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Indiana University Health

Owner:	*Megan Haymaker: Vice President-Human Resources Regional*
Area:	*Human Resources*
Tags:	*Education level 3*
Applicability:	*All Sites*

Values Based Attendance

I. PURPOSE

In order to deliver on our IU Health promise to patients and families, it is expected that team members maintain acceptable standards of attendance. This policy provides for administering attendance standards within the organization in accordance with IU Health values of compassion, excellence, purpose, and team.

II. SCOPE

All team members are covered under this policy upon hire. Hourly team members are addressed beginning in Policy Statement A. Salaried team members are addressed beginning in Policy Statement B.

III. EXCEPTIONS

Regional Human Resources Vice President may grant exceptions on a case-by-case basis.

IV. DEFINITIONS

Attendance Guideline Program: a system used to evaluate team member attendance.

Attendance Instance: a tardy, missed punch, unscheduled absence, or leaving early more than 2 hours without leader approval. All of which are equally weighted in value. Attendance instances can also be created for short or long meal periods, at the leaders discretion, by adding a comment in Kronos.

Every 4 additional Instances: at the 8th attendance instance and thereafter every 4th instance, leaders are triggered to make decisions on appropriate actions to address team member's continued pattern of unreliable attendance.

First 8 instances: a series of 1-8 attendance instances within a 12-month rolling period. Upon accrual of 1 attendance instance, a record is maintained for the 12-month rolling period. Attendance instances do not expire until 12 months at midnight from the date of the first instance.

Full-time: a team member (with regularly scheduled hours) scheduled in Human Resources Information Systems (HRIS) to work 72 to 80 hours each pay period. Hours may be extended beyond the regular schedule. A .9 to 1.0 full-time equivalent (FTE) is benefits eligible.

Hourly: a position that is eligible for overtime compensation as defined by the Fair Labor Standards Act (FLSA). A team member holding a (nonexempt) hourly position paid by the hour and must record their time worked by clocking in and out. An hourly team member is entitled to overtime pay for hours worked in excess

of 40 per week.

Job Abandonment: absence without notification (no call/no show) for three (3) consecutive workdays. Refer to System *Corrective Action* policy, addressing gross misconduct.

Measurement Period: rolling 12 months that begins on the date of the first attendance instance and expires 12 months later at midnight for Step 1. After 8 instances in less than 12 months, the next measuring period is every 4 instances which occur in less than 6 months. All instances after 12 instances expire after 6 months of no instances from the last date of instance. Step 2

Missed Punch: an error in recording appropriate time (in-or-out), as defined by an hourly team members Kronos schedule.

Part-time: a team member (with regularly scheduled hours) scheduled to work 4t to less than 72 hours each pay period. Hours may be extended beyond the regular schedule. A .6 to .85 FTE is benefits eligible.

Salaried: a bona fide executive, administrative or professional position as defined by the Fair Labor Standards Act (FLSA) and is thereby exempt from the overtime provisions of the FLSA. Criteria that determine exempt status include salary tests, job duties and responsibilities.

Tardy: a period of time equal to or greater than 6 minutes after expected shift start time, whether at the beginning of assigned shift, and/or a scheduled overtime shift.

Unscheduled Absence: an absence not prearranged by leadership and team member at least the previous business day to authorize the team member not to report for work as assigned. This includes additional assigned shifts and overtime shifts.

V. POLICY STATEMENTS

A. *The following provisions apply to hourly team members.*

1. **General**

   a. Individual departments will establish and communicate call-in procedures for unscheduled absences to meet departmental needs. These may include when an absence must be reported, to whom the absence must be reported, and whether the absence may be reported by someone other than the team member.

   b. Being absent 3 or more consecutive workdays without following department established call-in procedures for reporting an unscheduled absence is considered job abandonment - gross misconduct and may lead to involuntary termination for just cause under the *Corrective Action* policy. *Before termination, leaders will utilize values-based decision making and inquire if a well check should be issued, or if termination is appropriate.*

   c. Any absence-related misconduct such as failing to follow the department call in procedures for an unscheduled absence, failing to report to work after requested time off *was* denied, or misrepresenting the need for time off, etc., will be addressed as a performance issue under the *Corrective Action* policy. Disciplinary action may be taken up to and including termination of employment.

