Table of Contents

I. Introduction, Alphabetical Index and Human Resources Staff

II. Employment

III. Benefits and Services

IV. Time Off

V. Compensation (Wage and Salary Policies)

VI. Employment Rights and Responsibilities

VII. Employee Development and Performance Management

VIII. Separation of Employment
Supervisor Policy and Procedure Manual

I. Introduction

<table>
<thead>
<tr>
<th>Introduction</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>i</td>
</tr>
<tr>
<td>Alphabetical Index</td>
<td>ii</td>
</tr>
<tr>
<td>Human Resources Staff</td>
<td>v</td>
</tr>
</tbody>
</table>
INTRODUCTION

This manual contains summarized benefits information, policy guidelines and practices for non-union staff members of Washington University’s Danforth Campus (including North and West Campuses and the Tyson Research Center). This manual is intended to serve as a tool for managers and supervisors and has been prepared primarily for application to regular non-union staff employees who are employed on a full-time basis. Many of the policies and procedures are adaptable to part-time benefits-eligible staff employees.

While some of these policies also apply to faculty members, this manual is not intended to address faculty concerns. It is not intended to address every situation that may occur and no policy or practice is meant to or should be interpreted to create a contract of employment between Washington University and any of its employees, nor as creating a guarantee of employment. Just as an employee may choose to resign at any time, the University reserves the right to terminate employment, with or without cause and with or without notice, at any time, at its sole discretion.

The University reserves the right to change or amend the policies, procedures and/or benefits outlined in this manual at any time, with or without notice. Changes will be effective on the dates determined by the University and employees may not rely on policies that have been superseded.

Bargaining unit employees are subject to the terms and conditions of the union contracts. Supervisors should refer to the contract and direct any questions regarding bargaining unit employees to the Assistant Vice Chancellor for Human Resources or the Vice Chancellor for Human Resources.

Ultimately, we must each rely upon our sense of mutual responsibility and good judgment. Questions about the information in this manual or about any other matter not covered in this manual should be directed to managers or a representative of the Office of Human Resources, 935-5990.
# Supervisor Policy and Procedure Manual

## ALPHABETICAL INDEX

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Absence Management</td>
<td>IV-1</td>
</tr>
<tr>
<td>Absences in General</td>
<td>IV-1</td>
</tr>
<tr>
<td>Abusive Conduct</td>
<td>VI-9</td>
</tr>
<tr>
<td>Accounts with the University</td>
<td>III-8</td>
</tr>
<tr>
<td>Alternative Work Schedules</td>
<td>V-12</td>
</tr>
<tr>
<td>Americans With Disabilities and the Rehabilitation Act</td>
<td>II-2</td>
</tr>
<tr>
<td>Attendance and Tardiness</td>
<td>IV-1</td>
</tr>
<tr>
<td>Back-Up Care Advantage Program</td>
<td>III-11</td>
</tr>
<tr>
<td>Benefit Eligibility by Employee Classification</td>
<td>III-1</td>
</tr>
<tr>
<td>Benefit Eligibility for Rehired Employees</td>
<td>III-3</td>
</tr>
<tr>
<td>Benefits at Separation of Employment</td>
<td>III-2</td>
</tr>
<tr>
<td>Benefits, Death</td>
<td>III-7</td>
</tr>
<tr>
<td>Benefits, Retiree</td>
<td>III-6</td>
</tr>
<tr>
<td>Breaks and Meal Periods</td>
<td>V-9</td>
</tr>
<tr>
<td>Breaks in Service</td>
<td>II-16</td>
</tr>
<tr>
<td>Candidate Identification</td>
<td>II-7</td>
</tr>
<tr>
<td>Changes in Personal Information</td>
<td>III-2</td>
</tr>
<tr>
<td>Child/Elder Care Services</td>
<td>III-10</td>
</tr>
<tr>
<td>Children in the Workplace</td>
<td>VI-29</td>
</tr>
<tr>
<td>Code of Conduct</td>
<td>VI-4</td>
</tr>
<tr>
<td>Communicable Diseases</td>
<td>VI-20</td>
</tr>
<tr>
<td>Compensation Challenges, Managing</td>
<td>V-6</td>
</tr>
<tr>
<td>Compliance Program</td>
<td>VI-4</td>
</tr>
<tr>
<td>Computer and Administrative Information Systems Security Policy</td>
<td>VI-15</td>
</tr>
<tr>
<td>Confidentiality Policy</td>
<td>VI-1</td>
</tr>
<tr>
<td>Conflict of Commitment Policy</td>
<td>VI-3</td>
</tr>
<tr>
<td>Conflict of Interest Policy</td>
<td>VI-2</td>
</tr>
<tr>
<td>Contact from the Media</td>
<td>VI-29</td>
</tr>
<tr>
<td>Corrective Action and Performance Improvement</td>
<td>VI-24</td>
</tr>
<tr>
<td>Credit Union</td>
<td>III-8</td>
</tr>
<tr>
<td>Death Benefits</td>
<td>III-7</td>
</tr>
<tr>
<td>Departmental Leave</td>
<td>IV-17</td>
</tr>
<tr>
<td>Direct Deposit</td>
<td>III-8</td>
</tr>
<tr>
<td>Dress Code</td>
<td>VI-28</td>
</tr>
<tr>
<td>Discriminatory Harassment Policy</td>
<td>VI-8</td>
</tr>
<tr>
<td>Drug and Alcohol Policy</td>
<td>VI-5</td>
</tr>
<tr>
<td>Electronic Communication (E-Mail and Internet Usage)</td>
<td>VI-16</td>
</tr>
<tr>
<td>Employee Assistance Program</td>
<td>III-11</td>
</tr>
<tr>
<td>Employee Benefit Schedule</td>
<td>III-2</td>
</tr>
<tr>
<td>Employee Discounts</td>
<td>III-9</td>
</tr>
<tr>
<td>Employee Development</td>
<td>VII-2</td>
</tr>
<tr>
<td>Employment Offer</td>
<td>II-9</td>
</tr>
<tr>
<td>Employee Recognition Programs</td>
<td>III-9</td>
</tr>
<tr>
<td>Employee Safety and Health</td>
<td>VI-19</td>
</tr>
<tr>
<td>Employee Services</td>
<td>III-8</td>
</tr>
<tr>
<td>Employer Assisted Housing</td>
<td>III-11</td>
</tr>
<tr>
<td>Employment of Minors</td>
<td>II-14</td>
</tr>
<tr>
<td>Section</td>
<td>Page</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>Employment of Relatives</td>
<td>II-13</td>
</tr>
<tr>
<td>Employment of Retirees</td>
<td>II-15</td>
</tr>
<tr>
<td>Employment Relationship</td>
<td>II-1</td>
</tr>
<tr>
<td>Employment of Washington University Students</td>
<td>II-13</td>
</tr>
<tr>
<td>Employment Verification, Requests for</td>
<td>VI-16</td>
</tr>
<tr>
<td>Equal Employment Opportunity and Affirmative Action</td>
<td>II-1</td>
</tr>
<tr>
<td>Exempt/Nonexempt</td>
<td>V-7</td>
</tr>
<tr>
<td>Exempt/Nonexempt, Time Records</td>
<td>V-8</td>
</tr>
<tr>
<td>Exit Interviews</td>
<td>VIII-3</td>
</tr>
<tr>
<td>Family and Medical Leave Act</td>
<td>IV-12</td>
</tr>
<tr>
<td>Family Learning Center</td>
<td>III-10</td>
</tr>
<tr>
<td>Funeral Leave</td>
<td>IV-10</td>
</tr>
<tr>
<td>Guidelines for Candidates and Political Speakers</td>
<td>VI-28</td>
</tr>
<tr>
<td>Harassment, Discriminatory</td>
<td>VI-8</td>
</tr>
<tr>
<td>Harassment, Sexual</td>
<td>VI-6</td>
</tr>
<tr>
<td>Holidays</td>
<td>IV-5</td>
</tr>
<tr>
<td>Human Resources Files</td>
<td>VI-29</td>
</tr>
<tr>
<td>Identification Cards</td>
<td>III-8</td>
</tr>
<tr>
<td>Independent Contractors</td>
<td>II-16</td>
</tr>
<tr>
<td>Inspection Policy</td>
<td>VI-18</td>
</tr>
<tr>
<td>Insurance</td>
<td>III-8</td>
</tr>
<tr>
<td>Interview Process</td>
<td>II-8</td>
</tr>
<tr>
<td>Job Evaluation/Classification</td>
<td>V-2</td>
</tr>
<tr>
<td>Jury Duty</td>
<td>IV-9</td>
</tr>
<tr>
<td>Leaves of Absence</td>
<td>IV-11</td>
</tr>
<tr>
<td>Managing Compensation Challenges</td>
<td>V-6</td>
</tr>
<tr>
<td>Military Leave</td>
<td>IV-20</td>
</tr>
<tr>
<td>Minimum Wage</td>
<td>V-10</td>
</tr>
<tr>
<td>Minors, Employment of</td>
<td>II-12</td>
</tr>
<tr>
<td>Non-FMLA Medical Leave Act</td>
<td>IV-18</td>
</tr>
<tr>
<td>Open Door Policy</td>
<td>VI-13</td>
</tr>
<tr>
<td>Orientation Period</td>
<td>II-4</td>
</tr>
<tr>
<td>Other Types of Pay</td>
<td>V-6</td>
</tr>
<tr>
<td>Overtime</td>
<td>V-10</td>
</tr>
<tr>
<td>Parking</td>
<td>III-9</td>
</tr>
<tr>
<td>Pay for Travel Time</td>
<td>V-9</td>
</tr>
<tr>
<td>Pay Procedures</td>
<td>V-10</td>
</tr>
<tr>
<td>Paydays</td>
<td>V-10</td>
</tr>
<tr>
<td>Performance Evaluation Guidelines</td>
<td>VII-1</td>
</tr>
<tr>
<td>Performance Improvement, Corrective Action and</td>
<td>VI-14</td>
</tr>
<tr>
<td>Performance Management</td>
<td>VII-1</td>
</tr>
<tr>
<td>Permission to Use University Names and Symbols</td>
<td>VI-28</td>
</tr>
<tr>
<td>Personal Holidays</td>
<td>IV-7</td>
</tr>
<tr>
<td>Personal Inquiries</td>
<td>VI-26</td>
</tr>
<tr>
<td>Personal Leave</td>
<td>IV-18</td>
</tr>
<tr>
<td>Personal Telephone Calls, Email and Social Media</td>
<td>VI-27</td>
</tr>
<tr>
<td>Preferred Name Policy</td>
<td>VI-17</td>
</tr>
<tr>
<td>Problem Resolution – Open Door Policy</td>
<td>VI-24</td>
</tr>
<tr>
<td>Recruitment and Selection</td>
<td>II-5</td>
</tr>
<tr>
<td>Recruitment Procedure</td>
<td>II-5</td>
</tr>
</tbody>
</table>

Back to Section Contents  Back to HR Website
<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reference Information, Requests for</td>
<td>VI-15</td>
</tr>
<tr>
<td>Rehire to Service</td>
<td>II-15</td>
</tr>
<tr>
<td>Relatives, Employment of</td>
<td>II-13</td>
</tr>
<tr>
<td>Retiree Benefits</td>
<td>III-6</td>
</tr>
<tr>
<td>Retirees, Employment of</td>
<td>II-15</td>
</tr>
<tr>
<td>Safety Training</td>
<td>VI-19</td>
</tr>
<tr>
<td>Salary Administration Guidelines</td>
<td>V-3</td>
</tr>
<tr>
<td>Salary Structures</td>
<td>V-1</td>
</tr>
<tr>
<td>Separation of Employment</td>
<td>VIII-1</td>
</tr>
<tr>
<td>Separation of Employment, Benefits at</td>
<td>III-2</td>
</tr>
<tr>
<td>Sexual Harassment Policy</td>
<td>VI-6</td>
</tr>
<tr>
<td>Shuttle Bus Service/Metro Universal Pass</td>
<td>III-9</td>
</tr>
<tr>
<td>Sick Time</td>
<td>IV-6</td>
</tr>
<tr>
<td>Solicitation and Distribution</td>
<td>VI-26</td>
</tr>
<tr>
<td>Standards of Personal Conduct</td>
<td>VI-1</td>
</tr>
<tr>
<td>Students, Employment of</td>
<td>II-12</td>
</tr>
<tr>
<td>Tardiness</td>
<td>IV-1</td>
</tr>
<tr>
<td>Telecommuting Policy</td>
<td>V-14</td>
</tr>
<tr>
<td>Telephone Calls, Personal</td>
<td>VI-16</td>
</tr>
<tr>
<td>Time Off to Vote</td>
<td>IV-9</td>
</tr>
<tr>
<td>Time Records</td>
<td>V-8</td>
</tr>
<tr>
<td>Tobacco-Free Policy</td>
<td>VI-27</td>
</tr>
<tr>
<td>Training</td>
<td>VII-2</td>
</tr>
<tr>
<td>Transfer Policy and Procedure</td>
<td>II-10</td>
</tr>
<tr>
<td>Tuition Assistance Plans</td>
<td>III-8</td>
</tr>
<tr>
<td>Unemployment Compensation</td>
<td>VIII-3</td>
</tr>
<tr>
<td>United Way</td>
<td>III-9</td>
</tr>
<tr>
<td>University Closings &amp; Severe Weather</td>
<td>IV-10</td>
</tr>
<tr>
<td>University Leave of Absence</td>
<td>IV-19</td>
</tr>
<tr>
<td>Vacation</td>
<td>IV-3</td>
</tr>
<tr>
<td>Wage and Hour Law (FLSA)</td>
<td>V-7</td>
</tr>
<tr>
<td>Wage and Salary Policies</td>
<td>V-1</td>
</tr>
<tr>
<td>Wellness Connection</td>
<td>III-9</td>
</tr>
<tr>
<td>Workers' Compensation</td>
<td>IV-7</td>
</tr>
<tr>
<td>Workplace Violence</td>
<td>VI-17</td>
</tr>
</tbody>
</table>
Human Resources Staff

North Brookings, Room 126, Box 1184
General Office ................................................................. 5-5990
Vice Chancellor for Human Resources ........................................ 5-7746
Assistant Vice Chancellor for Human Resources ......................... 5-8095
Compensation Manager ......................................................... 5-8727
Compensation Analyst .......................................................... 5-6016
HRMS/Faculty Records Manager ............................................. 5-5949
HRMS Reporting Analyst ..................................................... 5-6126
HRMS Analyst ................................................................. 5-7890
Manager of Employee Relations .............................................. 5-3147
Human Resources Consultant .................................................. 5-7515
Administrative Assistant to the Vice Chancellor ......................... 5-6087
Administrative Assistant to the Assistant Vice Chancellor ............ 5-7906

Benefits Office, West Campus, Room 150, Box 1190
Director of Human Resources, Compensation and Benefits ........... 5-8642
Benefits Coordinator .......................................................... 5-7745
Health/Dental/Vision Insurance/COBRA, Flex Spending
Senior Benefits Manager ...................................................... 5-5701
Long Term Care, Retirement Medical Savings Accounts,
Paycheck Deductions
Senior Benefits Coordinator .................................................. 5-5931
Life Insurance, Long-Term Disability, Health Savings Accounts,
Auto/Home Insurance Discounts, Benefits Statements
Benefits Plan Manager ......................................................... 5-8110
Retirement, Deferred Compensation
Benefits Assistant ............................................................... 5-3211
Benefits Website, Flu Shots
Senior Benefits Coordinator .................................................. 5-5759
Tuition, MOST Program
Benefits Auditor ................................................................. 5-8316

Employment, West Campus, Room 150, Box 1178
Manager of Employment ..................................................... 5-5962
Recruitment Consultants ....................................................... 5-7085, 5-8641, 5-7399
Employment Inquiries and Testing .......................................... 5-5906

Career Development and Diversity & Inclusion, West Campus, Room 150, Box 1178
Human Resources Consultant ............................................... 5-8311

Learning & Development, West Campus, Room 100, Box 1188
Manager, Learning and Development ..................................... 5-8047
Human Resources Coordinator ............................................... 5-5934
LMS Administrator ............................................................ 5-2960

Office of Human Resources Website:
http://hr.wustl.edu
II. Employment

Employment Relationship ............................................................. II-1
Equal Employment Opportunity and Affirmative Action ............... II-1
Americans with Disabilities and the Rehabilitation Act ................ II-2
Orientation Period ........................................................................ II-4
Recruitment and Selection ......................................................... II-5
Recruitment Procedure ............................................................... II-5
  ▪ Candidate Identification
  ▪ Interview Process
  ▪ Employment Offer
Transfer Policy and Procedure ................................................... II-10
Employment of Washington University Students ..................... II-13
Employment of Relatives .......................................................... II-14
Employment of Minors ............................................................. II-15
Independent Contractors .......................................................... II-16
Employment of Retirees ............................................................ II-17
Rehire to Service ....................................................................... II-17
Breaks in Service ..................................................................... II-17
EMPLOYMENT

Employment Relationship

Employment with the University is an “at-will” relationship. This means that an employee is free to resign at any time, for any reason. Similarly, the University is free to end the employment relationship, with or without notice, at any time, for any reason. Nothing in this policy manual is meant to or should be interpreted to alter the at-will relationship.

Completion of the orientation period does not change an employee’s status as an employee at-will or in any way restrict the University’s right to end the employment relationship or change the terms or conditions of employment.

Equal Employment Opportunity and Affirmative Action

Introduction: Washington University encourages and gives full consideration to all applicants for admission, financial aid, and employment. The University does not discriminate in access to, or treatment or employment in, its programs and activities on the basis of race, color, age, religion, sex, sexual orientation, gender identity or expression, national origin, veteran status, disability or genetic information. Inquiries about compliance should be addressed to the University’s Vice Chancellor for Human Resources, Washington University, Campus Box 1184, One Brookings Drive, St. Louis, MO 63130.

It is the policy of the University to: (1) provide equal employment opportunity to all job applicants and employees; (2) administer recruiting, hiring, compensation and benefit practices, training, upgrading and promotion procedures; transfers and terminations of employment without discrimination because of race, color, age, religion, gender, sexual orientation, gender identity or expression, national origin or ancestry, citizenship, veteran status, disability or genetic information; (3) provide a workplace free from harassment based on any of the foregoing factors; and (4) encourage the hiring of minorities, women, disabled-individuals, Vietnam era veterans and disabled veterans.

Washington University is committed to the principles of affirmative action, and as a government contractor, the University is required to establish affirmative action programs for the employment and advancement of women and minorities, Vietnam-era or special disabled veterans, and the disabled. This information is voluntary, and refusal to provide it will not subject the employee to discharge or disciplinary treatment.

Responsibility: Each manager is responsible for ensuring that the University’s policy is followed by all employees. Managers are also obligated to comply with federal and state laws as they relate to equal opportunity to ensure that the University continues to attract and retain high caliber employees. Managers must also promptly notify the Assistant Vice Chancellor for Human Resources if they receive any complaints of discrimination, harassment or governmental inquiries.
Harassment—The University also prohibits any harassment of employees on the basis of race, color, age, religion, gender, sexual orientation, gender identity or expression, national origin, veteran status, disability or genetic information. Prohibited harassment includes ethnic or racial slurs or other types of behavior that are abusive or severely humiliating and have the purpose or effect of unreasonably interfering with an individual's work environment.

Equal Employment Opportunity (EEO) Coordinator—The Assistant Vice Chancellor for Human Resources has been appointed as the Danforth Campus EEO Coordinator. Questions concerning equal employment opportunities, harassment, reasonable accommodations for a disability, etc., should be referred to the EEO Coordinator. The EEO Coordinator refers unresolved problems to the Vice Chancellor for Human Resources.

Problem Resolution—Under normal conditions, if an employee has a job-related problem, question or complaint, it should be discussed with his or her supervisor. If discussion with the employee's supervisor does not answer the question or resolve the matter satisfactorily, the complaint may be presented, orally or in writing, to the next higher level of management. If the matter still is not resolved satisfactorily, the employee may present the complaint to the Assistant Vice Chancellor for Human Resources who will consult with the Vice Chancellor for Human Resources. A final decision on the matter will then be made after appropriate investigation.

When the issue personally involves the supervisor or manager, the employee may seek the advice and guidance of Human Resources.

Americans with Disabilities and the Rehabilitation Act

Introduction: The Americans with Disabilities Act and the Rehabilitation Act prohibit discrimination against a qualified individual with a disability in application procedures, hiring, compensation, training, advancement and other terms, conditions and privileges of employment. This law also requires employers to provide reasonable accommodations for disabled employees. It is the University's policy to fully comply with the requirements of those acts.

Definitions

“Disability” means a physical or mental impairment that substantially limits one or more major life activities, a record of such an impairment, or being regarded as having such an impairment.

“Qualified individual with a disability” is an individual with a disability who satisfies the requisite skill, experience, education, and other job-related requirements of the position such an individual holds or desires and who, with or without a reasonable accommodation, can perform the essential functions of such position.
"Mental Impairment" is any mental or psychological disorder, such as mental retardation, organic brain syndrome, emotional or mental illness and specific learning disabilities. "Physical Impairment" is any physiological disorder or condition, cosmetic disfigurement or anatomical loss affecting one or more of the body systems. Impairments do not include sexual behavior disorders and substance disorders resulting from CURRENT illegal drug use or alcohol abuse.

"Major Life Activities" are functions such as caring for oneself, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning and working. The duration or expected duration of the impairment and the actual or expected permanent or long-term impact of the impairment are factors that should be considered when evaluating whether impairment substantially limits a major life activity.

"Substantially limits" means unable to perform a major life activity that the average person in the general population can perform, or significantly restricted as to the condition, manner, or duration under which an individual can perform a particular major life activity as compared to the condition, manner, or duration under which the average person in the general population can perform that same major life activity.

"Essential functions" refers to the fundamental job duties of the position the individual with a disability holds or desires. The term does not include the marginal functions of the position. A job function may be considered essential for any of several reasons, including but not limited to the following: (i) the function may be essential because the reason the position exists is to perform that function; (ii) the function may be essential because of the limited number of employees available among whom the performance of that job function can be distributed; and/or (iii) the function may be highly specialized so that the incumbent in the position is hired for his or her expertise or ability to perform the particular function.

Individual Qualifications—The Acts protect individuals who, with or without reasonable accommodations, can perform the essential functions of the job. Qualification standards include personal and professional requirements such as education, experience and training. The essential functions are the fundamental duties of the job, which in some instances will include physical ability (e.g. police, facilities). Written job descriptions should be current and thoroughly outline essential functions and qualifications, and should be referenced before determining whether a disabled individual is qualified for a particular job.

Pre-employment Inquiries—The Acts prohibit employers from asking questions of applicants that elicit information about a person’s disability. The following are examples of prohibited questions:

- Do you have any disabilities?
- Have you ever been treated for any particular condition or disease?
• Have you ever applied for Workers’ Compensation benefits?

It is permissible to ask all applicants whether they require accommodations in order to apply for jobs or participate in the interview process.

Drug and Alcohol Abuse—The Acts do not protect an employee or applicant who is currently engaged in the illegal use of drugs or abuse of alcohol. However, they do protect those who have successfully completed a rehabilitation program or are currently participating in a program and no longer use drugs or alcohol.

Relationship to Disabled Person—The Acts prohibit employers from denying a job or benefits to a qualified person because of the person’s relationship or association with a disabled individual. It is also a violation of the Acts for an employer to hire an applicant whose dependent is disabled only on the condition that the applicant waives health insurance coverage for the dependent.

Reasonable Accommodations—The Acts require employers to make reasonable accommodations for disabled employees. An employer is not required to provide an accommodation that would impose an undue hardship on the employer but “undue hardship” is not easily defined. Managers should consult with Human Resources if they believe they have an “undue hardship” situation. An employer is also not required to employ a person who is, even with reasonable accommodations, not qualified for the job.

Depending on the circumstances, reasonable accommodation may include but is not limited to the following: (i) making existing facilities used by employees readily accessible to and usable by individuals with disabilities, and (ii) job restructuring; part-time or modified work schedules; reassignment to a vacant position; acquisition or modifications of equipment or devices; appropriate adjustment or modifications of examinations, training materials, or policies; the provision of qualified readers or interpreters; and other similar accommodations for individuals with disability.

To determine the appropriate reasonable accommodation, the University should engage in an informal, interactive process with the qualified individual with a disability in need of the accommodation. This process should identify the precise limitations resulting from the disability and potential reasonable accommodations that could overcome those limitations.

Medical Information—Any information obtained pertaining to the health factors or medical condition prior to employment or after will be kept in a separate file.

Orientation Period

Introduction: The first six (6) months of employment with the University are considered a period of orientation. An employee transferring to a different position
or to the same position in a different school/department will also be considered to be in a six-month orientation period.

The orientation period is an opportunity for the supervisor to evaluate an employee’s suitability for a particular job. Suitability is determined by reviewing a number of job related factors such as an employee’s overall work performance; ability to learn, understand and perform basic job duties with proper training; and ability to interact successfully with supervisors, co-workers and others with whom the employee would normally come in contact.

If a supervisor believes that an employee in his/her orientation period is not suitable for a particular job, that supervisor may determine that the employment relationship should be terminated. Supervisors should contact their Human Resources/Employee Relations representative to discuss alternatives. Employees must complete nine (9) months in a new position to be considered eligible for internal transfer. Supervisors are not authorized to and should never guarantee continued employment.

Vacation and sick time for new employees in their orientation period will accumulate but may not be used during the orientation period. A new employee who leaves the University at any time during the orientation period is not eligible for accrued vacation pay.

Recruitment and Selection

Introduction: The University is committed to a policy of equal employment opportunity for all applicants and employees. It is the University's policy to employ, retain, promote, terminate and otherwise treat all employees and job applicants on the basis of merit, qualification and competence.

The following procedure should be followed when recruiting for staff positions, with the exception of certain positions such as Research Assistant, Research Associate and other similar positions that are exempt from this procedure.

Refer to the Office of Human Resources’ website, http://hr.wustl.edu, for additional information.

Recruitment Procedure

Position Vacancy—All positions should have an accurate job description. For new positions, the hiring manager must prepare a job description and forward it to the Compensation Manager for review and salary grade assignment. This process must be completed before the job posting process begins. Visit Compensation/Job Descriptions on the Office of Human Resources’ website (http://hr.wustl.edu) for job description details and to view a job description template. If the vacancy is for an
existing position that has been assigned a job code and salary grade, and the job
description is still reflective of the duties and responsibilities, a job requisition should
be entered in the on-line hiring system. All appropriate department/school approvals
should be completed before any position is placed on-line.

**Employment Requisition**—An employment requisition is required to initiate the
recruitment process. It is the department’s responsibility to secure the necessary
approvals to fill the position. The approval process is established by each
department/school.

The Employment Office will review each requisition and may contact the
department/school with questions regarding qualifications, experience, specific
duties, salary or job setting. After review, the Employment Office will approve the
requisition and post the position. The Employment Office will be available to assist
with adjusting the requisition requirements or advertising for the position.

**Job Posting Guidelines**—Position openings may be viewed via the Office of Human
Resources’ website (http://hr.wustl.edu) under Job Opportunities. Positions remain
posted until a sufficient number of qualified applicants are referred and must be
posted for a minimum of five (5) business days before an offer of employment may
be made. It is the responsibility of the applicant to apply for positions for which
he/she is qualified and for which he/she wishes to be considered as a candidate.
Internal candidates are required to supplement their on-line applications with
additional information that would assist the hiring manager in assessing their
candidacy, such as performance evaluations or letter(s) of reference from individuals
who have firsthand knowledge of an internal applicant’s work product.

The University does not require that all vacant positions be posted. Some instances
where posting may not be necessary include: when an employee within the
immediate work group, department or school receives a promotion or makes a
lateral move; when a temporary employee fills a regular full-time position; or when
an employee returning from leave fills a regular full-time position. (See Family and
Medical Leave for information regarding the employer obligations when returning
from leave.) This is not an all-inclusive list but is intended to provide some guidance
to determine when positions may be filled without posting. If you are not certain
whether you must post a vacant position, contact your recruiter or the Employment
Manager.

The University encourages cross-training, lateral transfer and promotional
opportunities for all employees. Employees may obtain information regarding
advancement opportunities by visiting the Employment Office or the Office of Human
Resources’ website (http://hr.wustl.edu). An employee must have completed a
minimum of nine (9) months of service in his/her position to be eligible to apply for a
new position, unless he/she is affected by a staff reduction or loss of funding. See
the section entitled Transfer Policy and Procedure for additional information.
In support of the University’s commitment to affirmative action and equal employment opportunity, the Office of Human Resources provides job postings to Missouri Career Source and other agencies as appropriate.

Candidate Identification

Internal Candidates—Applications/resumes of qualified internal candidates will be made available to the hiring manager via the on-line hiring system. Internal candidates who are interviewed are encouraged to inform their supervisors of the interview. Although this notification is not mandatory, it is considered courteous. Hiring managers are strongly encouraged to conduct internal reference checks by speaking to the applicant’s immediate supervisor. However, this step should not be taken until the staff member has had an opportunity to inform his/her current supervisor of the interview.

