b. An unmarried child at home including the child of the same sex domestic partner [PTO PB Use of income protection earnings 3.b.]
   c. Relatives of the employee, spouse, or the same sex domestic partner living with the employee [PTO PB Use of income protection earnings 3.c.]
   d. Parents, children, grandparents, grandchildren, brothers, sisters and relatives of the spouse or the same sex domestic partner of the same degree who are solely dependent on the employee for emergency care [PTO PB Use of income protection earnings 3.d.]

4. Staff may use income protection earnings in conjunction with Worker’s Compensation. For details, see the On-the-Job Injury policy, or contact Worker's Compensation in Bloomington. [PTO PB Use of income protection earnings 4.]

L. Personal affairs allowance for staff in the PB Time Off Plan

Staff may need to be away from work for reasons other than illness. Personal affairs time is an allowance. It does not provide extra days off from work. If staff need to be away from work
because of personal business such as religious holidays, funerals, legal matters, and university class attendance, then they charge this time against income protection or vacation earnings in full-day increments for those not eligible for overtime and actual hours, including tenths of hours, for those eligible for overtime. Charges to vacation earnings do not count against the amount of vacation staff can take in any calendar year. [PTO PB Personal affairs allowance for staff in the PB Time Off Plan]

M. Schedule of personal affairs earnings
1. Full-time Staff receive three days (24 hours) of personal affairs allowance per calendar year. They may carry over any current year’s unused amount to the next calendar year. However, staff cannot accumulate or use more than six days (48 hours) in a calendar year. Used hours are first charged against the previous year’s balance and then against the current year’s balance. [PTO PB Schedule of personal affairs earnings 1.]
2. Part-time Staff receive a prorated amount of personal affairs based on their FTE. Like full-time Staff, part-time Staff cannot accumulate or use more than six days in a calendar year.
3. Part-time Staff do not receive a personal affairs allowance; however, staff whose FTE changes from 75% or more to less than 75% may use their unused balance until it is gone.

N. Conditions for using personal affairs allowance
1. To use the personal affairs allowance, staff must: [PTO PB Conditions for using personal affairs allowance 1.]
   a. Have successfully completed the six-month, new-employee evaluation period. [PTO PB Conditions for using personal affairs allowance 1.a.]
   b. Have sufficient earnings [PTO PB Conditions for using personal affairs allowance 1.b.]
   c. Request usage in advance. [PTO PB Conditions for using personal affairs allowance 1.c.]
2. Department heads may deny requests (1) when it is evident that the absence will cause an undue hardship on the university as compared to an employee’s convenience or needs, or (2) when the request is inconsistent with this policy. [PTO PB Conditions for using personal affairs allowance 2.]

O. Funeral leave for staff in the PB Time Off Plan
1. Staff have up to three working days (24 hours) off with pay for funerals and matters related to the death of certain relatives. (This amount is prorated for part-time staff.) These include a spouse as defined by Indiana law, or same sex domestic partner as qualified by the university’s Affidavit of Domestic Partnership, parent, brother, sister, child, grandparent, and grandchild. Also included are in-law relatives, step relatives, and the same sex domestic partner’s relatives of the same degree and other relatives of whom the employee is the sole survivor. Staff must use these days within one week following the date of death. [PTO PB Funeral leave for staff 1.]
2. Staff may be excused with pay to take additional time off. They must charge this time to paid time off benefits. Using vacation hours does not count against the maximum amount of vacation time staff can use in a year. They may also take the additional time off (in full-day increments) without pay. [PTO PB Funeral leave for staff 2.]
3. It is up to the discretion of a department head to grant time off with pay for staff to attend the funeral service of persons not mentioned in this policy (other relatives or close friends). Staff must charge this time to paid time off benefits or take the time off without pay.
Departments are to report the number of hours charged to funeral leave on the attendance report. [PTO PB Funeral leave for staff 3.]
Fact Sheet #1
Time Off Provisions for Part-Time Support and Service Staff
Revised October 1, 2003
Changes indicated in red font.
Staff covered by this fact sheet
This fact sheet applies to Support and Service Staff not covered by a union and on 50 percent or more FTE appointment. See the appropriate personnel policy for a full statement of the time off benefit.
This fact sheet is a summary of time off benefits only. All other policies apply to all appointed Support and Service Staff regardless of FTE.
A. Holidays
Part-time Staff of 50 percent FTE or greater receive a prorated amount of hours based on their specific FTE. See the Holidays policy. [Holidays Pol 5.]
B. Income Protection Earnings (Sick Time)
Part-time Staff of 75 percent FTE or greater accrue a prorated amount of hours based on their specific FTE. See the Income Protection Time for Support and Service Staff policy. [Income Protection Pol 4.]
C. Vacation
Part-time Staff of 50 percent FTE or greater earn a prorated amount of hours based on their specific FTE. See the Vacation policy. [Vacation Pol 2.]
D. Funerals / Bereavement
Part-time appointed employees of 50 percent FTE or greater are granted a prorated number of hours based on their specific FTE. See the Time Off for Funerals/Bereavement policy. [Time Off for Funerals Pol 1.]
Fact Sheet #2
Time Off Provisions for Part-Time Professional Staff
Revised October 1, 2003
Changes indicated in red font.
Staff covered by this fact sheet
This fact sheet applies to Professional Staff on 50 percent or more FTE appointment.
This fact sheet is a summary of time off benefits only. All other policies apply to all appointed Professional Staff regardless of FTE.

A. Professional staff in the PA Time Off Plan
1. Paid Time Off
   Part-time Staff of 50 percent FTE or greater receive a prorated amount of hours based on their specific FTE. See the policy, Paid Time Off for Staff in the PA Time Off Plan, for a full statement of the benefit. [PTO PA Pro General Paid Time Off 8. In spirit]
2. Holidays
   Part-time Staff of 50 percent or greater earn a prorated amount of holiday pay. See the Holidays policy. [Holidays Pol 5. In part] [Holidays Pro 2.a.i. in part]

B. Professional Staff in the PB Time Off Plan [PTO PB]
See the policy, Paid Time Off for Staff in the PB Time Off Plan, for a full statement of the benefits listed below.
1. Vacation and Honorary Vacation
   Part-time Staff of 50 percent FTE or greater receive a prorated amount of vacation.
2. Bonus Holidays
   Part-time Staff of 50 percent or greater earn a prorated amount of time each quarter.
3. Income Protection Earnings
   Part-time Staff of 75 percent FTE of greater earn a prorated amount of earnings.
4. Personal Affairs Allowance
   Part-time staff of 75 percent or greater may charge a prorated amount of personal affairs time to income protection or vacation time.
5. Funeral Leave
   Part-time Staff of 50 percent or greater earn a prorated amount of funeral leave time.
6. Holidays
   Part-time Staff of 50 percent or greater earn a prorated amount of holiday pay. See the Holidays policy.