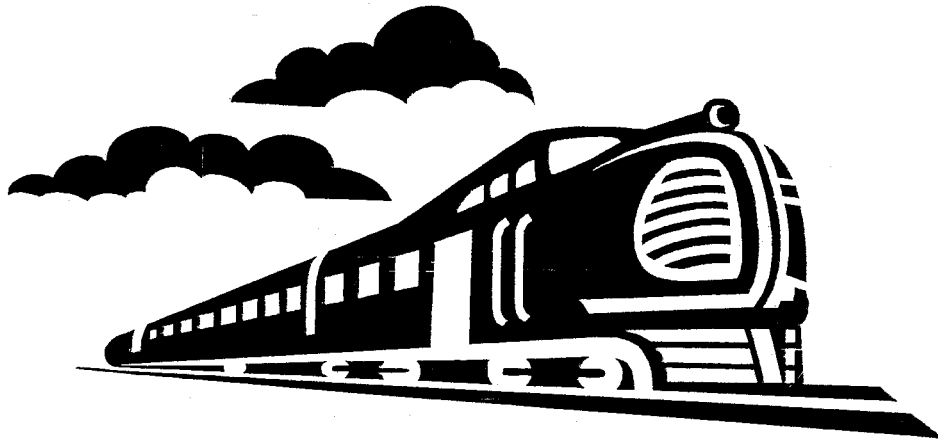


TY&E Attendance System



Training and User Guide

BNSF



Burlington Northern Santa Fe Railway, Standards & Development Group
May, 2000

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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 counseling employees who have attendance issues. These guidelines will allow you discretion in handling issues before they become Standard Handling PEPA violations.

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. As supervisors, you will have the latitude to excuse absences when appropriate.

BNSF'S
"TY&E ATTENDANCE
GUIDELINES"

**BNSF ATTENDANCE GUIDELINES
FOR TRAIN, YARD AND ENGINE EMPLOYEES
Effective March 1, 2000**

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, and foot of the board 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.

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. However, we're leaving this up to the local supervisors to determine the facts, as they have in the past, and the local supervisor needs to apply common sense to those facts involved in each situation. There are certain thresholds programmed into the computer that generates a candidate list; however, these are only "candidates." Being on the candidate list in-and-of-itself does not necessarily mean that the employee failed to maintain full-time status.

Work Assignments

When an employee works in various assignments of service within a given month, the Attendance System will default to whatever assignment the employee worked in the most for that month. For example, in the month of March, Joe Smith worked 60 hours in unassigned service and 97 hours on an assigned 05 & 02 yard job. Joe spent the majority of his time for the month in assigned 05 & 02 service; therefore, his monthly threshold will be based on assigned service.

Administration

On or about 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 a criteria for a number of “threshold” days that an employee lays off prior to being flagged (we must have a way to “weed” through thousands of employees to create a “candidate” list). 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. Does the employee's history suggest a pattern of behavior?
3. Has the employee approached you to advise of plausible extenuating circumstances that may have affected their attendance?
4. Does the employee have medical issues they wish to work through with the Medical Department?
5. Has the employee been counseled or disciplined within the last two periods?
6. 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.

Policy Exclusions

This Policy does not apply to employees in training for initial ground service or locomotive engineer promotion. The Technical Training Center or the governing Superintendent's office will determine availability requirements for trainees.

Crew Support Role, Layoff Conditions

Layoffs must be requested from and authorized by Crew Support. Authority will be based on "needs of service" which dictates how many employees may be off at any one time at a particular location (as determined by the vice president operations or his designee). To facilitate auto-markup and other considerations, the duration of layoff must be agreed to by Crew Support. This is identical to the pre-existing policy.

Pre-Arranged Layoffs

The Crew Superintendent 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 a prompt response. Pre-arranged layoff requests will be granted on a first-come, first-served basis and with respect for "needs of service." When maximum number of pre-approved layoffs has been reached, no other will be granted. 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. (Note that 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 combination of PEPA rule violations and attendance, the following points apply:

- The first attendance violation is not subject to alternative handling. It 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 dismissable 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 dismissable 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).
- Note that the review period established for attendance violations requires that an employee work 12 months without an attendance discipline incident before an attendance violation is considered inactive.

Exceptions to Compliance Failures

An employee who misses a call, lays off on call or is a "no-show" will be subject to PEPA separate and apart from this Attendance Guideline.

An employee held accountable under PEPA for a missed call, layoff on call or "no-show" shall not again be held accountable if that particular absence results in the employee being in non-compliance with the TY&E Attendance Guideline.

