Welcome to Case Western Reserve University

As a staff employee at Case Western Reserve University, you are an important member of the university team, including faculty, researchers, and administrators, dedicated to teaching, discovery, and service. Your employment experience will be a positive one as you take the time to become familiar with the university’s policies on Human Resources and your shared responsibility in the university’s commitment to excellence.

How to Use the Staff Employee Handbook

You are encouraged to read the Staff Employee Handbook in its entirety so that you may become familiar with the university’s Human Resource policies. This handbook is organized and abbreviated for ease of use into five sections:

- Standards of Excellence
- Employment
- Employee Development
- Compensation and Benefits
- Employee Services

The policy information in each section is in alphabetical order as outlined in the Table of Contents. An A to Z topical index is also included at the back of the handbook. If you find a term that is not familiar to you, you will find definitions in the Glossary at the back of the handbook. No policy is stated in its entirety. For a complete copy of a policy or a procedure, contact your supervisor or a representative from the Human Resource Department; or visit the Human Resources website. The reference code in parentheses at the end of the summary identifies the policy number to request.

Reminder

This handbook should not be construed in any way to constitute an agreement between the university and its employees with respect to level of compensation, duration of employment or any other matter. Under no circumstances should this handbook or the Human Resource Policies and Procedures be considered a contract of employment or a legally binding agreement.
# Case Staff Employee Handbook

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Case Western Reserve University’s mission focuses on excellence in teaching, research, and scholarship. The university believes success in this mission depends on the collective efforts of a diverse workforce made up of individuals committed to excellence in service and performance. We are guided by our values at every level to promote a diverse, challenging, supportive, entrepreneurial, and interdisciplinary environment of openness, respect, accountability, and academic freedom. In keeping with this commitment, the university establishes guidelines for policy formulation and administration which:

- Emphasize the integrity of the university community through a unified institutional effort;
- Support and promote individual development for the betterment of the community;
- Recognize individual contribution at all levels and appreciate innovative effort and accomplishments, and;
- Encourage open communication and shared stakeholding to accomplish the mission.

The university takes pride in its appreciative leadership and innovation. The Human Resource Policies share this progressive character, providing foundation for a mutually supportive environment distinguished by equal opportunity and sound business practices.

It is necessary to change these policies from time to time to reflect changes in the workforce, employment trends, economic conditions and state and federal legislation. However, any changes in policy will be consistent with the university’s approach to:

- Employ talented individuals whose creativity and imagination will support and contribute to achieving the university’s mission;
- Communicate university standards and expectations;
- Value diversity;
- Assure equal employment opportunity and a workplace where relationships are based on mutual respect;
- Treat all faculty, staff, and students in a professional, non-discriminatory manner;
- Provide staff, effective working conditions and accommodations, and;
- Provide competitive salaries and benefits.

**Preface**

You may wonder how the Philosophy on Human Resource Management affects you directly. The basic principle underlying the university’s Philosophy, Policies and Procedures is one of mutual respect and shared responsibility. This can be achieved through effective and ongoing communications. With that in mind, it is important that expectations for both the university and the employee are clearly stated in order to achieve a positive and productive working relationship. In policy I-2, these responsibilities are summarized as follows.

**The university will work to:**
- foster and preserve open communications.
- offer opportunities to develop new ideas and projects.
- promote standards of excellence of which all employees can be proud.
- treat all individuals fairly, equitably, and courteously.
- set aggressive but achievable goals.
- serve employees through a talented team of leaders.
- provide employees with means to discuss university practices.
- solicit employee input as necessary on a variety of issues.
- develop appreciative leadership campus-wide.
- promote an inclusive environment.

**The employee will work to:**
- conduct themselves in a professional and productive manner.
- treat all members of the community fairly, equitably, and courteously.
- comply with all approved policies and procedures.
- recognize the university’s proprietary interest in all work, research, materials, projects and information, where appropriate.
- raise issues of ethics, conflict, and concern with the proper personnel, as necessary.
- promote high standards of performance in themselves and among their peers.
- value the different perspectives of team members, departments, and support groups.
- emphasize a service orientation throughout the university community.
Section I  
Standards of Excellence

For the university to achieve its mission of improving people’s lives through preeminent research, education, and creative endeavor, every employee must share responsibility for specific standards that promote excellence. These standards, as defined by university officers, identify the basic requirements for a productive work environment. The standards include such relevant issues as ethics, leadership, non-discrimination, and safety, as well as other topics that provide the foundation for a university community in which positive employee relations can flourish. Management and employees share the responsibility for complying with and promoting these standards throughout the university community.

Affirmative Action

The university establishes Affirmative Action goals to achieve a diverse applicant pool in an effort to build a qualified workforce reflecting the composition of the Cleveland community and region. (See Also Equal Employment Opportunity I-1)

Alcohol and Drug Free Workplace

The unlawful manufacture, distribution, dispensation, possession, or use of alcohol or controlled substances including illicit drugs, is prohibited on property owned or operated by Case Western Reserve University and is grounds for corrective action. No Case employee may report to or engage in university related work while under the influence of illegal drugs or alcohol. Employees suspected of reporting to work under the influence of illegal drugs or alcohol can be required to undergo testing. Supervisors who suspect an employee of reporting to work under the influence of illegal drugs or alcohol must contact Employee Relations as soon as possible. Employees who are convicted of a violation of a criminal drug statute as a result of an incident occurring in the workplace or while on university property must notify the Director of Human Resources for Employee Relations in writing within five days of his or her conviction. Such conviction will be grounds for mandatory evaluation and possible treatment for substance abuse disorder and for corrective action, up to and including termination. Employees who have the need for assistance in avoiding the use of alcohol or controlled substances, should contact the Employee Relations Office or the Employee Assistance Program provider directly. (I-7)

Attendance

Punctuality and regular attendance are essential to insure optimal productivity and customer service. All employees are expected to report to work on time everyday that they are scheduled to work and to maintain a satisfactory record of attendance. The university’s policy on attendance will apply for departments or management centers that do not establish a policy. Employees are encouraged to speak with their supervisor on the attendance policy that applies to their department or management center. (I-9)

Communication

is the most important skill in life.

—Stephen R. Covey

Employees are responsible for ensuring that their actual hours worked and absences (sick, vacation, and/or other unscheduled time off taken) are recorded accurately. Falsifying recorded time off is an act of misconduct and considered a violation of the university’s Positive Corrective Action Policy (III-3).

The university considers excessive absenteeism disruptive and unacceptable and subject to corrective action. Excessive absenteeism is defined as repeated occurrences (more than six in six months) of unscheduled absences and/or tardiness that are unrelated to approved time off. (I-9)

Communications

The employment relationship is a shared responsibility of the university and employee. The university promotes good employee relations through on-going communications which include periodic campus-wide notices, voice mail, electronic mail, Case Daily, handbooks, brochures, and policy and procedures. A hallmark of the university’s commitment to fair and equitable treatment is the university’s policy of dealing directly with employees without the presence of external representatives. (I-2)

Computing Ethics

Computing and Information Technology (IT) resources are to be used for processing of legitimate university business and communications. Access to and usage of computing technology places a responsibility on each authorized employee to conduct computing business in the same ethical manner that is required of all other conducts with added concerns for: 1) legal use of licensed software, 2) protection of sensitive information with disclosure, 3) legitimate use of hardware/software/periphery devices, 4) legitimate access to and use of valid data, 5) asset management, 6) privacy issues, 7) respect for and safeguarding of security passwords, user identity, and system
access, 8) appropriate use of e-mail as an efficient communication tool including minimal appropriate personal use, and 9) legal and compliance issues pertaining to the use of network resources, e.g., internet. (I-4)

Employees are prohibited from accessing or using the internet or email and university’s computing resources, for any unlawful or unethical purposes including but not limited to violent; gambling; discriminatory, offensive, harassing statements, language or behavior; sending or soliciting sexually oriented messages or images; operating a business; or printing of copyrighted material. Computing and IT resources are governed by the university’s acceptable use policy. (I-4)

Confidentiality

Confidential information (verbal, written, or machine readable) accessible to employees through the course of employment at the university is proprietary or non-public information and should be maintained by all employees in a manner which ensures its privacy and safety. Employees who disclose confidential information observed or heard without proper authorization may be subject to corrective action up to and including termination. (I-12)

Conflict of Interest

All employees, while acting for or engaging in an activity affecting the university are to do so with loyalty to the university and to maintain the highest standards of ethics. Employees should ensure that outside activities do not conflict with or reflect adversely on the university’s interest nor deprive the university legitimate work time. The following list provide examples of conflicts to avoid: financial dealings that are contrary to the university's best interests; membership equity or employment relationships that may be in conflict; acceptance of favors, money or other considerations which might obligate the recipient to take action adverse to the university's interest.