External Candidates—Applications/resumes of qualified external candidates will be made available to the hiring manager via the on-line hiring system. In the event that a school/department receives solicited or unsolicited resumes directly, the hiring manager should instruct the individual(s) submitting such materials to apply using the on-line system. Government regulations require an accurate account of all applicants and activity associated with them.

If a department identifies a candidate who has not been sourced through the Employment Office, the hiring manager should instruct the candidate to apply using the on-line system and should notify a member of the Employment staff so that appropriate processing may be completed.

Both internal and external candidates must apply for each position for which they wish to be considered.

Former Washington University Employees—Prior employment history with the University will be considered in all employment decisions. An employee who has been involuntarily terminated due to misconduct or unsatisfactory job performance is generally not eligible for rehire.

Conviction Records—Applicants who have been convicted of a crime (including guilty pleas and no contest pleas and suspended imposition of the sentence) must disclose this on their employment application. This is one reason why all final candidates must complete an employment application. Applicants who are hired who fail to disclose this information on their application are subject to disciplinary action up to and including termination. The decision to employ an individual who has been convicted of a crime is discretionary and includes a targeted screening process that takes into account the following factors:

1. The nature and gravity of the offense or conduct;
2. The time that has passed since the offense, conduct, and/or completion of the sentence; and
3. The nature of the job held or sought.
No inquiry may be made into the arrest record of an applicant nor may employment decisions be based on arrest records. Where required by law, or a strong business case exists to protect the safety and welfare of the University and its faculty, staff, students, patients, and other appointees, a criminal background check will be performed on final candidates for certain positions. The recruiter will notify the hiring manager and the final candidate when this requirement exists and have the necessary authorization form completed. Questions regarding the use of conviction records should be directed to the Employment Office.

**Mandatory Testing:** Applicants wishing to work in certain areas of the University may be required to undergo pre-employment and/or periodic physical examinations for evaluation of their ability to safely perform position duties.

**Licenses, Registration, and Certification:** Certain positions require special licenses, registration, or certification. Where required, these will be verified and evidence of such will be collected and retained with the prospective employee’s application materials.

**Advertisements:** The Employment Office should coordinate employment advertisements. The appropriate school/department representative will approve the final advertisement copy, with estimated costs.

**Recruitment Firms:** Schools/departments may wish to utilize the services of a recruiting firm or contingent recruitment firm. Fee schedules and contractual obligations should be reviewed carefully by the Office of Human Resources and/or the Office of General Counsel prior to entering into any agreements. In addition, only those firms with recruitment practices that mirror the University’s Affirmative Action and Equal Employment Opportunity policies may be utilized. Schools/departments should coordinate closely with the Employment Office to ensure proper recordkeeping as dictated by government regulations.

**Temporary Agencies**—Requests for temporary agency employees will be handled by each school/department. The University’s Resource Management department has identified preferred vendors. For additional information, contact a representative of the Employment Office or the Resource Management department at [http://purchasing.wustl.edu](http://purchasing.wustl.edu).

**Interview Process**

All questions asked in an interview must be job-related and designed to help the interviewer identify the best-qualified candidate for the position. In some instances, a supervisor may wish to conduct a telephone screening to determine whether a face-to-face interview is warranted. Whether screening via telephone or in person, interview questions should be prepared in advance of the actual interview. Interviews should be conducted in a similar manner, should involve a standard set of questions and, when possible, be conducted by the same person. The Hiring Manager’s Resource Guide contains sample acceptable and unacceptable interview
questions, an interview evaluation form and a reference check form to assist managers and supervisors with the interview and selection processes. A representative of the Employment Office is available to assist in designing and developing interview questions specific to the position. The Career Development Office also offers classes to assist in the recruitment and selection processes.

References—References that address the candidate’s work background, education, qualifications and other appropriate information must be obtained before an employment offer is extended. For external candidates, this service is provided by the Employment Department at the request of the school/department. References are compiled by a third-party vendor and costs are billed to the school/department. Hiring managers/supervisors are strongly encouraged to use this service. Candidates must apply for positions at Washington University via the on-line application process (TAM), which provides permission to obtain references.

**Employment Offer**

Internal Candidate—After checking references and selecting a qualified candidate, the hiring supervisor should contact the candidate to extend the job offer. The new supervisor and the candidate should discuss a reasonable starting date, which should also be confirmed with the current supervisor. In most instances, the start date should be within two to four weeks of the offer date. The hiring supervisor should then send a confirmation letter to the employee. Sample letters for use when confirming an employment offer are available through the Manager’s Tools section of the Office of Human Resources’ website (http://hr.wustl.edu). Finally, the supervisor should notify the Employment Office that the requisition in the on-line hiring system should be closed.

External Candidate—After checking references and selecting a qualified candidate, the hiring supervisor should extend the employment offer. The terms of employment should then be confirmed via letter. Sample letters for use when confirming an employment offer are available through the Manager’s Tools section of the Office of Human Resources’ website (http://hr.wustl.edu). Finally, the supervisor should notify the Employment Office that the requisition should be closed in the on-line hiring system.

Departments are responsible for contacting the Employment Office to schedule the employee for orientation.

After the position is filled, it is the responsibility of the hiring manager to communicate the results of the interview process to all persons who were interviewed for the position. Upon request, the Employment Office will assist with these contacts.
Transfer Policy and Procedure

Washington University recognizes that staff motivation, productivity, and retention are dependent upon people working in jobs that are well suited to their interests, and therefore offers and encourages transfer opportunities for current employees. Likewise, supervisors should be supportive of staff members who have the desire to enhance their skills or develop new competencies to pursue different or greater responsibilities internally.

An employee must be in his or her current position at least nine (9) months and be in good standing before he or she is eligible to apply for a transfer. The nine-month waiting requirement may be waived if the position is being adversely affected due to a reduction in the work force or job elimination, or if there is significant change in the terms and conditions of employment (e.g. work schedule, hours, salary, status, etc.).

In all cases, the employee's work record, including but not limited to performance, attendance, efforts to develop skills and related behavior will be used as valid criteria for determining suitability for a position.

In consideration of the above factors, prior to a final offer employees must provide relevant documentation that supports recent performance history. For all positions, consideration will be given to the employee's demonstrated interpersonal skills, among other job-related factors, before making a final decision. Deficiencies in such skills or job-related factors may eliminate an individual from further consideration. Exceptions to this policy are reviewed on an individual basis and must be approved by the Office of Human Resources.

TRANSFER ELIGIBILITY CRITERIA

- Employed in current position for at least nine months.
- Maintain an acceptable level of performance including but not limited to absence of corrective action and/or resolution of previous corrective action.
- Successfully pass any special screening processes required for the position of interest, including but not limited to background investigations, reference checks, drug screens, and skills assessments.

An employee may generally not use a University-approved leave to seek transfer; however, we recognize that extraordinary circumstances may exist, in which case the employee should contact the Office of Human Resources to discuss his/her situation.

TRANSFER PROCESS

Step 1: Access HRMS Self-Service and click on Careers to review and apply for positions of interest.

Note: It is imperative that the online application reflects an accurate and complete account of employment history, including all the positions held within the University.
Step 2: Attach relevant documentation of prior performance. This could consist of prior performance evaluation, letters of reference or a letter or statement signed by a current or former supervisor.

Step 3: Wait for confirmation from the Human Resources/Employment Office regarding transfer approval. Written confirmation will be provided to confirm eligibility status.

Step 4: Continue to monitor job opportunities on the employment website for suitable positions of interest.

Intradepartmental Transfer Process

Based on the needs of the area as determined by the manager, the department has the authority to transfer employees to positions within the department to maintain efficient and productive workflow and results. We strongly encourage managers to make an internal announcement regarding the opportunity, but it is not necessary to post it as an opening.

Interdepartmental Transfer Process

Employee Responsibilities: Prior to initiating a transfer, it is recommended that the interested employee advise his/her immediate supervisor that he/she is interested in other opportunities outside of the department. The employee must identify a specific job requisition number or area of interest to facilitate the transfer process. In all cases, the employee must complete an on-line application. Employees may also be required to take clerical tests, such as grammar or typing, as a part of the application process.

Hiring Manager Responsibilities: If a hiring department has knowledge of an employee outside the department who is interested in its opening, at a minimum the department is expected to notify Human Resources and should also refer the employee to the Office of Human Resources so that eligibility for transfer may be determined. Each hiring manager is responsible for conducting the final interview(s), verifying past employment/references and, ultimately, extending the formal offer of employment.

Human Resources Responsibilities: Interview or refer an employee whose knowledge base, skill set, and work history match the position referenced by the employee. It should be noted that only employees deemed qualified and suitable are forwarded to the hiring manager for review. While information related to the position status is limited, the Office of Human Resources will, upon request, attempt to provide feedback when the information is available and deemed reasonable and practical to communicate. The Office of Human Resources will re-verify the eligibility on a periodic basis, typically 90 days after the initial transfer approval.

Reference Checks

To facilitate the reference check process and safeguard the rights of employees seeking interdepartmental transfers, a hiring supervisor who is considering making an
offer of employment to an employee from another department should ask the current supervisor to verify the performance and attendance record of the employee.

There may be extenuating circumstances in which an employee requests that his/her current supervisor not be contacted before an offer or acceptance. In all cases, information provided to the hiring manager should reflect only the documented strengths or accomplishments, developmental areas, and corrective action or disciplinary notices as recorded in the employee’s personnel file.

Compensation

Hiring managers are expected to discuss and confirm the employee’s current salary grade and rate of pay with both the employee and the Office of Human Resources prior to extending an offer. Hiring managers may grant a salary increase, within University guidelines, for a promotion (a move to a job in a higher salary grade). In general, no salary increase is provided for a lateral transfer (a move to a job in the same grade) because there is no increase in the level of responsibility. When an employee transfers to a job in a lower salary grade, the manager should consult with the Office of Human Resources. Typically, the employee’s salary will be reduced because the level of responsibility has decreased.

Notice of Transfer

If chosen for an open position, the employee should notify the current supervisor of the transfer. A date of transfer will be agreed upon by the managers of the affected areas and the employee. Generally, employees in non-exempt jobs should anticipate at least two weeks formal notice and employees in exempt jobs should anticipate at least four weeks. In all instances, adequate notice of transfer must be given to avoid the risk of disrupting the workflow in the employee’s current area.

Leave Balances

All accrued but unused sick and vacation balances, along with personal days, must be transferred by the employee’s current manager to the new department. Each employee is encouraged to confirm the accrual balances with his/her current supervisor before the effective transfer date.

The School of Medicine limits the accrual of vacation to 22 days for all employees regardless of their hire date or the date of transfer to a benefits-eligible position. Employees who transfer from a Danforth Campus department to the School of Medicine with more than 22 days of accrued vacation will only be allowed to transfer a maximum of 22 days. No payment will be made for vacation that is forfeited as a result of the transfer.
Orientation Period for Transferred Employees

The first six (6) months in the new position is an orientation period. However, transfer employees may use accumulated sick and vacation time during this period with supervisory approval.

An employee should be aware that it is necessary to satisfactorily meet the new position’s performance expectations and standards as established by the new manager during the orientation period. The employee’s work habits and performance will be examined throughout the orientation period and, if the employee fails to meet these expectations, he/she may be separated from employment.

Employment of Washington University Students

Summer and/or Part-Time Employment of Washington University Students

Individuals who are currently enrolled at least half-time and regularly attending classes (undergraduate or graduate students) and who are not full-time, benefits eligible employees are generally exempt from social security tax (FICA) on salary paid by the University. The student’s services for the University must be incident to and for the purpose of pursuing a course of study. This exemption does not apply to salary paid to students of other universities employed by Washington University nor to Washington University students who work for other employers.

The Internal Revenue Service has ruled that the student FICA exemption does not apply when a student incurs a break from class of more than five weeks time. Student workers incurring such a break must be reinstated as FICA exempt when they return to class.

Work Study Program: Under a federal grant to Washington University, eligible student employees are paid in part from these grant funds. Up to 60 percent of the salary can be paid from federal funds. Arrangements for the employment of eligible students are made through the Student Financial Services Office.

Full-Time Employment of Washington University Students

Ph.D. students:

- A Ph.D. student is not eligible to be both a benefits eligible employee and a full-time student as long as he/she is receiving tuition remission. Once the student’s tuition remission has ceased, the student may change to a part-time student status and also be eligible for full-time employment with WUSTL.
Tuition remission generally ceases at the point that credit hours have been completed but the student is still working on his/her dissertation.

- The Dean of the Graduate School of Arts & Sciences is the primary individual responsible for determining the point at which the student is eligible for full-time employment.

Undergraduate and master’s degree program students:

- Undergraduate and master’s degree program students may be considered full-time students and full-time employees as long as the following criteria are met:
  
  o If the employee is a full-time employee prior to entering school, approval must be obtained from the employee’s supervisor and the school of study. The supervisor must be fully apprised, in writing, of the academic requirements, including but not limited to class schedules, field work and internships.
  
  o If the employee is a full-time student prior to accepting full-time employment, approval must be obtained from the school of study and full disclosure made to the employee’s supervisor about the full-time student status and academic requirements, including but not limited to, class schedules, field work and internships. The description of the academic requirements must be in writing.

  o These guidelines will not supersede established school or departmental qualifications or restrictions related to student / work status.

- Full-time student status does not alter the eligibility requirements or benefits provided through Employee Tuition Assistance program. Please refer to the tuition assistance page of the HR website for details.

- For information related to student/employee taxation, please refer to the student FICA exemption page of the Payroll Services website.

**Employment of Relatives**

Introduction: The employment of near relatives in the same department is strongly discouraged as it leads to perceptions of favoritism, difficulties in managing objectively and lower employee morale. At the same time, Washington University is a large employer and often will find highly qualified candidates among the family members of its current employees. Therefore, it is important to create a balance between these sometimes competing issues. Employees cannot be in a position of supervising, directing, making or influencing final decisions regarding the terms and conditions of employment and/or compensation for their near relatives. This policy also applies to relationships that may develop after employment begins.

Definitions: For purposes of this policy, near relatives are defined as: spouse, domestic partner, parent, step-parent, children, step-children, brother or sister,
step/half brother or sister, grandparent, grandchildren, first cousin, uncle or aunt, nephew or niece, in-laws or other relatives or members of the employee’s household.

Procedures: Prior to extending a job offer, a letter signed by the appropriate Dean (or Vice Chancellor in the case of the CFU) authorizing the employment of a near relative in the same department is required and should be placed in the employee’s personnel file. A copy should also be forwarded to the Assistant Vice Chancellor for Human Resources. In cases where an employment relationship between near relatives has been approved by such a letter, the University retains the right to reconsider the propriety of the relationship at any time. In these situations, an individual may be subject to transfer, reassignment, or other action to avoid an inappropriate working relationship between near relatives.

All employees are expected to conduct themselves in an appropriate business manner regardless of any close personal relationship that may exist or develop during the course of their employment. Behavior that is in any way disruptive or hostile during the normal course of business will not be tolerated and may result in the employee being subjected to disciplinary action up to and including termination.

Manager’s Role: Managers who supervise employees who are related to each other should make clear what conduct is appropriate and inappropriate in the workplace, gain commitment to these standards, give prompt feedback if standards are not met and take corrective action, up to and including termination, if employees do not comply. Managers who are hiring employees are responsible for identifying potential issues of nepotism and ensuring that the appropriate initial review as described above has occurred.

Employment of Minors

Under Missouri law, children under the age of 14 may not be employed or otherwise permitted to work (except under narrow circumstances inapplicable to University employment). Children aged 14 and 15 may work, but only with a work permit and subject to strict limitations.

Children under age 16 may not work at Washington University during the regular school term unless and until the Office of Human Resources receives a work permit.

Children under 16 may not be permitted to work (a) more than three hours on any school day, (b) more than eight hours in any non-school day, or (c) more than six days or forty hours in any week. They may not work before 7 a.m. or after 7 p.m. (9 p.m. during summer vacation). Under special circumstances, the state Director of Labor and Industrial Relations may waive certain aspects of these requirements. Contact the Office of Human Resources at 935-5990 with any questions.
Independent Contractors

Introduction: A worker should not be hired as an independent contractor (as opposed to as an employee) unless he/she clearly meets the test for such status. An individual will be considered an employee, not an independent contractor, if the University has the right to direct and control the method and manner in which the work is to be done and the result to be accomplished. Visit the Tax Policies and Procedures website for detailed information regarding employee versus independent contractor status. This site also includes a questionnaire for determining employee or independent contractor status.

Employees of the University may not be paid as independent contractors while they are in an active employment status. An exception to this policy may exist if the individual has established him or herself as an independent contractor (as defined by the IRS) and is performing duties that are separate and distinctly different from work done as an employee. In no instance may an employee be paid as an independent contractor while on an approved leave of absence.

Hiring a Previous Washington University Employee as a Contractor: Individuals who previously worked for the University may be hired as contractors. However, a minimum of 12 months must elapse before the ex-employee can be engaged as an independent contractor. In no case should a person be hired as a contractor in the same capacity and/or with similar job responsibilities to those he/she assumed while in an employee status.

Penalties for Misclassification: Supervisors are responsible for ensuring that employees and independent contractors are properly classified. The cost of erroneously classifying an employee as an independent contractor is very high. For example, employers may be required to pay employment tax liabilities that were not withheld as a result of having misclassified common law employees as independent contractors. The employer may not attempt to recover the tax from the employee nor may the employer deduct such amount from future compensation. Failure to withhold taxes due to an intentional disregard of the withholding requirement – rather than good faith misclassification of the worker – may result in additional penalties. Contact the Office of Human Resources at 935-5990 with any questions.

Employment of Retirees

It is the policy of the University to reemploy retirees as an alternative to using temporary help from agencies or other sources. Reemployment allows the retiree to share his or her knowledge with coworkers and fosters goodwill and pride among employees and in the community.

The retiree should be encouraged to research the effects of reemployment on his/her individual retiree benefits and taxes before such reemployment occurs.
Rehire to Service

Employees who separate from and are then reemployed by the University are considered rehires. If an employee is reemployed within 30 days from separation, the personnel file will reflect the original date of hire. The employee's past work record and performance history, along with the reason for separation, will be considered when determining eligibility for rehire. An employee who has been involuntarily terminated due to misconduct or unsatisfactory job performance is generally not eligible for rehire. Employees who have been discharged are encouraged to establish a strong work record with another organization before they attempt to reapply to Washington University.

Breaks in Service

If a former employee returns to active employment within 30 days or less, it is generally not considered to be a break in service. Please refer to the Benefits and Services section of this manual for information regarding benefit eligibility for rehired employees.

Temporary employees must have a break in service of at least 90 days before they may be rehired in a temporary status at the University.
### III. Benefits and Services

<table>
<thead>
<tr>
<th>Benefit/Affiliation</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Benefit Eligibility by Employee Classification</td>
<td>III-1</td>
</tr>
<tr>
<td>Employee Benefit Schedule</td>
<td>III-2</td>
</tr>
<tr>
<td>Changes in Personal Information</td>
<td>III-2</td>
</tr>
<tr>
<td>Benefits at Separation of Employment</td>
<td>III-2</td>
</tr>
<tr>
<td>Benefit Eligibility for Rehired Employees</td>
<td>III-4</td>
</tr>
<tr>
<td>Retiree Benefits</td>
<td>III-6</td>
</tr>
<tr>
<td>Death Benefits</td>
<td>III-7</td>
</tr>
<tr>
<td>Employee Services</td>
<td>III-8</td>
</tr>
<tr>
<td>- Identification Cards</td>
<td></td>
</tr>
<tr>
<td>- Credit Union</td>
<td></td>
</tr>
<tr>
<td>- Direct Deposit</td>
<td></td>
</tr>
<tr>
<td>- Accounts with the University</td>
<td></td>
</tr>
<tr>
<td>- Insurance</td>
<td></td>
</tr>
<tr>
<td>- Shuttle Bus Service/Metro Universal Pass</td>
<td></td>
</tr>
<tr>
<td>- Parking</td>
<td></td>
</tr>
<tr>
<td>- Wellness Connection</td>
<td></td>
</tr>
<tr>
<td>- Employee Discounts</td>
<td></td>
</tr>
<tr>
<td>- UnitedWay</td>
<td></td>
</tr>
<tr>
<td>- Employee Recognition Programs</td>
<td></td>
</tr>
<tr>
<td>- Family Learning Center</td>
<td></td>
</tr>
<tr>
<td>- Back-Up Care Advantage Program</td>
<td></td>
</tr>
<tr>
<td>- Child/Elder Care Services</td>
<td></td>
</tr>
<tr>
<td>- Employer Assisted Housing</td>
<td></td>
</tr>
<tr>
<td>Employee Assistance Program</td>
<td>III-11</td>
</tr>
</tbody>
</table>

---
BENEFITS AND SERVICES

Introduction: The University provides a comprehensive benefits package for regular full-time employees and part-time employees who work 20 hours or more per week on a regularly scheduled basis. The University provides some benefits at no cost to employees. Other benefit offerings provide important protection to employees at a reasonable cost.

To ensure that employees fully understand their benefit options and enroll promptly, supervisors should ensure that all new employees attend New Employee Orientation prior to completing one (1) month of employment.

The information provided below is a summary of University benefits available to non-union employees and is intended to serve as a quick reference for managers and supervisors. It is not meant to replace Summary Plan Descriptions or the complete text of specific benefit policies, nor does it state or imply that participation in these programs is a guarantee of continued employment with the University. Contact the Benefits Department or refer to the appropriate Summary Plan Description for complete information. The University reserves the right to change plan administrators, eligibility requirements and/or plan design without prior notice.

Benefit Eligibility by Employee Classification

Employee benefit eligibility is based on employee classifications. Employee classifications are defined below:

Regular full-time employees are those persons hired to work 37.5 hours or more per week for an indefinite period. Regular full-time employees are eligible for the University’s full offering of benefits.

Part-time employees are those persons hired to work less than full-time on a regularly scheduled basis.

Part-time benefits-eligible employees are those persons who are regularly scheduled to work at least 20 hours per week, but fewer than 37.5 hours per week.

Temporary employees are those persons hired for a pre-specified period of time to fill a short-term/temporary staffing need and are paid by Washington University. They may be hired on a full or part-time basis. Short-term/temporary employees who work for more than six (6) months and over an average of 20 hours per week in a calendar year will be eligible for benefits as stated above. Rehired temporary employees must have a break in service of at least 90 days before they may be rehired in a temporary status at the University.

Zero-hour employees are hired with no specifically scheduled work periods. These employees are not eligible for benefits. Persons who work 20 hours or more per
Employee Benefit Schedule

A summary of employee benefit plans including eligibility information for active employees and information about how to enroll on-line can be found in the Benefits section of the Office of Human Resources' website (http://hr.wustl.edu).

Changes in Personal Information

It is the responsibility of each employee to report changes of name, marital status and dependents to the appropriate department/school representative. Beneficiary changes and health insurance information must be submitted on the proper forms and sent to the Benefits Office, Campus Box 1190. Forms are available in the Benefits Office and in the Forms section of the Office of Human Resources' website (http://hr.wustl.edu). In addition, employees should regularly review and update their personal information available through Self Service in the University (HRMS) HR Payroll System. Earnings history may also be viewed and printed from this site.

Benefits at Separation of Employment

Introduction: Separated employees and their eligible dependents have the option of continuing health and dental coverage through Consolidated Omnibus Budget Reconciliation Act (COBRA) at the expense of the employee. The Benefits Office mails COBRA notifications to the home addresses of all separated employees. The following benefits may be continued at the expense of the separated employee.

Health/Dental—Coverage is extended until the end of the month in which employment terminates. Separated employees and their families have 60 days to elect continuation of coverage after the later of (1) the termination of coverage, or (2) the date the University notice to enroll in COBRA is received. The same University health benefits can be extended for a period of up to 18 months (period may vary). The total premium cost and any administrative surcharge is the responsibility of the separated employee. The notification/enrollment form is sent to each separated employee and his/her eligible dependents automatically.

Flex Spending—Separated employees may submit claims for eligible health care and child care expenses incurred before the end of the month in which employment is terminated. The health care and childcare spending plan may be continued through COBRA.
Life Insurance—Coverage is extended until the end of the month in which employment terminates. Separated employees may continue or convert any group term life insurance benefits (basic, supplemental or dependent) or continue the variable universal life policies within 31 days of termination.

Long Term Disability—Coverage ceases on the last day worked. A conversion option is available and must be submitted directly to the Long Term Disability Insurance Company within 31 days of termination.

Long Term Care—Coverage is extended until the end of the month in which the employee terminates. To continue this coverage, the employee should contact the current carrier directly.

Tuition Assistance—if actively enrolled at the time of termination, benefit continues through the end of the semester.

Retirement—Benefit continues through the last pay period. Separated employees may withdraw their total account balance as permitted by the funding vehicle. Funds withdrawn from retirement accounts may be subject to state and federal income taxes. The IRS also imposes a 10% surtax penalty on lump sum distributions before age 59 ½.

Health Savings Account (HSA)/Retirement Medical Savings Account (RMSA)—Benefit continues through the last pay period. Separated employees with a balance in their HSA accounts, may use that amount to pay for qualified out of pocket health, dental, prescription drug and vision expenses and will not be taxed. Separated employees with RMSA accounts have the option of 1) withdrawing the balance in the employee account and forfeiting the balance in the University account at date of termination; or 2) retaining the balances in both the employee and University accounts until becoming eligible for retirement. Terminated employees are required to make this one time irrevocable election within 60 days after the date of termination.

Vacation—if the six (6) month orientation period has been completed, terminating employees will be paid for accrued vacation up to a maximum of 22 days or the maximum appropriate for their employment status.

Sick Time—No payment is made for accrued sick time.

United Way and Credit Union—Deductions cease with the last pay period. Employees who have loans with the Credit Union should contact the Credit Union to arrange alternative payments. Employees are not required to withdraw from the Credit Union upon separation of employment with the University.

Outstanding Expenses—Employees must submit an expense report prior to their termination date to allow for reimbursement.
University Property—Employees are responsible for returning keys, parking permits, ID cards and any other University property in their possession. This includes the Metro Universal pass provided by the University which must be returned to the department by the last day worked to avoid taxation on the full monetary value of the pass.

Benefit Eligibility for Rehired Employees

Introduction: Periodically, former faculty and staff return to active employment at Washington University. Eligibility for the benefit plans and consideration of previous employment toward service criteria varies by the length of the break in service and the benefit plan. The following summarizes the eligibility and enrollment requirements for rehiring employees:

**Less than 32 days**

- If an employee returns to active employment in a benefits-eligible position within 31 days, his or her participation in the following plans will continue according to the previous benefit plan elections prior to the break in service. Re-enrollment is not necessary:

  - Medical/Dental
  - Flex Spending
  - Health Savings Accounts (HSA)
  - Life Insurance
  - Long Term Disability
  - Long Term Care
  - Retirement Savings
  - Retirement Medical Savings Accounts (RMSA)

**32 days or more**

- If an employee returns to active employment in a benefits-eligible position after a break in service of 32 days or more, he or she must re-enroll in the following plans if he or she wishes to participate:

  - Medical/Dental
  - Flex Spending
  - Optional Term Life Insurance
  - Variable Universal Life Insurance

Re-enrollment may occur within 31 days of the rehire date. Coverage will be effective on the first of the month co-incident with or next following his/her rehire date.
Basic Term Life Insurance:
Must re-enroll within 31 days of the rehire date. Coverage will be effective on the first of the month following six months of continuous service after the rehire date.

Long Term Disability:
If rehired within 12 months, previous eligible service will apply to the one-year service requirement for coverage. If rehired after 12 months, the employee must satisfy a new 12-month service period for reinstatement of coverage. Enrollment will not be required for the basic LTD benefit provided by the University, but is required for the Buy-Up plan.

Long Term Care:
May re-enroll within 31 days of the rehire date. Coverage will be effective on the first of the month co-incident with or next following his/her rehire date. However, the employee must complete a health statement unless the employee continued his/her policy with the current carrier during the break in service.

Retirement Savings (Employee Contribution):
May re-enroll at anytime after the rehire date.

Retirement Savings (University Contribution):
If the employee were eligible for the University retirement contribution prior to leaving the University, he/she will become eligible on the first of the month following the rehire date. The University contribution percentages of the amended plan dated July 1, 2006 will apply.

If not eligible for the University retirement contribution prior to leaving the University, the employee will become eligible after satisfying the two-year service requirement following the rehire date.

If the employee changes to an ineligible position but remains employed by the University the following rules apply:

1) If he/she did not accumulate more than 1000 hours of service in the first year and at least 501 hours in the second year before the status changed, no service is granted.
2) If he/she accumulated 1000 hours of service in the first year and 501 or more hours the second year, the first year counts, but the second year does not.

Less than 91 days
If an employee returns to active employment in a benefits-eligible position within 90 days, he or she will not have a break in service eligibility and his or her participation in the following plans will continue according to his or her previous eligibility status.

