TY&E Attendance System

Training and User Guide

BNSF RAILWAY

Burlington Northern Santa Fe Railway, Standards & Development Group
September 2005

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The TY&E Attendance Guidelines (and the on-line system that supports the process) provides to you, as a leader, a tool that can be used in working with employees who have attendance issues.

You should explain the guidelines to employees in a positive manner, relating what it can mean for all employees if *everyone* is available 75% of the time in any three-month period.

You will have the opportunity to work through employee issues in a fair, equitable and consistent manner to demonstrate your reasonable attitude towards the workforce and build trust with your team.

BNSF'S

"TY&E ATTENDANCE

GUIDELINES"

BNSF ATTENDANCE GUIDELINES
FOR TRAIN, YARD AND ENGINE EMPLOYEES
Effective March 1, 2000 (updated September 2005)

BNSF TY&E employees are key members of our community, and have a legitimate expectation of reasonable opportunity to be off from work. And, along with all other members of our community, BNSF TY&E people share certain responsibilities to the community as a whole. One of these basic responsibilities is to be "full-time" employees. The company commits that each TY&E employee in unassigned service fulfills his or her responsibility to maintain "full-time" status, in general, by laying off not more than twenty-five percent of weekdays and weekends in any three month period.

Local members of the BNSF transportation management team are specifically empowered to apply these Guidelines considering special individual circumstances. Managers should never act in a rigid or "wooden" manner, and in every case should use "common sense." Application of these Guidelines also must yield to any conflicting labor agreement provision. We also invite and encourage local union leaders to give their input in the application of these Guidelines in individual cases, and, generally, to be "part of the process."

BNSF provides for and encourages each employee who knows in advance of a need to be off to request a pre-approved layoff. An employee may do so up to ninety days in advance, and will receive a prompt answer. Once a pre-approved layoff is granted, the company may not cancel it without the employee's consent.

More specific principles for applying these Guidelines follow:

- Each employee's compliance with the Guidelines' standard of "full-time" employment will be measured on a "rolling" three-month basis, to accommodate individual employees' needs to "bunch" days off.
- An employee's continuous fulfillment of the Guidelines' "full-time" standard for any twelve months completely clears his or her record of any previous failure to fulfill the full-time standard.
- The company's basic measurement of full-time status considers all time an employee is not marked off, and also jury duty, bereavement leave, engineer re-certification, and layoff union or company business, to be the same as on-duty time.
- Periods of vacation, personal leave, other paid leave not already mentioned here, layoff on miles are removed from the measurement.
- In every case, local supervisors should consider special circumstances and use common sense in applying the Guidelines.
- We encourage any employee identified as failing to maintain full-time status under these Guidelines to seek the involvement of his/her local chairman. Local managers should also encourage such involvement by local chairmen in order to promote fair and common sense application of the Guidelines.

Practical Application

OF

BNSF'S

"TY&E ATTENDANCE GUIDELINES"

Unassigned Service

Our expectation is that each employee in unassigned service fulfills his or her responsibility to maintain full time status, in general, by laying-off not more than twenty-five percent of the weekdays and weekends, measured separately, in any three-month period.

Overlay Board (Designated as Overlay2 in CPTAS)

An employee is allowed to be off any day within their rest cycle window along with 1 day per month outside of the window for emergencies. Anyone who lays off more than 1 day outside their rest window will be measured against a 25% threshold and any rest cycle days used will be considered as unavailable days (Labeled as Overlay2% in CPTAS). If the day outside the rest window is not used, it will not carry over to following months.

Mandatory Rest Overlay Board (Designated Overlay in CPTAS)

An employee is allowed to be off any day within their rest cycle window along with 1 day per month outside of the window for emergencies. Anyone who lays off more than 1 day per month outside their rest cycle window will be in violation of policy. The 1 day will be allowed to carry over to following months to allow a total of 3 days within the rolling 3 month measurement period.

Assigned Service (other assigned service)

Like employees who work in unassigned service, employees who work in assigned service (locals, road switchers, yard assignments, and work/rest boards) are required to maintain "full-time" status. There are certain thresholds programmed into the computer that generates a candidate list. For 5-day assignments, assuming the employee has been active for the entire month, they are allowed 1 emergency day outside their rest days before being in violation of the guidelines. For 6-day assignments, employees are allowed up to 2 weekdays and 1 weekend day outside rest days before being in violation of the guidelines (once again assuming the employee was available for service for the entire month). Employees not active for the entire month may have only a pro-rated portion of that time available (refer to chart on page 14).