Employees need to disclose actual or potential conflicts to their supervisor as soon as they become aware of them. (I-3)

Consensual Relationships

Case is a community that values an environment of inclusion, trust, and respect as beneficial for the working and learning environment of all its constituents. Romantic or sexual relationships may occur in a University environment given the numbers of people on a University campus. All relationships must be consensual; but, even though the relationship is consensual, it can raise serious concerns about the validity of the consent, conflicts of interest, and preferential treatment.

There are certain circumstances when romantic or sexual relationships are expressly prohibited, unless managed as described below:

1. if between a supervisor and his/her supervised employee,
2. if between a faculty member and his/her student (including without limitation graduate students),
3. if between a supervising staff or student (including graduate student or teaching assistant) and his/her student, and/or
4. if between a senior faculty member and a junior faculty member supervised by the senior faculty member.

The University considers sexual relationships between faculty (including teaching assistants and laboratory supervisors) and their students or between supervisors and their employees, even if deemed to be mutually consenting relationships, to be a basic violation of professional ethics and responsibility for the other's academic or job performance or professional future. Because of the asymmetry of these relationships, “consent” may be difficult to assess, may be deemed not possible, and may be construed as coercive. Such relationships also may have the potential to result in claims of sexual harassment.

Policy

Romantic or sexual relationships between 1) faculty (including without limitation teaching assistants, graders, and laboratory supervisors) and their students, or 2) a supervisor and his/her supervised employee, or 3) a supervising staff or student (including graduate student or teaching assistant) and his/her student, and/or 4) a senior faculty member and junior faculty member supervised by the senior faculty member are prohibited while the faculty member/supervisor has direct supervision of or any influence on the student's/staff member's/junior faculty member's evaluation or progress academically or professionally. A pre-existing relationship which could reasonably be perceived as having any influence on the objective evaluation of the student, staff member, or junior faculty member by the faculty member/supervisor must be immediately disclosed by the faculty member/supervisor to an appropriate administrator (Department Chair, Dean, Course Coordinator,
or Staff Supervisor) and a management plan, acceptable to Case (Human Resources and Provost’s Office or their designated representatives), must be implemented to assure that the student/staff member/junior faculty member receives objective evaluation and supervision. Such management plan may include, for example, changing the supervisor, having a different faculty member evaluate academic or job-related work, or having the student change courses and may require cessation of either the personal or supervisory professional relationship. See also the anti-nepotism policy contained in Chapter 4, Section X of the Faculty Handbook and Human Resources Policy I-4, Ethics - Professional Relationships. The designated administrator must document the provision of objective evaluation and submit copies, as applicable, to the relevant Chair (or Dean if a school without departments), Office of Equal Opportunity and Diversity (faculty & staff), or the Office of Student Affairs (students, student supervisors, teaching assistants, and residential staff) and to Human Resources.

Noncompliance with Policy

Allegations, reports, or other information relating to unreported romantic or sexual relationships where one party has evaluative or supervisory responsibilities over the other party will be investigated. Supervisors, department chairs, deans, or other responsible persons must report all allegations to the Office of Equal Opportunity and Diversity (if the alleged violation is by a faculty or staff member) or the Office of Student Affairs (student or residential staff member). Potential noncompliance with the policy will be reported by the above-listed supervisors, department chairs, deans, or other responsible persons to Human Resources and investigated by the appropriate offices listed above. If noncompliance is ascertained, measures will be taken to ensure suitable supervision/evaluation of the student or supervisee, and appropriate disciplinary measures with regard to the supervisor/faculty member will be taken.

Sanctions

Persons in violation of this policy shall be subject to sanctions ranging from verbal warnings to termination, as provided by applicable University policies. The University reserves the right to discipline members of the University community who make false allegations of unreported consensual relationships. No complaint will be considered “false” solely because it cannot be corroborated.

In the Event of a Charge of Sexual Harassment

Faculty, staff, and students may not use in a sexual harassment proceeding a defense based upon consent when the facts establish that a faculty-student, staff-student, senior faculty-junior faculty, or supervisor-employee power differential existed within the relationship.

Policy Administration

Any faculty, student, or staff may seek advice about the policy from the Office of Equal Opportunity and Diversity (Faculty and Staff) or the Office of Student Affairs (Students). (1-10)

Employment of Protected Veterans and Disabled Veterans

The university’s Affirmative Action program includes the equal employment and advancement in employment of qualified disabled veterans and other protected veterans under U.S. federal law. Persons who would like to participate in this program may identify themselves with the Office of Equal Opportunity and Diversity. Submission of this information is strictly voluntary. (1-1)
Employment of Relatives/Friends

Employees are to avoid or remove themselves from situations that may compromise their authority by making decisions favoring one's own gain or gain for personal friends or family members. The specific areas of concern include contract awards, accurate record keeping, hiring, performance review and compensation decisions. (I-4)

Equal Employment Opportunity

Case Western Reserve University does not discriminate in recruitment, employment, nor policy administration on the basis of race, religion, age, sex, color, disability, sexual orientation or gender identity, national or ethnic origin, political affiliation, or status as a disabled veteran or other protected veterans under U.S. federal law.

If an employee believes that the Affirmative Action and Equal Employment Opportunity policy is not being fully implemented, then the employee may discuss any concerns with the Office of Equal Opportunity and Diversity or to request a review process through the EEO complaint process as outlined in the Staff Grievance Policy and Procedure (V-4, V-4a). (I-1)

Ethics

A shared code of ethics among all employees strengthens the overall quality of the university community. The norm of expected conduct will be governed by truthfulness, openness to new ideas, and consideration for the individual rights of others, including the right to hold and express opinions different from one’s own.

The university's mission rests on the premise of intellectual honesty: in the classroom, the laboratory, the office, and the solitary examination desk. Without a prevailing ethic of honor and integrity not only in scientific pursuits but in all scholarly activity, the very search for knowledge is impaired. In these respects, each employee — especially but not exclusively faculty — must regard oneself as a mentor for others.

These principles make it possible for the larger society to place trust in the degrees conferred, the research produced, the scholarship represented and disseminated, and the critical assessments made of the performance of students and faculty, as well as judgments of staff and administrators.

To safeguard the standards on which everyone depends, each employee must accept individual responsibility for behavior and work, and refrain from taking credit for the work of others.

The culture of a university also requires that the rights of all be protected, particularly by those entrusted with authority for judgment of the work of others.

Being a human community, the university is subject to human failings, ambiguities, and errors. Therefore, the responsibility lies with those regulating the affairs of faculty, students, and staff to maintain processes for judging and resolving instances where these principles may have been violated. However, all such systems depend for their effectiveness, in turn, on the acceptance of common norms of conduct—the ties of trust which bind the university community together. (I-4)

Inclusion

The university is a world class university that prides itself on being understanding, welcoming, and supportive to all members of the university community. Therefore, valuing diversity is a key part of Case employment standards. The key principles in fostering inclusion are:

- The ability to achieve common goals while valuing differences
- The opportunity for employees to develop their skills to their full potential
- A better understanding of Case as a community of cultures
- Participation in Diversity initiatives
- On-going communications among faculty, staff and students
- Celebration and social activities that build awareness and appreciation. (I-7)

Non-Retaliation/Protection for Whistleblower

The university strives to provide a positive, productive work environment in which employees are encouraged to report issues and concerns about their work environment or the university. If an employee has knowledge of or information that illegal, dishonest, discriminatory, or fraudulent activity has occurred or that a violation of university policy has occurred, the employee is to contact his/her immediate supervisor, Employee Relations, or the Integrity Hotline to report the activity or incident. Examples of illegal, dishonest, or fraudulent activities are violations of federal, state, or local laws, billing for services not performed or for goods not delivered, and other fraudulent or improper financial reporting. Whistleblower protections are provided against retaliation.
The employee must exercise sound judgment to avoid baseless allegations. An employee who intentionally files a false report of wrong-doing may be subject to corrective action up to and including termination. (I-11)

**Personal Interests**

The university is aware of the challenge for high performing employees to balance their work lives with the demands of full personal lives. Therefore, the university suggests that employees be aware of the following guidelines:

- **Visitors in the Workplace**
  The university promotes strong family ties. Children (under the age of 18), family members, or friends are welcome for occasional, brief visits in the workplace. Children under 16 are not allowed in the library unaccompanied, and children under 18 are not permitted in potentially hazardous work areas. Employees who violate this policy may be subject to corrective action up to and including termination.

- **Personal Interest in Non-Profit Causes**
  The university recognizes that employees participate in many organizations that conduct fundraising. However, an employee should not actively solicit another employee at work with goods for sale as a fundraiser for a non-profit organization. Only university approved fundraising activities may be conducted while at work.