Employee/Spouse Tuition Assistance
Dependent Child Tuition Assistance
91 Days or more

If an employee returns to active employment in a benefits-eligible position after a break in service of 91 days or more, he or she will become eligible based on the following rules:

**Employee/Spouse Tuition Assistance**
Must complete one year of service before the first day of classes for that semester. Must complete a new request for tuition assistance form.

**Dependent Child Tuition Assistance**
Must complete seven consecutive years of full-time service or its equivalent from the rehire date to meet the service requirements. The tuition remission percentages of the current amended plan will apply. (Please note: If employed at another accredited university in a comparable position during a break, service may count prior to and during the break.)

**Retiree Benefits**

Introduction: Employees who meet the “Rule of 65” at termination are eligible for retiree benefits. Under the eligibility “Rule of 65”, an employee must meet any combination of age and years of current consecutive benefits-eligible service that equals 65 or more, with two minimum requirements: 1) age 55 and 2) five (5) years of benefits-eligible service.

For clarification, benefits-eligible service is 50% or more of the full-time workload for a faculty member and 20 hours or more per week for a staff member.

Terminated employees who meet these prerequisites will be treated as retirees for additional benefit eligibility. Retiree benefits include continued access to health insurance and dependent child tuition assistance.

**Health Insurance**—University-sponsored health, Medicare supplement or dental-only plans are available for retirees and eligible dependents. Retirees pay the full premium cost, and if age 65 or older, are required to enroll in Medicare Part B and are strongly encouraged to enroll in Medicare Part D. Retirees may apply or change to another University-sponsored health plan during the annual open enrollment period without any pre-existing condition exclusions. Retirees may cancel their health coverage at any time with the option to reapply at any future open enrollment period without any pre-existing condition exclusions.

**Retirement Income**—Retirees may apply for their accumulated retirement account balances from TIAA-CREF or Vanguard. Retirees may select from many payment options.
**Long Term Care Insurance**—Retirees and their spouses who are participating may continue this plan through the payment of a direct invoice from the applicable insurance carrier. Retirees and their spouses who are not currently participating may apply for this coverage at any time by completing an enrollment form and a statement of health.

**Term Life Insurance**—A $5,000 paid-up policy underwritten by the current term life insurance carrier is provided to all retirees who were participating in the optional employee life plan at their date of retirement. Retirees have the option to continue or convert all or part of their term life plan and/or continue their Variable Universal Life Plan within 31 days of their retirement date. Retirees pay the full cost of continued or converted life insurance.

**Tuition Assistance**—Retirees who have seven (7) years of current consecutive full-time service (or the equivalent) at their retirement date are grandfathered under the tuition assistance plan for their eligible dependent children.

**University Facilities**—Retirees and their spouses continue to have access to University facilities, such as the athletic facilities and libraries.

**Credit Union**—Retirees and their spouses may continue or apply for accounts and services available through the St. Louis Community Credit Union.

**University Mailing List**—Retirees will be maintained on the University mailing list for general information, benefit updates and circulated University publications.

### Death Benefits

**Introduction:** Upon the death of an active employee, the department/school should arrange for the dependent(s) and/or beneficiaries of the deceased to meet with the benefits staff to discuss the impact on benefits.

**Health/Dental Insurance**—Eligible dependents may continue health and dental coverage under COBRA for a period of 36 months. If the employee were retirement eligible at the time of his or her death, his or her spouse is eligible for health and dental coverage for life.

**Life Insurance**—The beneficiary of record is eligible to receive 100% of the deceased’s annual salary (employee must have been full-time and completed six months of service). If optional term life insurance were purchased, the beneficiary will receive either one, two, three, or four times the annual salary rounded up to the next $1,000, not to exceed $2,000,000. If optional variable universal life insurance were purchased, the beneficiary will receive either one, two, three, four or five times the annual salary rounded up to the nearest $1,000, not to exceed $3,000,000, plus the amount in the investment fund. (In the case of an accidental death, the beneficiary will receive two times the total amount of optional life insurance.)
Retirement Savings Plan—The deceased employee’s beneficiaries may receive a distribution of the entire account balance.

Tuition Assistance—The dependent children of a deceased employee may be eligible for tuition remission if the employee were eligible for this benefit at the time of death. The dependent child(ren) must meet the eligibility requirements of the tuition assistance program in effect at the time he/she applies for the benefit.

Retirement Medical Savings Account Plan (RMSA)—The deceased employee’s spouse may become the owner of his or her RMSA account, may use the balance to pay for qualified health, dental, prescription drug and vision expenses and will not be taxed.

Vacation—Accrued unused vacation up to a maximum of 22 days (maximum is pro-rated for part-time employees) should be paid to the estate of the deceased employee.

Final Paycheck—The final paycheck will be processed through the payroll system and mailed to the beneficiary of record.

Employee Services

Identification (ID) Cards—All employees are issued a personal ID card. This is used to obtain specific services and privileges as well as to provide security access to buildings. Employees should carry their ID with them for purposes of identification and to obtain University privileges such as access to the libraries and the athletic complex. As with all University property, the identification card should not be shared among employees or used to gain unauthorized access to certain areas or privileged information. Each employee is expected to report lost or stolen identification cards immediately. Contact the Office of Human Resources to obtain ID cards and/or for further information.

Credit Union—Membership and services of the St. Louis Community Credit Union are offered to Washington University employees and their families. Payments for savings or loans may be made by payroll deduction. Application is to be made directly to the St. Louis Community Credit Union - 3651 Forest Park, St. Louis, MO 63108.

Direct Deposit—Direct deposit is required for all employees except in limited situations. This benefit is only available at banks in the United States; checks may be deposited into three different banks and/or accounts. Forms are available in the Forms section of Office of Human Resources’ website (http://hr.wustl.edu), from the Payroll Services Department or from the Office of Human Resources.

Accounts with the University—All accounts an employee has with the University are to be paid promptly. The balance of any delinquent account may be withheld from
an employee’s payroll check. This applies to tuition payments, library fines, bookstore accounts, parking tickets and any other account with the University.

Insurance—The University offers a voluntary benefits program that offers such insurance products as auto, home, renters, identity theft, condo, personal umbrella and more. This program allows employees the advantage of insuring with a reputable company (Travelers) while possibly saving money on their auto and home insurance through low, competitive rates. To learn more about this program, employees may call Travelers at 1-800-842-5936 or view the Auto/Home benefit in the Benefits section of the Office of Human Resources’ website (http://hr.wustl.edu).

Shuttle Bus Service/Metro Universal Pass—The University provides free transportation services for eligible students, faculty, and staff on the Danforth Campus, at the School of Medicine, and on West and North Campuses. In addition, the University provides free Metro Universal Passes to benefits-eligible employees. Employees should contact Parking and Transportation Services at http://parking.wustl.edu to obtain shuttle bus schedules and routes or to request a Metro Universal Pass.

Parking—The University attempts to provide adequate and convenient parking facilities. Regulations and applications for required permits are available at the Parking and Transportation Services Office. Parking fees are deducted from paychecks on a pre-tax basis.

Wellness Connection—The Wellness Connection is a communication tool linking faculty and staff to campus resources relating to health and wellness. The Wellness Connection sponsors educational programs focused on fitness, nutrition, and various other health-related topics. For more information, visit the Wellness Connection website at http://wellnessconnection.wustl.edu.

Employee Discounts—Resource Management offers staff discounts on a variety of products and services. Please visit http://purchasing.wustl.edu for more information.

United Way—The United Way supports nearly 200 essential agencies serving many human needs in the community. Employees may contribute to the United Way through payroll deduction. Upon employment, an employee may obtain United Way information and a pledge card. Employees also have the opportunity to contribute during the annual United Way drive.

Employee Recognition Programs—The University values the contributions of its staff, and is committed to recognizing those contributions. The following programs are examples of this commitment to recognition.

Gloria W. White Distinguished Service Award—The Gloria W. White Distinguished Service Award was established to provide recognition to a nonacademic staff member for exceptional effort and contributions that result in the betterment of
Washington University. Each spring, nominations for this prestigious award are sought, and the announcement of the staff member who will receive the award is made during the Danforth Campus annual Staff Day celebration. Nominees must have a minimum of five years of service with the University.

Nomination forms are available in the Forms section of the Office of Human Resources’ website (http://hr.wustl.edu) or by calling the Office of Human Resources at 935-5990.

Staff Day—Traditionally celebrated the Monday after Commencement, Staff Day is a day of recognition, food and fun. The day starts with the Staff Service Awards and Recognition Ceremony followed by a buffet luncheon. An afternoon of games is followed by the awarding of trophies to team champions.

Service Awards—Service Awards are presented to nonacademic staff for consecutive years of service during the Staff Day program. Service awards begin with 10 years of continuous service and are issued every five years thereafter.

Chancellor’s Reception—The Chancellor hosts a reception each year to honor faculty and staff members reaching 25 years of full-time service.

Additionally, many schools/departments have created recognition programs especially for their staff members.

Family Learning Center—The Family Learning Center is a Washington University child care center located at North Campus. The center is owned by the University and managed by Bright Horizons Family Solutions. Visit www.childcare.wustl.edu for additional information.

Back-Up Care Advantage Program—The Back-Up Care Advantage Program assists employees with balancing the competing demands of life and work. Benefits-eligible employees may use the service when they need to be at work and their regular child or elder/adult care is unavailable. Services available include center-based back-up child care, in-home back-up and mildly-ill child care and in-home back-up elder/adult care. Dependents must be registered before care is provided and reservations are required. More information can be found by visiting www.brighthorizons.com/advantage and entering:

Username: WUBACKUP
Password: BACKUP

Child Care/Elder Care Services—Professional resource and referral services for child and elder care are available through the Child Day Care Association. These services are offered at no charge to Washington University employees. More information can be found at www.childcarestl.org. The telephone number for CDCA is 314-531-1412 or 1-800-467-CDCA (2322).
Employer Assisted Housing—In order to permanently stabilize DeBaliviere Place, Forest Park Southeast, Northeast University City, Skinker-DeBaliviere and certain West End neighborhoods, forgivable loans are offered to eligible Washington University employees.

Full- and part-time (20 hours or more per week) employees of Washington University in good standing are eligible to participate in the loan program. Other eligibility requirements apply.

For official maps, eligibility requirements and information please go to: http://eahp.wustl.edu.

Employee Assistance Program

Washington University provides an Employee Assistance Program (EAP) for all benefits-eligible individuals and their immediate family members. This prepaid benefit is offered as a way to help individuals resolve issues that may have an impact upon their personal lives and their job performance.

Employees can contact Work-Life Solutions 24 hours a day, seven days a week to arrange a confidential appointment with an EAP specialist. EAP specialists have professional training and expertise in a wide range of issues such as marriage and family problems, alcohol and drug abuse, emotional and psychological concerns, financial difficulties, stress and much more.

The EAP can be reached by calling 1-844-365-4587, visiting their website www.guidanceresources.com, or downloading their app, Guidance Resources Now and using the Web ID: WashU.
## IV. Time Off

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Absences in General</td>
<td>IV-1</td>
</tr>
<tr>
<td>Attendance/Tardiness</td>
<td>IV-1</td>
</tr>
<tr>
<td>Absence Management</td>
<td>IV-1</td>
</tr>
<tr>
<td>Vacation</td>
<td>IV-3</td>
</tr>
<tr>
<td>Holidays</td>
<td>IV-5</td>
</tr>
<tr>
<td>Sick Time</td>
<td>IV-6</td>
</tr>
<tr>
<td>Workers’ Compensation</td>
<td>IV-7</td>
</tr>
<tr>
<td>Jury Duty</td>
<td>IV-9</td>
</tr>
<tr>
<td>Time Off to Vote</td>
<td>IV-9</td>
</tr>
<tr>
<td>Funeral Leave</td>
<td>IV-10</td>
</tr>
<tr>
<td>University Closings &amp; Severe Weather</td>
<td>IV-10</td>
</tr>
<tr>
<td>Leaves of Absence</td>
<td>IV-11</td>
</tr>
<tr>
<td>- Family and Medical Leave</td>
<td></td>
</tr>
<tr>
<td>- Departmental Leave of Absence</td>
<td></td>
</tr>
<tr>
<td>- Disability Leave (See Family and Medical Leave)</td>
<td></td>
</tr>
<tr>
<td>- Non-FMLA Medical Leave</td>
<td></td>
</tr>
<tr>
<td>- Personal Leave</td>
<td></td>
</tr>
<tr>
<td>- University Leave of Absence</td>
<td></td>
</tr>
<tr>
<td>- Military Leave (Including Military Reserve/National Guard Leave)</td>
<td></td>
</tr>
</tbody>
</table>
TIME OFF

Absences in General

In case of absence, the employee should personally notify his or her supervisor as soon as possible prior to the regular starting time on the first day of the absence and on each subsequent day. Each absence is considered individually with respect to payment or deduction, and proper notification is one of the considerations.

It is the employee’s responsibility to notify his/her supervisor or designee prior to the scheduled starting time or per departmental policy if for any reason he/she cannot report to work or will be late for work. Employees are to maintain contact with their supervisors or managers for any period of absence beyond one day except in the cases where employees have provided medical certification covering a specific period. The frequency of contact between an employee and supervisor or manager during an extended absence should be discussed and approved by the supervisor.

Attendance/Tardiness

Introduction: Attendance and punctuality are essential elements of efficient and effective job performance. Unscheduled unavailability for work in any form is costly, disrupts work schedules, imposes added work on others and will not be tolerated.

Starting Time—Employees are expected to be at their work areas, ready to work, by 8:30 a.m. or the starting time agreed upon with their supervisor. In the case of unforeseen circumstances, automobile trouble or the illness of a person in the employee’s household, exceptions may be made when an employee has notified the supervisor of the problem at or prior to 8:30 a.m. (or the approved starting time). Departments should establish and communicate the appropriate method to report unscheduled absences or lateness.

Compensation—Available vacation or personal holiday hours may be used when employees in nonexempt jobs fail to arrive at work promptly. If paid time off is not available or approved by the supervisor, the employee in a nonexempt job will be docked for the time he/she missed. Federal law limits the circumstances in which the pay of an employee in an exempt job may be docked. Contact Human Resources to discuss use of accrued time off and other compensation issues related to employees in exempt jobs.

Absence Management

Supervisors and managers are responsible for maintaining standards of acceptable attendance and promoting good attendance. Attendance records should be reviewed periodically to evaluate the frequency of absences.
Routine Appointments—Employees are highly encouraged to make routine doctor and dental appointments outside of regular work hours. When not possible, early morning, late afternoon or other non-peak times are preferred. Time off for routine and preventative appointments must be charged to vacation if they are to be paid, unless the supervisor approves a schedule adjustment in advance. In general, absences of two hours or less for routine appointments may be made up in the same workweek and therefore not reported as vacation time with prior supervisory approval.

Unscheduled Absences—An employee whose attendance record shows an unacceptable pattern of unscheduled absences should be notified of the problem as soon as possible following its discovery. Even though an employee may have accumulated sick and/or vacation time, it will not diminish the severity of the problem or the actions taken by management.

Although employees are allowed up to five (5) unverified sick instances per fiscal year, management may request, at any time, that an employee turn in a statement, signed by a treating physician, stating the employee was unable to work and noting the applicable dates. An instance is defined as one absence of less than one full day or an absence of one full day. An absence of two consecutive days is considered two instances.

Tardiness—Any unauthorized deviation from the regular schedule, including start time, end time and lunch or break periods may qualify as tardiness.

Absences—Departments/schools should establish attendance standards and communicate these to employees. It is the supervisor's responsibility to notify an employee of an attendance record that indicates an unacceptable amount and/or pattern of time off. In general, employees will be considered excessively absent after five instances of unscheduled absence have occurred in a year. However, employees are not given a specific number of days on which they are allowed to be absent. Standards of acceptable attendance are established by each department/school and each supervisor or manager is responsible for maintaining those standards and for promoting good attendance. The fact that an employee may have accumulated paid time off does not serve to diminish the severity of an attendance problem.

Counseling and Discipline—When considering disciplinary action, the supervisor or manager should consider the reasons for and the duration of past absences/tardiness, the employee's length of service and level of performance, the pattern of past absences/tardiness, and the employee's current attendance record in comparison to that of previous years.

If the employee fails to correct his/her behavior, the supervisor should inform the employee that department/school standards are not being met and that further disciplinary action will be taken up to and including termination if immediate and
sustained improvement is not made. Remedial action taken by a supervisor to address unacceptable attendance should also negatively affect future salary increases, requests for transfer, promotion consideration and/or continued employment.

Job Abandonment—An employee who fails to report to work or provide notice of absence for two consecutive days, including, for example, Friday and Monday, will be considered as having voluntarily resigned his/her position at the University.

Time Reporting—Employees in nonexempt jobs should use Time and Labor to record time worked. All employees in nonexempt and/or exempt roles should use Time and Labor to record time off including vacation, sick, holidays, funeral leave, jury duty, etc.

Vacation

Introduction: It is the policy of the University to provide regular full-time and regular part-time benefits-eligible employees with paid vacation.

Eligibility—Regular full-time employees and part-time benefits-eligible employees (those regularly scheduled to work at least 20 hours per week but less than 37.5 hours per week) are eligible to accrue vacation days. Vacation time for new employees will accumulate but may not be used during the first six (6) months of employment (orientation period).

Accrual—Regular benefits-eligible employees accrue vacation time per hour paid. The maximum accrual is 22 days for full-time employees (equates to 165 hours for employees who work a 37.5 hour week and 176 hours for employees who work a 40 hour week). The fiscal year hourly accrual rate is typically .084292 but may change depending on the number of work days in the fiscal year. Hours paid include regular, sick, vacation, holiday, personal holidays, funeral leave, and jury duty. Overtime is not used in calculating vacation accruals. Vacation cannot accrue on more than 80 hours in a pay period (bi-weekly employees) in any case. Vacation does not accrue during unpaid time off. Accrued vacation time is available for usage as of the end of the pay period.

For employees hired or transferred into a benefits-eligible position on or before 6/30/2008—Full-time employees cannot begin a fiscal year with a vacation balance greater than 22 days.

For employees hired or transferred into a benefits-eligible position on or after 7/1/2008—Full-time employees cannot maintain an accrual balance greater than 22 vacation days at any one time.

Part-Time Employees—Part-time benefits-eligible employees (employees regularly scheduled to work at least 20 hours per week, but less than 37.5 hours per week) are eligible to accrue prorated vacation. This prorated benefit is a percentage of the
full-time benefit, and is based upon the number of hours paid per pay period, including any paid vacation and/or sick time. The maximum vacation accrual is calculated based on the employee’s standard hours (e.g., 20 hours per week equals a maximum vacation accrual of 88 hours).

Part-time employees cannot carry a balance greater than their maximum annual accrual rate with the exception of those employees who transition from full-time to part-time status (see Change in Employment Status section below).

Scheduling—The scheduling of vacation time requires the prior approval of the supervisor. Schools and departments may have additional requirements. Partial days of vacation may be granted at the discretion of the supervisor.

Transfers—Vacation pay in lieu of actual time taken will not be granted to employees continuing their employment or transferring to another department/school. In the case of transfer from one Danforth Campus department/school to another Danforth Campus department/school, the full amount of paid vacation earned shall be transferred from the old to the new department/school in accordance with University policy. Vacation may be taken when it is convenient for the employee and the supervisor.

The School of Medicine limits the accrual of vacation to 22 days for all employees regardless of their hire date or the date of transfer to a benefits-eligible position. Employees who transfer from a Danforth Campus department/school to the School of Medicine with more than 22 days of accrued vacation will only be allowed to transfer a maximum of 22 days. No payment will be made for vacation that is forfeited as a result of the transfer.

Change in Employment Status—If a full-time employee becomes part-time benefits-eligible, the employee is allowed to maintain his/her current vacation balance for the remainder of the current fiscal year, even if it exceeds the maximum annual vacation accrual based on the new part-time status. Additional vacation time for the current year will not accrue unless the employee’s vacation balance falls below his/her new part-time maximum and any additional accrual shall not exceed the new part-time maximum accrual. At the beginning of the fiscal year following his/her change in status, the employee may only carry-over his/her maximum part-time accrual. Supervisors are encouraged to evaluate the timing of status changes to minimize the impact to employee vacation balances and to discuss the policy with the employee.

If a part-time benefits-eligible employee becomes full-time, he/she will begin to accrue vacation up to the full-time maximum.

Worker’s Compensation—Employees may use their accrued vacation to supplement their worker’s compensation payments.
Illness During Vacation—Should an employee become ill or be otherwise unable to report to work prior to the first day of a scheduled vacation period, he or she will be permitted to reschedule that period of vacation, upon request, and with sufficient proof of illness or disability. If the employee becomes ill or disabled during his or her scheduled vacation, the time will be reported as vacation time.

Termination—Regular full-time terminating employees with greater than six (6) months of continuous service will be paid for unused accrued vacation up to a maximum of 22 days. Terminating part-time benefits-eligible employees with greater than six (6) months of continuous service will be paid for unused accrued vacation, up to their maximum accrual only. Terminating employees cannot use vacation in lieu of notice; the last day worked will be the date of termination of employment.

Holidays

The official holidays for which time off with pay is granted are as follows:

- New Year’s Day
- Martin Luther King, Jr.’s Birthday
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Friday after Thanksgiving Day
- Christmas Day

In order to receive holiday pay, full-time benefits eligible employees must have worked their last scheduled day before the holiday and their first scheduled day after the holiday, unless otherwise excused by their supervisor for vacation, sick time, or FMLA leave (paid or unpaid). A supervisor/manager may request a physician’s statement if the circumstances or situations warrants such.

If asked to work on a regular University holiday, an employee will receive equal compensatory time off in lieu of the time worked or be compensated for the holiday and, at straight time, for hours worked on the holiday. If the regular paid holiday occurs during paid vacation, the holiday is not counted as a vacation day. An employee on an unpaid leave of absence, with the exception of unpaid FMLA, is not eligible for paid holidays.

Part-time employees scheduled to work 20 hours or more per week receive pay if the holiday occurs during their regularly scheduled work period. If the holiday occurs on a day the employee is not scheduled to work, the employee does not receive holiday pay.

The maximum holiday pay is 8 hours per day.

When a holiday falls on Sunday, the following Monday will be observed as the holiday. If a holiday falls on Saturday, the preceding Friday will be observed as the holiday.
Sick Time

Sick time provides paid time off for employees who are unable to work for any of the following reasons:

1) For their own physical or mental illness, injury, or medical condition (inclusive of FMLA qualifying conditions);
2) To obtain diagnosis, care, or preventative care, including dental care; or
3) To care for a child, parent, spouse or domestic partner (as defined under the Family and Medical Leave Act) who has an illness, injury, medical condition, or needs to obtain diagnosis, care or preventive care.

Eligibility — Regular full-time employees and part-time benefits-eligible employees (those regularly scheduled to work at least 20 hours per week but less than 37.5 hours per week) are eligible to accrue sick time. Sick time for new employees will accumulate but may not be used during the first six (6) months of employment (orientation period).

Accrual — Regular benefits-eligible employees accrue sick time per hour paid. The maximum annual accrual is 12 days. Hours paid include regular, sick, vacation, holiday, personal holidays, funeral leave, and jury duty, but do not include overtime. Biweekly employees do not accrue sick time on more than 80 hours in a pay period in any case. Sick time does not accrue during unpaid time off. Accrued sick time is available for use as of the end of the pay period.

Sick time cannot accrue in excess of the maximum 120 days (prorated as stated below for part-time status). As sick time is used, time is again accrued at the normal rate until the maximum is reached. If the employee becomes ill or incapacitated during his or her scheduled vacation, the time will be reported as vacation time.

Part-Time Employees — Part-time benefits-eligible employees (employees regularly scheduled to work at least 20 hours per week, but less than 37.5 hours per week) are eligible to accrue prorated sick time. This prorated benefit is a percentage of the full-time benefit, and is based upon the number of hours paid per pay period, including any paid vacation and/or sick time. The maximum balance that can be held is set by the employee's standard hours in effect each pay period (e.g., 20 hours per week equals a maximum annual accrual of 480 hours).

Change in Employment Status — If a full-time employee becomes part-time benefits-eligible, the balance available remains and may be taken while in part-time status. Additional sick time will not accrue until the employee’s sick time balance falls below the new part-time maximum balance available. Accrual for the current fiscal year is limited to the new part-time maximum balance possible given the standard hours. Once an employee reaches the new maximum balance, no additional time will accrue until the available time is taken.

Physician’s Statement — The University reserves the right to request a doctor’s verification of treatment in cases of repeated absences or suspected abuse.
some cases, an employee may be required to provide a return to work note from a physician.

Personal Holidays — If an employee has 12 or more sick days at the beginning of a fiscal year and does not use a sick day (other than time off covered by FMLA) he or she will be given one paid personal holiday to be used at the beginning of the following fiscal year. If an employee has 60 or more accumulated sick days at the beginning of the fiscal year and does not use a sick day (other than illness covered by the Family Medical Leave Act) he or she will be given two paid personal holidays at the beginning of the following fiscal year.

Personal holidays cannot be accumulated or carried over from one year to the next.

Abuse of Sick Time — Paid sick time is a privilege extended by the University. Employees who abuse this privilege may be subject to disciplinary action up to and including termination of employment.

Employee Notification — Employees who will be absent from work due to illness or injury are to notify their supervisor prior to the start of their regular scheduled workday and be in compliance with any departmental attendance policy. Employees are expected to return to work as soon as medically possible. Not meeting required standards may result in the loss of sick pay benefits and or disciplinary action.

Termination of Employment — Terminating employees are not compensated for unused sick time or unused personal holidays.

Long Term Disability/Buy-Up Option:
Questions regarding use of sick leave during Long Term Disability or the waiting period should be directed to the HR Benefits team.

Workers’ Compensation

Introduction: Workers’ Compensation provides medical treatment and compensation for lost wages to employees who suffer an injury or occupational illness as a result of an accident arising out of and in the course of employment.

Employee Responsibility—Benefits under Workers’ Compensation are initiated by the employee giving prompt notice to the employer of an injury or occupational illness arising out of and in the course of employment. Notice must be given to the employee’s supervisor or business manager.

Supervisor Responsibility—Policy requires that a Washington University Report of Injury or Illness form be completed as soon as possible. The completed form must be faxed to the Insurance Department at (314) 935-9795 or mailed immediately to Campus Box 1084. The form is available on-line at http://insurance.wustl.edu.
Medical Treatment—Under the Missouri Workers’ Compensation Law, the employer has the right to designate the doctor, hospital or medical care facility to provide treatment to the employee. Medical care providers authorized to provide treatment under Workers’ Compensation differ from those available to employees under the University’s health insurance benefit program.

The two facilities authorized to provide initial treatment to Washington University employees are the Barnes-Jewish Hospital Emergency Room for acute or traumatic injuries requiring emergency medical treatment, and for other injuries, BarnesCare Corporate Health Services, located at 5000 Manchester Road.

To authorize employee medical treatment, supervisors should telephone the Insurance Department at (314) 935-5627 or (314) 935-5547 and medical authorization will be arranged with BarnesCare prior to the employee’s arrival.

All medical bills and receipts for prescription medicine received by the employee from authorized medical care facilities for treatment of injuries or illnesses arising out of and in the course of employment should be promptly sent to the Insurance Department, campus box 1084, for processing.

Employees who experience an occupational exposure to blood or potentially infectious body fluids or tissues or who suffer a research animal-related injury or illness must notify the supervisor and immediately seek treatment through BarnesCare.

Employees who need time off from work to receive treatment approved by workers’ compensation must use their accrued sick time.

Treatment that an employee would elect to receive through a personal physician or through a health insurance benefit program is not considered authorized under Workers’ Compensation and will be provided at the employee’s expense unless explicit prior authorization is given to the employee by the Insurance Department.

Temporary Total Disability (TTD) Payments—TTD under Workers’ Compensation is calculated as two-thirds of the employee’s average weekly wage, not to exceed a weekly statutory amount. The insurance carrier compensates each consecutive day lost, after the first three (3) scheduled work days, if the absence is approved by a Washington University authorized Workers’ Compensation physician. If the period of absence exceeds 14 consecutive calendar days, the carrier will also pay for the first three (3) days at the compensable daily rate. If the absence is less than 14 days, accrued sick time will be used for the first three (3) days. If sick time is not available, vacation will be used.

When copies of TTD checks are received by the Insurance Department, the check copy will be sent to the department. The department may correct or adjust the payroll to compensate for the difference between what the employee received from his/her TTD check and the balance due from his/her pay. The amount of pay in excess of the TTD check will be treated as paid sick time to the extent that sick time
is available. When all accumulated sick time is used, vacation pay will be used to
the extent it is available. After all accrued sick and vacation is used, the employee
will no longer receive wages from Washington University. During the leave period,
sick and vacation time will not accrue.

After receipt of TTD checks the employing department must reduce the paysheet on-
line, thereby reducing the employee’s taxable wages by the amount of all Workers’
Compensation checks received if the employee is normally paid on the monthly
payroll. If the employee is paid on the bi-weekly payroll, the department must key
the change on the paysheet as a negative in the “other earnings” box.