Mixed Assignments

When an employee moves from one assignment type to another in a month, he / she will be considered in Attendance Guideline as in Mixed assignment.
Mixed assignments will be measured against a 25% threshold minus any rest days used. Total threshold will not be allowed to fall below 1 as a result of deducting rest days.

The following examples are from selecting the [Show Thrsh] button on the monthly detail screen (thresholds have been rounded for display, i.e., 1.3 on the screen may actually be 1.25)

In the following example, no rest days were used, so threshold is 25%:

POLICY	BEGIN TIME	END TIME	UNAV OVRL DAYS	REST DAYS WK	WE	NONTIME DAYS WK	WE	COUNTED DAYS WK	WE	THRESHOLD CONTRIBUTION WK	WE	ANY
O2	16JAN:11:18	18JUL:11:55						11.5	6.0	2.9	1.5	
UN	18JUL:11:55	05AUG: 0:00						9.5	4.0	2.4	1.0	
TOTAL			0	0		0.0	0.0	21.0	10.0	5.3	2.5	
THRESH										5.3	2.5	0.0

In the following example there were 4 weekday rest days used during the 5-day assignment. Those days were deducted from the 5.2 weekday threshold to yield a final threshold of 1.2 weekdays and 2.1 weekend days.

POLICY	BEGIN TIME	END TIME	UNAV OVRL DAYS	REST DAYS WK	WE	NONTIME DAYS WK	WE	COUNTED DAYS WK	WE	THRESHOLD CONTRIBUTION WK	WE	ANY
UN	09JUN:13:55	08JUL:11:00						5.5	2.0	1.4	0.5	
5	08JUL:11:00	22JUL:22:34		4				10.5	4.0	2.6	1.0	
NONTM	22JUL:22:34	25JUL: 0:15				0.0	1.6	0.1	0.4	0.0	0.1	
UN	25JUL: 0:15	05AUG: 0:00						5.0	2.0	1.2	0.5	
TOTAL			4	0		0.0	1.6	21.0	8.4	5.2	2.1	
THRESH										1.2	2.1	0.0

In the following example, overlay rest cycle days are counted as rest days. Deducting rest days from threshold resulted in negative numbers for both weekday and weekend thresholds, they were reset to 0 and one any-day threshold was added. (Note the any-day threshold would not have been added if more than ½ of the month had been spent in nontime status.)

POLICY	BEGIN TIME	END TIME	UNAV OVRL DAYS	REST DAYS WK	WE	NONTIME DAYS WK	WE	COUNTED DAYS WK	WE	THRESHOLD CONTRIBUTION WK	WE	ANY
O2	03MAY:14:00	06JUL:23:55		1	1	0.0	1.3	4.0	0.7	1.0	0.2	
UN	06JUL:23:55	11JUL: 5:29						2.2	2.0	0.6	0.5	
O2	11JUL: 5:29	26JUL:20:13		6	1			11.6	4.0	2.9	1.0	
UN	26JUL:20:13	27JUL:10:24						0.6		0.1	0.0	
O2	27JUL:10:24	02AUG: 0:00			2			2.6	2.0	0.6	0.5	
TOTAL			7	4		0.0	1.3	21.0	8.7	5.2	2.2	
THRESH										0.0	0.0	1.0

Administration

On or before the eighth day of each month, each station will receive a candidate list in the computer. It will be the responsibility of each supervisor to access the system and review the list of candidates to determine if there are employees that have failed to maintain full-time status.

Three-month Measurement Period

The measurement period for determining full-time status is based on attendance for over a three-month period. Each month the Attendance System will reflect threshold information on each TY&E employee for the previous three months. Once the candidate list has been reviewed and it has been determined that an employee has not maintained full-time status, the employee should be handled through the discipline process.

Flexibility of Three-month Period

A three-month rolling period allows for "bunching" of off days for flexibility in meeting family needs. A three-month rolling period is obtained simply by adding together the results of the individual three months within the period.