- **Social Responsibility**
  Employees are encouraged to participate in community activities and organizations, but must confine their activity to non-working hours. If employees have an opportunity to integrate the university community and the greater community, the employees should discuss the collaboration with their supervisors to insure university approval. No resources of the university may be at the disposal of outside organization without prior approval. (I-7)

**Productivity**

All employees are expected to meet high productivity standards. At Case productivity relates to the time management, teamwork, efficiency, cooperation, and contribution. The standards contributing to high productivity include, but are not limited to, the following:

- consistently reporting to work and leaving work according to work schedule
- fully engaging in work while on paid time
- being prepared for meetings, asking for assistance when necessary and meeting deadlines
- limiting unscheduled absences
- minimizing the need to conduct personal business during work hours (I-8)

**Professionalism**

Professionalism in communications and behavior is the only acceptable form of interaction on campus and in university business settings. Every employee is expected to conduct himself/herself in a manner that is a positive reflection of the university. When differences of opinions occur, only constructive, legitimate, and respectful forms of communication are considered appropriate. (I-7)

**Relationships in the Workplace**

The university permits the employment of qualified family members, domestic partners, significant others, and/or similar personal relationships of employees as long as such employment does not create a conflict of interest. In accordance with the university’s employment policies, the basic criteria for employee selection of promotion shall be: appropriate qualifications in terms of education, experience, training and performance, consistent with the university’s needs. Relationships by family, marriage, domestic partnership, and/or similar personal relationship shall constitute neither an advantage nor a disadvantage to selection, promotion, salary, or other conditions of employment.

Allegations, reports, or other information concerning an unreported inappropriate relationship where one party has evaluative or supervisory responsibility over the other party will be investigated. If non-compliance is ascertained, measures will be taken to ensure suitable supervision/evaluation of the student or supervisee, and appropriate disciplinary measures will be taken. (I-13)

**Safety and Security**

The university expects that all employees will share the responsibility for safety and security of themselves, fellow employees, students and guests, and maintain reasonable care when using
university property. Everyone must comply with university written policies and guidelines set forth by offices including but not limited to Occupational and Environmental Safety as well as Protective Services and all Federal, State and Local regulatory bodies, including fire and police agencies. All employees are expected to comply with safety practices relating to their work and university guidelines. Safety practices may include, but are not limited to, the following: wearing proper safety and work apparel, using personal protective equipment, using well-maintained tools and equipment, maintaining familiarity and compliance with safety standards, adhering to reporting systems, wearing appropriate personal dosimeters (such as radiation badges) and observing facility access procedures.

Employees can contribute to the safety of all by:

- Complying with federal, state, and local regulations
- Encouraging safety and security practices among peers
- Adhering to laboratory and departmental safety procedures
- Reporting violations of safe practices to the Department of Occupational and Environmental Safety
- Reporting on-the-job accidents in a timely manner in accordance with OSHA and State Department of Health guidelines to the Workers’ Compensation Office
- Reporting crimes and suspicious situations to Protective Services
- Seeking diagnosis and possible treatment from the University Health Service in the event of personal injury from an on-campus accident requiring immediate attention
- Providing testimony, as necessary, in the event that university or public officials require participation during an investigation or a situation involving legal action
- Seeking the assistance of the Employee Assistance Provider (EAP) in dealing with counseling and coping situations
- Being aware of potentially violent situations and treating them conscientiously. (I-6, V-6; See Deterrents to Workplace Violence)

Sexual Harassment

Sexual harassment is unacceptable conduct which will not be tolerated. All members of the university share responsibility for avoiding, discouraging, or reporting any form of sexual harassment to the Office of Equal Opportunity and Diversity. The Equal Employment Opportunity Commission (EEOC), which regulates these statutes, defines sexual harassment as any unwelcome sexual advance, requests for sexual favors, or other verbal or physical conduct of a sexual nature, or verbal or physical conduct directed at an individual or individuals because of gender and motivated by animus (strong dislike or animosity) based on gender when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or student status;
- Submission to or rejection of such conduct is used as the basis for decisions affecting that individual with regard to employment (raises, job, work assignments, discipline, etc.) or to student status (grades, references, assignments, etc.);
- Such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or educational experience, or creates an intimidating, hostile or offensive work and/or educational environment.

Any employee who believes that sexual harassment is occurring has the right to an inquiry and should request a copy of the policy and procedures for Sexual Harassment. (I-1)

Smoke-Free Workplace

With the university’s commitments to health-related research and teaching, protection of the health environment of students, employees and guests is a major concern. Therefore, and in compliance with the State of Ohio smoking ban set out in Chapter 3794 of the Ohio Revised Code, the university does not permit smoking in any of its buildings or structures, including in residence halls or in university vehicles. In addition, all outside walkways and grounds of university property are smoke-free, except for specific university-designated smoking areas. The medical, dental and nursing schools and the health sciences podium and the health sciences garage are entirely smoke-free and do not have any university-designated smoking areas. Employees who violate this policy will be subject to corrective action under the Positive Corrective Action Policy (III-3). If an employee needs assistance with a smoking cessation program, the employee should contact the Employee Relations Office or the Employee Assistance provider directly. (I-7)

Solicitation

Solicitation or distribution of literature by employees for
non-sanctioned university events is permitted only when the employees are on non-work time and in non-work areas.

The use of university directories or work-dedicated systems, such as electronic mail, voice mail, facsimile systems, and bulletin boards, for the purposes of solicitation or distribution of literature for non-sanctioned university events is prohibited. Solicitation or distribution of literature by non-employees, on or through university property is prohibited. (I-7)

**Title IX**

The university complies with Title IX of the Education Amendments of 1972, prohibiting discrimination on the basis of sex in federally assisted educational programs and activities. The Vice President of the Equal Opportunity and Diversity Office is the Title IX Coordinator. Anyone in the university community who wishes to discuss a Title IX matter should consult with the Office of Equal Opportunity and Diversity. (I-1)

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**Progress occurs when courageous, skillful people seize the opportunity to change things for the better.**

—Harry S. Truman

**Section II**

**Employment**

Employment guidelines are an important part of the employer/employee relationship. Both employees and candidates for employment should have a good understanding of the employment opportunities available and the employment requirements expected at Case. Numerous federal, state, and local laws govern many of the systems established in the employment process. In addition, the university officers have added some reasonable steps to ensure that the workforce is comprised of qualified, talented, and diverse employees who are willing to work in a mutually supportive manner.

**Alcohol and Controlled Substances Testing**

Pursuant to federal law, the university will conduct testing for alcohol and controlled substances on candidates and current employees for positions requiring a commercial driver’s license (CDL). Candidates will be asked to submit to testing only after an offer of employment has been made. An offer of employment, however, is conditioned on the candidate testing negative for controlled substances.

Employees in positions requiring a CDL will be asked to submit to testing for alcohol and controlled substances. Testing for alcohol and controlled substances may be performed throughout employment. Employees who refuse to undergo testing or test positive may be subject to corrective action up to and including termination. A certified lab will conduct testing for alcohol and controlled substances. (II-8)

**Alternative Work Arrangements**

The university will consider alternative work arrangements which allow employees to balance work and personal commitments while ensuring the operational/business needs of the department, management center, and/or school are met. The supervisor must approve the alternative work arrangement option prior to implementation when it mutually serves the best interests of the university department, management center or school, and the employee. Alternative work arrangements may include: flexible work schedule (flextime),
Compressed Work Week, Reduced Schedule (part time), Partial Work Year, Job Sharing, Multiple Concurrent Jobs, and CASEworks (telecommuting).

Employees interested in being considered for an alternative work arrangement should discuss the options with their supervisor and/or an Employee Relations representative. (II-3)

**Criminal Background Check**

A criminal background check will be conducted on the preferred internal or external candidate by an independent professional investigation firm before an offer of employment is extended. Additional criminal background checks may be performed throughout employment. Pursuant to state and federal law and/or university safety practices, additional testing is required for positions associated with the handling of chemicals, pharmaceuticals, animals, or working with children.

If an employee is convicted of a crime while employed, the employee is required to discuss this with the hiring supervisor and the Employee Relations Office. Continued employment is dependent on the nature of the conviction as it relates to the employee’s responsibilities. (II-8)

**Driver’s License**

Motor vehicle license checks will be made through an independent professional investigation firm on candidates applying for positions which entail business travel and/or access to Case’s vehicle fleet. Additional motor vehicle license checks may be performed throughout employment. Employees whose positions require driving personal or university vehicles are required to maintain an unrestricted, valid driver’s license and insurance coverage as long as they are in the position necessitating this requirement. Employees must promptly report any changes in restrictions on their license or in insurance coverage to their supervisor and the Employee Relations Office.