Social Security Provisions—In some cases, employees may be eligible for disability
benefits under the Social Security Act. Employees should be encouraged to contact
the Social Security Administration if the period of disability continues for a period of
six months.

Jury Duty

Introduction: It is the policy of the University to encourage employees to serve on
juries and to grant time off with pay when employees are called to serve.

Notification—When an employee receives notification of a call for jury service, he or
she must immediately notify his or her supervisor of the summons.

Compensation—Regular full-time and part-time benefits-eligible employees will be
excused from work without loss of pay during the time spent as a juror. Employees
may keep any compensation received from the Court while on jury duty.

Overtime—Time spent serving as a juror will not be used in the calculation of
overtime compensation.

Return to Work—When not performing jury service, whenever practical, an
employee is expected to return to work during regularly scheduled work hours. The
employee must return to work as soon as the jury duty is completed.

Petition for Excuse—In instances where an employee’s absence to serve as a juror
would present an undue hardship to the employee or University, the employee may
seek a postponement of jury service.

Subpoenaed Court Appearance—If an employee is absent as a result of being
subpoenaed to appear in court, other than on behalf of the University, the employee
is expected to utilize accrued vacation time for the absence.

Time Off To Vote

Introduction: Time off to vote will be granted to staff members whose work schedule
does not allow three consecutive off-duty hours after the opening or before the
closing of the polling place.
Request for Time Off—Employees must request time off at least one workday in advance of the Election Day. The starting time or quitting time may be adjusted according to the needs of the department.

Funeral Leave

Eligibility—Regular full-time and part-time benefits-eligible employees are eligible for paid time off due to the death of an immediate family member.

Time Off—Up to three (3) days of leave at the time of a funeral, including the day of the funeral, is available to employees who have had a death occur in their immediate family. For the purpose of this policy, immediate family includes spouse, domestic partner, child, stepchild, grandchild, parent, stepparent, parent-in-law, daughter-in-law, son-in-law, brother or sister or half brother or sister.

The day of the funeral is available as leave to employees who have had a death occur in their family to include their own grandparent, great-grandparent, great-grandchild, brother-in-law, sister-in-law, stepbrother, stepsister, aunt, uncle, nephew, niece or first cousin.

It is the employee’s responsibility to notify his or her supervisor of the absence. Funeral leave may be granted on more than one occasion during the year. Funeral leave will only be time off with pay from regularly scheduled work.

Overtime—Funeral leave is not counted as time worked for the purposes of calculating overtime compensation.

Exceptions—Exceptions to this policy will be considered on an individual basis and in conjunction with Human Resources.

Verification—Under certain circumstances, verification of the death of a family member may be required.

University Closings & Severe Weather

It is the policy of Washington University that faculty and staff members should report to work and leave work at their regularly scheduled times. Should weather conditions create potentially hazardous travel, the Vice Chancellor for Human Resources, will evaluate the severity of the situation and, in consultation with the Executive Vice Chancellors, determine the appropriate measures to be taken. Factors to be considered will include the safety of our faculty, staff and students as well as the services that must be provided despite the severe weather. In the event that the decision is made to dismiss employees early, the staff of the Office of Human Resources will contact the various Executive Vice Chancellors, Vice Chancellors, and Deans, who, in turn, will be responsible for communicating this decision to faculty and staff members. Under these circumstances, employees will be paid for the entire day. Staff members who leave prior to the University decision being made will be paid for time worked, with the balance of the time being charged to vacation.
If the University is open, but the employee feels that he or she cannot safely drive to work, the supervisor may permit the employee to take a day of vacation. In all cases, the decision regarding whether the drive to work can be made safely must remain with the individual employee.

There are some departments that, due to the nature of the work, must maintain a minimum staffing level twenty-four (24) hours per day. This determination is made on a departmental basis.

The School of Medicine must continuously maintain essential services and operations during any severe weather or emergency situation while providing for the safety and care of its patients, students, staff and faculty. Therefore, following School of Medicine operating policies, a separate decision and announcement will be made at the School of Medicine.

Leaves of Absence

Introduction: The University provides eligible employees the opportunity to take a leave of absence for family and/or medical needs, personal leave or leave for active or reserve military duty.

Eligibility—Leave eligibility is detailed for specific leaves.

Vacation and Sick Accrual while on a Leave of Absence—While on an approved leave of absence, employees accrue vacation and sick time based on the hours paid. The hourly accrual rate for vacation is typically .084292 but may change depending on the number of work days in the fiscal year. The hourly accrual rate for sick time is typically .045978 but may change depending on the number of worked days in the fiscal year. Vacation and sick time do not accrue during any portion of a leave of absence that is unpaid.

Family and Medical Leave Act (FMLA)

The University recognizes that employees occasionally need to take time away from work to care for important family and medical needs. This policy is based on the requirements of the Family and Medical Leave Act and is designed to meet those needs in a manner that is beneficial to employees, their families, and the University.

Eligibility

An employee is eligible to request an FMLA leave if he/she has been an employee of the University for at least twelve (12) months and has worked at least 1250 hours during the twelve-month period immediately preceding the leave.
Reasons For 12-Week Leave

Subject to the requirements described in this policy, an eligible employee may request and will be granted up to 12 workweeks of unpaid FMLA leave during any 12-month period (i.e., a rolling 12-month period measured backward from the date requested leave will be used) for one or more of the following events:

- The employee’s own serious health condition, which renders him/her unable to perform the functions of the employee’s position, which falls under EMPLOYEE MEDICAL LEAVE;
- The birth of a child, which falls under EMPLOYEE MEDICAL LEAVE;
- The placement with the employee of a child for adoption or foster care, and first year care of a child following birth or placement for adoption or foster care, which falls under NEW CHILD LEAVE;
- The care of the employee’s spouse, child or parent with a serious health condition, which falls under FAMILY LEAVE;
- A qualifying exigency arising out of the fact that the spouse, child, or parent of an employee is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation, which falls under MILITARY EXIGENCY LEAVE.

Reasons For 26-Week Leave

Subject to the requirements described in this policy, an eligible employee may request and will be granted MILITARY CAREGIVER LEAVE consisting of up to 26 workweeks of unpaid FMLA leave during a 12-month period to care for a spouse, child, parent or next of kin who is a member of the Armed Forces, including a member of the National Guard or Reserves, and who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness incurred by the service member in the line of active duty. This leave is only available to the employee during a single 12-month period. In no 12-month period may an employee’s total FMLA leave exceed 26 workweeks.

Substitution of Paid Leave

An employee must substitute the applicable available paid leave for any unpaid FMLA leave, as permitted by the FMLA and its regulations. Upon exhaustion of any such paid leave, the remainder of any FMLA leave will be unpaid. In no case will the combination of paid and unpaid leave used for an FMLA purpose exceed the maximum leave allowed under the FMLA.

An employee shall substitute accrued sick time for leaves designated as EMPLOYEE MEDICAL LEAVE. During a certified period of disability due to the birth of a child, an employee will be on EMPLOYEE MEDICAL LEAVE and use accrued sick time. Any additional leave due to the birth of a child and the need to care for such child will be NEW CHILD LEAVE for which vacation time will be applied.
An employee shall substitute accrued sick or vacation time for leaves designated as FAMILY LEAVE, and as applicable for immediate family members under MILITARY CAREGIVER LEAVE and, in limited circumstances, for MILITARY EXIGENCY LEAVE.

**Intermittent and Reduced Leave Schedule**

Subject to the limitations and certifications allowed by the FMLA, leaves taken to care for an employee’s covered family member, for the employee’s own serious health condition, or to care for qualified service member, may be taken intermittently or on a reduced leave schedule when medically necessary, provided a health care provider certifies the expected duration and schedule of such leave and provides further that the employee gives the supervisor and the Office of Human Resources at least 30 days advance written notice if the need for the leave is foreseeable based on planned medical treatment. The employee may be required or may elect to transfer temporarily to an available alternative position for which the employee is qualified and that has equivalent pay and benefits and better accommodates recurring periods of leave than the employee’s regular position.

Subject to the limitations and certifications allowed by the FMLA, Military Exigency Leave may be taken intermittently or on a reduced schedule basis.

In the case of intermittent leave or leave on a reduced leave schedule which is medically necessary, an employee must inform his or her supervisor, upon request, of the reasons why the intermittent or reduced leave schedule is necessary and of the schedule for treatment, if applicable. In these cases, employees are ordinarily expected to consult with their supervisors prior to scheduling treatment in order to work out a treatment schedule that best suits the needs of both the employee and the University. If an employee who provides notice of the need to take FMLA leave on an intermittent basis or a reduced leave schedule for planned medical treatment neglects to consult with his or her supervisor to make an attempt to arrange the schedule of treatments so as to not unduly disrupt the University’s operations, the supervisor may initiate discussions with the employee and require him or her to attempt to make such arrangements, subject to the approval of the health care provider.

**New Child Leave**

FMLA leave for first year care of a child after birth, or for the placement of a child for adoption or foster care falls under NEW CHILD LEAVE. Such leave includes paternal leave and must be taken within the 12-month period that starts on the date of such birth or placement. Regardless of when such leave begins, it will end no later than the end of the 12-month period. Unless specifically permitted, FMLA leave for these purposes cannot be taken on an intermittent or reduced leave schedule.

**Advance Notification of Need for New Child Leave**

An eligible employee who foresees that she/he will require a leave for the birth/care of a child, or for adoption or foster care placement, must notify his/her supervisor and the
Office of Human Resources in writing not less than 30 calendar days in advance of the start of the leave. If not foreseeable, the employee must provide as much written notice as is practicable under the circumstances, generally within two working days of learning of the need for leave.

Married Couples

If both spouses are employed by the University, they are limited to a combined total of 12 workweeks of FMLA leave during any 12-month period for the birth of a child or the placement of a child for adoption or foster care; or to care for the employee’s parent with a serious health condition. However, each employee may use up to 12 workweeks of FMLA leave during any 12-month period if the leave is for the care of the employee’s spouse or child with a serious health condition or the employee’s own serious health condition. If both spouses are employed by the University, they are limited to a combined total of 26 workweeks during the single 12-month period if the leave is Military Caregiver Leave or a combination of Military Caregiver Leave and Family Leave, Employee Medical Leave or Military Exigency Leave.

Advance Notification of Need for Family, Employee Medical Leave or Military Caregiver Leave

An employee who foresees the need for a leave due to planned medical treatment for herself/himself or for an applicable family member, must notify his/her supervisor and the Office of Human Resources in writing as early as possible so that the absence can be scheduled at a time least disruptive to the University’s operations. Such notice must be at least 30 calendar days in advance of the start of leave, unless impracticable, in which case the employee must provide the written notice as early as circumstances permit, generally within two working days of learning of the need for leave.

When planning medical treatment, the employee should schedule the leave so as to minimally disrupt the University’s operations, subject to the approval of the health care provider. Employees are ordinarily expected to consult with their supervisors prior to scheduling treatment in order to work out a treatment schedule that best suits the needs of both the employee and the University.

Advance Notification of Need for Military Exigency Leave

An employee who foresees the need for such leave, whether because the employee’s spouse, child, or parent is on active duty or because of notification of an impending call or order to active duty in support of a contingency operation, must notify his/her supervisor and the Office of Human Resources in writing as soon as is reasonable and practicable.

Medical Certifications

If the requested leave is to care for a spouse, child or parent who has a serious health condition or to care for a covered service member, the employee will be required to file
with the supervisor and the Office of Human Resources, in a timely manner, a health care provider’s certification providing information as to the serious health condition and stating that the employee is needed to care for the family member.

If the requested leave is because of a serious health condition of the employee, he/she will be required to file with the supervisor and the Office of Human Resources a health care provider’s certification providing information as to the condition and inability to perform one or more essential functions of the job.

The University may request subsequent re-certifications during the course of the leave in accordance with the limitations set forth in the FMLA regulations.

Records and documents relating to medical certifications, re-certifications, or medical histories of employees or employees’ family members will be maintained as confidential medical records in files separate from the usual personnel files, subject only to the limited exceptions set forth in the FMLA regulations.

**Health Benefits**

At the election of the eligible employee, any group health plan as defined by the FMLA will be maintained for the duration of an FMLA leave and at the level and under the conditions coverage would have been provided if the employee had continued in employment for the duration of the leave. The employee will be responsible for paying his/her share of the premium. While on an unpaid FMLA leave, the employee will be responsible for paying this part of the premium by submitting payment to the Benefits Office on or before each regular payday. The University may recover its share of the premiums for maintaining coverage for the employee under such group health plan during the period of an FMLA leave if the employee fails to return to work (or returns but fails to stay 30 calendar days) for reasons other than the continuation or onset of a serious health condition entitling the employee to leave, the continuation, recurrence or onset of a medical condition that entitles the employee to Military Caregiver Leave, or other circumstances beyond the employee’s control.

Certification of inability to return to work as specified and allowed by the FMLA may be required.

**Reinstatement**

Unless one of the exceptions in the law applies, an employee who takes an FMLA leave for the intended purposes of the leave shall be entitled, on timely return from the leave and completion of all required documentation, to be restored to the position of employment held when the leave commenced or to an equivalent position with equivalent employment benefits, pay and other terms and conditions of employment.

The taking of an FMLA leave shall not result in the loss of any employment benefit accrued prior to the date on which the leave commenced; provided, however, that nothing in this policy shall entitle any employee who returns from leave to the accrual of any seniority or additional employment benefits during the period of the leave.
Status Reports and Fitness-for-Duty Certification

An employee on an approved leave under this policy must inform the supervisor and the Office of Human Resources regarding her/his status and intent to return to work upon conclusion of the leave. An employee may also be required to submit a fitness-for-duty certification before returning to work.

Second and Third Medical Options

In cases where there is reason to doubt the validity of the health care provider’s certification for leaves taken to care for the employee’s family member or their own serious health condition, the University may, at its own expense, require second and third opinions, as specified by the FMLA, to resolve the issue.

Intent to Comply with Law

The provisions of this policy are intended to comply with the Family and Medical Leave Act of 1993, as amended, and any terms used from the FMLA will be as defined in the Act or the U.S. Department of Labor regulations. To the extent that this policy is ambiguous or contradicts the Act or regulations, the language of the Act or regulations will prevail. Washington University reserves the right to amend this policy from time to time to comply with any changes to the Act or regulations.

Departmental Leave of Absence

Introduction: A Departmental Leave of Absence is designed to provide job-protected, extended time off to employees who are unable to work for medical reasons.

Eligibility—Regular full-time and part-time benefits-eligible employees with a full year of service and who have worked 1,250 hours over the previous 12 months are eligible for benefits under this policy. Requests for time off must be in writing (see the Family and Medical Leave Policy) and supported by a physician’s certification that the employee is being treated and is unable to work and indicating the approximate amount of time that will be necessary to be away from work.

Time Off—The maximum amount of time off available under this policy is six (6) months in a 12-month period. Time off granted under this policy is coordinated with the time off benefits provided by the Family and Medical Leave Act and the University's Family and Medical Leave Policy. Additionally, time off granted under this policy is coordinated with the University’s Long Term Disability buy-up program. Departmental leave will run concurrent with LTD until departmental leave is completed. For purposes of calculating the amount of departmental leave an eligible employee may request, the term “in a 12-month period” means a rolling 12-month period measured backward from the date requested leave will be used.

Compensation—Employees are required to use accrued sick time while on departmental leave. When accrued sick time is exhausted, employees are required
to utilize accrued vacation time. Once sick and vacation time are exhausted, any remaining time on leave will not be compensated.

Benefits While on Leave—While on an approved departmental leave, an employee is guaranteed reinstatement to his or her former position or a comparable one, within the department or school, without loss of seniority and the applicable benefits. This guarantee is predicated on the employee providing a physician’s certification that he or she is fully released to return to work no later than six months from the start of the leave. Health insurance remains in effect while on an approved leave and the employee continues to be responsible for payment of the employee portion of the premium. During any unpaid portion of an approved leave, an employee does not accrue sick or vacation time. Employees on unpaid departmental leave are not eligible for payment of holidays falling within or at the end of the leave period.

Extended Leave Due to Child Bearing—With supervisory approval, job protected time off may be taken beyond the period of disability due to childbirth. The total period of time off cannot exceed six (6) months from the start of the leave period. The employee is required to use accrued vacation time during this period of extended leave. The balance of time off will be without pay.

Temporary Placement—It may be necessary for the department to temporarily fill a position while an employee is on departmental leave. The Employment Office can assist the department in obtaining temporary personnel.

An employee cannot be engaged in alternate employment during a departmental leave.

Non-FMLA Medical Leave

Employees who do not meet the Family and Medical Leave Act (FMLA)/Departmental Leave eligibility requirements and who need time off for their own medical condition may be granted a leave of absence with the approval and at the discretion of management. Employees must submit medical verification that supports the need for the medical leave.

The job requirements, the availability of temporary replacement, length of service and the department’s/school’s ability to reinstate the employee after the leave should all be considered before approving this type of leave.

Non-FMLA Medical Leave for Pregnancy - Employees who do not meet the Family and Medical Leave Act (FMLA)/Departmental Leave eligibility requirements and who need time off for their own medical condition related to pregnancy, childbirth, false pregnancy, termination of pregnancy and recovery from any of these conditions will be granted a leave of absence for a reasonable period of time, at the conclusion of which the employee shall be reinstated to the status which was held when the leave commenced or to a comparable position, without decrease in rate of compensation or loss of promotional opportunities, or any other right or privilege of employment. Employees must submit medical verification that supports the need for the medical
Employees taking a non-FMLA medical leave must exhaust their applicable available paid leave and are responsible for payment of insurance premiums. Employees on unpaid non-FMLA medical leave are not eligible for holiday pay.

**Personal Leave**

Introduction: The University recognizes that there may be occasions when time off in excess of accrued vacation time may be necessary.

**Eligibility**—Employees in good standing with a minimum of five (5) years of full- or part-time (regularly scheduled to work 20 hours or more per week) service are eligible to request personal leave time.

**Duration**—A personal leave cannot be used to extend either a departmental leave or a University leave of absence nor be used in lieu of available accrued vacation time. Personal leaves cannot exceed a total of four weeks.

**Approval**—The supervisor and department head must approve requests for personal leave. Factors that will be reviewed when considering a request for personal leave include job requirements, business need and the employee's performance.

**Compensation**—Personal leaves of absence are unpaid. Holidays falling within or at the end of the leave is not compensated time.

**Benefits**—Benefits available to the employee at the time of the request will continue to be in force during a personal leave. The employee will continue to be responsible for payment of the employee portion of insurance premiums.

Sick and vacation time do not accrue during a personal leave of absence.

An employee cannot work elsewhere during a personal leave.

The employee is entitled to return to his or her position or a comparable position as long as he or she returns to work on the date agreed upon with the supervisor and department head.

**University Leave of Absence**

Introduction: A University Leave of Absence may be granted by the Vice Chancellor for Human Resources when an employee is requesting a leave of absence for personal reasons or in certain limited situations when an extension beyond the six (6) month departmental leave is necessary.

**Eligibility**—Regular full-time employees with at least five years of continuous full-time service are eligible to apply for a University Leave of Absence. An employee whose job performance is below acceptable standards will be ineligible for a University Leave of Absence.
Duration—The maximum period of leave is a total of 12 months. Under no circumstances may a University Leave of Absence or a combined University, Departmental, and Family Medical Leave of Absence exceed a period of one year.

Application—Requests for a University Leave of Absence must be in writing and include the reason(s) the employee is requesting the leave, the amount of time that will be needed, and any special circumstances that should be considered. Application for University leave must be made prior to the expiration of employment and before the effective date of the requested leave. This letter of application should be sent to the Vice Chancellor for Human Resources.

Approval—After reviewing the application letter and in consultation with the department, the decision to approve or to disapprove will be communicated in writing to the employee, with a copy sent to the department head. A University Leave of Absence will generally not be approved if the employee has been granted such a leave within five years of the current request.

Benefits—While on leave, health insurance will remain in effect, and the employee will continue to be responsible for payment of the employee portion of the premium.
In addition, the employee will remain eligible for participation in benefit programs available to full-time employees at the time the leave is requested. Sick and vacation time does not accrue during periods of leave. Employees on leave are not eligible for payment of holidays that fall within or at the conclusion of the leave period.

An approved leave of absence does not constitute a break in service.

**Compensation**—A University Leave of Absence is unpaid. Accrued vacation, up to a maximum of 22 days, will be utilized at the beginning of the leave.

**Continued Employment**—An employee on a University Leave of Absence is not provided any guarantee of reemployment. Should the employee desire a return to active employment with the University he or she is encouraged to use the resources available in the Employment Office. An employee cannot be engaged in alternate employment during a University Leave of Absence.

**Military Leave**

Faculty and staff members of Washington University who are members of the United States military or employees of the National Disaster Medical System will receive a leave of absence to fulfill their military obligations.

**Notice**—Employees requesting military leave must provide reasonable advance notice (ordinarily at least 30 days) to their supervisor, unless such notice is precluded by military necessity or is otherwise impossible or unreasonable.

**Compensation**—Regular full-time and benefits-eligible part-time employees called to active military duty (which includes active duty, active duty for training, initial active duty for training, and inactive duty training) shall receive the difference between their University salaries and their military compensation for a period of up to six (6) months from the date of military activation or the length of service, whichever is shorter. Funding for active duty leave shall be from department resources, and payment shall be consistent with the regular payroll schedule. Following the period of paid active duty leave, continued military leave is unpaid. Military leave for members of the Reserves or National Guard to fulfill training obligations is unpaid.

Employees may utilize accrued vacation time during unpaid military leave or in lieu of the salary differential pay. The University will not apply accrued vacation time toward military leave without the employee’s consent.

**Benefits**

1. **Vacation and Sick Time**—Vacation and sick time will not accrue during any unpaid portion of military leave.
2. **Health Benefits** – Employees on active duty leave may elect to continue participation in the Washington University group health plans with University contributions during the salary differential payment period (maximum of six (6) months). At the conclusion of the salary differential payment period, employees on active duty leave may elect to continue participation in the Washington University group health plans without University contribution for the duration of the leave period or up to 24 months, whichever is shorter. An employee on leave fewer than 31 days will only be required to pay the employee share of the premiums.

3. **Tuition Assistance** – Tuition assistance will continue for spouses, domestic partners and dependent children during the period of military leave.

4. **Retirement Savings Plan** – Employees on military leave are not eligible to continue making contributions to the University’s retirement savings plan. Employees on active duty leave are not eligible to receive the University contribution following the salary differential payment period. A returning employee will be allowed to make up any missed deferrals or contributions over a period equal to three (3) times the period of the military leave, up to a maximum of five (5) years, and the University will make up any missed contributions attributable to those employee contributions. Makeup deferrals and contributions are limited by the Internal Revenue Code as applicable to the year to which the deferrals or contributions relate, not to the year in which they are made up.

5. **Life Insurance** – University-provided life insurance will continue to be provided by the University during military leave. Optional life insurance coverage will be continued during military leave as long as the required monthly premium is paid.

6. **Accidental Death and Dismemberment Insurance, Travel Accident Insurance, Long Term Disability** – These benefits will be suspended during military leave. Upon returning to work from military leave, any such suspended benefits will be reinstated, as appropriate.

7. **Workers’ Compensation** – Workers’ Compensation benefits are not available if the disability is the result of war. Other government benefits may be available.

Reemployment – Absent unusual circumstances, the University will reemploy eligible employees returning from military leave. Supervisors should consult with Human Resources to determine employee eligibility.

1. **General reporting requirements** – Employees returning from military service of 30 days or fewer must report for reemployment by the
beginning of the first full regularly scheduled work period on the first full calendar day following the completion of the period of service, provided that such reporting time is at least eight (8) hours after the completion of the service period. If reporting within this time period is impossible or unreasonable through no fault of the employee, he or she must report as soon as possible upon expiration of the eight (8)-hour period. Employees returning from military service of 31 to 180 days must submit an application for reemployment (written or verbal) no later than 14 days after completing service. If it is impossible or unreasonable to apply within that time period through no fault of the employee, he or she must submit an application by the next full calendar day after it becomes possible to do so. Employees returning from military service of 181 days or more must submit an application for reemployment no later than 90 days after completing service. An employee’s failure to report to work or to apply for reemployment within these time limits does not automatically forfeit the employee’s reemployment rights, but does subject the employee to applicable policies and practices governing absence from scheduled work.

2. Documentation – Employees returning from military leave of 31 days or more must provide documentation along with their application for reemployment showing that their application is timely and that they are eligible for reemployment. If such documentation does not exist or is not readily available at the time of application, it must be submitted as soon as practicable after it is created or becomes readily available.

3. Reemployment priority

a. Employees returning from military service of fewer than 91 days will be promptly reemployed (generally within two (2) weeks of the application for reemployment) in a position in accordance with the following order of priority:

i. In the position in which the person would have been employed if his/her continuous employment with the University had not been interrupted by such service (the “escalator position”), provided that the person is qualified to perform the duties of such position; or

ii. In the position the person held on the date of the commencement of military service (the “former position”), only if the person is not qualified to perform the duties of the escalator position after reasonable efforts by the University to help the person become qualified; or
iii. In any other position (with full seniority) for which the person qualifies (with reasonable assistance from the University, if necessary) that is the nearest approximation to the escalator position or the former position (in that order of priority), only if the person is not qualified for either the escalator position or the former position and cannot become qualified with reasonable efforts by the University.

b. Employees returning from military service of 91 or more days will be promptly reemployed in a position in accordance with the following order of priority:

i. In the escalator position or a position of like seniority, status and pay, the duties of which the person is qualified to perform; or

ii. In the former position or a position of like seniority, status and pay, the duties of which the person is qualified to perform, only if the person is not qualified to perform the duties of a position comparable to the escalator position after reasonable efforts by the University to qualify the person; or

iii. In any other position (with full seniority) for which the person qualifies (with reasonable assistance from the University, if necessary) that is the nearest approximation to the escalator position, the former position, or a like position (in that order of priority), only if the person is not qualified for either the escalator position or the former position and cannot become qualified with reasonable efforts by the University.

4. Discharge – A person reemployed under this policy shall not be discharged from such employment, except for cause (including legitimate business needs), within one year after the date of such reemployment if the person’s period of military service was more than 180 days, or within 180 days after the date of such reemployment if the person’s period of military service was more than 30 days but less than 181 days.

Non-Discrimination/Non-Retaliation – Washington University shall not unlawfully discriminate in the employment of any person because of his/her past, current or future military obligations. The University also shall not take any adverse employment action against any person because he/she has exercised a right or taken an action to enforce a protection afforded under the Uniformed Services Employment and Reemployment Rights Act ("the Act"), or has testified, assisted or otherwise participated in a proceeding or investigation under the Act.
Family and Medical Leave Act (“FMLA”) – The FMLA provides for two types of leave related to military service.

1. The FMLA provides that “an eligible employee who is the spouse, son, daughter, parent, or next of kin of a covered servicemember shall be entitled to a total of 26 workweeks of leave during a 12-month period to care for the servicemember.” The term “covered servicemember” means a member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list for a serious injury or illness.

2. The FMLA also provides that an eligible employee may take leave of up to 12 weeks in any 12-month period because of any “qualifying exigency” arising out of the fact that the employee’s spouse, son, daughter or parent is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation.

Washington University reserves the right to modify this policy at any time, with or without notice.
### V. Compensation (Wage and Salary Policies)

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wage and Salary Policies</td>
<td>V-1</td>
</tr>
<tr>
<td>Pay Transparency Policy Statement</td>
<td>V-1</td>
</tr>
<tr>
<td>Salary Structures</td>
<td>V-2</td>
</tr>
<tr>
<td>Job Evaluation/Classification</td>
<td>V-3</td>
</tr>
<tr>
<td>Salary Administration Guidelines</td>
<td>V-3</td>
</tr>
<tr>
<td>Managing Compensation Challenges</td>
<td>V-7</td>
</tr>
<tr>
<td>Other Types of Pay</td>
<td>V-7</td>
</tr>
<tr>
<td>Wage and Hour Law (FLSA)</td>
<td>V-9</td>
</tr>
<tr>
<td>Time Records</td>
<td>V-10</td>
</tr>
<tr>
<td>Pay for Travel Time</td>
<td>V-10</td>
</tr>
<tr>
<td>Breaks and Meal Periods</td>
<td>V-11</td>
</tr>
<tr>
<td>Pay Procedures</td>
<td>V-11</td>
</tr>
<tr>
<td>▪ Confidentiality</td>
<td></td>
</tr>
<tr>
<td>▪ Paydays</td>
<td></td>
</tr>
<tr>
<td>▪ PayPeriods</td>
<td></td>
</tr>
<tr>
<td>▪ Workweek</td>
<td></td>
</tr>
<tr>
<td>▪ Minimum Wage</td>
<td></td>
</tr>
<tr>
<td>▪ Entry Level Wage</td>
<td></td>
</tr>
<tr>
<td>▪ Overtime</td>
<td></td>
</tr>
<tr>
<td>▪ Calculating a Partial Month’s Pay</td>
<td></td>
</tr>
<tr>
<td>▪ DirectDeposit</td>
<td></td>
</tr>
<tr>
<td>▪ Pay Deductions</td>
<td></td>
</tr>
<tr>
<td>▪ Garnishment or Wage Assignment</td>
<td></td>
</tr>
<tr>
<td>Alternative Work Schedules</td>
<td>V-13</td>
</tr>
<tr>
<td>Telecommuting Policy</td>
<td>V-14</td>
</tr>
<tr>
<td>Compensation Appendices</td>
<td></td>
</tr>
<tr>
<td>A — Telecommuting Agreement and Assignment Forms</td>
<td></td>
</tr>
<tr>
<td>B — Confidentiality &amp; Security Policy Acknowledgement</td>
<td></td>
</tr>
</tbody>
</table>
COMPENSATION (WAGE AND SALARY POLICIES)

Washington University pays salaries and wages that are competitive in the labor market and that recognize the employee’s performance and contributions toward achievement of the University’s mission. While much of the salary and wage administration process takes place within the Office of Human Resources, it is the responsibility of the Deans, Department Heads, Vice Chancellors, Business Managers and other members of management to support equitable application of salary administration within the University.