Three-month Rolling Report

The three-month report will provide a list of candidates that the supervisor may use to determine if any employee has failed to meet full-time employment for the three-month period. The candidate list is generated by the computer and was developed by establishing criteria for a number of "threshold" days that an employee lays off prior to being flagged. Thresholds are developed for weekdays and weekends. For unassigned employees, 25% is used. For assigned, please refer to the section on General Availability for Assigned Service to determine what the computer uses to generate a candidate list. Just because the computer flags an employee, this doesn't necessarily mean that he/she has failed to maintain full time employment. Judgment must come into play. There are a number of questions the supervisor should consider prior to making that determination, which may include:

1. Has the data been "scrubbed" and is it as correct as possible to be best of your knowledge?
2. Have you considered any LOC, EMC, etc., that should be excused account already investigated under PEPA?
3. Does the employee's history suggest a pattern of behavior?
4. After these things, and any other consideration, the supervisor then uses their judgment to determine if the employee has failed to maintain full time employment for this most recent period.

Example of How Employees are Flagged
During any measurement period, all employees must maintain full-time status.   The computer develops a list of candidates using various thresholds that the supervisor may use to determine if there are employees that have not maintained full-time status. For example, let's take the March/April/May 2000 measurement period for an unassigned employee. During this measurement period, there are 26 weekend days and 66 weekdays of potential active service. The attendance requirement for an unassigned employee is to be available 75% of the time. Assuming that he has no excluded time, his availability will be 19.5 weekend days and 49.5 weekdays. In other words, this employee could be off 6.5 weekend days and 16.5 weekdays during this measurement period and still be considered to have met his full-time status requirement. If the employee has exceeded this number of days off, the computer will flag the employee on the candidate list. *Note: See pages 16 – 19 for sample scenarios.*

Guideline Exclusions
These guidelines do not apply to newly hired employees in training for initial ground service. The Technical Training Center or the governing Division General Director of Transportation (GDT) or his designee will determine availability requirements for trainees.

Crew Support Role, Layoff Conditions
Layoffs must be requested from and authorized through TSSCREW or VRU. The approval or declination of lay off requests will be determined based on a combination of employee availability percentage, current supply versus projected demand, and allocations that are determined by the GDT or his designee. This handling conforms to the pre-existing policy and is not a change. The Crew Support Center is responsible for the functionality of the system and ensuring that the technology is operating as designed and allocated, in compliance with the attendance guidelines. In addition, the Crew Center will utilize technology to monitor the system for information accuracy and consistency.

Pre-Arranged Layoffs
The GDT will designate, by pool, board or location, the number of pre-arranged layoffs that may be granted in advance. Pre-arranged layoffs are encouraged and can be requested up to 90 days in advance. They will receive an immediate response if approved. Pre-arranged layoff requests will be granted on a first-come, first-served basis and with respect for "needs of service." When the maximum number of allocated pre-approved layoffs has been reached, layoff requests may be granted by Division supervisors on a case by case basis. All layoffs, pre-arranged or otherwise, are subject to the Attendance guidelines stated in this guideline. Once granted, pre-arranged layoffs will not be canceled without the employee's consent.

Disciplinary Action

Attendance Discipline Matrix:
The following is a matrix that outlines basic results for failure to maintain full-time status:

Current record	Result
First attendance violation*	**Formal reprimand**
Second attendance violation	**10 day record suspension**
Third attendance violation	**20 day record suspension**
Fourth attendance violation	**Employee may be dismissed**

*Assumes employee has not been disciplined for attendance in the last 12 months. The review period established for attendance violations requires that the employee work 12 months without an attendance discipline incident before an attendance violation is considered inactive.

If an employee's violations are a <u>combination of PEPA rule violations and attendance</u>, the following points apply:

- The first attendance violation (outside of formal alternative handling which may be available under the alternative handling agreement) must be handled with a formal reprimand. Subsequent attendance violations are handled at the level reflecting the total number of active attendance violations.
- The pattern of behavior is considered dismissible if the employee has a total of four active attendance violations or three active attendance violations and a serious rule violation within the past 36 months (or the past 12 months, if the employee's record review period was reduced to recognize five years of injury and discipline free service).
- The pattern of behavior is also considered dismissible if the employee has a total of five rule violations of any kind in a 12-month period (which may include a combination of non-serious, serious and attendance violations).