   d. Leaders will utilize values-based decision making to determine if team members should receive annual performance review increases if the team member has demonstrated a consistent pattern of unreliable attendance. Leaders keep in mind the values when determining if team members should transfer out of the department when demonstrating patterns of unreliable attendance.

   e. One attendance record is maintained throughout a team member's employment with IU Health. As a result, attendance records transfer with all team members should they decide to transfer

within the organization.

f. All involuntary terminations must be reviewed with Human Resources prior to termination.

g. Team members are responsible for being aware of their own attendance record through the attestation process in Kronos and will have to attest to their time on a regular basis. Team members can view their own attendance instances and balance using the Attendance information widget in Kronos.

h. In circumstances where the team member is terminated due to attendance, leaders will determine rehire eligibility on a case-by-case basis utilizing values-based decision making.

i. Team members are expected to maintain adequate paid time off (PTO) hours for scheduled vacations, sick time, holidays, etc. (refer to the *Paid Time Off* policy). Time scheduled off for these reasons is to be paid from the team member's PTO bank if time is available. Team member requests for vacation, holiday, or personal time when insufficient accrued PTO exists may only be granted without pay at department management discretion. Departments may also address unscheduled absences not covered by adequately managed PTO as a performance issue under the *Corrective Action* policy.

j. Repeated actions under the *Values Based Attendance Policy* are considered a performance issue and may result in termination under the *Corrective Action* policy.

2. Attendance Guideline Program

a. The consecutive 12 month rolling measurement period begins from the date of the specific attendance instance and expires 12 rolling months later at midnight.

b. Additional attendance instances during the measurement period will not be subject to formal action until they reach relevant excessive instances listed below. Once team member enters the attendance guideline program (at 8 instances), leaders will make a values-based decision to determine what action(s)/resources will help team members improve their attendance. If additional attendance instances are accrued (beyond the initial 8), for every 4 instances, leaders are triggered to make decisions on the appropriate action to take. Actions include social needs support, coaching conversations, attendance actions, schedule changes, and/or termination.

Step	Number of Instances	Action/Result	Comments
Step 1	0-7 instances	None	Based on conversation, leader may need or choose to issue an attendance action form. Consult Human Resources.
	8 instances	Leader determines action (Options to consider: Coaching conversation, attendance action form, up to and including termination)	
Step 2	12 instances	Leader determines action (Options to consider: Coaching conversation, attendance action form, up to and including termination)	Consultation with Human Resources
	16 instances		
	20 instances		

B. *The following provisions apply to salaried team members only.*

1. **General**

   a. Salaried team members are expected to work on average, 40 hours in a workweek (or the pro-rated number of hours for less than full-time status) and are paid on a salaried basis. Pay is based on performing the total job, not on the number of hours worked. Salaried team members frequently work extra hours customarily associated with professional responsibilities, with no expectation of overtime or compensatory time off. Salaried team members may be required to be at work at specific times or may have flexible scheduling to accommodate variations in workloads.

   b. Individual departments will establish attendance expectations for salaried team members. Substandard attendance will be documented as a job performance issue and managed under the *Corrective Action* policy.

   c. Salaried team members are expected to maintain adequate PTO hours for scheduled vacations holidays, etc. (refer to the *Paid Time Off* policy). Time scheduled off for these reasons is to be paid from the team member's PTO bank if time is available.