The University’s wage and salary plan classifies each position into a grade that is associated with a salary range. Each salary grade includes jobs of approximately equal value as determined by job evaluation and market pricing methods. Each grade has a salary range (a minimum, midpoint and maximum salary) to be used for the jobs assigned to the grade. Salary ranges are reviewed annually and adjusted as the market dictates. Supervisors may obtain the grade and salary range for a position by contacting the Compensation staff in the Office of Human Resources.

The Office of Human Resources is responsible for the general administration and maintenance of the salary program including:

- Determining salary ranges and recommending any changes in salary structures necessitated by internal or external conditions;
- Establishing job evaluation methods and ensuring that positions are evaluated properly;
- Working with the Office of the Executive Vice Chancellor and General Counsel to ensure compliance with pertinent laws and regulations as they apply to compensation;
- Communicating and monitoring adherence to salary increase guidelines;
- Submitting certain salary increase recommendations to University management for approval; and
- Assigning exempt/nonexempt status to jobs.

Pay Transparency Policy Statement

Washington University will not discharge or in any other manner discriminate against employees or applicants because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. However, employees who have access to the compensation information of other employees or applicants as a part of their essential job functions cannot disclose the pay of other employees or applicants to individuals who do not otherwise have access to compensation information, unless the disclosure is (a) in response to a formal complaint or charge, (b) in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or (c) consistent with the university’s legal duty to furnish information.
Salary Structures

The University community includes positions that are unique to higher education, research and patient care settings, along with positions found among most employers. To align pay with salaries in the market and align positions across the organization, the University has established four (4) pay structures that cover the following groups of jobs:

- General positions
- Clinical positions
- Research positions
- Nursing high-demand positions

Salary Ranges—Each structure is made up of a set of salary ranges. A salary range represents the range of income that may be paid for a particular job in the University. Where a person is paid within the salary range is dependent on that person’s skill, knowledge, relevant work experience and performance.

- **Minimum**: The lowest salary intended for employees whose qualifications meet the minimum job requirements.

- **Midpoint**: The competitive market rate for a job, approximating the average salary paid to fully qualified and experienced employees. Employees paid above the midpoint are very experienced and/or consistently exceed the expectations of the job.

- **Maximum**: The highest salary intended to be paid to anyone in the range. This number is about 20% to 25% above the market rate.

<table>
<thead>
<tr>
<th>Minimum</th>
<th>Midpoint</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>$22,562</td>
<td>$28,197</td>
<td>$33,852</td>
</tr>
</tbody>
</table>

Maintenance of Salary Structures—Each salary structure is reviewed annually to maintain a competitive position within the market. Published standard salary surveys are selected to provide market data and to assist in the assessment of compensation trends for jobs in healthcare, academic and research settings as well as those in the general and local area. “Benchmark” jobs are selected that represent large populations of employees in clinical, administrative and research jobs at all levels of the organization; the University’s structures are compared with average pay in the market for these benchmark jobs. Based on the results of the information compiled, Human Resources will recommend an adjustment to salary structures in terms of minimum and maximum rates. In addition, jobs may be reassigned to different grades where needed to provide external competitiveness and to maintain consistency in the relationship of jobs to each other.
Job Evaluation/Classification

When a Job Should Be Reviewed—The Compensation staff in the Office of Human Resources evaluates job descriptions and assigns jobs to grades. Contact the Compensation staff when:

- a new position is created,
- the duties of an existing position have changed significantly, or
- there is a retention issue resulting from pay practices.

Additionally, a job should be evaluated when market trends are affecting the University's ability to recruit successfully for a job. The Compensation staff can advise managers on these trends and make appropriate recommendations.

When a new job is created and approved by the appropriate Dean or Vice Chancellor, or when a position has changed significantly, a job description should be completed. Visit Compensation/Job Descriptions on the Office of Human Resources' website (http://hr.wustl.edu) for job description details and to view a job description template. Send the job description to the Compensation staff for grade assignment, along with comparable positions you are aware of, and an organizational chart depicting proposed changes.

Grade Assignment—The Compensation staff uses the following process to assign a job grade. New/revised job descriptions are compared to positions that already exist in the pay structure.

If the majority of the duties, responsibilities and qualifications of the new or revised position closely match those of an existing position, the new position will be assigned to the same title, job code, grade and salary range as the existing position. If an incumbent has been in a position for an extended period of time and there is a request for the position to be re-graded, the old job description is examined to ensure significant changes have taken place in the job duties.

If the position has a unique combination of duties and responsibilities that do not exist in the current structure, a new title may be established and a grade will be assigned using market survey data by comparing the job description to survey job descriptions. Recruitment patterns determine what market data is utilized (local, regional, national, etc.). If market data is not available for a new position, the grade of the position will be assigned based on internal comparisons.

The internal alignment of the job with related jobs is examined (e.g., within the department, school, or University-wide) and the grade is adjusted if needed. An organizational chart may be requested and is useful when checking internal alignment.
Compensation staff also use the job description to assign the FLSA status (i.e., whether the job is exempt or nonexempt from overtime pay). The department/school is provided with the grade, salary range and FLSA status for the position and the rationale behind the grade assignment.

**Salary Administration Guidelines**

Salary administration guidelines are suggested practices that, when applied consistently, will ensure equitable salary administration decisions throughout the University. Contact Compensation with questions regarding application of these guidelines and for guidance in determining appropriate increases for specific situations. All salary increases must be managed within the budget for that school/department. Off-cycle increases (effective on a date other than July 1) should be reviewed with Human Resources prior to communicating them to the employee.

**Determining Salary Within a Range** - A person’s position within a range is defined by the compa-ratio. Compa-ratio is defined as the relationship of actual pay to structure midpoint. It is calculated by dividing the current salary by the salary range midpoint. A compa-ratio of 100% indicates that the employee is paid at the midpoint of the range. A compa-ratio of less than 100% means that an employee is paid below the midpoint. A compa-ratio of greater than 100% means that an employee is paid higher than the midpoint of the range.

Salaries between an 80% compa-ratio and a 90% compa-ratio are appropriate for new hires, individuals promoted from lower salary grades who are still learning the primary duties of the job, and those whose performance is characterized as meeting minimal standards for the position.

Salaries between a 90% compa-ratio and a 110% compa-ratio are appropriate for employees whose performance is fully acceptable and who have proven themselves on the job, not someone newly hired into a position with no previous experience in a similar job with the same level of responsibility.

Salaries between a 110% compa-ratio and 120% compa-ratio are normally reserved for incumbents whose performance is outstanding or for employees who have consistently performed at a superior level over a period of time.

Finally, the midpoint is the level around which salaries of all incumbents in the grade should tend to average over a period of time as it represents the "going market rate" of a competent performer.

**Determining Starting Salary** - A starting salary for a new (or promoted employee) is normally at least the minimum of the position’s salary range. Some things to consider when extending a starting salary offer include:

- The new hire’s relevant experience and qualifications: Employees with little job-
related experience would be hired at or near the minimum. Employees with significant, relevant experience, skills and knowledge would be hired further into the range. Employees are not typically hired above the midpoint unless necessitated by market conditions or employee qualifications.

• Internal equity within the school/department: Consider the salaries of peers in the same or similar jobs. Compare their qualifications with those of the new hire’s to ensure fair placement of the new hire’s salary relative to others.

Merit Increase - Employee job performance should be reviewed annually and the performance rating will be entered into the salary planning component of HRMS. In order to have funds necessary to adequately reward employees with superior performance, lesser amounts should be awarded to staff members whose performance is either satisfactory or needs improvement.

In addition to job performance, other factors to consider when determining merit increase amounts include current position in the salary range, increase history, job performance consistency and time in position. Employees hired prior to April 1 are eligible for a pro-rated increase on July 1 of that year. Those hired April 1 or later are not eligible for a July 1 increase, but will be eligible for consideration for a pro-rated salary increase on July 1 of the following fiscal year.

New hires are typically not given an increase after completion of the six (6) month orientation period.

Promotion - A promotion occurs when an individual moves into a different position having greater responsibility and a higher salary grade. Generally, salary increases will be granted at the time of the promotion. The size of the promotional increase should reflect the following:

• The amount of additional responsibility being accepted by the employee in the new position;
• Time since last increase;
• The employee’s current salary with respect to the new position’s assigned minimum and midpoint: the increase should bring the employee’s salary at least to the minimum of the new salary grade but typically not above the midpoint, and in no circumstances above the maximum;
• The employee’s qualifications for the new position;
• The relationship of the employee’s new salary to the salaries of other employees in the new grade;
• Whether the employee’s salary already falls well within the new salary range, in which case a smaller increase may be warranted;
• Promotions from one level of individual contributor role to another in a higher grade within the same job family typically require smaller increases; and
• Promotions to a new functional area, or to a substantially higher organizational level, or from a non-exempt to exempt position all may require larger increases (for example, to compensate for loss of overtime earnings in moving from a non-exempt to an exempt position).

Contact Compensation for review and consultation in the following cases:
Supervisor Policy and Procedure Manual

- Increase greater than 15% (except for those instances where a larger increase is needed to bring salary to the new grade minimum);
- Proposed salary that is below the new grade minimum; or
- Proposed salary is above those of other incumbents.

Lateral Transfer (No Change in Grade) - A lateral transfer occurs when an employee moves from one job to another within the same salary grade. In general, no salary adjustment is provided for lateral transfers because there is no increase in level of responsibility. Providing lateral increases can raise costs and place areas with smaller budgets at a disadvantage.

Demotion - A demotion occurs when an employee moves into a different position in a lower grade. Typically, this will result in a reduced salary. If the employee’s salary is over the maximum of the new position’s range, it should be lowered to at least the maximum at the time of the demotion. No further increases should be granted until such time as the salary comes within the range of the new salary grade.

Temporary/Special Assignment - For employees taking on additional responsibilities (for example when a co-worker is out on a leave of absence or the department is otherwise short staffed) for a limited time period, they should retain their current job title and grade. In cases when the added responsibilities are of a higher level than regular duties, temporary additional benefits-eligible compensation may be warranted. Please contact Compensation for guidance. The additional compensation would typically be provided as follows:

- For employees in nonexempt positions, increase the wage rate in HRMS Job Data and adjust it back to the original wage rate at the end of the period. Changing the wage rate will ensure any overtime is calculated correctly.
- For employees in exempt positions, salary can be increased for the time period, or additional compensation can be provided through use of “additional pay” in HRMS.

Equity Adjustment - The goal of equity adjustments is to establish equitable salary relationships among employees performing the same job, or the same type and level of work, taking into account education, skill, related work experience, length of service, and performance level. Salary inequities among employees in the same position or closely related positions should be addressed. Salary relationship inequities between employees and their supervisors should be evaluated as well. The Office of Human Resources must be contacted to assist with evaluating equity issues within a department and should approve all pay compression/equity adjustments.

Market Adjustment - Market adjustments may be provided when an employee’s pay is not in line with pay for similar jobs in the external labor market. For example, the demand for employees with a particular skill set may increase. This may become apparent when filling an open position or when turnover occurs. If a manager has concerns that a job is not being compensated at market levels, the Office of Human Resources should be contacted. After completing a market analysis, a decision will be made whether or not to adjust the salary grade and whether individual salary
Job Reclassification - A job reclassification occurs when the job duties increase or decrease significantly, or the market rate for the job changes, such that a change in grade and possibly salary is warranted. Compensation’s recommendation to reclassify a job and, in some cases, to provide an associated salary increase, are based on the following:

- The percentage of duties that have changed;
- The degree of change in level of responsibility;
- The market rate for the job;
- The relationship of the employee’s salary to the salaries of other employees in the new grade;
- Whether the employee’s salary already falls well within the new salary range, in which case a smaller increase may be warranted; and
- In cases where reclassification results in a lower salary grade, if the employee’s salary exceeds the maximum of the new range, the salary should be lowered to the maximum of the new range.

A salary adjustment for an upgrade is generally lower than a promotional increase because there is a smaller change in job responsibilities.

Managing Compensation Challenges

Pay Compression - Pay compression can occur when a less-experienced new hire is paid at a rate at or above more experienced employees, or a supervisor is paid at a rate similar to his/her direct reports.

Salaries Below the Minimum - Employees should be paid within the salary range. If the employee is meeting the expectations of the job, the employee’s salary should be adjusted to the minimum of the salary range, or if the budget cannot accommodate an increase, the salary should be moved into the range incrementally within a reasonable period of time (6 months). If the employee is not meeting expectations, the supervisor should put a performance improvement plan in place and address salary when performance improves.

Salaries Above the Maximum - In most cases, employees will not be paid more than the maximum of the assigned salary range. Two possible exceptions to this are (a) the employee who was being paid more than the maximum at the time the range was established; and/or (b) the employee whose position was downgraded and their salary was frozen. In such cases, it is recommended that no future increases be given to an employee whose salary is over the maximum of the range. Such an individual may receive increases after the salary range has been increased to the extent that his/her salary comes within the new range. For those employees who have reached “top of the range” and their performance warrants some type of recognition, a lump sum payment may be given.
Other Types of Pay

Occasionally the following types of additional payments may be made.

On-call Pay - On-call pay is provided when staff members are required to be available for work and to return to work at unusual hours. Typically, employees are required to respond and return to duty within a short period of being called back to work. On call pay will be included in the overtime calculation for nonexempt employees. Nonexempt employees who are called into work or respond to calls remotely must track and be paid for all hours spent in responding to calls as work time. Departments using an on-call program must have a policy approved by the Office of Human Resources.

Shift Differentials - When an employee’s job involves working evening and/or night hours, shift differential pay may be provided although it is not required. Any shift differential provided is discontinued if the employee’s hours of work change. Shift differentials are included in overtime pay for nonexempt employees. Departments or schools adopting shift differential pay must have a policy approved by the Office of Human Resources.

Signing Bonuses - In some cases a signing bonus can be used when filling an open position. If the open position is particularly hard to fill due to the labor pool, a signing bonus may be a way to attract qualified candidates. Generally, signing bonuses should not be used for transfers. The Office of Human Resources must approve all signing bonuses before the offer is extended.

Discretionary bonuses – Discretionary bonuses are one-time, after-the-fact bonuses paid solely at management discretion, with no announcement or promise made to employee in advance. Examples include unplanned spot bonuses and recognition awards for a significant contribution to the organization.

Nondiscretionary bonuses – Nondiscretionary bonuses are awards announced or promised to the employee in advance, or any bonus given on a regular basis. Examples include attendance awards, bonuses intended to increase productivity or efficiency, and bonuses for achieving certain goals or completing a project. A nondiscretionary bonus must be included in the overtime calculation for nonexempt employees over the time period in which it was earned. The HRMS system will automatically calculate the correct overtime premium.

Commissions – Commissions are a specific type of pay typically earned as a percentage of revenue generated. Only employees in exempt positions are eligible for commissions. Commission plans must be reviewed in advance with the Office of Human Resources.

All bonuses and commissions must be approved by the Office of Human Resources before communication to the employee. To pay a bonus, please submit the Bonus Authorization form found in the Forms section of the Office of Human Resources website (http://hr.wustl.edu). Vice Chancellor/Dean approval is required.
Wage and Hour Law (Fair Labor Standards Act)

The Fair Labor Standards Act (FLSA or the Wage and Hour Law) is a federal law administered by the U.S. Department of Labor. The law covers minimum wage, overtime payment and record keeping requirements. Violations of the law can result in costly penalties including back pay, attorney fees, court costs, liquidated damages and an audit of University personnel and payroll practices. The law is intended to protect employees, and their rights cannot be waived verbally or in writing.

The primary provisions of the FLSA are:

- **Minimum Wage**: The federal minimum wage for employees classified as nonexempt is currently $7.25 per hour. Individual states may impose a higher minimum wage; Missouri’s current minimum wage is $7.50 per hour.
- **Overtime**: Employees classified as nonexempt must be paid one and one-half times their base rate for any hours actually worked in excess of 40 in a given workweek.
- **Record Keeping**: Employers are required to maintain accurate records for each employee in a position classified as nonexempt for all time worked.

Who is covered by FLSA?

The provisions of the law apply to all Washington University employees. However, some jobs are exempt from the overtime pay requirements of the law and are classified as **exempt**. Exempt status is determined by job duties and responsibilities.

Employees in exempt jobs must be paid a minimum of $455 per week, regardless of their full-time/part-time status. They must be paid on a “salary basis,” which means that an employee regularly receives a predetermined amount of compensation each pay period. The predetermined amount cannot be reduced because of variations in the quality and quantity of the employee’s work. Generally, an employee in an exempt job must receive the full salary for any workweek in which the employee performs any work, regardless of the number of days or hours worked. Thus, pay cannot be “docked” except in certain cases, for example, absence of one or more full days due to a personal (non-illness-related) reason. Please contact the Office of Human Resources for guidance on making proper pay deductions for employees in exempt jobs. Employees in exempt jobs are paid on the monthly payroll.

The Compensation staff assigns FLSA status to jobs. Because misclassifying a position as exempt can subject the University to substantial costs and penalties, changes in an employee’s duties that might cause the position to be reclassified as nonexempt must be reviewed with Compensation.

Employees in **nonexempt** positions are not exempt from the provisions of the Fair Labor Standards Act. Employees in nonexempt jobs must have their hours tracked so that they can be paid overtime pay if they work more than 40 hours in a week. Note that employees cannot be given “comp time” in lieu of overtime pay, even if the
employee requests it. Employees in nonexempt jobs are compensated for all hours worked based on their timesheet, which must be approved by their supervisor.

All employees in nonexempt positions are required to complete timesheets and are paid on the biweekly payroll.

**Time Records**

The FLSA requires that employers maintain accurate records to account for actual hours worked by employees in nonexempt positions. Such time records may be in the form of a timesheet with the hours worked recorded on a daily basis by the employee and approved by the individual’s supervisor.

**Nonexempt Positions**—Time and attendance records are required for all employees in nonexempt positions. Employees should utilize Time and Labor to report actual hours worked and to record time off including vacation, sick, holidays, funeral leave, jury duty, etc. The Time and Labor record should be submitted to the supervisor for final approval. Timesheets are maintained electronically in Time and Labor.

**Exempt Positions**—Employees in exempt positions are required to utilize Time and Labor to record time off including vacation, sick, holidays, funeral leave, jury duty, etc. Employees in exempt positions are not required to maintain records of time worked.

**Pay for Travel Time**

From time to time, University employees in nonexempt positions may be asked to travel for business purposes. Such employees will be paid as indicated below.

**One-Day Trip With No Overnight Stay**—Travel time to and from the work or training assignment is considered time worked. If the University offers to fly the employee to his or her destination, and the employee elects to drive, the number of travel time hours considered worked hours will be the lesser of the scheduled flight time or actual driving time.

**Trip With Overnight Stay**—Travel time to and from the work or training assignment is considered time worked if the travel time is during normal working hours, even if the hours occur on a non-working day (e.g., Saturday, Sunday, or holiday for a Monday to Friday employee). Travel time outside of normal working hours is not considered time worked unless the employee is actually working during the time of the travel. If the University offers to fly the employee to his or her destination, but the employee elects to drive, travel time by driving will not be considered hours worked.

Contact the Office of Human Resources with questions concerning paying employees in nonexempt jobs for travel time.
Breaks and Meal Periods

Introduction: Schools and departments may determine and should communicate their specific policies regarding breaks and meal periods to employees.

Breaks—The University is generally not required to provide rest periods/breaks to employees. Nevertheless, schools/departments may wish to establish a policy to allow rest periods/breaks to promote the efficiency of work. If a school/department establishes such a policy to grant short durations of rest periods, from five (5) to 20 minutes, this time must be counted as time worked.

Break Time for Nursing Mothers—The University will provide to employees who are nursing mothers reasonable break periods during the workday to express breast milk for their children. Nursing mothers may take breaks each time they need to express milk beginning from the date of the nursing child’s birth and for up to one (1) year. Employees who are nursing mothers should discuss their need for break periods with their supervisor. A number of private rooms have been established for use by nursing mothers. Contact the Office of Human Resources for a list of locations and contact information for availability and scheduling inquiries.

Meal Period—The University normally provides a non-paid one-hour or one-half-hour meal break, typically taken near the middle of an employee’s scheduled work day. "Bona fide" meal periods are not considered work time. For a meal to be "bona fide," it ordinarily must last at least 30 minutes and the employee must be completely relieved from duty. If meal periods are frequently interrupted by call to duty, the entire meal period must be counted as time worked and the time counted for purposes of determining any overtime compensation. Meal periods may not be used to shorten the work day, either at the beginning or end of the work day.

Pay Procedures

Introduction: The University has established the following pay procedures:

Confidentiality—Questions regarding paychecks and compensation data may be directed to one's supervisor, Payroll or the Office of Human Resources.

Paydays—Employees in exempt jobs are paid on a monthly basis. Employees in nonexempt jobs are paid on a biweekly basis. Employees paid on a monthly basis are paid on the last working day of the month; employees paid on a biweekly basis are paid on the Friday after the end of the pay period.

Pay Periods—The University's payroll is processed according to established pay periods. All salary actions, personnel changes, etc. that are received after the published payroll cut-off dates will be processed in the following pay period.
Workweek—The University workweek begins at 12:01 a.m. on Sunday and ends at 12:00 midnight on Saturday.

Minimum Wage—All employees receiving pay from the University must be receiving at least the minimum wage from all combined sources for each job / role. The current Missouri State minimum wage is $7.50 per hour. Schools and departments will be notified of any changes in the minimum wage.

Entry Level Wage—The Washington University entry level wage effective July 1, 2014 is $11.00 per hour for staff employees. The University’s entry level wage does not apply to employees whose primary role is that of Washington University student or to employees who are employed in a temporary role for less than 6 months.

Overtime—The Fair Labor Standards Act (FLSA) requires that all employees in positions classified as nonexempt be paid one and one-half times their regular hourly rate of pay for hours worked in excess of 40 hours in a workweek. Supervisors and managers must not allow work by employees in nonexempt positions on a non-paid basis or allow compensatory time off in lieu of payment of overtime. All nonexempt overtime must be paid consistent with the FLSA. Supervisors and managers should authorize in advance any overtime worked by employees in nonexempt positions. Paid time off (vacation, sick time, holidays, funeral leave, and jury duty) is not considered time worked for purposes of calculating overtime compensation.

If employees in positions classified as nonexempt work in multiple departments and the total hours worked exceed 40 hours in a workweek, they must be paid overtime which is defined as one and one-half times their weighted hourly rate. An example is shown below.

Employee works 30 hours in one week at $10.00 per hour in position A  
Employee works 15 hours in one week at $8.00 per hour in position B

<table>
<thead>
<tr>
<th>Position</th>
<th>Hours</th>
<th>Rate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position A</td>
<td>30</td>
<td>$10.00</td>
<td>$300.00</td>
</tr>
<tr>
<td>Position B</td>
<td>15</td>
<td>$8.00</td>
<td>$120.00</td>
</tr>
<tr>
<td>Total</td>
<td>45</td>
<td></td>
<td>$420.00</td>
</tr>
</tbody>
</table>

“Half” Time - $23.33  
Total Earnings - $443.33

The Overtime Rate is $9.33 per hour ($420.00 divided by 45). The HRMS system automatically calculates and applies the overtime rate to the “half” portion of time and a half (5 hours x 0.5 or 2.5 hours in this example).

Calculating a Partial Month’s Pay—Whenever employment starts or stops other than on the first or last workday of the month, HRMS will automatically prorate pay. To manually calculate this number, count the number of workdays (including holidays) in the given month to calculate the paid days. Divide the monthly salary by the number of paid days in the given month to calculate the daily rate. Multiply the
actual number of days the employee worked in a month by the daily rate to calculate the partial salary for the month.

Formula:
Monthly salary / paid days in partial month × days worked = salary for partial month.

Direct Deposit—Direct Deposit is required for all employees except in limited situations. Funds deposited into the employee’s account are available to the employee on the stated payday. Employees should contact their bank to inquire if direct deposit is available and when direct deposit funds are available for withdrawal. Forms are available in the Forms section of the Payroll Services website (http://payroll.wustl.edu). Individuals can access paycheck information through Employee Self-Service in HRMS, are able to view information at work or home, and if desired, may print their check information, as pay advice statements are not distributed.

Pay Deductions—Local, state, federal and social security taxes are deducted automatically. No other deductions are made automatically unless required by law or employee obligation. Additional voluntary deductions may be taken from an employee’s pay if authorized by the employee in writing.

Garnishment or Wage Assignment—Garnishment is a legal procedure, usually ordered by a judicial or taxing authority and requires an employer to withhold a prescribed amount of earnings from an individual employee’s paycheck to be applied to the payment of a debt or obligation incurred by the employee. Garnishments that are received by a school/department must be forwarded to the Office of Human Resources for processing.

Alternative Work Schedules

Introduction: The regular hours of work for Danforth Campus schools and departments are 8:30 a.m. to 5:00 p.m., Monday through Friday. A daily one-hour, non-paid lunch break is also provided. The nature of the work in some departments necessitates arranging special time schedules for some employees.

Requests for Alternative Work Schedules—Due to the nature of the work, managers or supervisors may request that an employee work an alternative schedule. If this becomes necessary, managers and supervisors should give adequate notice to the employee so he/she can make adjustments to his/her schedule.

An employee may also request an alternative work schedule. Managers and supervisors should consider whether the employee’s work could be performed at other times rather than the normal hours of work. Other considerations include the impact of the schedule on other members of the work group as well as the morale of the group.
Approval of Alternative Work Schedules—Individual managers and supervisors may approve alternative work schedules. The Office of Human Resources strongly encourages managers and supervisors to periodically review the work schedule with the employee to ensure that the schedule continues to have benefits for the supervisor, work group and employee.

Telecommuting Policy

Purpose—While in general the University believes that patients, students and constituents can best be served when Washington University employees are physically at work, it also recognizes that flexible work arrangements such as telecommuting can be an important part of meeting departmental and university needs. Any such formal arrangement must be defined in writing prior to the start of the assignment and signed by the employee and the department.

Overview—Telecommuting is a work arrangement in which employees routinely perform their regular job responsibilities away from their primary business location. Telecommuting is normally considered an alternate worksite arrangement to an employee’s primary work location for a defined period of time. This arrangement may be established for regularly scheduled, sustained periods of time and may represent a portion or all of the employee’s work week. By special approval, this may also be the employee’s sole work location when appropriate. Formal arrangements are not needed for temporary or intermittent assignments in which work has been approved to be performed away from the primary work place.

The ability to telecommute is a privilege based on the needs of the job, work group and organization, and may be determined by the employee’s past and present levels of performance and is not a right. Not all employees and not all jobs are suited to telecommuting. Typically, telecommuting relationships should not be established during an employee’s orientation period or when an employee is experiencing performance problems or requires close supervision. Nor are such arrangements intended to create a “second job” with the university or to allow employees to pursue other jobs or business initiatives external to the university.

Department managers are responsible for determining the feasibility of any individual telecommuting arrangement based upon evaluation of the work to be accomplished, benefits to the department, interactions required between the telecommuting employee and other staff members or customers and the demonstrated skills of the employee. Employees being considered for telecommuting must have a demonstrated record of acceptable or higher performance, be capable of independent, self-directed work and be highly self-motivated. The employee should currently be in good standing with the University and possess a current work record.
that is free of current disciplinary action or documented performance issues.

Telecommuting arrangements must comply with federal, state and city laws and University policies that apply to employees at Washington University. This includes, but is not limited to, the Fair Labor Standards Act (FLSA) and Occupational Safety and Health Act (OSHA). Therefore, telecommuting arrangements do not change salaries, benefits, job responsibilities, leave policies or other basic terms or legal requirements associated with employment. In those rare instances in which a department is hiring a new employee into a Telecommuting status, the Telecommuting requirements must be spelled out as a condition of employment during recruitment for the position.