Exceptions to Compliance Failures

An employee who misses a call, lays off on call or is a no-show is subject to PEPA separate and apart from the Attendance Guidelines. If an employee is disciplined under PEPA for one of these events, they shall not be held accountable again <u>if that particular event/absence</u> results in the employee being in non-compliance with the TY&E Attendance Guideline (see excused absences on the following page). However, if there was NO formal investigation for those events, they must be counted under the Attendance Guidelines. *See Page 47 for entry.*

Data Integrity Issues

At times, reporting problems within the TSS Crew application may result in false data being sent to the TY&E Attendance System (CPTAS). This data may include erroneous layoff and/or mark-up dates and times, or information which is not supported by actual events. When situations like these occur, always work with Crew Support manager of your territory and verify the TSS information before modifying the CPTAS data. Generally you have two options in these cases:

- Correct the event date and/or time in CPTAS
- Void/excuse the absence record (within the CPTAS system) due to erroneous data

Excused Absences

The ONLY codes applicable for excusing an event are:
> EXDI – Excused account Bad Data
> PEPA – If an employee is disciplined under PEPA for a missed call,
> > Lay off call or no show, that event must be excused from the
> > Attendance System

See Page 47 'Modifying Monthly Event Data'

Doctors Slips

Each employee is expected to be full time and manage their allotted time off. Individual days for laying off sick or sickness in family is included in any employee's allocation for time off. (Please note: medical leaves and/or FMLA is available for employees who need time off for themselves or their family members with serious illnesses.) As you review each employee's situation and take into consideration their attendance and work history that is provided for you in the system, you may determine an employee does not warrant an investigation for their current attendance exception. If this is the case, you have the NDIS code that can be used. If you use this code, you should be sure to include all of this information in the comments line of the file.

Here are a couple of examples of appropriate handling:

(1) Employee A is out of compliance for this current 3-month rolling period by 2 days of LOS. The employee advises you that he had a specified illness. In reviewing the employee's attendance and work history, you note that for the last two years the

employee has been out of compliance only 1 other time in that two year period. This employee normally has excellent attendance. In this case, you would more than likely want to mark the file NDIS, and make comments accordingly. However, you should advise the employee that this is a 3-month rolling system and their future month layoffs should decrease to compensate for this current period non-compliance.

(2) Employee B is out of compliance for this current 3-month rolling period by 2 days of LOS as well. The employee provides you with a <u>doctor's note </u>indicating he/she had an illness. In reviewing the employee's attendance and work history, you note that this employee is out of compliance with a degree of frequency. He/she has even provided you doctor's notes in the past concerning his past LOS and SIF layoffs. In this case, you would continue with calling an investigation on this employee. The doctor's slip is nice to have, but it doesn't relieve anyone of attendance guideline compliance.

The bottom line to the above is that to mark a file NDIS on a single occasion over a two year period for a bona-fide illness for an employee with exemplary attendance is appropriate. Marking files NDIS for employees who continue to be out of compliance is not - even if they have a doctor's note every time. In either case, individual days are never to be excused because of a doctor's note.

Defining Events

Lay-off Events: Lay-off events are considered as unavailable and are generally non-compensated events such as (this is not an exhaustive list):

Lay-off Personal	Missed Calls
Lay-off Sick	Other Lay-off
Sick in Family	

"Excluded" time: Excluded time includes compensated time and other excused layoffs, which includes, but is not limited to:

Vacation	Paid Personal Leave Days
Medical Leave	National Guard
Military Leave	Travel Time to Reassignment
Rules Classes	Excused absence as defined in this Policy
Bump Board (from time of notify)	

"Active" (Available) time: Any time considered on-duty, which includes, but is not limited to:

Jury Duty	Bereavement Leave
Union Business	Company Business
Engineer Re-certification	Foot of Board

Defining Weekend / Weekday & Applicable Grace Periods
If job hours are available, day of week will be based on job start time.

Weekend Day: Any portion of a **weekend** day touched by a layoff occurrence up to and including 24 hours constitutes one whole weekend day (unless the 30 minute weekend window applies, *see below)*.

Weekday: Any portion of a layoff up to and including 24 hours on a **weekday** (**except** what touches a weekend day) constitutes one whole weekday.

Full Calendar Day (25 Hour Rule): A one-hour grace period over 24 hours to maintain one day*. **This rule applies in full day increments only:***

> Examples: A 25-hour layoff will equal 1 day
> A 49-hour layoff will equal 2 days
> A 73-hour layoff will equal 3 days, etc…

30-Minute Weekend Window *(unassigned service only)*: A 30-minute grace window has been instituted to define weekend versus weekday events.