The university does comply with its insurer’s request to conduct periodic risk management audits such as a review of driving records, and employees who are found to be negligent may be subject to corrective action or reassignment. (II-8)

**Employee Classification**

Staff employees fill positions which are classified at 3 levels:

* **Executive Level:** Key positions which serve at the pleasure of the president and are not included in staff salary plan.

* **Senior Staff:** Research and support staff whose positions fall in the salary grade levels 18 and above.

* **Staff:** Research, trainees, and support staff, whose positions fall in the salary grade levels 1-17 (II-1)

**Employee Records**

Employees are responsible for notifying the Records Office and the Benefits Office on a timely basis of any changes in personal status that change benefits enrollment or contact information. Relevant changes in status include: name change, change in marital status, change in beneficiary, change in tax withholding, change in address (home or campus), change in emergency contact, change in dependents and change in employment status.

Employees have the right to access their personnel files. They also have the right to submit a document to the file if they wish to correct inaccurate information or express disagreement with information on file. The employee should also provide his or her supervisor with a copy of any submitted items. (II-15)

**Employment Status and Changes in Employment Status**

Employment status defines the employee’s work schedule as: full-time, part-time, temporary or term.

* **Full time:** The regularly scheduled work week is a minimum of 37.5 hrs/wk for an indefinite period of time, presumably 12 months or more.

* **Part Time:** The regularly scheduled work week is less than 37.5 hrs/wk for an indefinite period of time, presumably 12 months or more.

* **Temporary:** The position is considered as limited duration to fill a defined short-term need (less than 12 months) when specifically selected candidates are selected for
pre-approved temporary programs. In addition, all student employment is considered temporary status.

**Term:**

The position’s anticipated duration is a minimum of 12 months and a maximum of 3 years; however, there are no guarantees of continued employment either within the term or when the term ends. In addition, positions funded by grants with a defined end date from 1–3 years may be filled with a term employee. Positions can be part-time or full-time. (II-1, II-16)

An employee may request a change in employment status from full-time to part-time or vice versa. The employee normally makes the request to address a personal need. The supervisor may approve the request if the change does not disrupt or limit the function’s total performance. If an employee elects to change his/her employment status, there will be no change in compensation other than the adjustment for the new work hours, assuming that the employee is performing the same job.

Often a change in status has an accompanying change in benefits. An employee who is considering a change may want to review it with a member of the Human Resources Department. (II-6)

**Holidays**

The university observes the following holidays by closing for business:

- New Year’s Day
- Martin Luther King Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Day after Thanksgiving
- Christmas Day
- University Designated Holidays(s)
- One (1) Personal Floating Holiday
- Day after Thanksgiving

Certain guidelines define when an employee has time off for a holiday and whether that time off is compensated. The guidelines for time off are:

- Active employees have the time off for the observed holiday, unless otherwise scheduled. When the holiday falls on a Saturday, the university will observe the holiday on the preceding Friday. When the holiday falls on a Sunday, the university will observe the holiday on the following Monday. Employees who work Monday through Friday will have the Friday or Monday off. Employees whose regular work day may be either Saturday or Sunday will have either the observed holiday or the actual holiday off. Scheduling of the day off will depend on necessary coverage and team coordination of that coverage.
  - When an observed holiday falls on the employee’s normal day off, all full-time employees may schedule a paid day off within two weeks preceding or following the holiday.
  - Exempt staff who are required to work on the observed holiday, will have the same amount of time off in the preceding or following two weeks.
  - Temporary employees will have the time off without pay.

The guidelines for compensation are:

- Full-time and part-time employees will be compensated at their normal rate of pay for their regular hours if the observed holiday falls on the employee’s scheduled work day or during paid sick days or vacation days.
- Holiday pay will apply to employees on paid leave.
- Non-exempt employees who are required to work on their scheduled holiday will be compensated at their normal rate of pay for the holiday plus one and one-half times their base rate for the amount of time worked.
- If temporary employees are required to work, they will receive straight time pay for the hours worked. Otherwise, temporary employees are excluded from holiday pay. (II-13)

**Job Posting**

Normally all staff job openings in the university are posted on campus for a minimum of five work days concurrent with external communications to ensure reaching the broadest and most diverse pool of talented candidates. No offers of employment will be made during these five days. Exceptions to posting a staff job opening will require approval from the Director of Employment. (II-6)

**Orientation Period**

Newly hired full and part-time senior staff and staff employees and employees who are transferred into a new position will work through an Employment Orientation Period for the first 3 months. Midway and at the end of the Employment Orientation Period, the supervisor will conduct progress evaluations as to performance learning and job skills. Transferred employees will receive...
one additional evaluation. At any point in time during the orientation period, the supervisor has the authority to terminate employment for unsatisfactory performance without using the Positive Corrective Action Process in consultation with the Employee Relations Office. (II-10, III-1; See Internal Employment Opportunity)

**Pay Calculation**

Hours worked will be calculated to the nearest tenth (1/10) hour. (II-14)

**Pay Days**

The normal pay day for each employee group is:

**Exempt Staff:** Monthly, on the last working day of the month

**Non-Exempt Staff:**
- Full-time and Part-time: Semi-monthly on the 15th or prior working day and on the last working day of the month for the current work period.
- Temporary: Semi-monthly on the 15th or prior working day and on the last working day of the month for the preceding period of work. (II-14)

**Payroll Withholding**

The university will automatically deduct from the gross pay any withholdings required for federal, state, and local taxes as well as mandated deductions and any employee-elected payroll deductions. (II-14)

**Physicals**

Candidates selected for specific positions including but not limited to laboratory work, maintenance and trades, health care, high physical exertion, and security will have an employment physical screening/examination conducted by the University Health Services at no charge to the candidate. The screening/examination will be requested to take place after the offer of employment. Should the results of the screening/examination indicate that a health issue is to be considered, reasonable accommodation will be made to work with the new employee given the circumstances. (II-8) (See Also Case Policies and Guidelines for Chemical, Biological, and Radiation Safety, 5-15-91)

**Pre-Employment Requirements**

The university will not employ anyone under the age of 16. In addition, no one under the age of 18 will be employed in any position deemed hazardous by Human Resources and the Department of Occupational and Environmental Safety (DOES) or involving hazardous materials. (II-7)

**Professional Licenses**

Candidates will be asked to furnish proof of current professional or state licenses such as accounting, architecture, bar, engineering, medical, nursing, or certified technician if the license is essential to the position for which the candidate is being considered. (II-8)

**Re-employment**

Former employees are eligible to be re-employed if they left university employment as employees in good standing. All former employees will be given the same opportunities and will need to comply with the same requirements as other applicants. If hired, former employees will be treated as new employees for purposes of orientation and training. Benefits based on length of service will be calculated using the rehire start date as their first date of employment unless a benefit plan provides other methods of calculation. (II-11)

**Re-Organization and Lay-Offs**

Re-organization is the restructuring of a department or distinct unit within a department that may result in the layoff of an employee(s). Employees who are terminated involuntarily for lay-off reasons are eligible for recall and rehire while they are on inactive status for twelve months. Term employees are not eligible for layoff status. (II-12, II-17).

**Severance**

After one complete year of continuous service, any regular staff employee who works half-time or more who is laid off by the university due to lack of funding, lack of work, or re-organization may be eligible for severance pay. Term employees are not eligible for layoff status or severance pay. In order for an employee to receive severance pay, the employee must complete the required paperwork which will include signing a standard release of claims.
If an employee is eligible for severance pay, the amount of severance to be provided will be determined individually but will generally be one week base pay for each complete year of continuous employment, up to a total of ten weeks’ base pay. Laid-off employees with one complete year of continuous service should discuss their eligibility for severance pay and the requirements to receive severance pay with the Office of Employee Relations. If an employee is called back to work while receiving severance, then the employee must waive or return the pro-rated balance of severance in order to return to full employment. The return date becomes the new employment date for purposes of calculating future severance. (II-12)

**Termination of Employment**

The university recognizes two types of termination: voluntary and involuntary.

**Voluntary terminations** include: resignation, retirement, failure to report to work for three consecutive days without notice, failure to return from leave within the time allowed by the policy for Absences and Leaves For Personal Medical, Family Medical, and Parenting Reasons Under the Family and Medical Leave Act (IV-8) or Other Leaves of Absence (IV-11), declination of a job offer while on inactive status, and completion of written notification of term of employment.

**Involuntary terminations** include: lay-off, termination for cause, death, and the end of the inactive status period.

An employee who wants to leave in good standing will give his or her supervisor at least two weeks notice for a voluntary termination. The employee’s notice of resignation must be confirmed in writing, either by the employee or supervisor. Staff members who give insufficient notice are not eligible for re-employment. The terminating employee is responsible for returning all university property, equipment, work materials, tools, research and notes and for reconciling outstanding expenses, fines and other debts. The terminating employee is also responsible for returning keys, identification cards, etc., and a completed Employee Termination Checklist to the Records Office, Room 220, Crawford Hall (7047). Should an employee fail to return any university property or to pay all debts to the university, the university may deduct from the employee’s final paycheck an amount equal to the debts owed to the university, an amount equal to the reasonable value to the property not returned, or both.