Telecommuting agreements should add value to the operations of the department /school and must be reviewed and approved within established departmental approval processes before being enacted. In cases where telecommuting requests reflect employment outside of the state of Missouri, create on-going telecommuting arrangements or involve FMLA or other medical accommodation issues, requests must also be reviewed and approved by Human Resources.

When management determines that exigent circumstances exist, such as natural disaster, pandemic, etc., temporary or intermittent assignments may be approved by the department without formal written agreements in place. Departments may approve temporary telecommuting based on the circumstances and needs of the department and employees should not assume they may work from home without first obtaining management’s approval. When the exigent circumstances no longer represent a crisis situation, such assignments must either stop or have formal agreements developed and signed by both the department and the employee to continue offsite arrangements.

Please refer to the Telecommuting Guidelines and forms below for procedures.

**Telecommuting Guidelines**

1. Telecommuting is an arrangement between management and employee, not an entitlement, and is based on the needs of the job, work group and organization, and may be determined by the employee’s past and present levels of performance.

2. The nature of the employee’s work must be considered in evaluating the appropriateness of a telecommuting arrangement
   a. Jobs that entail working alone or working with equipment which can be kept at the alternate work site are often suitable for telecommuting.
b. Jobs that require physical presence to perform effectively are not suitable for telecommuting. Examples: supervisor, manager, secretary/receptionist, student advisor, custodian and maintenance worker.

c. Jobs that require a high degree of collaboration and/or group discussion to achieve goals may not be suitable for telecommuting.

3. Other factors to be considered include assessing potential costs and savings to be expected, impact on space, equipment, staffing and overall departmental efficiency both at the alternate work location and on the primary work site, and the employee’s overall fitness for self-directed work and demonstrated work record.

4. The manager must communicate in advance what assignments or tasks are appropriate to be performed at the telecommuting site and what assessment techniques will be used to measure success in meeting performance standards. A good system for measuring the quality, quantity and timeliness of output should be equally effective for both employees on-site as well as those working at home and should not reflect differences in standards.

5. All forms of information (paper, electronic, conversations) must be kept secure and confidential. Employees may be required to:
   a. Install Antivirus software, update the software & virus definitions weekly and scan for new viruses at least weekly
   b. If connecting to the network via DSL, cable modem or non-University dial-in (e.g., SNET, AOL), use the University’s VPN or Proxy servers
   c. Use a personal firewall if using DSL or cable modem
   d. Disable or restrict file sharing

6. On-going telecommuting arrangements must be defined in writing and address:
   a. The business reason for the decision to telecommute;
   b. Length of time the telecommuting arrangement will continue;
   c. Number of hours per day / days per week the employee will telecommute - including when (what days/hours) the employee is expected to work;
   d. A description of the impact to customers in terms of service and quality of work;
   e. An explanation of how necessary communication with management, the department and customers will be maintained;
   f. List of general duties to be performed while telecommuting (Note: other duties or accountabilities may be added/deleted as necessary);
   g. List of the necessary equipment and software as well as where/how/why whom it will be obtained and maintained; and define who is responsible for telephone costs (if any), supplies (paper, pens, etc.), computer set-up and maintenance, installation of and/or training on computer software, security of University equipment, materials, and supplies (including responsibility for loss), any additional applicable items. Normally, employee will use his/her own equipment.
However, if the telecommuting arrangement is at the direction of the department, department funds must be used/approved by the Department Head for appropriate expenses.

h. The items for which the employee and the department are responsible for in establishing the telecommuting arrangement.

7. The employee is responsible for:
   a. Maintaining the telecommuting site in a manner free from health or safety hazards that could endanger the employee, his/her family or others.
   b. Notifying the manager immediately about any safety or ergonomic concerns at the telecommuting site. Health or safety hazards at the telecommuting site may result in immediate suspension of the telecommuting arrangement. If an injury to the employee does occur at the telecommuting work site, management reserves the right, in response to the injury or illness, to inspect the worksite and make appropriate recommendations.
   c. Taking reasonable steps to protect any University property from theft, damage or misuses. This includes maintaining data security and record confidentiality to at least the same degree as when working at the regular University worksite. All Washington University HIPAA and other compliance policies and procedures, including those for handling the physical and electronic security of Protected Health Information (PHI), remain in effect as if the employee were working at the regular University worksite and will be provided to the employee. An employee must complete refresher HIPAA training before being approved to work from home with PHI.
   d. Providing dependent or child care arrangements during work hours such that these do not interfere with work being performed.
   e. Remaining in touch with customers, colleagues and management as directed by the department, and
   f. Returning any and all documents, equipment, badges, keys, etc upon termination of employment as directly by the department.

8. The employee may not duplicate University-owned documents and will comply with the licensing agreements for use of all software owned by the University. Depending on the circumstances, the employee may be responsible for any damage to or loss of University property.

9. A Confidentiality Agreement must be signed by the employee at the initiation of the telecommuting assignment and annually in the employee’s performance appraisal.

10. Employees must adhere to all university, school and departmental policies while telecommuting. In particular, all record-keeping requirements must be followed and an accurate and timely record kept of all working time as a condition of continued participation in the telecommuting program. He/she must also take meal and rest
periods with applicable legal requirements and University policies. An employee is not exempt from the meal period, rest period, time off or other record-keeping policies solely because he/she is permitted to work at home or at another off-site location. Non-exempt employees must receive prior approval from their supervisor before performing any overtime work during a telecommuting arrangement. Shift differential and on-call pay are not applicable while telecommuting.

11. The employee will be covered by workers' compensation for job-related injuries that occur in the course and scope of employment while telecommuting. In cases where the home and the designated workplace are the same, workers' compensation will not apply to non-job related injuries that might occur in or outside the home or for incidents that occur outside of work hours. The employee must report job-related injuries to his or her supervisor as soon as possible and seek treatment from authorized medical care providers consistent with University policy.

12. Management retains the right to modify the agreement as a result of business necessity (for example, the employee may be required to come to campus on a particular day) or in response to an employee request. An employee should give at least two weeks’ notice to the University prior to terminating the telecommuting agreement; likewise, the University should provide at least two weeks’ notice to the employee prior to terminating the telecommuting agreement, unless such notice is not feasible due to business necessity.

The employee will be subject to all applicable University policies during the telecommuting arrangement.

13. Questions should be directed to Human Resources.

Procedure
1. Employee and Manager complete the Telecommuting Assignment and Agreement;
2. Manager approves and submits both forms to the business office;
3. The Business manager approves, or discusses with the Department Chair as needed and relays the decision to the Manager. Where an out of state arrangement or FMLA/medical issues are involved, the Business Manager sends the forms to HR for review and approval/disapproval. If HR approves the request, the documents are returned to the Business Manager for follow up within the department. If HR does not approve, the documents are returned to the Business Manager/Department Chair for discussion and revision /resubmission.
4. If approved, the Business manager and others finalize arrangements for employee to begin telecommuting.
WASHINGTON UNIVERSITY
Telecommuting Agreement

This agreement confirms the telecommuting arrangement between the Department of ______________________ and ____________________________ (employee), ____________________________ (job title) consistent with the University’s Telecommuting Policy, the terms and conditions of which are incorporated into this agreement.

1. By signing this agreement, the employee certifies that s/he has reviewed, understands and agrees to abide by the University Telecommuting Policy, including but not limited to specific provisions addressing:
   - work hours, accessibility and performance expectations
   - use and responsibility for University owned equipment, software and other resources
   - establishing a work space
   - safety and ergonomics
   - work related injuries
   - confidentiality of information and data
   - intellectual property
   - revocability of the agreement

   It is further agreed that:

2. Terms of Employment. The employee understands that this Telecommuting Agreement is not a contract of employment between the University and the employee and does not provide any contractual rights to continued employment. It does not alter or supersede the terms of the existing employment relationship. The employee remains obligated to comply with all University rules, policies, practices and instructions that would apply if the employee were working at the regular University worksite. Work products developed or produced by the employee while telecommuting remain the property of the University.

   Work hours, compensation and leave scheduling while telecommuting must continue to conform to applicable human resource policies. Non-exempt employees must receive prior approval from their supervisor before performing any overtime work during a telecommuting arrangement.

   If the employee is non-exempt, he/she must comply with all record-keeping requirements and must accurately record and timely report all working time as a condition of continued participation in the telecommuting program. He/she must also take meal and rest periods with applicable legal requirements and University policies. An employee is not exempt from the meal period, rest period or record-keeping rules solely because he/she is permitted to work at home or at another off-site location.
3. **Length of Commitment & Termination.** This telecommuting arrangement will begin on __________________ and continue until __________________ or until ended by the employee or the University. Should the employee wish to terminate the telecommuting arrangement, the employee agrees to provide a minimum of two weeks’ advance notice to the University.

Continuation of the agreement is subject to review for the business and productivity effectiveness of the arrangement and may be revoked at the option of the University. The University shall normally provide minimum notice of two weeks prior to termination of the agreement, unless such notice is not feasible due to business necessity.

4. **Telecommuting Assignment, Accountability and Performance Measurement and Confidentiality Agreement.** Both a signed Telecommuting Assignment (detailing the employee’s Telecommuting Assignment, performance and communications expectations and work schedule) and signed Confidentiality Agreement must be attached to and are incorporated into this agreement.

The employee agrees to stay current on department and work group events and facilitate communication with customers and co-workers who may be affected by the employee’s telecommuting arrangement. The employee also agrees to keep the supervisor informed of progress on work assignments worked at the alternate work site and any problems encountered while telecommuting. Employee agrees to structure his or her time to ensure attendance at required meetings as designated by the supervisor. The supervisor agrees to facilitate communication within the work group.

5. **Equipment, Equipment Insurance, Office Supplies. Property**

When the employee uses personal equipment, software, data, supplies and furniture, the employee is responsible for maintenance and repair of these items at his her own expense unless other arrangements have been made in advance and in writing with the supervisor. The University assumes no responsibility for any damage to, wear of, or loss of the employee’s personal property.

University owned resources may only be used for University business. The employee is responsible for ensuring all items are properly used. Depending on the circumstances, the employee may be responsible for any damage to or loss of University property.

The employee agrees to take reasonable steps to protect any University property from theft, damage or misuses. This includes maintaining data security and record confidentiality to at least the same degree as when working at the regular University worksite. All Washington University HIPAA and other compliance policies and procedures, including those for handling the physical and electronic security of Protected Health Information (PHI), remain in effect as if the employee were working at the regular University worksite and will be provided to the employee. The employee must complete refresher HIPAA training before being approved to work from home with PHI. The employee may not duplicate University-owned documents and will comply with the licensing agreements for use of all software owned by the University.
The employee agrees to return in good working order and in a timely fashion all University-owned items used at the alternate worksite upon request or if the Telecommuting Agreement is discontinued for any reason. If legal action is necessary to regain possession of University-owned property, the employee agrees to pay all costs of suit incurred by the University, including attorneys’ fees; in such circumstances the University also reserves the right to deduct the cost of any unreturned University property from the employee’s paycheck.

6. **Telecommuting Site Safety and Ergonomics.**
   The employee is responsible for maintaining the telecommuting work site in a manner free from health or safety hazards that could endanger the employee, his/her family or others.

   The employee is responsible for notifying the manager immediately about any safety or ergonomic concerns at the telecommuting site. Health or safety hazards at the telecommuting site may result in immediate suspension of the telecommuting arrangement.

   The employee will be covered by workers’ compensation for job-related injuries that occur in the course and scope of employment while telecommuting. The employee must report job-related injuries to his or her supervisor as soon as possible and seek treatment from medical care providers consistent with University policy. In the event of such injury, management reserves the right to inspect the worksite and make appropriate recommendations. Workers' compensation will not apply to non-job related injuries that might occur in or outside the home. The employee remains liable for injuries to third parties and/or members of the employee’s family on the employee’s premises.

7. **Signature.** Signing this agreement means that it has been reviewed and agreed upon by the employee, manager, Human Resources and Department Head.

<table>
<thead>
<tr>
<th>Employee’s signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manager’s signature</td>
<td>Date</td>
</tr>
<tr>
<td>Human Resources signature</td>
<td>Date</td>
</tr>
<tr>
<td>Department Head’s signature</td>
<td>Date</td>
</tr>
</tbody>
</table>

**Attachments:** Completed Telecommuting Assignment and Signed Confidentiality Agreement

**Distribution:** Original: Department Personnel File
Copies: Employee, Manager and Human Resources
The supervisor and telecommuting employee should complete this form together. The completed Telecommuting Assignment summary is attached and incorporated into the Telecommuting Agreement. Updates should be made as needed.

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Job Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Department</th>
<th>E-Mail Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Address/Location of Telecommuting Space</th>
<th>Telecommuting Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Distance from Employee’s Primary Business location to Address/Location of Telecommuting Space:</th>
<th>Miles</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Day of Week</th>
<th>Work Hours</th>
<th>Work Location (department, telecommuting site, other)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Supervisor’s Name</th>
<th>Supervisor’s Work Phone</th>
<th>Supervisor’s E-Mail</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What work assignments will the employee perform at the telecommuting site?
What standards of performance will be established for these telecommuting assignments?

What means will be used to assess the employee’s performance while telecommuting?

How will communication with the supervisor be handled while telecommuting?

How will communication with others in the department/University and customers be handled while telecommuting?

How will telephone or other contacts for the employee at the University work site be handled?

Itemize the equipment, software, supplies, data or furniture the employee will need at the telecommuting site. Specify which of these items the department will provide and which the employee will provide.

What support services (e.g., troubleshooting equipment problems) will the employee need at the telecommuting site and how will these be provided?

What will be done to ensure the security of the equipment, software, supplies, data and property?

In the event of equipment failure, how will “down time” be handled? (e.g., employee will perform assignments that do not depend on equipment; time will be made up within the week or charged to an appropriate leave balance, etc.)

What records will the employee keep at home and how will they be handled?

<table>
<thead>
<tr>
<th>Employee’s Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Manager’s Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
WASHINGTON UNIVERSITY

CONFIDENTIALITY & SECURITY POLICY ACKNOWLEDGEMENT

As an employee of Washington University, you may come in contact with information which is both personal and confidential. It is your responsibility to treat this information pertaining to the business of the Department/School/University, students, patients and other employees as “CONFIDENTIAL.”

Some employees, by the nature of their positions, will have access to salary and personal information for University employees. Salary and personal information is to be treated as “CONFIDENTIAL” and may never be discussed with individuals who do not have a valid need or right to know the information. Any request as to the release of such information, must be referred and cleared with your supervisor prior to its release.

Some employees, by the nature of their positions, may have access to student education records. The Family Educational Rights and Privacy Act (“FERPA”) affords students with certain rights with respect to their education records, including the right to restrict the release of personally identifiable information contained in their education records except to the extent that FERPA permits disclosure without consent. Any request to release information must be referred and cleared with your supervisor prior to its release.

Protected Health Information (PHI), including a patient’s medical record(s) and patient accounts information, is to be considered “CONFIDENTIAL”. When it is necessary to discuss such matters in the course of your work, the discussion should be held in an appropriate place and manner. Under no circumstances should patient information be discussed with other employees or outside parties without direct permission of your supervisor. Confidential patient information should not be released to non-authorized individuals. All Washington University HIPAA privacy and security policies, and other compliance policies and procedures remain in effect.

Each employee is assigned a unique User Name and Password to access the various University systems. It is the employee’s responsibility to protect the confidentiality of that password to the highest degree possible in an effort to maintain and protect system and data integrity.

AGREEMENT:
I agree to treat any and all “CONFIDENTIAL” information or data that I may come into contact with during the course of my job with the highest degree of confidentiality as outlined above.

I agree to protect the confidentiality of the data contained in any computerized system I may use in conducting business for Washington University. I agree that I will not disclose my User Name/Password to any unauthorized personnel. If I have reason to believe that my User Name or Password has become known to an unauthorized user, I will contact my supervisor immediately and request a new code be assigned as soon as possible. I understand and agree that it is my responsibility to always sign out of the computer system whenever I leave my work area for an extended period of time.

The University’s security policies have been reviewed with me and I agree to comply with all University information system security policies. I understand that if I violate this Confidentiality Agreement, or the University’s information system security policies, I may be subject to disciplinary action in accordance with University policy including termination, if necessary.

______________________________  ________________________
EMPLOYEE NAME (Please Print)  Date

______________________________
SIGNATURE OF EMPLOYEE
VI. Employment Rights and Responsibilities

<table>
<thead>
<tr>
<th>Topic</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standards of Personal Conduct</td>
<td>VI-1</td>
</tr>
<tr>
<td>Confidentiality Policy</td>
<td>VI-1</td>
</tr>
<tr>
<td>Conflict of Interest Policy</td>
<td>VI-2</td>
</tr>
<tr>
<td>Conflict of Commitment Policy</td>
<td>VI-3</td>
</tr>
<tr>
<td>Code of Conduct</td>
<td>VI-4</td>
</tr>
<tr>
<td>Compliance Program</td>
<td>VI-4</td>
</tr>
<tr>
<td>Drug and Alcohol Policy</td>
<td>VI-5</td>
</tr>
<tr>
<td>Policy on Sexual Harassment</td>
<td>VI-6</td>
</tr>
<tr>
<td>Discrimination and Discriminatory Harassment Policy</td>
<td>VI-8</td>
</tr>
<tr>
<td>Abusive Conduct</td>
<td>VI-9</td>
</tr>
<tr>
<td>Policies Regarding Minors</td>
<td>VI-12</td>
</tr>
<tr>
<td>Computer and Administrative Information Systems Security Policy</td>
<td>VI-15</td>
</tr>
<tr>
<td>Electronic Communication (E-Mail and Internet Usage)</td>
<td>VI-16</td>
</tr>
<tr>
<td>Preferred Name</td>
<td>VI-17</td>
</tr>
<tr>
<td>Workplace Violence</td>
<td>VI-17</td>
</tr>
<tr>
<td>Inspection Policy</td>
<td>VI-18</td>
</tr>
<tr>
<td>Employee Safety and Health</td>
<td>VI-19</td>
</tr>
<tr>
<td>Safety Training</td>
<td>VI-19</td>
</tr>
<tr>
<td>Communicable Diseases</td>
<td>VI-20</td>
</tr>
<tr>
<td>Problem Resolution – Open Door Policy</td>
<td>VI-24</td>
</tr>
<tr>
<td>Corrective Action and Performance Improvement</td>
<td>VI-24</td>
</tr>
<tr>
<td>Solicitation and Distribution</td>
<td>VI-26</td>
</tr>
<tr>
<td>Personal Inquiries</td>
<td>VI-26</td>
</tr>
<tr>
<td>Personal Telephone Calls, Email and Social Media</td>
<td>VI-27</td>
</tr>
<tr>
<td>Tobacco-Free Policy</td>
<td>VI-27</td>
</tr>
<tr>
<td>Dress Code</td>
<td>VI-28</td>
</tr>
<tr>
<td>Guidelines for Candidates and Political Speakers</td>
<td>VI-28</td>
</tr>
<tr>
<td>Permission to Use University Names and Symbols</td>
<td>VI-28</td>
</tr>
<tr>
<td>Human Resources Files</td>
<td>VI-29</td>
</tr>
<tr>
<td>Children in the Workplace</td>
<td>VI-29</td>
</tr>
<tr>
<td>Contact from the Media</td>
<td>VI-29</td>
</tr>
</tbody>
</table>

Employee Rights and Responsibilities Appendices

B — Supervisor’s Checklist
EMPLOYMENT RIGHTS AND RESPONSIBILITIES

Standards of Personal Conduct

Introduction: The University has a tradition of high ethical and professional standards. These standards include courtesy, cooperation, responsiveness, accuracy, effectiveness, efficiency and compassion on the part of all employees. The University requires that all employees carry out their responsibilities in an appropriate business fashion. The necessity for proper conduct must be understood and accepted by each employee.

The University’s records, plans, research and other information must not be used for any purpose other than to conduct University business. The records and their contents are not to be disclosed or released to unauthorized persons inside or outside of the University.

The removal or destruction of records, files or correspondence, except as covered in applicable instructions, is prohibited. University materials, vehicles, monies, equipment, tools, computers or other property must not be used, taken or concealed for unauthorized personal use.

Violations of this policy may result in disciplinary action up to and including termination. The University may refer matters to police authorities for criminal prosecution where appropriate.

Confidentiality Policy

Introduction: It is the policy of the University to protect information classified as “confidential” from unwarranted disclosure, both inside and outside of the University.

Confidential Information—Includes but is not limited to salary data, research results and procedures, business or financial plans and strategies. This policy also applies to information supplied to the University by outside parties and designated by them as confidential.

Employee Notification—Each employee should be notified of his or her obligation to protect confidential information and the consequences to both the University and the employee if there is disclosure of such information. Each supervisor will notify new employees of this policy’s contents and stress the importance and necessity of maintaining confidentiality.

Employee Responsibility—Employees are expected to protect confidential information by safeguarding it when in use, properly filing it when not in use and discussing it only with those who have a legitimate business need to know.
Employees must use discretion in releasing any University information inside or outside the University. Any questions regarding the release of University information should be directed to the supervisor.

Disciplinary Action—Employees who improperly disclose, access, or share confidential information may be subject to disciplinary action up to and including termination.

Personnel Records—Access to personnel records is restricted to certain individuals within the University who need information contained in them in the normal course of business. Information is made available, under certain conditions and restrictions, for employment verification, funding agencies and government reporting.

Current employees may review their personnel files maintained by the Office of Human Resources at a time that is mutually agreeable to the employee and the Human Resources representative. Former employees may not review or obtain copies of their personnel files.

Conflict of Interest Policy

Introduction: Employees of the University recognize a shared responsibility to ensure that they conduct themselves in an unbiased manner and serve the goals of the University. It is the responsibility of the University and its employees to guard against conflict of interest that might compromise the integrity and objectivity of the University community.

Conflict of interest exists if an employee’s position or authority may be used to influence or make decisions that lead to any form of financial or personal gain for that employee or his or her family.

Non-Compliance with Policy—Violations of the requirements of this policy by any employee shall, if not resolved, subject the employee to sanctions or other actions permitted by University policy.

Interpretation—Questions concerning the interpretation or applicability of this policy should be directed to one’s supervisor or the Chair of the relevant Disclosure Review Committee.

The complete text of the University’s Conflict of Interest Policy is available on the University’s website (http://wustl.edu/policies/conflict.html).
Conflict of Commitment Policy

External Activities—Employees may not engage in external activities that interfere with the performance of their University duties, that disrupt the operations of their department or school, or that create an actual or apparent conflict of interest with their University responsibilities.

University staff employees, including senior administrators, may from time to time be involved in paid or unpaid activities unrelated to Washington University. Examples of such activities include consulting engagements, external board service (for either for-profit or not-for-profit entities), volunteer and community service activities, or other jobs.

The University realizes that many external activities benefit the community at large. However, in general employees should perform external activities outside of their University work hours; i.e., outside of their normal 37.5 or 40 work hours per week, depending on the area of the University in which they work. When that is not possible, employees must obtain prior approval to participate in external activities that occur during their normal University work hours, as follows. In situations where an employee will be paid by an external entity, advance written approval by the employee’s Vice Chancellor or Dean for the employee to participate in that activity must be obtained. For external activities that involve no payments to the employee by the external entity, advance written approval by the employee’s supervisor must be obtained. Supervisor-approved vacation time may be required to perform the external activities.

Use of Washington University Affiliation in External Consulting Activities—University staff members, including senior administrators, and the organizations for which they consult must not state or imply any connection between Washington University and such consulting activities as reports, recommendations, analyses, and the like. They must not say or imply that the University endorses the conclusions of those activities. Staff members are responsible for notifying organizations for which they consult of this prohibition and must include the following disclaimer in all reports, recommendations, analyses, and the like prepared in connection with their consulting activities: “The information provided herein is solely the work of (name) in my personal capacity and is not related to Washington University in St. Louis or my employment there.”
Code of Conduct

This code applies to the following members of the Washington University community: (a) individuals who are paid by Washington University when they are working for the University—this category includes faculty and staff; (b) consultants, vendors, and contractors when they are doing business with the University; and (c) individuals who perform services for the University as volunteers. The Code of Conduct refers to all these persons collectively as “members of the University community” or “community members.”

Washington University is committed to the highest ethical and professional standards of conduct as an integral part of its mission, the promotion of learning. To achieve this goal, the University relies on each community member’s ethical behavior, honesty, integrity, and good judgment. Each community member should demonstrate respect for the rights of others. Each community member is accountable for his/her actions.

This Code of Conduct describes standards to guide us in our daily University activities; standards we believe are already being followed.

The University and each community member must transact University business in compliance with all laws, regulations, and University policies related to their positions and areas of responsibility. Managers and supervisors are responsible for teaching and monitoring compliance in their areas.

The Code of Conduct may be revised from time to time. An up-to-date version of the Code, in its entirety, will always be available on the website http://codeofconduct.wustl.edu.

Compliance Program

Washington University strives to ensure that none of its staff, faculty, third-party vendors and service providers or other contractors feel obligated to participate in activities they consider to be illegal or unethical. All staff, faculty, and contractors are required to comply with federal, state, and local laws and regulations, as well as University policies, including the University’s Code of Conduct.

As described in the Code of Conduct, the University Compliance Office maintains a hotline for employees and others to call to report any suspected violations of laws, regulations, or University policies. The hotline number is (314) 362-4998. Calls to the hotline are anonymous unless the caller wishes to give his/her name or phone number. The University Compliance Office is responsible for ensuring issues reported in hotline calls are investigated and resolved.

The federal False Claims Act is intended to prevent and detect fraud, waste, and abuse of government funds. It is a violation of the federal False Claims Act for anyone to knowingly submit, or cause another person to submit, a false claim and
receive government funds. Examples of actions that could violate the federal False Claims Act include overcharging the government for services rendered; filing a claim with the government for services that were not rendered; or filing a claim with the government with information known to be false. Anyone who knowingly or intentionally submits a false claim to the federal government is liable for civil penalties of $5,500 to $11,000 per claim, plus three times the amount of damage caused by the false claim.

Anyone who suspects a violation of the False Claims Act or any other federal, state, or local law, a University policy, or the University’s Code of Conduct is required to promptly report it to University management. Anyone who, in good faith, reports a suspected or actual violation of law, regulation, or University Code of Conduct or policy will be protected from retaliation and retribution as a result of such reporting, regardless of whether or not, after investigation, a violation is found to have occurred. As outlined in the University’s Code of Conduct, the following channels are available for informing University management of the suspected violations:

- Report it directly to your supervisor or department head or chair.
- Report it to the related area-specific compliance office.
- Call the University hotline at (314) 362-4998. Reports may be made anonymously.

If issues related to misuse of government funds are not addressed and resolved by the above reporting channels, the federal False Claims Act contains provisions that allow citizens with evidence of false claims against the government to sue, on behalf of the government, in order to recover the improperly charged funds. If the suit ultimately ends in a monetary judgment, the citizen may share in the damages recovered. The federal False Claims Act extends protections to employees who report false claims from retaliation or discrimination by an employer.

**Drug and Alcohol Policy**

Washington University is committed to maintaining a safe and healthful environment for members of the University community by promoting a drug-free environment as well as one free of the abuse of alcohol. Violations of this policy will be handled according to existing policies and procedures concerning the conduct of faculty, staff and students.

This policy is adopted in accordance with the Drug-Free Workplace Act and the Drug-Free Schools and Communities Act.

**Standards of Conduct**—Washington University strictly prohibits the unlawful manufacture, sale, distribution, dispensation, possession or use of controlled substances or alcohol on University property or as a part of any University activity. All faculty, staff and students must comply with this policy as a condition of their employment or enrollment. Faculty and staff members are prohibited from reporting to work under the influence of alcohol, chemicals, or drugs, including legally
obtained prescription drugs, which impair one’s ability to perform normal work activities. All faculty and staff members must notify their immediate supervisor(s) within five (5) days of any criminal drug statute conviction for a violation occurring in the workplace or in the conduct of University business.

Violations—Violations of the standards of conduct will be dealt with on a case-by-case basis following the policies and procedures applicable to, as appropriate, faculty, staff or students. Sanctions may include, among other things, reprimand, warning, suspension, probation, expulsion or termination. Referral to an appropriate assistance or rehabilitation program also may be appropriate. Referral for prosecution will occur for serious violations.

The Drug-Free Workplace Act requires the University (1) within 10 days after receiving notice that an employee has been convicted of any criminal drug statute violation occurring in the workplace or in the conduct of University business, to notify appropriate government agencies of such conviction; and (2) within 30 days after receiving such notice, to take appropriate personnel action against such employee up to and including termination and/or to require the employee to satisfactorily participate in a drug abuse assistance or rehabilitation program.

The complete text of the University’s Drug and Alcohol Policy can be found on the Office of Human Resources’ website (http://hr.wustl.edu).

Policy on Sexual Harassment

Introduction: Washington University is committed to having a positive learning and working environment for its students, faculty and staff and will not tolerate any form of harassment, including sexual harassment. The purpose of this policy, which applies to all members of the University community, is to assure that, while in the workplace, each employee is able to accomplish his or her job without being subjected to sexual harassment.