> Examples: If an employee marks off at 1100 on Friday and marks up at 0030 on Saturday, this will count as one weekday.
>
> If an employee marks off at 2330 on Sunday night and marks up at 2330 on Monday night, we will count the entire event as a weekday.

> *Any time exceeding the 30-minute grace period will fall to the weekend.*

CONVERSION / THRESHOLD CHARTS:

HALF DAY EQUIVALENT CHART

When an employee marks off initially, that layoff (up to 25 hours) will count as one full day of unavailability. Layoffs exceeding 25 hours will be calculated in one-half day increments as follows:

Hours Off	Round To	Equiv. Days
1 to 25	24	1
Over 25 to 36	36	1.5
Over 36 to 49	48	2
Over 49 to 60	60	2.5
Over 60 to 73	72	3
Over 73 to 84	84	3.5
Over 84 to 97	96	4
Over 97 to 108	108	4.5
Over 108 to 121	120	5
Over 121 to 132	132	5.5
Over 132 to 145	144	6
Over 145 to 156	156	6.5

MONTHLY THRESHOLD (Unassigned Service)

Week Days: Threshold is determined by the multiplying the available week days to a factor of 0.25 rounded to 1/100 of a day.

Weekend Days: Threshold is determined by the multiplying the available weekend days to a factor of 0.25 rounded to 1/100 of a day.

Available days in service is figured by subtracting 'Excluded' days from an employee's total days in active service. *Remember that the two categories of weekday and weekend are figured independently.*

CONVERSION / THRESHOLD CHARTS (continued):

GENERAL AVAILABILITY CHART
(Unassigned Service Monthly)

The chart below shows the number of 'Available' weekend and weekdays in each month (prior to subtracting 'excluded' days) along with the maximum days allowed off.

Month	Available Weekdays	Available Weekend	Maximum Threshold Weekdays Off	Maximum Threshold Weekend Days Off
January 2000	21	10	5.25	2.50
February 2000	21	8	5.25	2.00
March 2000	23	8	5.75	2.00
April 2000	20	10	5.00	2.50
May 2000	23	8	5.75	2.00
June 2000	22	8	5.50	2.00
July 2000	21	10	5.25	2.50
August 2000	23	8	5.75	2.00
September 2000	21	9	5.25	2.25
October 2000	22	9	5.50	2.25
November 2000	22	8	5.50	2.00
December 2000	21	10	5.25	2.50
January 2001	23	8	5.75	2.00

THREE-MONTH ROLLING THRESHOLD CHART
(Unassigned Service – 3-Month Period)

A three-month rolling thresholds are obtained simply by adding together the thresholds of the individual 3 months within the period, then rounding to half day.

The chart below reflects the sum of each 3-month period:

Three Month Rolling (January 2000 thru January 2001)	Available Weekdays	Available Weekends	Maximum Threshold Weekdays	Maximum Threshold Weekend Days
January - February - March	65	26	16.5	6.5
February – March – April	64	26	16.0	6.5
March – April – May	66	26	16.5	6.5
April – May – June	65	26	16.5	6.5
May – June – July	66	26	16.5	6.5
June – July – August	66	26	16.5	6.5
July – August – September	65	27	16.5	7.0
August – September – October	66	26	16.5	6.5
September – October - November	65	26	16.5	6.5
October – November – December	65	27	16.5	7.0
November – December- January	66	26	16.5	6.5

GENERAL AVAILABILITY – Assigned Service

As there are a large number of employees working in assigned service, we must have a way to "weed" through all employees to identify potential candidates that may not have met full time attendance. The computer has been programmed to automatically flag assigned employees who have taken off greater than a certain number of days within the period. If not in the same assignment for entire 3-month period; measurement will be the sum of 3 thresholds against sum of all unavailable days (thresholds are assigned on a monthly basis). Remember, this is just a candidate list only – it doesn't mean the employee has failed to maintain full time employment. The supervisor must determine through their personal evaluation if the employee has failed to maintain full time employment. In addition, the supervisor should "scrub" the data, view past history, and also consider extenuating circumstances before coming to any conclusion. The computer will flag employees that have taken off greater than the following (over and above their rest days) ***Assumes the employee has been in active service for entire 3 month period:***:

Assignment	One Month WK	One Month WE	One Month Any	3-Month Rolling WK	3-Month Rolling WE	3-Month Rolling Any
5 Day			1			3
6 Day	2	1		6	3	
14 / 01	3	2		9	6	
Assigned Rest			1			3
Overlay Board			1			Note
Mandatory Overlay Board			1			3

Note: Use it or lose it

Note: See description on page 4 for overlay2 - For each month, if overlay2 board has more than one day outside window, unassigned rules will apply.