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 due to erroneous data

Excused Absences (Individual Events)

Three General Categories of Excused Absences

Excused absences may fall into one of three general categories:

- Medical Director Excuse
- Superintendent Excuse
- Labor Relations Excuse

Medical Director Excuse

If an employee fails to fulfill Attendance responsibility during any month due to his or her own illness, they **may** appeal to BNSF's Medical Director or his or her designee.

Employees are **not required** to pursue a Medical Director Excuse; however if an employee chooses to do so, that employee must provide results of a medical evaluation conducted during the period of illness, including:

- Diagnosis
- Supporting objective exam with testing results
- Provider's recommendation to avoid work

The Medical Director may, at his or her discretion, excuse the absence.

Such absences will be noted as excused in the system, and availability for that month will be recalculated.

Superintendent Excuse

If an employee has not met availability responsibility during any month due to personal reasons, the employee may appeal to his or her Superintendent or his or her designee.

The Superintendent may, at his or her discretion, excuse the absence.

Such absences will be noted as excused in the system, and availability for that month will be recalculated.

Labor Relations Excuse

For other extraordinary circumstances, an employee not meeting the Policy requirements in any month may appeal to BNSF's Labor Relations team for consideration.

A Labor Relations Director may, at his or her discretion, excuse the absence.

Such absences will be noted as excused in the system, and availability for that month will be recalculated.

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):

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

“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	

Defining Weekend / Weekday & Applicable Grace Periods

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: 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. 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):

7-day assignment	25% (use unassigned logic)
14/01 assignment	15 (9 weekdays and 6 weekend days)
6 day assignment	9 (6 weekdays and 3 weekend day)
5 day assignment	3
Assigned Rest Day Boards	3

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

WEEKDAY CHART	
6-Day Assignment	Max. Days/Mo.
<u>Days Actually Available</u>	<u>Allowed Off*</u>
0.0 – 7.0	0
5.5 – 15.0	1
15.5 – 23.0	2

WEEKEND CHART	
6-Day Assignment	Max. Days/Mo.
<u>Days Actually Available</u>	<u>Allowed Off*</u>
0.0 – 5.0	0
5.5 – 10.0	1

5-day Assignment	Days per Month
<u>Assigned Rest Day Boards</u>	<u>Allowed Off*</u>
0.0 – 15	0
15.5 – 31	1

*In addition to scheduled days off

Within a given month, any individual moving between various assigned and/or unassigned service, either voluntarily or involuntarily, will have their availability governed by the assignment they are in the most.

How the Computer Determines Days Off

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*

3-MONTH ROLLING SCENARIOS

Actual implementation of the 3-month rolling period may not include discipline for every 3-month violation. Refer to the various scenarios below for further explanation.

- Scenario 1**

As stated earlier, there may be situations in which you will not discipline an employee for every 3-month violation. **General guideline** – as you discipline an employee for a 3-month period, you should tell the employee what the expectations are for the next two periods, preferably in writing. The expectation should be for “improved behavior” per your definition. At the very least, improved behavior should be defined as being at or below the monthly threshold for the next two months. **If** the employee meets those expectations, then you would not discipline them for those two subsequent periods (even though the computer could still flag that employee as being in violation of the period). However, just being at or below the monthly threshold is not always a good expectation – sometimes expectations may need to be “very limited,” “no layoffs,” or just a certain number of “weekday layoffs” for the next two months. It truly depends upon the current situation and the employee’s pattern of behavior and this is where you apply common sense. The following scenarios reflect handling in these situations.

In this scenario, the employee was disciplined for the 3-month period ending in October. Your expectation for this employee is for improved behavior in the next two periods (which at the very least is at or below the monthly threshold in November and December). Even though the next two 3-month periods are flagged by the system as violations, the employee exhibits improved behavior as set forth in your expectations. Therefore, you would not discipline the employee for the periods ending in November and December. The file statuses should be marked “No Discipline,” with an explanation noted in the comment line of the file. (Of course, should the employee be over the threshold in the next period ending January, they would automatically be disciplined again.)