Alleged acts of sexual harassment shall receive prompt investigation by the Sexual Harassment Response Coordinator or Advisor and, as warranted, disciplinary action up to and including termination shall be taken against offenders. A listing of the current Title IX Sexual Harassment Response Coordinator and Advisors is included in the Policy on Sexual Harassment.

The University prohibits retaliation or discrimination against persons who report or charge sexual harassment or against those who testify, assist or participate in any investigation, proceeding or hearing involving a complaint of sexual harassment.

The University also seeks to protect the rights of all persons, accusers and accused, to fair procedures. Allegations of sexual harassment must be made in good faith and not out of malice. Knowingly making a false or frivolous allegation of sexual harassment, whether in a formal or informal context, will be treated as a serious offense under this policy and, where it applies, the University Judicial
Definition of Sexual Harassment—Sexual harassment is defined as any unwelcome sexual advance, request for sexual favors or other unwelcome verbal or physical conduct of a sexual nature, including sexual violence, whether committed on or off campus, when:

- submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual’s employment or academic advancement;
- submission to or rejection of such conduct by an individual is used as the basis or threatened to be used as the basis for employment or academic decisions or assessments affecting an individual; or
- such conduct has the purpose or effect of unreasonably interfering with an individual’s work or educational performance or creating an intimidating or hostile environment for work or learning.

Sexual violence is a prohibited form of sexual harassment and includes physical sexual acts perpetrated against a person's will or where it would be apparent to a reasonable observer that a person is incapable of giving consent due to the victim’s use of drugs and/or alcohol or due to an intellectual or other disability.

Sexual harassment can be verbal, visual, physical or communicated in writing or electronically.

Responsibility—The University encourages anyone who believes that he or she has experienced sexual harassment to promptly report and seek assistance from the University. In addition, any supervisor or manager who becomes aware of instances or allegations of sexual harassment must report the event to the Sexual Harassment Response Coordinator. A listing of the current Title IX Sexual Harassment Response Coordinator and Advisors is included in the Policy on Sexual Harassment.

Confidentiality—The University will strive to protect, to the extent possible, the confidentiality of persons reporting harassment and of those accused of harassment. Because the University has a legal obligation to address sexual harassment, however, the University cannot guarantee complete confidentiality where it would conflict with the University's obligation to investigate meaningfully or, where warranted, take corrective action. Allegations of sexual harassment shall not be placed in student records or personnel files unless, after appropriate investigation, such allegations have been sustained.

Complaints against students or student groups will be referred to the Director of Judicial Programs.

Whether or not an employee or student files a complaint, the University may be required, or may otherwise deem it necessary, to conduct an investigation.
Education—Because education is essential to eliminating sexual harassment, Washington University has developed an ongoing training program. Please call the Sexual Harassment Response Coordinator or an Advisor to find out more about these programs, what sexual harassment is, how to respond to it and what to do when someone asks for advice about sexual harassment.

The complete text of the University’s Policy on Sexual Harassment can be found on the Office of Human Resources’ website (http://hr.wustl.edu).

Discrimination and Discriminatory Harassment Policy

Introduction: Washington University is committed to having a positive learning and working environment for its students, faculty, and staff. University policy prohibits discrimination on the basis of race, color, age, religion, gender, sexual orientation, gender identity or expression, national origin, veteran status, disability or genetic information. Harassment based on any of these classifications violates University policy and will not be tolerated. In some circumstances such harassment may also violate federal, state or local law.

Definition of Discriminatory Harassment—Discriminatory harassment is defined as any unwelcome and objectively offensive conduct that:

• has the purpose or effect of unreasonably interfering with an individual’s work or educational environment;
• is directed at a particular individual or individuals because of the individual’s/individuals’ race, color, age, religion, gender, sexual orientation, gender identity or expression, national origin, veteran status, disability or genetic information and
• is abusive or severely humiliating.

Whether particular conduct constitutes harassment often depends on the specific context of the situation, including the participants’ reasonable understanding of the situation, their past dealings with each other, the nature of their professional relationship (for example, supervisor-subordinate, colleague), and the specific setting.

Confidentiality—The University will strive to protect, to the greatest extent possible, the confidentiality of persons reporting harassment and of those accused of harassment. Because the University has an obligation to address harassment, however, the University cannot guarantee complete confidentiality where it would conflict with the University’s obligation to investigate meaningfully or, where warranted, take corrective action. Allegations of harassment shall not be placed in student records or personnel files unless, after appropriate investigation, such allegations have been sustained.

Complaints against students or student groups will be referred to the Director of Judicial Programs.
Protection of Rights—The University will not tolerate retaliation or discrimination against persons who report or charge harassment or against those who testify, assist or participate in any investigation, proceeding or hearing involving a complaint of harassment.

A Statement Regarding Title IX - Title IX of the Education Amendments of 1972 prohibits discrimination (including sexual harassment and sexual violence) based on sex in the University's educational programs and activities. Title IX also prohibits retaliation for asserting claims of sex discrimination. The University has designated the Discrimination and Discriminatory Harassment Coordinator and Advisors identified below to coordinate our compliance with and response to inquiries concerning Title IX. You may also submit a complaint or inquiry regarding Title IX by contacting the United States Department of Education’s Office of Civil Rights at 400 Maryland Avenue, S.W. Washington, DC 20202-1100 or by visiting www.ed.gov or calling 1-800-421-3481.

The complete text of the University’s Discrimination and Discriminatory Harassment Policy can be found on the Office of Human Resources’ website (http://hr.wustl.edu).

Abusive Conduct Policy

Washington University is committed to having a positive learning and working environment for its students, faculty, and staff. All individuals have the right to enjoy an environment free from all forms of conduct that can be considered harassing, threatening, or intimidating. In addition, academic freedom can exist only when every person is free to pursue ideas in a non-threatening atmosphere of mutual respect. Washington University is committed to protecting the academic freedom and freedom of expression of all members of the school community and this Policy against abusive conduct will be applied in a manner that protects those freedoms. Abusive conduct is reprehensible and threatening to the careers, educational experience, and well being of all members of our community and will not be tolerated. This Policy applies to all students, faculty, and staff. It does not cover conduct prohibited by the University's Sexual Harassment Policy or Discriminatory Harassment Policy.

What is Abusive Conduct?

Abusive conduct is behavior that creates an intimidating environment and is likely to interfere with an individual's work or education. This conduct can be verbal, visual, physical, or communicated in writing or electronically. Such conduct is typically directed against a particular individual or individuals. It includes, but is not limited to, situations where one person has authority over another. In such situations, abusive conduct is particularly serious because it may unfairly exploit the power inherent in a faculty member's or supervisor's position.
Examples of conduct that may be considered abusive include but are not limited to:

- threatening or intimidating behavior or words (written or oral);
- obscenities/profanities (verbal or gestures) directed at a person;
- threatening or obscene gestures, jokes, or cartoons;
- degrading a person or a group on the basis of a personal characteristic;
- taunting, jeering, mocking, or humiliating another person through acts or words;
- screaming and/or yelling at or around others;
- insulting someone, especially in the presence of others;
- endangering the safety of an individual or individuals

In considering a complaint under this policy, the following understandings shall apply:

(1) Abusive conduct must be distinguished from behavior which, even though unpleasant or disconcerting, is appropriate to the carrying out of certain instructional, advisory, or supervisory responsibilities. In the context of patient care clear and direct communication may be necessary in order to deliver safe, effective, appropriate, and timely clinical treatment.

(2) Instructional responsibilities require appropriate latitude for pedagogical decisions concerning the topics discussed and methods used to draw students into discussion and full participation.

The fact that someone did not intend to be abusive is generally not considered a sufficient defense to a complaint, although the reasonableness of the accuser’s perceptions may be considered. In most cases, it is the characteristics and the effect of the behavior on the complainant and whether a reasonable person would find the conduct abusive that determines whether the behavior was abusive.

**Reporting Abusive Conduct**

Washington University can respond to specific instances and allegations of abusive conduct only if it is aware of them and therefore encourages anyone who believes that he or she has experienced abusive conduct to come forward promptly with inquiries, reports, or complaints and to seek assistance. In addition, any faculty member, manager, or employee who becomes aware of instances or allegations of abusive conduct, by or against a person under his or her supervisory authority, is required to report it to the appropriate dean, director, department head, or other similar administrator or to the Human Resources Office. Once a complaint is received, it is the responsibility of the dean, director, department head, or similar administrator to respond to the allegations and reports of abusive conduct and take corrective action, if appropriate, or to work with Human Resources to develop such a response and corrective action, if appropriate. All complaints and their resolution must be reported to Human Resources.
Protection of Rights

Retaliation means conduct that adversely affects another’s terms or conditions of employment or education and has the effect of harming a person for filing a complaint or for participating in the investigation. Retaliation can take many forms. Examples include but are not limited to:

- reassignment of work duties;
- loss of job benefits (i.e., travel);
- loss of salary;
- termination;
- threats

It is a violation of this policy to retaliate against persons who report or make a charge of abusive conduct or against those who testify, assist, or participate, in any investigation involving a complaint. Any such retaliation, or any encouragement of another to retaliate, is a violation of this policy, independent of whether the particular claim is substantiated.

Lodging a complaint is not proof of prohibited conduct. A complaint against an individual shall not be taken into account during reappointment, tenure, promotion, merit, or other evaluation or review until a final determination has been made that the policy has been violated.

Accusations of abusive conduct typically have injurious and far-reaching effects on the careers and lives of accused individuals. Therefore allegations must be made in good faith and not out of malice. Knowingly making a false or frivolous allegation will not be tolerated and will subject the person making such a report to disciplinary action.

Possible Sanctions

Possible sanctions for a person found to exhibit abusive conduct include, but are not limited to, the following:

In many situations, the following examples of sanctions may be sufficient:

- oral or written reprimand;
- required attendance at a sensitivity program;
- apology to the victim;
- oral or written warning
In certain situations, the following sanctions may also need to be considered:

- loss of salary or benefit, such as sabbatical or research or travel funding;
- loss of non-salary benefits (i.e., travel funding);
- demotion; and
- suspension, probation, termination.

While counseling is not considered a sanction, it may be offered or required in combination with sanctions.

Policies Regarding Minors

Policy Regarding Minors at Washington University or Participating in Washington University Programs

Purpose and Scope: The purpose of this policy is to provide for appropriate supervision of minors (children under the age of 18) participating in activities and programs taking place on Washington University property, in University owned or managed facilities, and under the exclusive authority and direction of the University in other locations. Failure to comply with this policy will be treated as a serious offense and could result in discipline, up to and including termination.

Patient care activities pertaining to minors are not within the scope of this policy. More detailed guidance regarding the application and implementation of this policy is contained in the frequently asked questions on the Office of Human Resources’ website (http://hr.wustl.edu).

Policy Requirements

Registration: The person in charge of a program or activity must register the program with the appropriate University office in sufficient time to meet the applicable portions of this policy. Programs using University facilities, such as housing or dining services may be required to execute appropriate contracts.

Criminal Background Checks: The individual in charge of the program or activity, whether sponsored by the University or a separate person or entity, will be responsible for ensuring that program staff, paid or unpaid, including but not limited to faculty, staff, students, and volunteers who work directly with minors have successfully completed a criminal background check acceptable to the Office of Human Resources.

Background checks may not be required for individuals whose only contact with minors is in the context of a discrete, occasional event that is conducted entirely in public.

The University may require background checks and/or training for other members of the University community based solely on job responsibilities.
Required Training: All program staff working with minors are required to complete training regarding appropriate supervision and protection of minors before beginning their work with minors.

Behavioral Expectations: All members of the Washington University community, including program staff, are expected to be positive role models in their interactions with minors by behaving in a caring, honest, respectful, and responsible manner and must follow these expectations to avoid behaviors that could cause harm or be misinterpreted:

- Do not engage in any sexual activity, make sexual comments, tell sexual jokes, or share sexually explicit material (or assist in any way to provide access to such material) with minors or in the presence of minors.
- Do not engage or allow minors to engage you in conversations regarding romantic, sexual, or related matters, unless required in your professional capacity, such as resident advisor, mental health counselor, or health care provider.
- Do not engage in any abusive conduct of any kind toward or in the presence of a minor, including but not limited to verbal abuse, striking, hitting, punching, poking, spanking, or restraining. If restraint is necessary to protect a minor or others from harm, all incidents must be documented and disclosed to the person in charge of the program and the minor’s parent/legal guardian.
- Do not use, possess or be under the influence of alcohol or illegal drugs while on duty or when responsible for a minor’s welfare. Do not provide or in any way facilitate a minor’s access to alcohol, illegal or prescription drugs, pornography, or gambling.
- Do not contact minors outside of regular program activities, including through social media, without the express permission of the minor’s parent or guardian.
- Possession of or use of any weapon or explosive device is prohibited.

The individual in charge of each program is required to provide additional guidance regarding appropriate and inappropriate behaviors specific to the program. Examples of behaviors that should be addressed include but are not limited to, being alone with a minor, inviting minors to one’s home, communicating electronically, and transportation of minors.

Report of Alleged or Suspected Abuse or Inappropriate Activity: Every member of the University community has an obligation to immediately report instances or suspected instances of child abuse or inappropriate interactions with minors. Refer to the policy regarding Reporting Suspected Child Abuse for additional guidance on this reporting obligation.

Reporting Suspected Child Abuse, Neglect and Inappropriate Interactions with Minors

Purpose: The purpose of this policy is to provide guidance to the University community regarding required reporting of suspected child abuse, neglect or inappropriate interactions with minors under University policy and Missouri State
Law.

Scope: This policy applies to all members of the University community including, but not limited to, faculty, staff, students, employees of basic service contractors and volunteers.

Reporting Policy

Every member of the University community has an obligation to immediately report instances or suspected instances of child abuse or inappropriate interactions with minors to the Washington University Police Department (314-935-5555) or Washington University School of Medicine Protective Services (314-362-4357), as appropriate, as well as the Vice Chancellor for Human Resources (314-935-7746) or School of Medicine HR Office (314-362-4900). Reports may also be made to the Washington University anonymous Compliance Hotline at 314-362-4998. In addition, Missouri law requires that certain persons who have reasonable cause to suspect that a child has been or may be subjected to abuse or neglect or observes a child being subject to conditions or circumstances which would reasonably result in abuse or neglect must immediately make a report to the Children’s Division of the Missouri Department of Social Services (http://dss.mo.gov/cd/rptcan.htm). This reporting obligation includes information about suspected abuse, neglect, or inadequate care provided by a parent, legal guardian or custodian/caretaker. Individuals subject to this reporting obligation include, but are not limited to: Certain professionals engaged in the examination, care, treatment or research of persons, health care workers, mental health professionals, social workers, child-care providers, teachers or other school professionals, law enforcement officials, or any other person with responsibility for the care of children. For a complete list of persons subject to this reporting obligation see Mo. Rev. Stat. §210.115. http://www.moga.mo.gov/statutes/C200-299/2100000115.HTM

In addition, under Missouri law, any person who has reasonable cause to suspect child abuse or neglect may make such a report.

The toll free number for the Child Abuse and Neglect Hotline Unit is 1-800-392-3738. Persons calling from outside Missouri should dial 573-751-3448.

Protection of Rights

The University will not tolerate retaliation against persons who report suspected child abuse or neglect. Any such retaliation, or encouragement of another to retaliate, is a serious violation of University policy, independent of whether the particular report is substantiated, and could result in discipline, up to and including termination. If you believe you have been subjected to retaliation in violation of this rule, you should contact the Vice Chancellor for Human Resources or School of Medicine HR Office.

Reports of suspected child abuse or neglect must be made in good faith and not out of malice or ill-will. Knowingly making a false or fictitious allegation of
child abuse or neglect will be treated as a serious offense and could result in discipline, up to and including termination. If you believe you have been the subject of such a report, you should contact the Vice Chancellor for Human Resources or School of Medicine HR Office.

Under Missouri law, any person making a report to the Department of Social Services in good faith shall have immunity from any civil or criminal liability for making the report.

Any person who knowingly makes a false report or who makes a report in bad faith or with ill intent shall not have immunity.

Computer and Administrative Information Systems Security Policy

Introduction: Washington University’s Computer and Administrative Information Systems (AIS) may be used only by designated University employees for the University’s purposes. Information contained in these computers and systems is highly sensitive and must be treated as such, not only to comply with legal and ethical responsibilities to protect the privacy of the University’s students, faculty and employees, but also to ensure the integrity of University data. Unauthorized use of AIS and unauthorized distribution of any AIS information is strictly prohibited.

This policy supplements the Washington University Computer Use Policy and the Guideline to Legal and Ethical Use of Software. Anyone with access to student records information must also review and understand the Student Records Policy. These polices can be found at the following website addresses:

http://www.wustl.edu/policies/compolicy.html
http://www.wustl.edu/policies/use_sw.html
http://studentrecords.wustl.edu/FERPA

Responsibilities of AIS users:

1. Information stored in AIS may only be used for authorized University purposes.

2. Users may not discuss information obtained from AIS with anyone except other University employees whose University responsibilities require access to that information.

3. Users may not disclose information obtained from AIS via telephone, e-mail, mail or any other means except as specifically authorized.

4. Users may not share or disclose passwords. Users are responsible for the security of their passwords and for any use of their passwords.
5. Users should log off AIS when not in use. Users may not allow others to use their workstation while logged on to AIS nor should a user leave a workstation unattended so that others have access to AIS.

6. Users must change their password on a periodic basis.

7. Users may not modify or alter computer data files or programs except as specifically authorized.

8. Users may not place data or programs on University computers unless authorized to do so and the University has the license to do so.

9. Users may not use the University's computers for any unlawful purpose and may not vandalize or otherwise damage the University's computer system.

Should an AIS user’s affiliation with the University change, these prohibitions will remain in effect.

Violation of any of these guidelines may result in disciplinary action, including termination, and may also result in referral for civil or criminal legal action. Questions regarding this policy should be directed to Systems and Procedures at 935-5707.

**Electronic Communication (E-Mail and Internet Usage)**

Introduction: The University provides staff members with electronic mail (e-mail) and Internet access for business purposes. Certain University systems forbid even incidental personal use. Other systems permit limited informal or personal use. Administrators should notify computer users if incidental personal use is not permitted or if electronic communications are routinely monitored. No employee should enter University computer resources unless authorized to do so; information contained within the University's computer resources may be used only for authorized purposes.

The University generally does not monitor on-line communications. However, the University must reserve the right to examine computer records or monitor activities of individual computer users:

- to protect the integrity or security of the computing resources or to protect the University from liability,
- to investigate unusual or excessive activity,
- to investigate apparent violations of law or University policy, and
- as otherwise required by law or exigent circumstances.
In limited circumstances, the University may be legally compelled to disclose information relating to business or personal use of the computer network to governmental authorities or, in the context of litigation, to other third parties.

Employees should be careful to ensure that their use of the University’s e-mail and other computer services is accurate, appropriate and lawful.

Passwords should never be shared with third parties, including fellow employees, unless an authorized University supervisor requires the password.

Misuse of the University's electronic resources, through excessive personal use or use violating law or University policy, will result in disciplinary action, up to and including termination of employment. The University’s computer use policy, http://www.wustl.edu/policies/compolicy.html, can be viewed for additional information.

**Preferred Name**

It is the policy of Washington University in St. Louis that faculty and staff may choose to identify themselves within the university community with a preferred first name that differs from their legal name. The Preferred Name policy provides faculty and staff with the option to make changes to their email address and display first name, as well as their first name as it appears in the Washington University Directory without pursing a legal name change, effective September 1, 2015.

An employee’s legal name must appear in all university documents and communications related to their employment, including (but not limited to) the employment/identity eligibility verification (Form I-9/E-Verify), HRMS, Employee Self-Service, paychecks, timesheets/leave records and all payroll records.

Washington University in St. Louis will display preferred first names to the university community where feasible and appropriate and update the reports, documents, and systems designated to use preferred names. Washington University reserves the right to remove any preferred name that is deemed inappropriate. Inappropriate use of the preferred name policy (including but not limited to avoiding legal obligation or misrepresentation) may be cause for denying use of preferred names.

**Workplace Violence**

Introduction: All employees are expected to meet the University's standards of professionalism and demonstrate courtesy to co-workers, students, visitors and members of the public. Each employee shares the responsibility for preventing possible workplace violence.

**Employee Responsibility**—No employee shall threaten or use force or violence to restrain, coerce or intimidate any co-worker, student, visitor or member of the public.
An employee who participates in an altercation on University premises or worksites or during a University-sponsored function will be subject to disciplinary action. Employees who feel they are being provoked or harassed by co-workers should discuss the problem with their supervisor, the Office of Human Resources or the Director of Campus Police.

Any employee who receives a threat of violence by co-workers or another person, and any employee who hears, observes, reads or otherwise becomes aware of a threat by any employee against him/herself or a co-worker, whether such threat is direct or implied, is obligated by this policy to report the fact of such threat to his or her manager, the Office of Human Resources or the Director of Campus Police.

Firearms, knives, ammunition, explosive materials and any other dangerous weapons or materials (concealed or otherwise) are prohibited on all University premises (including University parking facilities) and at all functions sponsored by the University. Firearms may not be stowed in vehicles parked on or in University parking facilities. Excluded from this prohibition are the University Police who carry equipment as necessary to perform their job duties. Exceptions to the University prohibition on weapons on all campuses may only be made on an individual basis by the Director of Campus Police.

Violations—Violation of this policy, including the possession of firearms, knives, ammunition or any other dangerous weapons (concealed or otherwise) on University property (including University parking facilities) or participation in violence on University premises or at any University-sponsored function will constitute grounds for disciplinary action up to and including termination.

Employees should report any threat of violence or volatile situation to their immediate supervisor, the Director of Campus Police or the Assistant Vice Chancellor for Human Resources.

**Inspection Policy**

Introduction: The University retains the right to inspect lockers, desks, offices, files and electronic data under appropriate circumstances. In unusual circumstances, the University may also need to inspect items brought onto campus, such as packages, bags, briefcases or coats. Illegal or dangerous items are not allowed on the campus. The possession, storage or use of firearms, knives, ammunition, or other dangerous weapons is prohibited on all University property. Employees are strictly prohibited from carrying concealed weapons on University property and may not store weapons or ammunition in vehicles located in University parking facilities. All such items are subject to confiscation.

**Employee Responsibility**—An employee may not remove University property, including but not limited to discarded or excess items from the premises without written authorization from management. Individuals refusing inspections may be detained until the matter is clarified.
Employee Safety and Health

Washington University maintains a healthy and safe environment for all employees and visitors. Employees are expected to adhere to the following guidelines:

- Employees are responsible for performing job duties in the safest possible manner and are expected to be completely familiar with safety requirements and practices for their job assignments.
- Proper techniques and body mechanics are to be used at all times for lifting or moving people or items.

Employees are to follow all safety, health and environmental regulations and University policies and procedures and to wear proper protective clothing and/or devices at all times. Horseplay, wrestling, practical jokes and other similar behaviors are violations of safety practices.

Employees are responsible for reading Occupational Health and Safety Administration (OSHA), Environmental Protection Agency (EPA)/Missouri Department of Natural Resources (MDNR), Nuclear Regulatory Commission (NRC) and other regulatory notices in their work areas and complying with all applicable safety and compliance standards. Any hazardous condition should be reported to the supervisor.

Employees are to report any job-related injury or illness to their supervisor immediately.

Safety involves a commitment from everyone, in every area of the University, and refers most basically to the prevention of fire, accidents, injury and property damage. Through alertness and prompt reporting by employees, safety hazards can be identified and removed. Report frayed electrical cords, trip hazards, broken or inappropriate equipment and fire hazards as well as elevators that are broken, loose handrails and slippery surfaces. Do not use broken or defective equipment. Report it or replace it. No job is so important that it cannot be done safely. Employees should report safety concerns to their supervisor, or may contact Environmental Health and Safety at 362-6816.

Environmental Health and Safety provides assistance in all facets of workplace safety and regulation compliance. For more information, visit their website at www.ehs.wustl.edu, e-mail them at esafety@msnotes.wustl.edu, or call 362-6816.

Safety Training

All Washington University employees must receive training on potential hazards associated with their professions. Training should take place at the time of initial employment and as required thereafter. For information on available training, contact the Environmental Health and Safety department at 362-6816, or visit their
Radiation safety training is required for those employees who will be working with radioactive materials. Visit the Radiation Safety website at http://radsafety.wustl.edu for training requirements and study guides. For more information contact the Radiation Safety Office at 362-3476.

**Communicable Diseases Policy**

This Policy sets forth the principles Washington University will follow to protect patients, students, faculty and staff, whenever possible, from exposure to certain communicable illnesses. In appropriate situations, aspects of this policy will apply university-wide. Clinical guidance relevant to specific communicable illnesses, including active tuberculosis disease, influenza, conjunctivitis, and infection with human immunodeficiency virus (HIV), and Hepatitis B and C, among others, will be developed by medical staff, including the Division Chief of Infectious Diseases and the Director of Occupational Health.

It is the policy of Washington University to review, evaluate, and respond on an individual case-by-case basis, when possible, to any known suspected or confirmed instances of certain communicable illnesses among members of the Washington University community which may be transmitted in a normal business, academic or patient care setting.

Such individual review, evaluation, and response should take into consideration applicable federal and state laws; the recommendations of the U.S. Public Health Service, the Centers for Disease Control, the Association of American Medical Colleges, the American College Health Association, and various professional associations; other relevant medical, scientific, and legal literature; the expressed desires and opinions of the individual with such illness and the individual's personal physician; and the university's commitment to the protection, to the extent possible, of both public health and individual rights.

Washington University recognizes that employees with any suspected or confirmed communicable illness may wish to continue their employment. As long as they are able to meet acceptable performance standards, comply otherwise with all other required Occupational Health policies which describe mandatory screenings and vaccinations, and the medical evidence indicates that their conditions are not a threat to themselves or others, it is the policy of Washington University that these employees be treated consistently with other employees in matters of employment. All members of the Washington University community will be evaluated on a case-by-case basis, when possible, to determine what if any restrictions apply, given the type of illness, the individual's health status, and the nature of work or work setting, among other relevant factors. In the setting of a large epidemic or pandemic, case-by-case evaluation may not be possible and broad restrictions may be implemented.

Responsibilities to Patients, Faculty, Staff and Students
Washington University will address issues involving communicable illnesses in a sensitive and responsible manner, with concern for the rights and welfare of patients, faculty, staff and students.

1. Obligation to Treat Patients. Clinical services of Washington University rest in the hands of the patient care providers who are expected to be at work when scheduled to ensure we provide the best possible care to our patients. Washington University faculty and staff with patient care responsibilities may not refuse to treat a patient whose condition is within their realm of competence solely because the patient has a suspected or confirmed communicable illness. Faculty and staff with certain conditions placing them at higher risk of infection and/or complications, including but not limited to compromised immune system and pregnancy, may be reassigned to duties with lower risk of exposure to the communicable illness.

2. Medical Records. If a patient has a suspected or confirmed communicable illness, this information should be included in the patient's medical record. Medical record results should contain only objective information that is relevant to the patient's care and treatment. The patient's medical record must be afforded the same confidentiality protections that Washington University affords other medical records. Care should be taken to ensure that the patient's medical record is not disclosed to others except as required or permitted by law or as authorized in writing by the patient. All medical records and the patient information therein must be handled in accordance with the Health Insurance Portability and Accountability Act (HIPAA).

3. Communicable Illness Screenings. Any member of the Washington University community who believes he or she has contracted a communicable illness that may be transmitted in a business, academic or patient care setting must contact Occupational Health to report the symptoms or illness. During certain communicable disease outbreaks such as a large epidemic or pandemic, all members of the Washington University community may be required to undergo mandatory health screening and/or health status reporting on a regular basis. Such provisions will be activated upon emergency order from the Dean or the Dean's designee and will be implemented by Occupational Health and the Infectious Diseases Division, based on available federal recommendations. Under such emergency provisions, Washington University may require individuals who travel to and from countries with active communicable illness outbreaks to report all such travel to Occupational Health and to undergo testing and screenings considered medically appropriate prior to returning to work. This also applies to new members of the Washington University community coming from such countries who must be screened prior to beginning their Washington University appointment. Washington University business travel may be suspended and position appointments delayed under such provisions.

4. Medical Care. Individuals with suspected or confirmed communicable illnesses are encouraged to seek proper medical care, counseling, and education. Faculty, staff and students should look primarily to their personal physician for appropriate medical care and counseling. Any Washington University employee or student with a suspected or confirmed communicable illness who is experiencing difficulty in
obtaining expert medical care and counseling is encouraged to seek assistance from Occupational Health and the Infectious Diseases Division. At any time, Washington University may require an individual to be assessed by a Washington University-appointed physician to determine fitness for duty.

5. Confidentiality. Washington University recognizes the importance of protecting, to the greatest extent possible, the confidentiality and privacy interests of all employees and students suspected of having or who have a communicable illness. Accordingly, such information should be handled with the same degree of care and sensitivity as is accorded to other types of highly confidential medical information and, if applicable, in compliance with HIPAA. Washington University will disclose sensitive medical information of employees and students no further than is necessary to ensure the health and safety of Washington University employees, students and patients and in a manner consistent with applicable law. Appropriate licensed medical staff (to include a Washington University-appointed physician or the employee’s physician) will be solely responsible for assessing an employee’s relevant clinical information to determine fitness for duty or identify relevant work restrictions. Only the results of this assessment of fitness for duty will be shared confidentially with Human Resources when needed to manage employment and work related issues.