When an Assigned Service employee has "excluded" time in a **month** (e.g. vacation, jury duty, excused absences, etc.), the number of threshold days are based on the number of days actually available for work in that calendar month as follows:

WEEKDAY CHART

14/01-Day Assignment

Days Actually Available	Max. Days/Mo. Allowed Off*
0.0 – 5.5	0
6.0 – 11.0	1
11.5 – 17.5	2
18.0 – 23.0	3

WEEKEND CHART

14/01-Day Assignment

Days Actually Available	Max. Days/Mo. Allowed Off*
0.0 – 4.0	0
4.5 – 7.5	1
8.0 – 10.0	2

WEEKDAY CHART

6-Day Assignment

Days Actually Available	Max. Days/Mo. Allowed Off*
0.0 – 7.0	0
5.5 – 15.0	1
15.5 – 23.0	2

WEEKEND CHART

6-Day Assignment

Days Actually Available	Max. Days/Mo. Allowed Off*
0.0 – 5.0	0
5.5 – 10.0	1

5-day Assignment

Assigned Rest Day Boards	Days per Month Allowed Off*
0.0 – 15	0
15.5 – 31	1 1

*In addition to scheduled days off

Mixed service within an individual month is measured using 25% threshold minus any rest days used.

How the Computer Determines Days Off
(For assigned jobs with known hours, will measure the actual days missed – the rest of this section is for unassigned service only)

This section defines how the system (CPTAS) figures and distributes availability. You will **never** be required to figure availability or violations yourself. It will be beneficial; however, to have a working understanding of the method used to figure attendance violations.

NOTE: CPTAS has an availability calculator you can use to figure examples on your own. To access the calculator, see the section entitled 'Accessing Attendance Data,' following the availability scenarios.

The System performs three basic steps in calculating attendance data**:

1. How many hours is the layoff event? *(CPTAS may concatenate layoff records that are continuous in TSS)* Round up to the nearest half day (see chart below):

Hours Off *	Round To	Equiv. Days
1 to 25	24	1
Over 25 to 36	36	1.5
Over 36 to 49	48	2
Over 49 to 60	60	2.5
Over 60 to 73	72	3
Over 73 to 84	84	3.5
Over 84 to 97	96	4
Over 97 to 108	108	4.5
Over 108 to 121	120	5
Over 121 to 132	132	5.5
Over 132 to 145	144	6
Over 145 to 156	156	6.5
Over 156 to 169	168	7
Over 169 to 180	180	7.5

2. Was the layoff on a weekend, weekday, or both? *The 30 minute window rule applies.*

3. If the layoff crosses from one month into the next, how is the time allocated to each month?

* NOTE: This uses the 25-Hour Rule
** Two layoffs occurring within 15 minutes will be concatenated to be recorded as 1 layoff event.

3-MONTH ROLLING HANDLING (And Scenarios)

If you have multiple attendance guideline violations in overlapping periods, the following will apply. Any employee file that should **not** be progressed to investigation will be marked by the computer as DMLO. Conversely, if the computer offers you a file in the NHDL status, **it is subject to investigation.**

The charts on the following pages give you 3-month rolling scenarios that outline our current practice regarding calling investigations that may be back-to-back or only skips one month in between.

With this practice comes a new computer generated code: DLMO.

DLMO stands for "disciplined last month", although it could also be applied to a file as a result of a discipline two periods back.

DLMO will be generated automatically based on previous month's handling. Because of this, you must make sure that when you mark a file a PEND for a specific period that you really are planning to hold an investigation. In addition, if you mark a file DISP, please be sure that this was the result of a formal investigation. Warning letters and counseling (which is actually no longer a part of our practice) are NOT formal discipline and files MUST not be marked as DISP. If you are choosing not to hold an investigation on an employee, your file should be marked as NDIS (no discipline) and state your reasons accordingly.

The following pages demonstrate scenarios of appropriate handling in calling investigations.