2. **Salaried Pay Guidelines:**

   a. Salaried team members are to be paid based upon days worked not upon hours worked. This means that a record is not to be kept of any extra hours worked beyond a salaried team member's regular workday. It also means that a record is not to be kept of any hours that a salaried employee is short of his/her regular workday.

      i. Individual departments will establish and communicate call-in procedures for unscheduled absences to meet departmental needs. These may include when an absence must be reported, to whom the absence must be reported, and whether the absence may be reported by someone other than the team member.

      ii. Being absent 3 or more consecutive workdays without following department established call-in procedures for reporting an unscheduled absence is considered job abandonment - gross misconduct and may lead to involuntary termination for just cause under the *Corrective Action* policy. *Before termination, leaders will utilize values-based decision making and inquire if a well check should be issued, or if termination is appropriate.*

      iii. Salaried team members are expected to work the number of hours required to "get the job done". Due to the nature of the work that most salaried team members perform, the number of hours required has some peaks and valleys associated with it.

      iv. Leaders are prohibited from making partial day deductions from the pay of salaried team members with the exception of PTO and intermittent FMLA. If a salaried team member feels they have been paid improperly, he/she should contact their leader and or Human Resources.

   b. IU Health does not recognize "comp time" for salaried team members with routine supervisory or managerial responsibilities. Salaried team members are required to work hours beyond their regular workday to meet their job responsibilities. At the same time, they also have the latitude to work "short" workdays from time to time.

      i. Salaried level team members are required to attend regular meetings and events during evenings and weekends with no compensatory time off.

      ii. NWNP (Non-Worked, Non-Paid): Due to the Fair Labor Standards Act requirements, NWNP hours are not to be entered for salaried employees.

iii. Travel: Salaried team members are not eligible to receive extra compensation for work-related travel time. The team member should be compensated for his/her regular workday when traveling during the week. Travel on weekend days will not be compensated in addition to the regular workweek.

C. *Qualified Exceptions (applies to all team members)*

1. Absences from work for a period of time for any of the following reasons are not considered instances:

   a. Working from home when approved by leader.

   b. Time off prearranged and approved within a department-specified time frame.

   c. Absences related to the scope and eligibility provisions outlined under the *Family and Medical Leave (FML) and Domestic Partner Leave (DPL)* policy.

   d. *Leave of Absence*: Discretionary Policy or Americans with Disabilities Act Amendment Act (ADAAA) leave prearranged and approved.

   e. Injury or illness accepted by Worker's Compensation as job related.

   f. *Bereavement Leave* as provided by policy.

   g. *Jury/Court Duty* as provided by policy.

   h. *Military/Nonmilitary Leave and Pay* as provided by policy.

   i. Lack of work provided the team member is sent home or is informed not to report to work by department management.

   j. Absences for approved organization business.

   k. Suspension pending investigation.

   l. Discretion during Emergency Weather Situations (applies to all team members). For further information, refer to the *Operational or Weather Emergency Pay Practices* policy.

VI. PROCEDURES

A. At the start of employment, departments are expected to review the *Values Based Attendance Policy* with new team members, in addition to any department specific provisions. Unless otherwise defined by the job description, regular attendance is an essential function of all IU Health positions.

B. It is the team member's responsibility to notify department of any unscheduled absence, via department established call in procedures. Failure to do so is a performance issue and should be managed by the *Corrective Action* policy.

C. Attendance records should be monitored by leadership at minimum once per pay period.

D. All involuntary terminations must be reviewed by Human Resources before moving to termination.

E. Tardiness is monitored by established guidelines. Tardy instances are equally weighted to any other attendance instance.

F. Any signed attendance warning should be uploaded as a document of record in the Human Resource Information System.

VII. CROSS REFERENCES

Bereavement Leave

Corrective Action

Family and Medical Leave (FML) and Domestic Partner Leave (DPL)

Jury/Court Duty

Leave of Absence

Military/Nonmilitary Leave and Pay

Paid Time Off

Termination

Timekeeping (formerly Time Recording)

VIII. REFERENCES/CITATIONS

None

IX. FORMS/APPENDICES

None

X. APPROVAL BODY, IF APPLICABLE

None

Attachments

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Approval Signatures

Step Description	Approver	Date
Approver	Elizabeth Dunlap: Senior Vice President-Chief Human Resources Office [MH]	3/26/2021
Endorsing on Behalf of Oversight	Cynthia Baker: Program Manager	3/26/2021
Owner	Megan Haymaker: Vice President-Human Resources Regional	3/24/2021