6. Reporting and Review Requirements for Certain Communicable Illnesses. Faculty or staff members who know they have a communicable illness or who have a reasonable basis for believing that they have a communicable illness have an obligation to conduct themselves responsibly for their own protection and the protection of patients and other members of the university community. Faculty or staff members with communicable illnesses must not knowingly engage in any activity that creates a material risk of transmission to others.

Decisions regarding restrictions on or modifications of employment and academic duties/activities and access to facilities or programs as a result of a communicable illness will be made on a case-by-case basis, when possible, depending on the type and nature of the communicable illness, the nature of work or work setting, and the risk to the health of the individual or others. Such restrictions or modifications may include, among other things, changes in job functions, location, or work schedule, and/or removing the individual from the work setting. Washington University shall make efforts to implement such decisions as discreetly and confidentially as possible, with as little harm as possible to the person, his/her career, and his/her standing in the community. Occupational Health, in conjunction with the Division of Infectious Diseases, will establish clinical guidelines which govern reporting, screening, treatment and safety protocols and return-to-work standards for specific communicable illnesses. This policy will be administered in conjunction with these policies. All members of the Washington University community must comply with these provisions.

7. Pay During Periods of Illness or Quarantine. Certain communicable illnesses may require a period of time away from the workplace in order to protect the
health of others. In order to encourage those with symptoms to stay home to care for themselves or for family members who are ill, employees will not be penalized for requesting time away.

Quarantine or other required period of absence from work. Where medically required, and/or recommended by the CDC, employees will be expected to comply with quarantine or other such restrictions as prescribed by the school or by a public health official. Where quarantine is imposed due to an employee’s exposure while performing work directed by the school, the employee will be paid regular pay and will not have sick or vacation balances reduced during the period of quarantine. Such period will last until the specified period of time ends or the employee becomes actively ill with the communicable disease, whichever comes first. Non-work related exposure result in quarantine/absence will be paid based on the availability of the employee’s sick or vacation time. FMLA and /or Worker’s compensation may apply during the period of quarantine.

Periods of communicable Illness. Pay for periods of personal illness will normally be provided through the use of available sick or vacation time. In cases where employees are serving an orientation period and do not have available sick or vacation time, such time may be advanced upon approval of the Department. Under certain conditions affecting the entire Washington University community such as a large epidemic or pandemic, the Dean may enact emergency time off provisions to cover periods of personal illness. Where such illness may be determined to have been contracted due to the performance of work at the employer’s direction, employees may be granted up to five (5) paid days away from the office due to illness without impacting sick or vacation balances. Once exhausted, standard time off and leave policies apply.

In the case of a vaccine-preventable communicable disease outbreak, employees who are not vaccinated and who risk possible exposure to the vaccine-preventable communicable disease in the course of their duties in the workplace will be sent home until the risk of possible workplace exposure is mitigated. In these cases, the employee will be required to use their vacation time. If the employee becomes ill with the vaccine-preventable communicable disease, the applicable provisions above will apply.

Absences due to personal illness may qualify as FMLA and may be subject to workers' compensation.

8. Support Services. Washington University will build on the programs of Occupational Health so that all members of Washington University will have available and accessible to them services through which they can obtain information, expert counseling, expert medical care, assistance in locating and using community resources, and, as appropriate, referrals to such resources. Information about this policy will be covered in available management forums to include New Employee and New Faculty Orientation.

9. Additional Resources. The following university offices and federal agencies
are available to provide information and respond to questions about communicable illnesses.

- Occupational Health, Campus Box 8030 (314-362-3523)
- The Environmental Health and Safety Office, Campus Box 8229 (314-362-6816)
- WU Student Health, Campus Box 1201 (314-935-6666)
- Division of Infectious Diseases, Campus Box 8051, (314-454-8354)
- Habif Health and Wellness Center, Campus Box 1201 (314-935-6666)
- Centers for Disease Control and Prevention

Employees who work extended hours or other than day shifts should report symptoms to their supervisor and may be directed to the Emergency Room at Barnes-Jewish Hospital or to their private physician.

**Problem Resolution – Open Door Policy**

**Introduction:** The University adheres to a philosophy that encourages the free flow of effective two-way communication to allow employees to resolve problems with management.

**Discussion with the Supervisor**—Employees should first discuss their concerns with their immediate supervisor. If after this discussion, the desired result is not achieved, the employee may proceed to the second step of the complaint resolution process. Should the issue involve the immediate supervisor, employees may first discuss their concern with the next level of management or the Office of Human Resources.

**Discussion with Department Representative**—The employee should discuss the situation with his or her manager or appropriate department representative. If the second step does not produce the desired results, the employee may proceed to the third step in the process.

**Human Resources Review**—The employee should discuss his or her concern with the Office of Human Resources, which will conduct an objective analysis of the situation and inform the employee of the decision or recommendation. At the employee’s request, Human Resources may become directly involved on his or her behalf.

**Corrective Action and Performance Improvement**

**Introduction:** Employees are responsible for maintaining high standards of conduct, cooperation and performance. Accordingly, employees must be aware of their responsibilities to the University and to co-workers. Supervisors and managers are responsible for directing the work of employees so that optimum quality and productivity can be achieved and maintained. Supervisors and managers should ensure that all employees receive the Employee Handbook and become familiar with the policies and procedures of the University and the
Guidelines—From time to time, supervisors and managers may need to deal with unacceptable performance or behavior by taking corrective or disciplinary action. The University’s goal is to provide employees with fair and equitable treatment during the corrective/disciplinary action process. In general, performance and behavioral problems should be dealt with in a progressive fashion that is commensurate with the problem and provides the employee with an opportunity to rectify the concern. There is no required sequence of corrective or disciplinary action, however, and the appropriate steps will depend on the specific facts and circumstances. The progressive nature of these guidelines does not preclude terminating an employee at any time if warranted by the circumstances. Supervisors and managers are encouraged to review Appendix B (Supervisor’s Checklist) as a tool for determining appropriate corrective/disciplinary action and to consult with the Office of Human Resources.

In addition, the progressive corrective/disciplinary action process does not apply to employees engaged in serious misconduct. Examples of such misconduct include, but are not limited to the use, possession, sale or dissemination of alcohol, drugs or weapons on University property, theft of University property or services, falsification of records, breach of confidentiality, unethical or unlawful behavior and insubordination. These incidents may result in suspension or termination of employment.

Verbal Counseling—The first step in correcting unacceptable performance or behavior is often verbal counseling. This may include the supervisor/manager reviewing pertinent job requirements and expectations with the employee to ensure his or her understanding and explaining the problem to and working with the employee to identify the requirements of performance or behavior improvement.

The supervisor/manager ordinarily should document the discussion and advise the employee that a lack of improvement will result in further corrective or disciplinary action.

Written Counseling—If the unacceptable performance or behavior continues after a verbal warning, the next step should be a discussion with the employee that results in a written summary identifying the problem, the corrective action steps to be taken and a warning of the consequences if improvement does not occur or is insufficient (e.g., suspension, termination of employment, etc.). The employee should be given an opportunity to review this summary and asked to sign it acknowledging that the problem has been discussed and that he/she understands the consequences. If the employee refuses to sign the warning, the supervisor/manager should note in writing that the warning was delivered to the employee, identify the date of delivery and indicate that the employee refused to sign. Copies of the warning should be given to the employee and placed in the employee’s personnel file.

Suspension—In some instances suspensions may be used to impress upon the employee the seriousness of his or her conduct, or when circumstances reasonably
require an investigation of a serious incident in which the employee was allegedly involved. Contact the Office of Human Resources prior to taking this action.

**Termination**—When efforts have failed to resolve the problem, or when it otherwise has been determined that termination is warranted, the supervisor/manager should gather relevant documentation and present a recommendation of termination to the business manager or the department head. The Office of Human Resources should also be consulted. The termination letter should include a statement indicating the reason(s) for termination and should be presented to the employee at the time of termination. The reason(s) for termination must be consistent with what the employee has been told.

**Supervisor Documentation**—It is recommended that supervisors document their discussions with employees during the corrective action process.

**Solicitation and Distribution**

To avoid disruption of operations, the following rules apply to solicitations and the distribution of literature on the property of Washington University. Persons not employed or otherwise authorized by the University are prohibited from soliciting funds or signatures, distributing literature or gifts, offering to sell merchandise or services or engaging in any other solicitations or similar activity on University property. With the exception of University-sanctioned activities, employees may not solicit during work time, may not distribute literature during work time or in work areas, and may not use the University's e-mail system for non-job related solicitations or distributions.

**Personal Inquiries**

**Introduction:** To protect the privacy of employees, most information concerning an individual's employment with the University will be treated in a confidential manner.

**Requests for Reference Information**—The appropriate department administrator should forward all verbal and written requests for information on current or former employees to The Work Number® at either www.theworknumber.com or 800-367-5690. The University contracts with The Work Number® to provide these services in order to give employees a fast and convenient way to provide employment/income verifications. There is no cost to the employee to use this service.

When giving reference checks to internal departments/schools, a supervisor should provide an assessment of the employee's performance and skills consistent with the feedback given to the employee by the supervisor.

**Requests for Employment Verification**—All requests for verification of employment received from banks, lending institutions etc., requesting information on an employee's salary, employment status, position and so forth should be forwarded to
Supervisor Policy and Procedure Manual

The Work Number® at either www.theworknumber.com or 800-367-5690. Requests for this information from Social Services agencies should be completed by the Payroll Shared Services Department.

Court Requests—Subpoenas and court or administrative requests for information or documents concerning current or former employees must be handled by the Office of Human Resources.

Personal Telephone Calls, Email and Social Media

Introduction: Personal calls and access to personal email and social media may be handled during breaks and lunchtime. The University acknowledges that circumstances do exist where employees need to be contacted on personal matters at times other than breaks and lunch. These times should be kept to a minimum and short in duration.

Long-Distance Personal Calls—Departments may allow employees to make personal long-distance calls provided that arrangements are made for reimbursement. Employees should use their personal charge number, obtained from Telephone Services, when making long-distance personal calls.

Tobacco-Free Policy

Washington University in St. Louis strictly prohibits all smoking and other uses of tobacco products within all University buildings and on University property, at all times. This policy applies to all students, faculty, staff, patients, contractors and visitors.

The use, distribution, or sale of tobacco, including any smoking device or carrying of any lit smoking instrument in University-owned, leased or occupied facilities or on University-leased, owned, or occupied property (except facilities fully managed and maintained by Quadrangle Housing Company), at events on University properties, or in University-owned, rented or leased vehicles is prohibited. This includes:

1. all campuses;
2. parking facilities and lots (including in personal vehicles);
3. WUSTL buildings located near city/municipality owned sidewalks, within 20 feet of entryways or exits, near air intakes, or near fire/explosion hazards;
4. off-campus housing managed by Residential Life; and
5. fraternity chapter houses managed by Greek Life.

The complete text of the University’s Tobacco-Free Policy is available at http://www.wustl.edu/tobaccofree/policy.html.
Dress Code

Introduction: All employees are expected to maintain good grooming and to dress appropriately for the work they are performing.

Clothing is to be neat, clean and in good repair. It should be of sufficient length, weight and fit to be modest when performing any activity required. Clothing that reveals bare backs, midriffs or shoulders is generally not acceptable attire because it does not promote a professional image.

Specific issues, questions and concerns should be addressed according to departmental policy.

Guidelines for Candidates and Political Speakers

Introduction: Washington University is generally required to refrain from participation in political activity. The University is committed to the expression of a wide diversity of ideas and opinions and to discussion of those ideas and opinions. Consistent with these principles, the University encourages University organizations to sponsor speakers of varying ideas and opinions, subject to the University’s obligations to avoid political activity and comply with applicable law.

Standards for Appearances by Candidates and Other Political Representatives—University organizations hosting or sponsoring political events must comply with, and advise speakers and staff of the Guidelines for Candidates and Political Speakers.

These guidelines can be found in the Washington University Faculty Information Booklet or at http://www.wustl.edu/policies/political.html.

Permission to Use University Names and Symbols

Washington University in St. Louis, Washington University, other similar names, nicknames, logos, symbols, and images portrayed herein and elsewhere in official publications and on wustl.edu web pages are exclusive property of the University. Any use of these names and images for any retail or commercial purpose, for endorsements, promotions and the like, by any person or entity, requires the prior official written permission of the University. This policy applies to use in all forms of communication, including printed materials, imprinted merchandise, videos, films, television, radio, and digital images and media, such as the internet, websites, DVDs, CDs, and the like.

In addition, University policy prohibits the use of wustl.edu domains and web pages for any .com or other commercial web and internet purposes, including direct links, product, and for-profit company logos, endorsements, promotions, and the like. For
the University’s Domain Name Policy see www.wustl.edu/policies/domain.html.

Those seeking more information or permission to use the University names, symbols or images, as well as information about what constitutes appropriate use of these items (including product or service-provider endorsements), should consult http://news.wustl.edu.

Inquiries also can be directed by mail or phone to:
Vice Chancellor for Public Affairs
Washington University in St. Louis
Campus Box 1177
One Brookings Drive
St. Louis, MO 63130-4899
E-mail: volkmann@wustl.edu
Office: 314-935-5476
Pager: 888-752-8272
Fax: 314-935-4259

Human Resources Files

Files should be retained on all employees in a manner that complies with state and federal law and current business practices. Departments and employees should treat all documents as confidential. A current employee may request to view the contents of his/her personnel file maintained in the Office of Human Resources. However, the University is not required to provide copies of the contents of the employee file. Terminated employee files should be sent to the Office of Human Resources and will be kept in accordance with state and federal recordkeeping regulations.

Children in the Workplace

It is inappropriate for children and other relatives of employees to remain in the employee’s workplace during working hours. In addition, University property, whether owned or leased, should not be used in lieu of making appropriate child care arrangements elsewhere. This policy is intended to minimize potential liability to Washington University, to avoid risk of harm to children and to reduce distractions and disruptions affecting employee productivity.

Contact from the Media

Staff receiving requests from journalists are encouraged to contact the Office of Public Affairs for assistance with arrangements for the visit and determining what, if any, safety and privacy measures need to be taken. A member of the Public Affairs staff is on call 24 hours a day.
SUPERVISOR’S CHECKLIST

This checklist should be helpful in analyzing an employee problem and determining what corrective action might be appropriate. It is intended to help you remain objective in analyzing and administering progressive corrective action. You should answer all of the questions before you decide on a plan of action. Then consult your supervisor and/or the Office of Human Resources.

I. WORK PERFORMANCE PROBLEM

Yes No

1. Is the employee adequately performing the work assigned?
2. Does the employee understand your expectations:
   A. What to do?
   B. How to do it?
   C. Why to do it?
   D. When to do it?
3. Does the employee have access to and know where to find written instructions/procedures?
4. Has the employee ever demonstrated the required skill?
5. Is it a skill the employee can be taught?
6. Based on experience/education, is it a skill the employee should possess?
7. Could the employee perform the skill if he or she wanted to?
8. Is the work expected reasonable?
9. Has the job changed?

II. BEHAVIOR PROBLEM

Yes No

1. Is the employee’s behavior appropriate/acceptable?
2. Does the employee understand acceptable behavior?
3. Has the behavior been acceptable in the past?
III. SUPERVISOR’S RESPONSIBILITY

It is your responsibility to communicate policies and practices. Since you determine job tasks/duties, you must communicate job performance expectations and departmental work rules.

Yes  No  
---  ---  1. Have you provided adequate training?
---  ---  2. Can the employee function within the work group without using the deficient skill?
---  ---  3. Do you reinforce acceptable behavior?
---  ---  4. Has acceptable behavior been communicated with understanding to the employee?
---  ---  5. Have you conducted a full and fair investigation as outlined below?

IV. THE INVESTIGATION

Yes  No  
---  ---  1. Have you discussed this problem with the employee to get an explanation?
---  ---  2. Do you understand the employee’s explanation?
---  ---  3. Have you conducted an objective investigation by approaching the problem from all angles?
---  ---  4. Have you questioned the people involved including those mentioned by the employee?
---  ---  5. Have you examined the physical evidence (e.g., time cards, vouchers, daily logs, equipment, location)?
---  ---  6. Do you know the basic facts (e.g., date, times, places, people involved)?
---  ---  7. Have you separated the disputed facts from the undisputed facts?
---  ---  8. Have you checked University and Departmental policy?
IV. THE INVESTIGATION (cont.)

Yes  No

___ ___  9. Have you consulted the Office of Human Resources?

___ ___  10. Is there a past history of enforcing discipline for the same/similar offense?

___ ___  11. Is the rule that has been violated a reasonable one?

___ ___  12. Did the inappropriate performance/behavior result in cost to others?

___ ___  13. Above all, have you documented your investigation in writing?

V. THE EMPLOYEE

Before administering corrective steps, be familiar with the answers to the following questions.

Yes  No

___  1. Is this a long-term employee?

___  2. Is the employee’s work record below the rest of the work group?

___ ___  3. Did the employee know, or should he/she have known, the rule or policy?

___  4. Should the employee have known your work expectations?

___  5. Is the employee personally guilty?

___ ___  6. Has the employee been warned previously for violation of this rule?

___ ___  7. If previously warned, did you communicate the consequences if the employee did not correct the problem?

___ ___  8. Is it a reasonable time period since the most recent corrective action?
VI.  APPROPRIATE CORRECTIVE ACTION

Yes  No

___  ___  1. Have you defined the objective of the corrective action? Include what happened, why it was wrong, and what should have happened.

___  ___  2. Have you checked University and Departmental policy?

___  ___  3. Have you imposed corrective action to fit the employee’s past record?

___  ___  4. Have you imposed corrective action that is progressive in nature and that fits the incident?

___  ___  5. Have you considered any mitigating or aggravating circumstances that may affect the level of corrective action?

___  ___  6. Have you set a date to follow up with the employee?

___  ___  7. Have you explained the repercussions of a failure to make corrections as indicated?
VII. Employee Development and Performance Management

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Management</td>
<td>VII-1</td>
</tr>
<tr>
<td>Performance Evaluation Guidelines</td>
<td>VII-1</td>
</tr>
<tr>
<td>Training</td>
<td>VII-2</td>
</tr>
<tr>
<td>Employee Development</td>
<td>VII-2</td>
</tr>
</tbody>
</table>
EMPLOYEE DEVELOPMENT AND PERFORMANCE MANAGEMENT

Performance Management

Performance management programs assist in the documentation of job responsibilities, help define performance expectations, provide a framework for supervisors and staff members to communicate with one another, provide ongoing opportunities for coaching and encouraging personal development and assist in aligning individual goals with unit goals.

Performance management should not be a once-a-year event, but rather an ongoing process of reviewing an individual’s performance, which should provide honest and realistic feedback and encouragement. The performance evaluation should summarize both formal and informal performance discussions held with employees throughout the review period.

The Learning & Development Office supports the University’s performance management program by providing a supervisory training program which focuses on setting goals, evaluating performance and conducting the actual performance evaluation. Scheduled classes are listed in the Learning & Development section of the Office of Human Resources’ website (http://hr.wustl.edu).

Performance Evaluation Guidelines

Timing—Regular full-time and part-time employees should receive an annual performance evaluation. Performance Evaluation forms can be found in the Forms section of the Office of Human Resources’ website (http://hr.wustl.edu).

Preparation of Performance Evaluation—Evaluations should be prepared based on careful consideration of the employee’s performance for the entire period in question. The performance evaluation is intended to evaluate an employee’s performance as it relates to assigned job responsibilities and objectives. As a suggestion, a listing can be maintained for each employee indicating his or her accomplishments, problem areas and overall performance. This list should be updated regularly and will serve as a guide when completing the performance evaluation.

Approvals—Performance evaluations should be reviewed with the next level of management before a supervisor discusses the evaluation with the employee.

Employee Comments—The employee should be given the opportunity to examine the evaluation and respond with written comments. Employees should also be provided with a copy of the signed performance evaluation.
Training

Introduction: The University is committed to providing employees with the skills and knowledge needed to perform their jobs in the most effective and efficient manner. Staff member development involves a joint effort by both the employee and the University.

In-House Training—A schedule of upcoming courses sponsored by the University is listed in the Learning & Development section of the Office of Human Resources’ website (http://hr.wustl.edu). To enroll in a class, employees must obtain their supervisors’ approval. They may then register on-line or complete the enrollment form and send it to Learning & Development. The employee and his/her supervisor will receive a confirmation for the class. Enrollment should be made in advance and cancellations kept to a minimum. When cancellation is necessary, the Learning & Development Office should be notified as soon as possible.

External Training—In addition to offering in-house programs, the University maintains information on external resources. There are various seminars and courses offered throughout the year. The University is also a member of AAIM Employers Association, which provides the University with access to services and resources at reduced rates. AAIM offers a variety of seminars throughout the year which are designed to appeal to all levels of staff.

Course Selection—In order for training to be effective, managers should choose the course or courses that match the skills and knowledge needed by the employee and provide the employee the opportunity to practice what he/she has learned immediately after returning from class.

Follow-Up—When an employee returns from training, the supervisor and employee should discuss the benefits that will be derived from the training experience.

Employee Development

Introduction: Commitment to the development of employees positively affects current performance, prepares employees for future challenges and responsibilities and complements the performance appraisal process.

All supervisors are encouraged to assist employees with staff member development. The employee development process gives employees an opportunity to meet with their supervisor to design an action plan that will help them reach their highest performance potential. The goal is to provide employees with the skills and work environment needed to meet today’s organizational challenges and prepare for the future.

Development Responsibility—The primary responsibility for development rests with each employee. The supervisor can identify needs, suggest strategies, and provide
a supportive environment; however, for the process to be successful, each employee must implement a plan that develops his or her skills.

The Learning & Development Office is available to review developmental plans and make suggestions for learning experiences. This office maintains a file of current management, customer service, and computer training courses/seminars to assist supervisors who are considering internal and external training activities. This information is available for review by employees and supervisors. Developmental programs should not be limited to formal training; rotation of personnel through the department or special projects should also be considered.

If a formal written developmental plan is desired, the Individual Development Plan section of the Employee Evaluation Form found in the Forms section of the Office of Human Resources’ website (http://hr.wustl.edu) may be used. Supervisors should feel free to modify or develop their own forms to fit their individual circumstances.

The development form may be completed during the annual evaluation process or at another mutually agreed-upon time. It is important to review and note any progress that is made toward development of skills on an annual basis.
## VIII. Separation of Employment

<table>
<thead>
<tr>
<th>Separation of Employment</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resignation</td>
<td>VIII-1</td>
</tr>
<tr>
<td>Retirement</td>
<td></td>
</tr>
<tr>
<td>Death</td>
<td></td>
</tr>
<tr>
<td>Termination/Discharge</td>
<td></td>
</tr>
<tr>
<td>Staff Reduction</td>
<td></td>
</tr>
<tr>
<td>Job Abandonment</td>
<td></td>
</tr>
<tr>
<td>Benefits and Services</td>
<td></td>
</tr>
<tr>
<td>Vacation and Sick Pay at Separation of Employment</td>
<td></td>
</tr>
<tr>
<td>University Property and Access to Computer Systems</td>
<td></td>
</tr>
<tr>
<td>Eligibility for Rehire</td>
<td></td>
</tr>
</tbody>
</table>

### Exit Interviews

- VIII-3

### Unemployment Compensation

- VIII-3
SEPARATION OF EMPLOYMENT

Introduction: The University is an “at will” employer and recognizes that employment may be terminated at the discretion of either the employee or the University at any time with or without cause. It is not the policy, nor is it the intent of the University to guarantee employment to any of its employees.

Resignation—Employees who leave the employment of the University by their own choice are considered to have voluntarily resigned. Non-Exempt employees are expected to provide their supervisor with written notice of their resignation and to give a minimum of two (2) weeks notice of their intention to resign. Exempt employees are expected to provide four (4) weeks notice. This notice period normally consists of work time. Vacation time may not be used during this period. Employees who fail to return to work after an approved leave of absence are also considered to have voluntarily resigned their employment.

Verbal expression of an intention to discontinue employment should normally be considered a resignation. The supervisor should confirm the resignation in writing.

Retirement—Employees who meet any combination of age and years of current consecutive benefits-eligible service that equals 65 or more with two (2) minimum requirements (age 55 and five (5) years of benefits-eligible service) at the time their employment ends are considered retirees. Information regarding retiree benefits can be found in the Benefits and Services section of this manual.

Death—Accrued, unused vacation up to a maximum of 22 days (maximum is prorated for part-time employees) should be paid to the estate of an employee who dies during active employment. Other benefits may be available to the employee’s dependents. Refer to the Benefits and Services section of this manual for additional information.

Termination/Discharge—Employees who are terminated at the initiation of the University are considered discharged. Reasons for discharge include, but are not limited to, unsatisfactory job performance or behavior, misconduct, neglect of job duties, frequent or excessive tardiness or absenteeism, or violation of policy.

Supervisors should review potential terminations carefully with their manager and the Office of Human Resources prior to the actual termination. Ordinarily, a termination letter should be given to the employee accurately stating the reason(s) for termination. The Office of Human Resources can assist supervisors in the preparation of such letters.

It is not a requirement that employees be given two (2) weeks notice for a termination. In general, employees who are terminated are not eligible for pay in lieu of notice.
Staff Reduction—Employees who are terminated due to job elimination or loss of funding are considered to be part of an involuntary work force reduction. An employee affected by staff reduction should be given advance notice whenever possible. Normally, 30 days is recommended. Supervisors should consult with the Office of Human Resources to discuss staff reduction situations.

Job Abandonment—Each department should establish and communicate to all employees the procedure to follow when an employee is unable to report to work. If an employee fails to notify his or her supervisor for two (2) consecutive days’ absence, including for example a Friday and Monday, it will be assumed that the employee has voluntarily resigned. Supervisors should consult with the Office of Human Resources in apparent job abandonment situations.

Benefits and Services—Upon separation of employment, benefits to which the employee was eligible cease or are altered. Please refer to Section III of this manual for additional information regarding how an individual’s separation affects benefits and services.

Vacation and Sick Pay at Separation of Employment—Regardless of the reason for separation of employment, accrued vacation up to a maximum of 22 days will be paid to full-time employees who have at least six (6) months of continuous employment. Employees are not eligible for a payout of accrued sick time at termination.

Unused personal holidays are not paid at termination.

Part-time benefits eligible employees with at least six (6) months of continuous service who work 20 hours or more per week on a regularly-scheduled basis are eligible for payment of accrued vacation up to their maximum accrual. Part-time employees are not eligible for a payout of accrued sick time at termination.

In no case may vacation be used to extend medical coverage, extend employment or be used as all or part of the notice period. Payroll records should reflect the last day worked as the termination date.

University Property and Access to Computer Systems—On the final day of employment the supervisor or manager must obtain keys, ID card, Metro Universal Pass, parking permit, and other University property from the employee. Employees must return the Metro Universal pass provided by the University on the last day worked to avoid taxation on the full monetary value of the pass. Access to all University systems other than access to one’s individual information available through Employee Self-Service should also be cancelled.

Eligibility for Rehire—Prior employment history with the University will be considered in all employment decisions. An employee who has been involuntarily terminated due to misconduct or unsatisfactory job performance is generally not eligible for rehire. If an employee returns within 30 days from the termination date, the records
will reflect the original date of hire. See the appropriate section (e.g., Benefits, Time Off, etc.), for specific information.

Exit Interviews

Introduction: The Office of Human Resources may conduct exit interviews with terminating employees. This process can assist management by 1) gaining input and perceptions of the departing employee, whether positive or negative; 2) evaluating and analyzing these perceptions and input; 3) identifying opportunities to promote positive perceptions and positive employee relations; 4) addressing real problems and making corrections in the workplace; and 5) identifying unresolved concerns, and if possible, addressing them in order to foster more positive opinions and perceptions of the University by former employees.

Guidelines—If a school/department wishes to have exit interviews conducted with employees who are leaving the University, the immediate supervisor or other department representative should contact the Office of Human Resources to arrange for the exit interview on or prior to the last workday. Exit interviews may also be done at the employee’s request. Any information obtained from an exit interview is confidential and shared with members of management only in summary form. Exit interview feedback does not become a part of the individual’s personnel file.

Unemployment Compensation

Introduction: Departments are charged for unemployment through the Other Fringe Benefit (OFB) rate, which is assessed for all full-time employees in the department.

Claims Processing—Departments that receive notice of a claim of unemployment should immediately notify the Office of Human Resources. The Office of Human Resources will file an initial protest to a claim for unemployment benefits if the supervisor can document that 1) the employee left work voluntarily without good cause attributable to inability to perform the work; 2) the employee was discharged for misconduct in connection with work; and/or 3) the employee was discharged because of absenteeism or tardiness in violation of a published or otherwise known attendance policy.