Employees who are terminating employment will be notified in writing of their benefit enrollment and conversion options. All eligible employees will have the option under COBRA to elect to continue their health care coverage to be paid at the employee’s expense but handled administratively through the university’s group plan. (II-12)

**University Closings/Emergencies**

The university may announce closings from time to time relating to national or regional celebration or as a result of inclement weather or disaster. If possible, these closings will be announced in advance or announced at the time of the closing through the President’s Office and using local authorized media. Employees should call 368-WARN(9276) to confirm a closing. The Time Off and Compensation policies for holidays will apply to these closings. (II-13)

**Vaccination**

In compliance with U.S. Occupational Safety and Health Administration (OSHA) Regulations, all employees using or potentially exposed to human blood borne pathogens must receive hepatitis B vaccination or sign a declination statement prior to using or being exposed to blood borne pathogens. This vaccination is available through University Health Services at no charge to the employee. Other vaccinations may be required in the event that the selected candidate may travel during employment to areas in which vaccination is recommended by the federal government. (II-8)

**Work Breaks**

All employees who work a 7.5-hour day will receive a daily, one hour, unpaid lunch break. The supervisor has discretion for authorizing other breaks for personal need. (II-14)

**Work Week**

The “work week” refers to the period beginning 12:01 a.m. Sunday and ending midnight of the following Saturday. Non-exempt or semi-monthly paid (hourly) employees are expected to work 7.5 hours per day or 37.5 hours per week. Exempt or monthly paid (salaried) employees are expected to work a minimum of 40 hours per week. In order to be efficient and service-oriented, supervisors will determine the hours of operation of the department as well as the work schedule for hourly and salaried employees.
Section III
Employee Development

The university achieves its goal of excellence through the performance of its employees. Therefore, every effort is made to communicate with employees about their performance on a regular basis. These policies are provided to set the stage for regular and appreciative communications, as well as to identify opportunities for employees to pursue their own development. The policies are based on the sound premise that employees will develop and grow from positive and specific feedback with regard to their performance. Performance that is not productive cannot be corrected without constructive comments and counseling for improvement. Further, employees whose behaviors are unacceptable, although rare and unexpected, deserve communication regarding the behaviors which the university will not accept.

Employee Recognition

The administration of the university seeks to recognize outstanding performance of employees and encourages each Management Center and Administrative Unit to do the same. University recognition programs include the President’s Award for Distinguished Service and Staff Service Awards. (III-5)

Employee Resource Center

The Human Resources Department will maintain an Employee Resource Center in the library which will be a walk-in reference center and training resource available for employees. The center will be for employees who may want to review, reference, or study a particular topic related to their employment or personal development. Materials include books, software, audio tapes and videos on such subjects as:

• Computer Literacy
• Personal Skill Development
• Personal Retirement Planning
• Supervisory Skill Development
• Career Planning and Development

The resources are cataloged on EuclidPLUS, the online catalog of Case libraries, and are located in the Kelvin Smith Library.

These special resources are available to the Case community behind the Main Service Desk during regular Library hours. Employees need to use their Case ID card to borrow materials.

The Center is a benefit that provides employees the resources desired for job performance development and personal effectiveness. Updates on new materials in the Center will be posted in the Human Resources Quarterly and on the Human Resources website. (III-4)

Internal Employment Opportunities

Employees who wish to pursue an internal employment opportunity are responsible for satisfying the following qualifications:

• Responding to the job posting by providing the appropriate documentation in a timely manner.
• Maintaining a performance level of satisfactory or better.
• Performing in their current job for a minimum of twelve months. If the vacant position is within the same department, then this may be a minimum of six months.
• Notifying current supervisor if interest continues after an initial interview.

If an employee is selected for a position, the transfer may occur after a minimum of two week notice to the releasing department. During that time, the hiring supervisor and employee may proceed with completing any position requirements associated with the new position.

While the job posting system offers tremendous opportunity, employees must be aware that the transfer is similar to taking a new job, and they will begin a three month orientation period. The transferee will receive progress reports on or about 30 and 60 days after beginning the job and at the end of the three month orientation period. At the end of the orientation period, the supervisor may recommend that the employee not stay in the new position.

If at any time during or at the end of the orientation period the employee or the supervisor believes that the job change was inappropriate, the employee is exempt from the internal employment requirement of twelve months in the current assignment and may apply for other positions, including the former position if it has not been filled.

We can accomplish almost anything within our ability if we but think that we can.

—George Matthew Adams
An employee who successfully transfers from one position to another may have change in status, job level, compensation, overtime eligibility, and benefits eligibility. Any changes associated with a position change are effective upon the date of the transfer. (III-1)

Performance Management

The Performance Management review is designed to achieve the following goals:

- To link the work of the employee to the work of the group and the department
- To set objectives so that expectations are clear
- To review the objectives mid-year for updates, assistance, and recognition
- To reinforce positive work habits and ethics
- To offer the employee information regarding professional development

Full and part-time staff employees may expect an annual performance management review of their past year’s performance. The “Performance Year” refers to the predetermined review period which may be the employee’s anniversary year, the period July 1 – June 30, or another designated period as determined by the department and approved by Human Resources. An employee may participate in the performance management review by sharing ideas for improvement and reviewing and signing the performance management outline form. (III-2, IV-3)

Positive Corrective Action

The university intends to give employees reasonable opportunity to improve their performance whenever productivity, quality, efficiency, or behavior is below an acceptable level. When performance falls below an acceptable level, corrective action may be imposed, including: verbal warning, written warning, suspension, or termination.

The focus of this progressive procedure is to promote employee job success by identifying the unacceptable performance and the cause(s) of the unacceptable performance, and agreeing on method(s) for improving employee performance to an acceptable level. In determining which type of corrective action is appropriate, the seriousness of the infraction (i.e. unacceptable behavior, attendance related issues, or misconduct), the past performance record and the circumstances surrounding the matter will be taken into consideration. Since the corrective action is intended to be action-oriented, corrective action of verbal warning, written warning, or suspension will usually include scheduled review dates to monitor the employee’s progress toward acceptable performance. This progressive procedure does not preclude the university from terminating an employee at any time, without any previous corrective action, if circumstances warrant. The decision to use or not to use any one of the corrective actions is solely within the discretion of the university. Nothing in this policy is intended to modify the at-will nature of employment, which means that the university may terminate the employment relationship at any time.

Positive corrective action options include but are not limited to:

- **Verbal warning** to clarify expectations of acceptable performance, development of an action plan for improvement, and advising of consequences if the performance problem is not corrected.
- **Written Warning** which states that performance or conduct is unacceptable, development of an action plan for improvement, and a written warning of termination that states that continuation of any unacceptable performance for the same or different reason may result in termination.
- **Suspension**: Time off without pay as part of a written warning of termination for situations requiring time for the university to conduct an investigation into an identified performance problem.
- **Discharge**: Termination of employment with or without notice.

Note: Corrective action is not always a continuous process and can be imposed at any step. Supervisors may use one or more corrective actions at their discretion.

Although there is no way to identify every possible type of unacceptable performance or misconduct that may result in corrective action, the following situations provide examples of events that may result in corrective action, up to and including termination. This is a non-exclusive list of performance issues that may result in corrective action. The university may impose corrective action for other unacceptable performance or misconduct issues.

- Failure to properly or completely perform work tasks
- Excessive absenteeism
- Unreported absences
- Engaging in acts of dishonesty
- Insubordination
- Misuse of work time
- Failure to record or improper recording of time (without apparent intent to defraud)
- Theft or fraud
- Failure to comply with university policies and rules
- Endangering life or property
• Harassment
• Sexual harassment
• Disclosure or misuse of confidential information
• Misrepresentation or misuse of authority
• Violation of Computing Ethics Policy
• Reporting to or engaging in university related work while under the influence of illegal drugs or alcohol
• Possession or sale of illegal drugs on Case property
• Failure to disclose conflicts of interest
• Unprofessional behavior
• Disruptive behavior
• Failure to maintain professional interpersonal relationships with co-workers, supervisors, customers, or any member of the university community
• Falsification of any university record
• Sleeping on the job
• Disregard of authorized work request
• Failure to stay at assigned work location
• Possession of a weapon, including but not limited to firearms, ammunition, or any other instrument, device, or substance designed, intended or used to inflict harm upon persons or property at work or while on university property. (III-3)

Section IV

Compensation & Benefits

The university is committed to providing a total compensation package that enables the university to attract and retain highly skilled and talented employees for all positions.