Applicability

ASC: Ball Outpatient Surgery Center (BOSC), ASC: Beltway Surgery Center-Penn Pkwy (BSC), ASC: Beltway Surgery Center-Spring Mill (SM), ASC: Eagle Highlands Surgery Center (EHSC), ASC: East Washington Surgery Center (EWSC), ASC: Glen Lehman Endoscopy Suite (GLES), ASC: Indiana Endoscopy Centers, LLC (IEC-A/ IEC-DT), ASC: Indiana Hand to Shoulder Surgery Ctr (IHTSC), ASC: Meridian South Surgery Center (MSSC), ASC: Multi-Specialty Surgery Center (MSPC), ASC: ROC Surgery (ROCS), ASC: Saxony Surgery Center (SAXSC), ASC: Senate Street Surgery Center (SSSC), ASC: Surgery Center Fort Wayne, Arnett Clinic, LLC, Document Consensus, IU Health ACO, Inc., IU Health AHC, IU Health Arnett, IU Health Ball Memorial Hospital, IU Health Ball Memorial Physicians, IU Health Bedford, IU Health Blackford Hospital, IU Health Blackford Physicians, IU Health Bloomington Endoscopy Center, IU Health Bloomington Hospital, IU Health Foundation, IU Health Frankfort, IU Health Home Care, IU Health Hospice, IU Health Jay, IU Health North Hospital, IU Health Paoli Family & Internal Medicine, IU Health Paoli Hospital, IU Health Physicians, IU Health Plans, IU Health Southern Indiana Physicians, IU Health Tipton Hospital, IU Health Urgent Care, IU Health West Hospital, IU Health White Memorial Hospital

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	Owner:	*Tracie Ingle: Supervisor-Lab*
	Area:	*Lab - Blood Bank*
	Tags:	
	Applicability:	*Indiana University Health Pathology Laboratory*

Departmental Attendance Policy for Blood Bank (MH, UH, Riley)

I. PURPOSE

To detail department specific requirements for attendance in the Blood Bank Department at Methodist (MH), University (UH) and Riley (RI) locations.

II. SCOPE

This procedure applies to all non-exempt full time, part time, and supplemental IU Health employees in the Transfusion Service (Blood Bank) Department at Methodist (MH), University (UH) and Riley (RI) locations who have successfully completed the six (6) month initial employment period.

III. EXCEPTIONS

N/A

IV. DEFINITIONS

ABSENCE is defined as greater than 2 hours absent at the beginning of the assigned shift, an additional assigned shift, and/or a scheduled overtime assignment. Staff leaving prior to the end of their scheduled shift without notification or approval from the manager or designee will be regarded as an incident in timekeeping.

TARDINESS is counted as an event as defined by the timekeeping system.

SCHEDULED ABSENCE: an absence/tardy pre-arranged and approved by management, at minimum, on the previous business day, authorizing a team member not to report to work as assigned. This includes additional assigned shifts and scheduled overtime shifts. Individual departments will define the previous business day based upon operational requirements.

MEAL TIME All employees are required to clock out and in for meal periods. Working through a meal period or taking a short meal period should be the exception and not done consistently

V. POLICY STATEMENTS

This procedure is to be used in concordance with the Pathology Laboratory Attendance Management and Staff Scheduling Policy, the IU Health Human Resource System Attendance Management Policy and the IU Health

Team Member Handbook.

VI. PRINCIPLE/BACKGROUND

N/A

VII. MATERIALS

N/A

VIII. SPECIMEN REQUIREMENTS

N/A

IX. PROCEDURE

1. **Call-in Procedure**

    1. <u>Unscheduled Absence</u>: Employees must personally <u>report absences to a Blood Bank Supervisor, Director or Manager-on Call.</u>

        a. Notification should be made as early as possible and

            i. **at least 4 hours prior** to the start of the scheduled shift for off-shift employees (Evening and Nights) in order to have adequate time to find alternate coverage.

            ii. **at least 2 hours prior** to the start of the scheduled shift for day shift employees.

        b. No other person may call-in for an employee.

        c. Failure to do this will be addressed as a performance issue under the IU Health Corrective Action Policy. Please note that this will NOT excuse your absence and employees will be given an incidence (UPT) unless the absence is a qualified exception (FMLA etc.) as explained in the IU Health Attendance Management Policy.

        d. Unscheduled absences that cannot be covered by adequately managed PTO will be counted as a performance issue.