3-MONTH ROLLING SCENARIOS

Scenario 1 - Three Back-to-Back Disciplines

1st 3-Month Period

Month	Threshold		Unavailable			
February	4.5	2.0	6.0	1.0		
March	5.5	2.0	2.5	4.0		
April	5.0	2.0	4.5	4.0		
TOTAL	15.0	**6.0**	13.0	**9.0**	(DISP)	Employee should be disciplined

2nd 3-Month Period

Month	Threshold		Unavailable			
March	5.5	2.0	2.5	4.0		
April	5.0	2.0	4.5	4.0		
May	5.5	2.3	5.0	**8.0**		
TOTAL	16.0	**6.5**	12.0	16.0	(DISP)	According to our current preferred practice, this employee should be disciplined again acct the total weekend days unavailable for May alone exceeds the 6.5 threshold for the 3 month period

3rd 3-Month Period

Month	Threshold		Unavailable			
April	5.0	2.0	4.5	4.0		
May	5.5	2.3	5.0	8.0		
June	4.0	1.0	3.0	**7.0**		
TOTAL	14.5	**5.5**	12.5	19.0	(DISP)	According to our current preferred practice, this employee should be disciplined again acct the total weekend days unavailable for June alone exceeds the 5.5 threshold for the 3 month period

3-MONTH ROLLING SCENARIOS

Scenario 2 (Discipline 1st and 3rd Period)					

1st 3-Month Period					
Month	Threshold		Unavailable		
February	4.00	1.00	6.00	0.00	
March	5.75	2.00	7.50	4.00	
April	5.25	2.25	6.00	3.00	
TOTAL	15.00	5.50	19.50	7.00	(DISP)	Employee should be disciplined

2nd 3-Month Period					
Month	Threshold		Unavailable		
March	5.75	2.00	7.50	4.00	
April	5.25	2.25	6.00	3.00	
May	5.50	2.25	6.50	4.00	
TOTAL	16.50	6.50	20.00	11.00	(DLMO)	According to our current preferred practice, this employee would not be subject to discipline this period, acct neither his WD or WE threshold for May exceeds the total 3 month WE or WD threshold. So, the computer will mark DLMO (Disciplined Last Month)

3rd 3-Month Period					
Month	Threshold		Unavailable		
April	5.25	2.25	6.00	3.00	
May	5.50	2.25	6.50	4.00	
June	5.50	2.00	5.50	4.00	
TOTAL	16.50	6.50	18.00	11.00	(DISP)	According to our current preferred practice, this employee should be disciplined again acct the total weekend days unavailable for May/June combined exceeds the 6.5 threshold for the 3 month period

3-MONTH ROLLING SCENARIOS

Scenario 3 - Discipline 1st Period, But Not 2 Subsequent Periods					

1st 3-Month Period					
Month	**Threshold**		**Unavailable**		
January	3.25	2.13	3.00	1.00	
February	3.75	1.75	2.00	5.00	
March	5.75	2.00	8.00	8.00	
TOTAL	13.00	6.00	13.00	14.00	**(DISP)** Employee should be disciplined

2nd 3-Month Period					
Month	**Threshold**		**Unavailable**		
February	3.75	1.75	2.00	5.00	
March	5.75	2.00	8.00	8.00	
April	5.25	2.25	4.00	6.00	
TOTAL	15.00	6.00	14.00	19.00	**(DLMO)** According to our current preferred practice, this employee would not be subject to discipline this period, acct neither his WD or WE threshold for April exceeds the total 3 month WE or WD threshold. So, the computer will mark DLMO (Disciplined Last Month)

3rd 3-Month Period					
Month	**Threshold**		**Unavailable**		
March	5.75	2.00	8.00	8.00	
April	5.25	2.25	4.00	6.00	
May	5.38	2.25	3.00	0.00	
TOTAL	16.50	6.50	15.00	14.00	**(DLMO)** According to our current preferred practice, this employee would not be subject to discipline this period, acct neither his WD or WE threshold for April & May combined exceeds the total 3 month WE or WD threshold. So, the computer will mark DLMO (Disciplined Last Month)

3-MONTH ROLLING SCENARIOS

Scenario 4 - Combination

1st 3-Month Period					

Month	Threshold		Unavailable			
November	5.50	2.00	6.00	5.00		
December	4.24	2.00	8.00	6.00		
January	5.25	2.50	3.00	7.00		
TOTAL	**15.00**	**6.50**	**17.00**	**18.00**	**(DISP)**	**Employee should receive discipline**