Amenities on Campus

The university will make every effort to offer employees amenities that derive from being associated with a large and progressive educational institution. No services should be construed as mandatory or as an implied statement of endorsement by the university. (IV-12)

Benefits

The university’s comprehensive benefit program provides: 1) reasonably priced health and welfare coverage, 2) sick days, 3) paid time off, 4) educational assistance, 5) retirement planning, and 6) other amenities. Benefit brochures with more detailed information are available to all employees. Employees are responsible for reviewing these brochures in order to select and use their benefits prudently and in the most cost-effective manner. (IV)

Interim Assignments

If an employee is reassigned to another position in a higher or lower salary grade for more than thirty days, the employee’s salary may be adjusted to be in line with the interim position for the duration of the interim assignment if approved by the Supervisor and the Compensation Office. (IV-3)

Jury Duty

The university encourages employees to honor their civil responsibilities. Therefore, the university will continue to pay an employee at the regular rate of pay for the time spent on jury duty. (IV-11)

Leaves of Absence

FMLA Leave (Personal Medical, Family Medical, Parenting, and Family Military Servicemember Reasons Under the Family and Medical Leave Act)

The Family and Medical Leave Act of 1993 (FMLA) requires Case to provide up to 12 weeks of unpaid, job-protected leave to “eligible” employees for certain family and personal medical
reasons. To be “eligible” for FMLA leave, an employee must meet
the following minimum requirements: be employed by Case at
least 12 months prior to the commencement of the leave and have
worked at least 1,250 hours during the 12-month period prior to
the leave. The general FMLA provisions are posted in the Human
Resources Department, Room 304 Crawford Hall and the Office
of Equal Opportunity and Diversity, Room 310 Adelbert Hall.

The university recognizes that employees need to tend to both
personal medical and family medical concerns in a constructive man-
ner in order to be fully productive. Therefore, the university provides
a measure of stability through benefit protection and a reasonable
allowance for paid and unpaid time off of work. The amount of paid
sick time that an employee is eligible to receive does not constitute
the amount of leave time an employee is granted.

An employee may draw upon the 12-week allowance over a
12-month period based on eligibility date. “Eligibility date” refers
to the date of the employee’s first FMLA leave within the previous
12 months. For example, if an employee has taken 8 weeks of leave
during the past 12 months, an additional 4 weeks of leave may be
taken. If an employee has used 4 weeks beginning February 1, 4 weeks
beginning June 1, and 4 weeks beginning December 1, the employee
would not be entitled to any additional leave until after February 1,
of the following year. Under the university’s leave policy, “family”
includes the employee’s spouse as recognized in the state of Ohio,
son, daughter, parent or guardian, and domestic partner who has met
the requirements for receipt of domestic partner benefits under Case’s
policy.

**Personal Medical, Family Medical, and Parenting Reasons**

This policy applies to leaves for: (1) parenting (refers to care
and nurturing for a new child as a result of childbirth, adoption, or
foster custody, unrelated to a medical condition), (2) serious health
condition of a family member, (3) serious health condition of the
employee (including: Workers’ Compensation or a serious health
condition related to pregnancy and/or childbirth). This policy will
also apply to intermittent leave requests (such as pre-scheduled time
off for medical appointments) or reduced leave schedule, when
medically necessary, and relates to the personal medical or family
medical leave request. Taking intermittent leave or a reduced
leave schedule for placement, adoption, or foster care of a child is
subject to the supervisor’s approval in consultation with Employee
Relations. Intermittent leave taken for the birth and care of a child
(except for pregnancy-related leave that would be leave for a serious
health condition) is also subject to the supervisor’s approval in con-
sultation with Employee Relations. Intermittent leave for parenting
must be completed within 12 months of the date of birth or place-
ment of a child. Employees, who require intermittent leave or re-
duced leave schedule, must try to schedule their leaves so that they
will not disrupt the department’s operations.

The annual maximum leave time for personal medical leave
for a serious medical condition of the employee is 12 weeks within a
12-month period. However, the maximum allowed time may be
affected by other leaves taken within the same 12-month period. If
a staff employee is unable to return to work for any period of time
after 12 weeks from the “eligibility date”, employment with the uni-
versity ends as a voluntary termination, unless the employee has re-
quested and is granted additional leave time for a documented dis-
ability (via the disability accommodation process coordinated by the
Office of Equal Opportunity and Diversity), is granted a non-FMLA
leave, or qualifies for long-term disability. If the employee wishes to
return to the university after 12 weeks, he or she must reapply for a
position with the university.

When the employee requests a leave for parenting or family
medical reasons, the annual maximum leave time will be 12 weeks
within a 12-month period. However, the maximum allowed time may be
affected by other leaves taken within the same 12-month period. Parenting leaves must be completed within 12 months of
the date of birth or placement of a child.

If two employees are seeking leave for the birth and care
of the same newborn child, foster care placement or adoption, (i.e.,
a husband and wife or domestic partners who are both employees),
the employee and their spouse (as recognized by the state of Ohio)
or domestic partner (who has met the requirements for receipt of
domestic partner benefits at Case) are limited to a total of 12 weeks
combined for the birth and care of a newborn child, foster care
placement, or adoption of a child. For other qualifying reasons un-
der FMLA, each eligible spouse or domestic partner is entitled to 12
weeks.

**Family Military Servicemember Reasons**

This policy applies to leaves for (1) family members of mili-
tary servicemembers due to any qualifying exigency arising out of
the fact that the spouse, child, or parent of the employee is on active
military duty (or has been notified of an impending call or order to
active duty) in the Armed Forces in support of a contingency operation, or (2) family members (spouse, child, parent, or next of kin - meaning nearest blood relative) of military servicemembers when caring for a servicemember’s serious injury or illness incurred in the line of duty on active duty.

When the employee requests a military servicemember family leave for qualifying exigencies for a spouse, child, or parent, the annual maximum leave time is for a combined total of 12 weeks based on other leaves taken during the previous 12-month period.

When the employee requests a military servicemember family leave to care for a servicemember’s serious injury or illness incurred in the line of duty on active duty, the maximum leave time is a combined total of 26 work weeks of leave based on other leaves taken during a single 12-month period. This means that if an employee also has some other FMLA-qualifying event in that 12-month period, his or her total amount of FMLA leave during that 12-month period is still limited to 26 weeks. This also means that even if the servicemember’s recovery lasts longer than the initial 12 months, the 26 weeks of servicemember family leave cannot be renewed, and the employee would not be eligible for an additional 26 weeks of servicemember family leave in the following 12 month period. The request for a servicemember family leave to care for the servicemember may be taken intermittently or on a reduced leave schedule.

### Paid Leaves and Unpaid Leaves

The allowance for paid time during the personal medical or family medical (including family military servicemember leave) leave is shown in Policy IV-9 and IV-10. Employees on personal medical leave must use all unused sick days and all unused vacation days prior to commencing an unpaid personal medical leave. Employees may use up to 8 sick days for family medical or family military servicemember leave. See Paid Parental Leave Policy IV-14 for paid time allowances for parenting leaves for childbirth and/or adoption. Employees must also use all unused vacation days prior to commencing an unpaid family medical, parenting, or family military servicemember leave. However, employees may not be required to use sick days or vacation days during periods of Worker’s Compensation leave. Category 2 and Category 3 employees who are on a personal medical leave for more than fourteen (14) consecutive days should apply for short-term disability benefits. Employees who are out on a personal medical leave for more than twenty-six (26) weeks may be eligible for long-term disability benefits; Category 2 and Category 3 employees must first be receiving short-term disability benefits in order for the insurance carrier to consider them for long-term disability benefits. The effectiveness of this leave policy depends on the employee’s appropriate use of leave time.

Employees on paid leave will remain in their Benelect program according to Benelect plan provisions and will continue to accrue service time toward benefits based on active service. Employees on an unpaid leave for personal medical, family medical (including servicemember family leave for qualifying exigency), or parenting reasons must have used all unused sick and vacation day allowances; they will remain in the Benelect program for 12 weeks according to Benelect plan provisions, and will not accrue service time except toward their retirement plan vesting. Employees on an unpaid family leave for serious illness or injury of a servicemember incurred in the line of duty while on active duty, must have used all unused sick and vacation day allowances; they will remain in the Benelect program for 26 weeks according to Benelect plan provisions, and will not accrue service time except toward their retirement plan vesting. When the employee returns from unpaid leave, an adjustment will be made to their paycheck for Benelect payments made on their behalf.

### Other Leaves of Absence

#### Convenience Leave

An unpaid convenience leave will apply when it is mutually beneficial to the university and to the employee. A convenience leave is initiated by the university department and accepted by the employee. It provides an opportunity to decrease employment levels due to a slack period of work without incurring a layoff and without affecting the employee’s ability to accrue time toward benefit calculations. The maximum leave time is 12 weeks, during which time employees are responsible for their contribution to the Benelect plan. The university will continue its portion of the Benelect contribution.