    2. <u>Scheduled Absence</u>: Employees must call-in to a Blood Bank Supervisor, Director or Manager-on-Call to request approval for an absence **by 4pm on the previous day**. It must be approved in advance for it NOT to be counted as an incidence.

    3. All notifications for Absence MUST be a verbal call.

        a. Order of Call:

            i. Shift Supervisor on duty in the lab

            ii. Manager On Call

            iii. Another Supervisor

            iv. Director

        b. If Manager is unreachable by phone, call the next manager in the order listed above. It is **the expectation to call until you get a response.**

            i. Team Members will <u>no longer</u> be documenting unscheduled absences (call ins). It is the team members responsibility to notify Management directly of unscheduled absences.

2. **Tardies**

   1. Any clock-in that is **7 minutes and up to 2 hours** past the start of the scheduled shift will be considered a tardy.

      a. The expectation is that you will be on time and within the normal clock in range (+/- 3 minutes).

      b. Any late clock-in from 4 minutes up to 6 minutes will be considered a performance issue and monitored by supervisors and documented through coaching, trending and goal setting.

   2. Any clock-in more than 2 hours past the start of the shift will be considered an incidence if not previously scheduled.

   3. Tardies apply to the team members normal assigned shifts, additional shifts, and/or a scheduled overtime shift.

3. **Leaving Early**

   1. Employees leaving early prior to shift completion MUST have approval granted by Management (Shift Supervisor, Director or Manager On Call).

4. **Meal and Break Times**

   1. **Breaks:** If circumstances allow them to be granted, will be no more than 15 minutes. It is not mandatory to provide breaks, however, efforts will be made to provide them when possible.

      a. Employees arriving back to work late from breaks will be addressed as a performance issue under the IU Health Corrective Action Policy.

      b. If breaks are not taken due to workload, they can not be added to meal times nor take the place of meal times.

   2. **Meals:**

      a. It is the expectation that all employees take a Meal during their shift.

         i. Team members are expected to take a 30 minute meal break to eat and relax, so that they are better able to deliver quality care and customer service.

         ii. Team members will be required to coordinate their meal breaks with others working in their area.

      b. Employees must clock in and out for meal time.

      c. Meal time is designated as 30 minutes

      d. Meal Allowances should NOT be used routinely and MUST have prior Management approval.

         i. There will not be more than two (2) approved Meal Allowances in a pay-period.

         ii. Exceptions will be made:

            a. Employees working alone

               i. A Break may be taken and staff may leave when next shift arrives when workload permits to balance time.

            b. At management discretion on case by case basis.

5. **Shift Scheduling**

   1. All Shifts will work **scheduled hours** with a required 30 min Meal (Section 4 above applies) in order to align with standards and expectations of DPLM Attendance Management and HR Policy.

2. <u>Shift hours listed below are general and subject to change</u>. Individual's shift hours are at the discretion of Management and also based on workload and staffing needs.

   a. Day Shift: 0700 - 1530

   b. Evening Shift: 1500 - 2330

   c. Night Shift: 2300 - 0730

3. This overlap of shifts will allow for better communication and hand-offs between shifts, during daily huddles and help reduce unnecessary late clock-outs/unplanned overtime.

6. **Overtime**

   1. **Late Clock-Outs:** Is a clock out more than 3 minutes following your assigned end of shift.

      a. The expectation is for the staff member to balance the extra time through-out the week as much as possible if workload and staffing permits.

      b. Please notify Management when leaving early (section 3 applies).