2nd 3-Month Period					

Month	Threshold		Unavailable			
December	4.24	2.00	8.00	6.00		
January	5.25	2.50	3.00	7.00		
February	4.63	1.50	5.50	5.00		
TOTAL	14.00	6.00	16.50	18.00	**(DLMO)**	**According to our current preferred practice, this employee would not be subject to discipline this period, acct neither his WD or WE threshold for February exceeds the total 3 month WD or WE threshold. So, the computer will mark DLMO (Disciplined Last Month)**

3rd 3-Month Period					

Month	Threshold		Unavailable			
January	5.25	2.50	3.00	7.00		
February	4.63	1.50	5.50	**5.00**		
March	5.00	2.00	9.00	**7.00**		
TOTAL	**15.00**	**6.00**	17.50	19.00	**(DISP)**	**According to our current preferred practice, this employee should be disciplined again acct the total weekend days unavailable for February and March exceeds the 6.0 threshold for the 3 month period**

4th 3-Month Period					

Month	Threshold		Unavailable			
February	4.63	1.50	5.50	5.00		
March	5.00	2.00	9.00	7.00		
April	5.13	2.25	5.00	**7.00**		
TOTAL	15.00	**6.00**	19.50	19.00	**(DISP)**	**According to our current preferred practice, this employee should be disciplined again acct the total weekend days unavailable for April alone exceeds the 6.0 threshold for the 3 month period**

5th 3-Month Period					

Month	Threshold		Unavailable			
March	5.00	2.00	9.00	7.00		
April	5.13	2.25	5.00	7.00		
May	5.50	2.13	2.00	2.50		
TOTAL	15.50	6.50	16.00	16.50	**(DLMO)**	**According to our current preferred practice, this employee would not be subject to discipline this period, acct neither his WD or WE threshold for May exceeds the total 3 month WD or WE threshold. So, the computer will mark DLMO (Disciplined last month)**

Administration of Three-month Files

As stated earlier, each month the supervisor will be given a candidate list. The following are files statuses that supervisors use to reflect the handling given to the candidate list:

- **Not Handled (NHDL)** – this indicates that the supervisor has not reviewed an employee file as yet. Any file offered to you in NHDL status is subject to investigation. You do not need to second guess for double jeopardy (however, you do have to excuse any LOC, EMC, etc., that was previously disciplined under PEPA).

- **No Discipline (NDIS)** – this status means the employee was flagged in the computer for exceeding a threshold; however, the supervisor has reviewed the file and determined no discipline was required or assessed.

- **Pending (PEND)** – this status is to be used after you have made a full evaluation of the employee and determined that an investigation should be scheduled. Once the investigation has been held, the status should be changed to reflect the outcome (such as Discipline or Waived Investigation).

- **Discipline (DISP)** – this status is to be used when an employee has been given formal discipline for failure to meet full time status. This includes formal reprimands. Please be sure when you go back to a PEND file and mark it as DISP that you mark the appropriate 3-month rolling period.

- **Waived Investigation (WAIN)** – this status is to be used when an employee is called for investigation but decides to waive the investigation and accept formal reprimand or record suspension.

- **Excused (EXCU)** – there is no excused status which may be assigned by the supervisor; however, this is a computer generated code that occurs when an individual employee record is excused account of PEPA events that were removed from attendance, or where bad data records previously existed.

- **Alternative Handling (ALTH)** – this status is used when an investigation is called, but the employee requests (and is qualified for) alternative handling.

- **Discipline Last Month (DLMO)** – this status is computer generated status that occurs as the result of rules regarding back-to-back or overlapping investigations (see Page 16 for further information).

Changing A File Status

Once you have marked a 3-month rolling period as PEND, it is critical that you go back to that file upon handling and change that specific period to the new file status.

For example, you have a file for the 3-month rolling period of January, February, March that you have marked PEND, as you intend to hold an investigation. Once that investigation has been held, you must go back to that specific January, February, March period and update with DISP and in the comments state the level of handling (formal reprimand, 10-day record suspension, 20-day record suspension or dismissed).

We have had instances where an investigation was called and held for the January, February, March period (file was marked PEND), and a supervisor went back and put DISP on the February, March, April period instead of the January, February, March period. It is critical that you update the file status for the appropriate period.