#### Non-FMLA Medical Leave

Employees who do not meet the requirements for a leave under FMLA may request a leave of absence when they or a family member have a serious health condition. Such leave is granted at the discretion of the supervisor, but may not be denied without consulting
Employee Relations. If the request is denied and the employee decides not to report to work, employment ends as a voluntary termination effective the last day worked by the employee. Employees must use all unused vacation days after they have exhausted their sick day allowance. The employee’s position or equivalent position may be held for a specified time determined by the supervisor but in no case longer than 12 weeks within the previous 12 months. The maximum non-FMLA leave is 12 weeks in a 12-month period, and the maximum combined FMLA and non-FMLA leave is 26 weeks in a 12-month period.

**Military Leave**

Any annual commitment to active duty or a call to active duty constitutes a military leave. During the military leave, the employee will be compensated for the first two weeks of active duty. The employee’s position will be held for 12 weeks for any military leave. For any military leave beyond 12 weeks and up to 5 years in length, the employee will be restored to the same or equivalent position. If the active duty is less than 12 weeks, the employee will be responsible for the employee’s contribution to the Benelect plan. If the active duty extends beyond 12 weeks, the employee will be responsible for the employee’s and the university’s contribution. (IV-11)

**Personal Leave**

An employee may request an unpaid personal leave for up to 12 weeks when there is a unique opportunity for personal and professional development which conflicts with their availability to perform their job for a period of time. The department head will agree as to the start/end dates of the personal leave and the employee is responsible for arranging for Benelect continuation through monthly payments for both the university’s contribution and the employee’s contribution. Unused vacation time will be used prior to commencing the unpaid portion of the leave but will be included as part of the leave time. (IV-11)

**Overtime Pay**

There are times when overtime will be required of non-exempt employees. Normally overtime is handled on a volunteer basis and must be approved in advance by the appropriate department head or supervisor, but staff are responsible for cooperating with overtime requests as often as possible. Employees who do not seek the proper authorization in advance for overtime pay may be subject to corrective action up to and including termination.

Non-exempt staff who work overtime will be compensated at their base rate of pay up to 40 hours and at one and one-half times their base rate of pay for time worked over 40 hours in a week. Overtime must be paid and is based on the time worked in the week. Sick, vacation, and or unpaid time off will not be included in calculating overtime. Holiday pay will be included as worked time for the work week. Hours will be paid to the nearest tenth (1/10) hour. Overtime will normally be paid in the pay period following the period in which the time was worked.

Exempt employees should include as part of their regular work week additional work time to handle short-term projects and to satisfy weekly work requirements. If an exempt employee is scheduled for an exceptional and pre-approved assignment that requires additional hours on average of more than 10 hours per week for at least two work months, additional pay is allowable as approved by the supervisor and a representative of the Compensation Office in the Department of Human Resources. (IV-2)

**Paid Parental Leave**

(See also Leaves of Absence-FMLA Leave)

Case Western Reserve University recognizes the need to support employees as they balance career, childbirth, and family life. This paid parental leave policy addresses family and work-life balance as legitimate, important, and vital to the success of the university. This policy allows for a specified period of paid leave to be taken within 12 months following the birth or adoption of a child which occurred on or after November 1, 2008, and is administered in conjunction with the Family and Medical Leave Act of 1993 (FMLA). Paid parental leave will run concurrently with FMLA leave and is limited to a total of six weeks per birth/adoption event or nine weeks if both parents/partners are employees of Case (six weeks for the birth mother or primary care-giver and three weeks for the other parent, including a domestic partner, or one who is not the primary care-giver). Utilizing paid parental leave will not have a negative impact on employment status and may be combined with other employee earned paid time off, i.e., paid sick and/or vacation time, to achieve the maximum amount of paid time off from work. (IV-14)

**Sick Days**

(See also Leaves of Absence)

Sick days available for absences due to personal or family illness, personal medical, family medical, and parenting reasons Under the Family Medical Leave Act Policy (IV-8) are allowed based on years of service. An employee may accrue unused balances from year to year. Employees may draw from their sick day balance up to a maximum of 26 weeks within any twelve-month time-
period for personal medical leaves. Refer to the Benefits Brochure for the amount allowed.

Employees have the option to use up to eight days annually of their unused paid sick days for bereavement, parenting for foster custody care, or family illness or family medical reasons.

Employees who qualify for leave under FMLA are also eligible for Paid Parental Leave for natural childbirth care and/or adoption and should refer to the Paid Parental Leave policy IV-14 (IV-10)

**Staff Salary Plan**

The Staff Salary Plan includes three distinct elements. One element is the development and maintenance of a university-wide Salary Guide. The second element is the communication of annual Salary Review Guidelines. The third element is the opportunity for individual salary increases through meritorious performance reviews.

A Salary Structure is designed and updated to establish salary grades and salary ranges for senior staff and staff positions. In order for positions to be included in the salary structure, position descriptions must be drafted. All position descriptions are reviewed using the university’s job evaluation system and are assigned a sliding grade. This grade assignment defines the relative worth of one position to other university jobs.

On an annual basis, the Compensation Office will issue a Salary Adjustment Guide to establish the merit budget for the year. This is the structure supervisors will use in recommending merit increases for eligible employees.

Through their merit review, employees have the opportunity to increase their compensation by moving through their position’s salary range or by moving to a different salary grade. To be eligible for a merit increase, the employee must meet standards in all important aspects on the performance management review and make progress on annual objectives. Supervisors also have the option of providing a vacation raise in lieu of a salary increase if the employee meets standards or above on the performance management review.

When an employee transfers to another position in the same salary grade, the transfer is considered a lateral transfer, and there is no need for a salary adjustment unless the employee is being considered at the same time for an annual salary review. If an employee voluntarily moves to a different salary grade, the salary may be adjusted to a lower or higher rate in order to fall within the new grade’s salary range as well as to be in line with other employees working in the same position. The adjustment will be calculated using the Salary Adjustment Guide in effect and will be effective at the time of promotion or salary grade change. (IV-3)

**Vacation Days**

The university recognizes the need of employees to have paid time off for recreational, religious, cultural, and other personal reasons. The university promotes the idea that a reasonable period of time per fiscal year is allowable regardless of the nature and reason for using the time and prefers to provide these days as vacation days.

New hires to the university are eligible to use earned vacation days after successful completion of their employment orientation period.

Vacation days may be used at the employee’s discretion and with the supervisor’s approval only after they are earned and provided that:

- The time off is pre-scheduled and coordinated with other time off
- The time off is used in whole- or half-day increments

Supervisors are responsible for maintaining annual records of earned time as of July 1 and of used time during the year. These records will be necessary in the event that 1) the employee needs to draw upon this time before taking an unpaid leave, 2) the employee transfers to another department or 3) the employee terminates employment. If an employee transfers to a position that accrues time off on a different basis, the accrual will begin effective upon the transfer; the current year’s earned time remains unchanged. If an employee terminates, unused earned time to the date of termination will be paid. In the event of an employee’s death, unused earned time will be paid to the employee’s estate. (IV-6)
Section V
Employee Services

Employees who receive good service will be even more willing to provide good service. Consequently, the university strives to offer employees a variety of services that range from on-campus employee assistance to other services often required by former employees.

Deterrents to Workplace Violence

The university strives to provide an environment that is safe, secure, and free from violence or any related disruptive conduct. Employees can contribute to the safety of all by:

- Reporting any acts of violence they experience, observe, or become aware of to the Department of Protective Service or to Human Resources.
- Reporting potentially violent behavior of co-workers to their hiring supervisor immediately.
- Reporting the possession of a weapon, including but not limited to firearms, ammunition or any other instruments, devices or substances designed, intended or used to inflict harm upon persons or property, to the Office of Protective Services.
- Utilizing the services and programs that are available from Protective Services such as self-defense education and escort service. (I-6, V-6)

Emergency Salary Advances

There may be emergency circumstances, defined as unforeseen, unplanned, and unavoidable events, which demand immediate attention and require an employee to secure funds on short notice. If this occurs, the university is willing to assist the employee by providing an emergency salary advance against days worked in the current pay period.

The amount of an emergency salary advance will be limited to 70% of the gross pay earned in the period and a minimum of $50.00. Only one advance per 12 month period will be authorized per employee. Advances are to be submitted to the employee’s supervisor and/or the Compensation Office of the Human Resources Department. (V-5)

Employee Assistance Program

Provides an Employee Assistance Program (EAP) which is available to every employee. Services, available at no cost to the employee, include: career counseling, chemical dependency, elder or child care, financial solvency, grief, marital and family counseling, and psychological counseling. Referral agencies are local contacts accomplished in their areas of expertise. The employee is assured of confidentiality in using the Employee Assistance Program.