   2. **Unplanned:** When a last minute change in the posted schedule occurs due to a Call OFF or other circumstance creating shortage of coverage for another shift.

      a. Unplanned overtime will be documented with correction on the Posted Schedule as approved by Management.

      b. Team members who work additional hours for coverage may be asked to balance their schedule with time off if possible when directed by management.

         i. Not all overtime can be balanced due to staffing needs and is under discretion of Management.

   3. **Scheduled:** When shift scheduling requires additional coverage and is requested in advance by the Shift Supervisor prior to posting future schedule.

      a. Scheduled Time will be documented on the Posted Schedule as approved by Management.

      b. Team members who work additional hours for coverage may be asked to balance their schedule with time off if possible when directed by management.

         i. Not all overtime can be balanced due to staffing needs and is under discretion of Management.

7. **Time Off Requests**

   1. Complete PTO request in the timekeeping system

   2. PTO requests should be submitted as far in advance as possible for the vacation date(s) being requested.

   3. No more than two scheduled weekends per calendar year will be approved as PTO.

      a. If more weekends are requested, it is the expectation that the staff member will switch shifts with another team member to provide coverage.

      b. This MUST be done in a manner to avoid overtime for either staff member.

   4. Every effort will be made to approve submitted PTO requests. (see exceptions below)

   5. If PTO request is submitted for date(s) in the already posted schedule, it will be at discretion of management to approve. It is the expectation that the Staff member find coverage for their shift by finding another team member to switch days off.

6. PTO requests may also be denied if:

    a. Team member does not have enough PTO hours to cover request

        i. Exceptions are at the discretion of management.

        ii. This is a case by case basis and not mandatory to be approved.

    b. Multiple team members are requesting the same time period off

        i. When scheduling conflict exists that will cause staff shortage.

        ii. The date of submitted request and previous time off requests will be reviewed to determine approval.

    c. At Managers discretion when approval will cause adequate operations of the lab to be affected. There must be a minimum number of staff members per shift for patient care and workload requirements.

8. **Clocking In and Out (Time-Keeping and Corrections)**

    1. Team members must be in uniform and ready to work when they clock in.

    2. Team members must use the timekeeping system to "clock in."

        a. The team member should be within the immediate vicinity of their work area at the time of "clock in."

        b. Expectation is to be in the assigned lab area within 5 minutes of clock in.

    3. It is the team member's responsibility to correct clocking errors in the timekeeping system.

        a. It is the team member's responsibility to check his/her Time Card and view it for any errors, (e.g. missing clock ins/outs, nonproductive time taken, overtime or wrong clock code entry etc.).

        b. Corrections should be made as soon as possible and not wait till the end of the pay period.

        c. It is the team member's responsibility to record PTO, Jury Duty, UPT, etc for each pay period.

        d. Failure to submit accurate documentation is considered a performance issue and may result in action being taken under the Corrective Action policy.

    4. Excessive clocking errors will be subject to Corrective Action. Errors include but are not limited to:
Short break (SE)
Long break (LE)
No break - without approval
Missing clock-in
Missing clock-out
Incorrect code usage

X. APPENDICES/ATTACHMENTS/FORMS/ LABELS

N/A

XI. REFERENCES

N/A

Attachments

No Attachments

Approval Signatures

Step Description	Approver	Date
CLIA Laboratory Director	Muhammad Idrees: Staff Physician	12/2020
Division Director	Daniel Smith: Staff Physician	12/2020
Medical Director	Amy Gabbard: Staff Physician	12/2020
Endorsing on Behalf of Oversight Committee	Cynthia Watt: Project Coordinator	12/2020
Supervisors (QA Unit)	Jayanna Slayten: Supervisor-Lab	12/2020
Supervisors (QA Unit)	Evangeline Miguel: Supervisor-Lab	12/2020
Supervisors (QA Unit)	Tracie Ingle: Supervisor-Lab	12/2020
Director	Heather Vaught: Dir-Transfusion Medicine-Lab	12/2020

Applicability

IU Health Pathology Laboratory