August				September				October				3 Month Rolling				Dis
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
5.0	1.0	1.0	3.0	5.0	2.5	0.0	2.0	4.0	2.0	1.0	4.0	14.0	5.5	2.0	9.0	

September				October				November				3 Month Rolling				V ND
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
5.0	2.5	0.0	2.0	4.0	2.0	1.0	4.0	4.5	1.5	1.0	1.0	13.5	6.0	2.0	7.0	

October				November				December				3 Month Rolling				V ND
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
4.0	2.0	1.0	4.0	4.5	1.5	1.0	1.0	5.5	2.0	2.5	2.0	14.0	5.5	4.5	7.0	

Dis Discipline
V ND Violation - No Discipline

3-MONTH ROLLING SCENARIOS

- Scenario 2

In this scenario the employee is disciplined for the 3-month period ending in June. In July, the file is not even flagged as a violation in the system; therefore, you would not even see this file. In August, the employee did not meet improved behavior expectations. The employee did not (at the very least) remain at or below the threshold in the 2 months subsequent to previous discipline. In August, the monthly weekend threshold allowed was 2 days and the employee took 4. The employee is, therefore, disciplined again. It should be noted that the employee could have taken a total of 2.5 weekend days and 10.5 weekdays in August without the computer even flagging him for a violation for the 3-month period! The employee had plenty of days to take off – he just took the wrong ones!

Note: since you are disciplining the employee once again in August, this starts a new discipline period. For the two periods subsequent to the period of discipline, the employee may not be disciplined for a violation IF he/she meets your expectations for those two months. In other words, if this employee meets your monthly expectations for September and October, they would not be subject to discipline again until the period ending November.

April				May				June				3 Month Rolling				Dis
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
5.0	2.5	3.0	2.0	5.5	2.0	4.0	2.5	3.5	2.0	1.0	3.0	14.0	6.5	8.0	7.5	
May				June				July				3 Month Rolling				No V
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
5.5	2.0	4.0	2.5	3.5	2.0	1.0	3.0	5.0	2.5	2.0	1.0	14.0	6.5	7.0	6.5	
June				July				August				3 Month Rolling				Dis
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
3.5	2.0	1.0	3.0	5.0	2.5	2.0	1.0	5.0	2.0	3.0	4.0	13.5	6.5	6.0	8.0	

No V No Violation
 Dis Discipline

• Scenario 3

In this scenario, the employee is disciplined for exceeding the threshold for the 3-month period ending October. If you follow the rule of thumb that the employee should **only** be at or below the threshold (in every case) for the next two months to “not” get additional discipline in those months, then you could give this employee a license to abuse the 3-month rolling theory. You must thoroughly review each situation and consider what the expectation should be for the next 2 months, and extend those expectations to the employee. Since this employee (in October) has already exceeded both weekend and weekday allocations for the next two periods, you could (for example) set an expectation that the employee only be off for emergencies in November and December and only upon your approval. Or, another example might be that your expectation is that the employee is only allowed “x” number of weekdays in the next 2 months. (Note: You may input your expectations on the comment lines on the file of the 3-month period of discipline.)

August				September				October				3 Month Rolling				Dis
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
5.5	2.0	2.0	1.0	5.0	2.0	1.0	1.0	5.0	2.5	13.0	7.0	15.5	6.5	16.0	9.0	
September				October				November				3 Month Rolling				Dis ?
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
5.0	2.0	1.0	1.0	5.0	2.5	13.0	7.0	5.5	2.0	5.5	2.0	15.5	6.5	19.5	10.0	
October				November				December				3 Month Rolling				Dis ?
WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	WD	WE	
Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	Earned	Earned	Taken	Taken	
5.0	2.5	13.0	7.0	5.5	2.0	5.5	2.0	5.5	2.0	5.5	2.0	16.0	6.5	24.0	11.0	

No V No Violation
 Dis Discipline
 V ND Violation - No Discipline

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** – this indicates that the supervisor has not reviewed an employee file as yet.
- **No Discipline** – 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. (Reasons could include (1) the layoffs did not represent failure to maintain full time, (2) the employee's past history indicates there is no pattern, (3) the employee has extenuating circumstances that are considered acceptable, or (4) any other reason the supervisor chooses.)
- **Met Expectations** – this status is used when the employee was not in compliance for the period; however, the supervisor had disciplined or counseled the employee in the previous period and he/she met the expectations for the most recent month of measurement.
- **Counseled** – this status is to be used when the course of action chosen is to coach and counsel and employee regarding their attendance. Even though this is not required under the Attendance Guidelines, a supervisor has the latitude to take this step for a FIRST offense only.
- **Discipline** – this status is to be used when an employee has been disciplined for failure to meet full time status. This includes formal reprimands.
- **Pending** – 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).
- **Waived Investigation** – 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** – there is no excuse status which may be assigned by the supervisor; however, this is a computer generated code that occurs when an individual employee record is excused and that action takes the employee under the period threshold.

Changing A File Status

In this new system, we have made security changes that will allow the original author of a file status to change that status. For example, you have marked a file status as “Pending.” In the investigation you learn new facts that cause you to excuse events in the three-month period which causes the employee to no longer be in violation of the period. The author may change the file status to reflect actual handling.