If an employee needs to make special work arrangements for a short time to accommodate necessary counseling, the Employee Relations Office will work with the employee and supervisor in confidence to meet short term needs. (V-1)

Grievance

There are two situations on campus for which any full-time or part-time regular staff employee may file a grievance:

1. Perceived misapplication of stated Human Resource Policies and Procedures to the employee’s situation or to his/her involuntary termination.
2. Perceived violation of the university’s policy of non-discrimination and that the employee has been subjected to discrimination based on race, color, religion, sex, national origin, age, sexual orientation or gender identity, disability or veteran status.

The following are excluded from filing a grievance: Executive staff, temporaries, staff employees who have been laid off, and staff employees in their orientation period cannot file a grievance unless the claim alleges a violation of the Affirmative Action and Equal Employment Opportunity Policy (I-1). Term employees are also excluded from filing a grievance regarding their position ending but may file a grievance for other reasons within the grievance policy. Staff employees who have been notified of their termination and who adversely affect the university community (i.e., exhibit disruptive, threatening behavior etc) may be precluded from filing a grievance regarding their involuntary termination.

The employee is responsible for filing the grievance in a timely manner. Any employee or former employee who is considering a grievance should request the detailed procedures from any Supervisor or from the Human Resource Department. (I-1, V-4)

Identification Cards

All employees will have identification cards to carry with them and which they must be able to produce upon request.
Key Control

Employees who are issued keys are expected to keep them in a secure area. Keys may not be copied, loaned, or otherwise misused by employees entrusted with possession. Keys must be returned to the Access Services Department prior to the last day of employment.

References

Most employees prefer that all employment records are confidential. As a result the university will handle reference requests of former employees with the following information: dates of employment and job title at the time of termination. A former employee may sign a written release authorizing the requestor to obtain additional information. The information that will be released with written authorization includes: 1) confirmation of a quoted salary figure, 2) reason for termination as stated on the termination form, and 3) performance criteria if documented on the most recent Performance Management Outline. No general or unsolicited information will be provided. (V-2)

Verification of Employment

Present and former employees often need verification of employment to obtain credit, financing, and other services. The university cooperates with all requests, but at the same time will protect the privacy of the employee's records. Employees are to direct calls for verification of employment to the Compensation and Records Office of the Human Resources Department. For oral requests the information released will be limited to: dates of employment, job status, and job title. If the employee signs a written release authorizing additional information to be included in the verification, the Compensation and Records Office will provide compensation-related information as requested. No forecast of future employment nor performance-related information will be provided in response to an oral or written request.

The university will cooperate with requests for information from legitimate social service, investigative agencies, and court-ordered subpoenas. (V-3)

Glossary

This glossary is a supplemental reference of all the defined terms in the policy manual. Every term is also defined in the actual policy in which the term is introduced.

“Accrue” refers to the ability of an employee to accumulate paid time off based on length of service and time worked per month.

“Active status” refers to the timeframe when employees receive compensation related to their working at the university.

“Acts of misconduct” refers to illegal acts or acts that are not in keeping with Case standards of conduct.

“Anniversary date” refers to the most recent date of hire into either a full or part-time position.

“Appreciative leadership” is recognizing the strengths of individuals and fosters an environment that supports creativity and encourages one to make voluntary commitments to established objectives.

“COBRA” refers to the Consolidated Omnibus Budget Reconciliation Act of 1986 which requires that most employers offer employees and their families the opportunity for a temporary extension of health coverage in certain instances where their coverage would otherwise end.

“Dependent children” refers to the prevailing IRS definition in effect.

“Dependents” refers to spouse and/or dependent children for which the employee provides significant financial support.

“Disabilities” is used according to its definition in Section 503 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 which is: an individual who either 1) has a physical or mental impairment which substantially limits one or more of that person's major life activities, 2) has a record of such an impairment, or 3) is regarded as having such an impairment.

“Earned time” refers to the amount of paid time off that can be used.

“Eligibility date” refers to the date of the employee’s first FMLA leave within the previous twelve months.

“Employee Assistance Provider (EAP)” is a contracted service that provides voluntary, private, and confidential counseling services and resources for employees and family members to help identify problems and develop plans for resolutions.

“Employment status” refers to the four recognized work schedules of full-time, part-time, temporary, and term.
“Excessive absenteeism” refers to repeated occurrences (more than six in six months) of unscheduled absence and/or tardiness that are unrelated to approved time off.

“Executive staff” refers to key staff positions who serve at the pleasure of the president and are not included in staff salary wage grade.

“Exempt” is a term for employees generally holding teaching, administrative, or professional positions, and whose compensation is not based on a report of hours worked. The term “exempt” refers to their exemption from the Fair Labor Standards Act.

“Faculty” includes all individuals who hold academic or clinical appointments.

“Family” includes the employee’s spouse as recognized in the state of Ohio, son, daughter, parent or guardian, and domestic partner who has met the requirements for receipt of domestic partner benefits under Case’s policy.

“Family medical” includes time to care for an ill family member for medical reasons.

“Fiscal year” refers to the period of July 1 through June 30.

“Fringe benefit allocation” refers to a percentage of salary that covers the related employee expenses such as unemployment compensation, Social Security, Benelect, Worker’s compensation and similar miscellaneous expenses.

“Half-time” refers to a regular work schedule of 18.75 hours per week or as specified in faculty appointments.

“Inactive status” refers to 1) the twelve-month period following an employee lay-off during which the employee is available for interviews and to return to work or 2) an employee who is on an approved paid or unpaid personal medical leave over 12 weeks (or 26 weeks for a military servicemember family leave) who has not reached eligibility for long term disability.

“Layoff” refers to the necessity of eliminating position(s) due to changes out of the employee’s control such as lack of funding or lack of work or reorganization.

“Market Pricing” is a process that determines salary ranges by surveying the various market places in which the university competes for employees.

“Non-exempt” is a term for employees who perform secretarial, clerical, technical, trade, or service work, and are entitled to additional pay for work in excess of normal working hours. They are not exempt from the Fair Labor Standards Act.

“Overtime” is the hours worked per week in excess of the time worked in the normally scheduled work week.

“Parenting” refers to care and nurturing for a new child as a result of childbirth, adoption or foster custody, unrelated to a medical condition.

“Performance year” refers to the predetermined review period which may be the employee’s anniversary year, the period July 1 – June 30, or another designated period as determined by the department and approved by Human Resources.

“Personal medical” includes sick time and all medical disabilities as certified by a health care provider including the time prior, during and post childbirth.

“Pre-tax basis” refers to the deduction from pay of employee’s contribution to the Benelect Dollars, resulting in a lower base for calculating federal, state, and Social Security tax deductions.

“Salary grade” refers to the salary range and level assigned to staff positions.

“Senior staff” refers to staff in salary grades 18 and above.

“Serious illness” and “serious health condition” normally are defined as an illness which requires daily or continuing treatment as certified by a health care provider.

“Severance” refers to pay for a specific period beyond the last date of employment.

“Sexual harassment” can be defined as any unwelcome sexual advance, requests for sexual favors, or other verbal or physical conduct of a sexual nature, or verbal or other physical conduct directed at an individual or individuals, because of gender and motivated by animus (strong dislike or animosity) based on gender.

“Solicitation” is requesting another person to purchase goods and/or services, to donate goods, services, or money to any organization, or to sign petitions, or the like, for any purpose.

“Staff” includes research, trainees, and support staff, whose positions fall in the salary grade levels 1-17.

“Staff Grievance Appeal Committee” refers to a standing committee, appointed by the president.

“Student employee” refers to a Case student whose employment is: 1) a referral from Student Employment and restricted to 20 hours/week or 2) part of an academic program.
“Supervisor” refers to an employee whose primary responsibility involves the job performance of other employees and who effectively recommends actions related to hiring, compensation, and performance appraisal of those employees.

“Term employee” refers to an employee whose position’s duration is a minimum of 12 months and a maximum of 3 years; however, there are no guarantees of continued employment either within the term or when the term ends. Positions funded by grants with a defined end date from 1–3 years may be filled with a term employee. Positions can be part-time or full-time.

“Total compensation” is the term used to describe salary and fringe benefits paid to an employee.

“Unscheduled absence” is defined as an occurrence of absence and/or tardiness unrelated to approved time off.

“Violent conduct” includes, but is not limited to, physical or verbal assault, threats, harassment, intimidation, stalking, possession of any object used or perceived to be used as a weapon, while on university premises by any person toward another person.

“Workplace Violence” is used to define any conduct that results in harm, the threat or intention to harm persons or property, or that in any way jeopardizes a safe and secure environment in the workplace.

“Work week” refers to the period beginning 12:01 a.m. Sunday and ending midnight of the following Saturday.
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